

# Disposition After Digitization

Tracking #  
For RMP use only

21DAD-006

## 1 Instructions for the Agency

Submit the completed agreement to  
**Records.Management@kingcounty.gov**

- Digitization plans must meet minimum requirements per [\(WAC\) 434-663](#)
- The Agency Records Officer's signature indicates your agency's commitment to follow the approved plan for the management of records.
- Any changes to the approved plan must be documented with King County Records Management.
- Agreements expire and must be re-submitted every five (5) years.



## 2 About the Agency

King County Council

Department/Division/Section

Janet Masuo

Agency Records Officer Name

Renita Borders

Contact Name

Renita.borders@kingcounty.gov

Contact Email Address

[www.kingcounty.gov/recordsmanagement](http://www.kingcounty.gov/recordsmanagement)

## 3 Agency Digitization Plan

Digitization may be done in-house or by a third party so long as the minimum requirements are met. The Agency must ensure that any contract or work order includes specific instructions to comply with minimum output requirements, quality control processes.

*King County must retain **legal ownership** of the records during the entire digitization process.*

### Digitization Output Requirements

	Minimum Image Density	Source Format/Size
<b>Non-Archival</b> Retention less than 6 years	300 dpi or higher*	PDF, PDF/A, JPEG, or TIFF
<b>Non-Archival</b> Retention 6 years or more	300 dpi or higher	TIFF or PDF/A
<b>*Oversized</b> documents	400 dpi or higher	TIFF
<b>Potentially or Permanent Archival</b>	600 dpi or higher	TIFF or PDF/A

*Agencies must consider any regulatory or statutory restrictions on record digitization.*

**Describe which image density and formats your agency will produce in compliance with the image output requirements. (If different record series will be digitized differently, please specify.)**

Records will be scanned as TIFF or PDF/A at a density of 300 dpi. No permanent or archival records will be scanned.

### Quality Control Process Requirements

Your agency must implement a quality control process that ensures the quality and accuracy of the digitized record.

- The entire document can be seen, including the edges and borders
- The scanner glass is kept clean to prevent spots on the document
- The scans are reviewed to ensure they are complete, clear, and legible
- Images are straight and centered
- If a scan cannot meet the above criteria...
  - Troubleshoot hardware and software used
  - Retain the Hard copy version
  - Image Metadata includes "best possible scan"

**Are the quality control requirements above included in either the instructions to the vendor or your Agency's standard work for digitization to ensure compliance?**

☒ Yes, I certify the above quality control processes will be followed

### Digitized Record Storage Requirements

Your agency must implement procedures to ensure the digitized records are migrated and preserved for the duration of their retention.

- The files are saved in a way that prevents alteration ("read-as")
- The storage system used manages and controls changes to the documents
  - External Media storage is NOT allowed (Do NOT use CDs, thumb drives, etc.)
- The software prevents unauthorized deletion of records, in accordance with the DAN
- Digitized records and all associated metadata must be routinely backed-up 50 miles away

**Does your DAD include Essential Records?** Update your agency's essential records plan and emergency plans to account for the records change in format to ensure preservation.

**Describe where your agency will store digitized records for the remainder of their records retention.** If records are still considered 'active' per the Retention Schedule, describe storage plans for both their immediate storage and storage once they become 'inactive.'

**Note:** Content Manager is fully compliant with storage and management requirements under WAC 434-663 and DOD 5015.2.

Digitized records will be stored, maintained, and dispositioned in Laserfiche, a commercially available electronic document management system. Laserfiche is one of three approved by WA State Archives.

☒ Yes, I certify this system is compliant with the above record storage requirements

### Digitized Record Retention & Disposition Requirements

Digitized records must be retained and dispositioned in compliance with Disposition of Public Records in King County (INF 15-3-3-EP).

- The record series or DAN will be part of the records metadata or folder titles
- Source records will not be destroyed until
  - Image quality verified per the quality control requirements
  - Any related audit, investigation, Public Records Act request or litigation has been closed, legal holds have been lifted, and destruction has been approved by the appropriate parties
- Use confidential shredding to destroy source records containing confidential or personally identifiable information
- The digitized records storage location is routinely monitored to apply retention and disposition rules
- Inactive records are filed into Content Managed when they become inactive per the Retention Schedule (if not before)

**Describe who will perform the disposition of the source records once the above requirements are met and what methodology will be used. (In house, King County Records Center, third-party vendor [name], etc.)**

Paper personnel documents will be scanned in-house using either network copier/scanners, or desktop scanners. Documents will be scanned as PDF/A or TIFF files, with a density of no less than 300 dpi.

Option 1: Documents digitized by a printer/scanner will be sent to a backed-up folder on a network drive, or the user's email account, depending upon the printer/scanner settings. Within 30 days, scanned documents will be QC'd for clarity and completeness, then uploaded to Laserfiche as TIFF records.

Option 2: Documents digitized with desktop scanners will be uploaded directly to Laserfiche as TIFF records.

Digitized records will be QC'd in Laserfiche for clarity and completeness. Original paper documents will then be securely shredded, and any digitized records remaining on a network drive will be deleted.

**Describe how your agency will apply the retention requirement to the digitized records and ensure appropriate disposition per the King County Retention Schedule.**

**Note:** *Content Manager is a fully compliant solution to meet storage and management requirements under WAC 434-663 and DOD 5015.2.*

KC retention rules are assigned to digitized records when they are uploaded to Laserfiche. Retirement Benefit Verification records with effective dates prior to PeopleSoft implementation (1/1/2012) will be assigned the appropriate disposition authority number. Laserfiche will apply cutoff and disposition rules to digitized records when the employee leaves employment.

☒ Yes, I certify the source and digitized records will be retained and dispositioned in accordance with the above requirements and associated King County Retention Schedule.

*\*Destruction of source records does NOT require documentation*

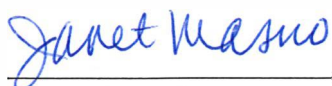
**4 Record Series Information**

**Describe the records series to be digitized.** For ongoing scanning projects date ranges may include future dates within the five-year expiration period of the DAD agreement (YYYY-expiration year).

Record Series Title	Date Range	Disposition Authority # and Archival Designation
<i>Example: <b>Project Files</b></i>	<i>12/31/2018 – 12/31/2020</i>	<i>GS50-01-39R1 Potentially Archival</i>
Personnel Files	1/1/1970 - present	GS50-04B-06R4 Not Archival
Employment Eligibility Verification Documents (I-9 forms)	1/1/1970 - present	GS50-05A-26R2 Not Archival
Payroll Contracts and Agreements FIN-08-018 (Combo Rule)	1/1/1970 - present	GS50-01-11R4, GS50-03E-01R1 Not Archival
Retirement Benefit Verification Documents	1/1/1970 - 12/31/2011	GS2017-009 Not Archival
Employee Medical Records (FMLA & Fitness for Duty)	1/1/1970 - present	GS2017-015 Not Archival

**5 Agency Signature**

Our agency will comply with these minimum requirements.



Agency Records Officer

**6 Records Management Signature**

The King County Records Management Program verifies this plan meets minimum requirements.



9/30/21

Records Management Reviewer