

Agenda Summary Report (ASR)

Franklin County Board of Commissioners

DATE SUBMITTED: 3/16/2021	PREPARED BY: Keith Johnson
Meeting Date Requested: 3/23/2021	PRESENTED BY: Keith Johnson
ITEM: (Select One) <input checked="" type="checkbox"/> Consent Agenda <input type="checkbox"/> Brought Before the Board Time needed:	
SUBJECT: Adoption of County wide Scanned Records Policy. This policy allows for the destruction of paper records after consulting retention schedules, scanning the documents, testing the images and documenting the destruction of the paper records pursuant to RCW 40.14.010-070, WAC 434-662 and 434-663.	
FISCAL IMPACT: No fiscal impact	
BACKGROUND: We first approached the Scanned Records Policy for financial documents being scanned into One Solution, the County's financial system. It quickly became apparent there was a need to include other types of County documents. An all-encompassing approach was determined to be the best path forward. Steps to document destruction process... 1)...Determine which documents can be destroyed based on the "DAN" (<i>Disposition Authority Number</i>) and records retention schedules. 2)...Fill out the Records Destruction Log and have it approved by department management. 3)...Destroy paper records and/or digital images per retention schedules and the document destruction log. 4)...File the signed destruction log with department Public Records Officer.	
RECOMMENDATION: Approval of resolution adopting the Franklin County Scanned Records Policy.	
COORDINATION: Keith Johnson, Kevin Scott, Jeff Burckhard, Jen Johnson	
ATTACHMENTS: Resolution Scanned Records Policy Scanned Records Procedures	
HANDLING / ROUTING: Commissioners – Original Information Services - Copy	

I certify the above information is accurate and complete.

Keith Johnson, County Administrator

FRANKLIN COUNTY RESOLUTION _____

**BEFORE THE BOARD OF COMMISSIONERS
FRANKLIN COUNTY, WASHINGTON**

ADOPTION OF SCANNED RECORDS POLICY

WHEREAS, to reduce the burden of handling paper records and to streamline the process of scanning, and retrieving the digital images created from scanning paper records, a Scanned Records Policy has been developed; and

WHEREAS, the attached policy is intended to provide for the necessary departmental controls and documentation as related to the destruction of paper records; and

WHEREAS, the Board of Franklin County Commissioners constitutes the legislative authority of Franklin County and deems this to be in the best interest of the County.

NOW, THEREFORE, BE IT RESOLVED that the Franklin County Commissioners do hereby adopt the attached Franklin County Scanned Records Policy.

APPROVED this 23rd day of March 2021.

**BOARD OF COUNTY COMMISSIONERS
FRANKLIN COUNTY, WASHINGTON**

Chair

Chair Pro Tem

Member

ATTEST:

Clerk to the Board

Franklin County Policy

Imaging and Destruction of Paper Records – *Scanned Records*

1.0 GENERAL

1.1 This policy outlines the minimum requirements Franklin County must meet in order to lawfully destroy paper-based source records after they have been converted to a digital format by imaging (*scanning*). This policy only applies to documents that are NOT considered “Archival” (*must be stored permanently*). It is imperative that each department consult the Secretary of State guidelines for documents under their care and understand the retention schedule for each document type.

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2.0 DEPARTMENTS/DIVISIONS AFFECTED

This policy and procedure shall apply to all Franklin County Offices and departments.

3.0 REFERENCES

Chapter 40.14 RCW
Chapters 434-662 and 434-663 WAC
Administrative Policy 0260-07-02 "Off-site Records Storage"
Administrative Policy 0260-12-5 "Public Records Management Program"

4.0 DEFINITIONS

4.1 "Archival records" are those public records of state and local government agencies which are determined by the state archivist as having continuous historical value and must be permanently preserved and have been or may be transferred to the custody of the State division of archives after their approved retention has been met.

4.2 "Lossless compression" recreates a compressed file as an identical match to its original form. All lossless compression uses techniques to break up a file into smaller segments, for storage or transmission that get reassembled later.

- 4.3 "Lossy compression" is a technique that does not decompress data back to one hundred percent (100%) of the original. Lossy methods provide high degrees of compression and result in smaller compressed files, but there is a certain amount of visual loss when restored.

5.0 POLICY

- 5.1 It is the policy of Franklin County to comply with state requirements when destroying paper-based source records after they have been converted to a digital format by imaging (*scanning*).

6.0 PROCEDURE

6.1 Records Scanned Checklist.

- 6.1.1 Departments shall complete the Minimum Requirements to the Scanned Records Checklist. The checklist shall be signed by the department head, Elected Official, or designee prior to the scanning of paper records.

- 6.1.2 The checklist shall be approved by the Elected Official/Department Head prior to scanning of paper records.

- 6.2 The disposition authority number (DAN) for paper records that have been scanned and then are to be destroyed is: GS50-09-14.

6.3 What Records Are Eligible For Records Scanning?

- 6.3.1 Eligible records MUST be Non-Archival and covered by a current, approved records retention schedule.

- 6.3.2 The County shall use only records retention schedules approved for its use by the Local Records Committee in accordance with RCW 40.14.070. Current approved records retention schedules for local government agencies are available on Washington State Archives' website at www.sos.wa.gov/archives.

- 6.3.3 Archival records MUST not be destroyed.

- a. The County may scan Archival records in accordance with state requirements and this policy.

- b. However, after imaging is completed and verified, the department shall arrange for appraisal and/or transfer of both the paper and the images to Washington State Archives for preservation.

6.4 How Do The Records Need To Be Scanned?

- 6.4.1 Records MUST be scanned in a systematic and consistent fashion that ensures a complete and accurate copy of the source record.

6.4.2 IT Requirements

Departments should develop written quality control procedures and work instructions to ensure a consistent capture of complete and accurate copies of original records. Train all staff with scanning responsibilities to ensure that they are familiar with these requirements and procedures. *Departments are not required to use any specific systems, applications, or scanners.*

Examples of specific quality control procedures are:

- Enhancements or other manipulations of the scanned images (such as de-skew, de-speckle, etc.) in order to improve the quality of the resulting image.
- Routine use of scanning targets to verify configuration settings.
- Visual comparisons and inspections of each imaged record and source document, or of selected images and source documents.
- Regular calibration and testing of systems and scanners.
- Periodic checks that the indexing/metadata is accurate and appropriate.
- In instances where the source document cannot be captured completely, and accurately, the image should be labeled or tagged as "best scan possible".

If vendors are doing the imaging: vendors are to comply with the same requirements as above.

6.5 What Formats Should Be Used?

6.5.1 There are some differences between the most commonly used formats. Formats are subject to changes and updates, and newer versions may not always be backwards compatible or be suitable for long-term preservation.

6.5.2 For shorter-term retention (fewer than six (6) years total), either a lossless or lossy image format may be used. Acceptable file formats include:

TIFF, PNG
PDF,
PDF/A
JPEG, JPEG 2000

6.5.3 Long-term records (more than six (6) years total retention) require lossless image formats in order to ensure preservation. The current recommended formats are:

- TIFF (Group 4 for Black & White (bitonal) images; Group 5 for grayscale and color images).
- PNG
- For Archival images that are to be transferred to Washington State Digital Archives, the recommended format is TIFF (Group 4 or Group 5 for scanned images).
- If a department chooses to use data compression to save space, a lossless compression method **MUST** be used for long-term records.

Image Density (<i>Resolution</i>) Table {Chapter 434-663 WAC} OUTPUT	DENSITY
Black & White (Bitonal) (fonts no smaller than 6- point)	Minimum of 200 DPI Recommended 300 DPI
Black & White (Bitonal) (maps, engineering drawings, and other documents containing fonts smaller than 6-point, fine detail, or poor contrast)	Minimum of 300 DPI Recommended 300 DPI
Grayscale 8- bit	Minimum of 200 DPI Recommended 300 DPI
Color 24-bit RGB	Minimum of 150 DPI Recommended 300 DPI

6.6 What About Organizing, Indexing and Metadata?

6.6.1 Indexing is a way to attach metadata that facilitates access, retrieval, and management of information. Developing a consistent structure is key to managing and maintaining images.

6.6.2 Most of the day-to-day scans performed end up in a location beyond the user's direct control, dictated by the specific application in use. The individual user just associates the scan with the associated record and the application determines where to store it and links it accordingly. For scanned images not organized by a specific software application, departments shall develop consistent naming conventions and file/directory structures to facilitate identification, organization, access and retrieval.

6.6.3 Departments should capture appropriate business and recordkeeping metadata (such as type of record, Disposition Authority Number (DAN), destruction date, etc.)

6.7 How To Manage, Store, and Retain Images?

- 6.7.1 Images MUST be stored, maintained and accessible for the entire length of the required retention period. Departments need to factor in not only the retention period (e.g., six (6) years), but also the trigger or the cut-off that starts the retention clock. For example, a record with a minimum retention of "six years after life of building" would likely need to be retained for much longer than just six years.
- 6.7.2 Departments MUST retain legal custody of the imaged records even if outside providers are used to store / host the imaged records.
- a. Contracts/agreements with outside providers shall require that legal custody of the records remains with the County and that all imaged records (including associated metadata) be returned to the County in a format accessible by the County, at the end of the contract / agreement.
 - b. Departments should undertake appropriate mitigation strategies to ensure that they can fully recover records (including associated metadata) which have not met their minimum retention period in the event of vendor failure.
- 6.7.3 Imaged records MUST be protected against alteration and/or deletion, damage, or loss throughout the entire retention period. Specific protective measures may include, but are not limited to:
- a. Establishment of security protocols, and approved administrators and users. (See "procedures" document)
 - b. Employment of quality control measures. (See "procedures" document)
 - c. Implementation of back-ups and disaster preparedness measures. (See "procedures" document)
- 6.7.4 Imaged records MUST remain accessible for the minimum retention period. To address technology changes, departments are to either:
- a. Maintain the ability to retrieve and view imaged records in systems and file formats that the County is currently using; or,
 - b. Migrate or export the record images (including associated metadata) to succeeding systems and file formats throughout their required retention periods.
- 6.7.5 It is recommended that a department use a records management application which has been certified as DoD 5015.2 compliant for the ongoing storage and management of the imaged records.

6.7.6 For Non-Archival records with a required retention of "Permanent" or "Life of the Agency", it is strongly recommended that the department create state standard-compliant thirty-five (35) millimeter security microfilm from the digital scans and transfer it to Washington State Archives' Security Microfilm vault in Olympia. This microfilm will be inspected for compliance and stored as a disaster backup at no cost.

6.8 When Can The Images Be Destroyed?

6.8.1 Imaged records are to be destroyed only after the minimum required retention period as specified by the approved records retention schedule currently in effect.

6.8.2 Records MUST NOT be destroyed when required for:

- a. Existing public records requests in accordance with Chapter 42.56 RCW; or,
- b. Ongoing or reasonably anticipated litigation; or,
- c. Other legal requirements, federal statutes, grant agreements, etc.; or,
- d. Archival transfer.

6.8.3 If changes to the records retention schedules have occurred between the digitizing of the record and their planned destruction, and those changes have altered the minimum retention period (or the Archival designation) of the imaged records, departments must follow the current approved records retention schedule.

6.8.4 Departments should follow defensible disposition practices for the destruction of imaged records. This includes following a regular and systematic schedule for destruction processes. These practices should be consistent with the County's procedures for the lawful destruction of public records in other formats.

6.8.5 Departments shall document the destruction of both paper and scanned records.

Departments shall document that the paper was converted and destroyed lawfully under the appropriate disposition authority, and that the images are also destroyed lawfully once the retention requirements have been met.

6.9 What to do with Archival Paper Records after Imaging.

6.9.1 Which records are Archival and which are Non-Archival?

The records retention schedules indicate which types of records have been designated as Archival and which have not. Copies of the current

approved records retention schedules are available from Washington State Archives' website (www.sos.wa.gov/archives).

6.9.2 Do NOT destroy Archival paper records after scanning.

- a. Departments can image paper records which have been designated as Archival (including Potentially Archival).
- b. However, departments MUST NOT destroy these paper records after scanning, even if the department is following the state law "scanning" requirements and this policy.

6.9.3 Transferring Archival Paper Records to Washington State Archives.

- a. If departments are scanning Archival paper records, they must contact Washington State Archives and arrange for an appraisal of the paper records and possibly transfer the paper records to the State collection
- b. Do not simply send archival records to the State Archives without first coordinating the possible transfer.

6.9.4 Transferring the Digitized Records to Washington State Archives.

- a. As part of the appraisal process, Washington State Archives will also discuss with departments the possibility of transferring copies of the imaged records as well.
- b. Having the imaged copies not only facilitates easier access to the records, it also helps preserve the original paper records which will no longer need to be handled as often by the State Archives.

6.9.5 Additional advice regarding the management of public records is available from:

Washington State Archives: www.sos.wa.gov/archives
recordsmanagement@sos.wa.gov.

7.0 RESPONSIBILITIES

The Information Services Director shall administer this policy.

8.0 APPENDICES

Scanned Records Checklist

APPROVED this 23rd day of March, 2021.

**BOARD OF COUNTY COMMISSIONERS
FRANKLIN COUNTY, WASHINGTON**

Chair

Chair Pro Tem

Member

ATTEST:

Clerk to the Board

Approved as to Form:



Deputy Prosecuting Attorney

FRANKLIN COUNTY SCANNED RECORDS CHECKLIST

Department: _____ Date: _____

Contact Name: _____ Phone No. _____

Disposition Authority Number (DAN)	Record Series Title	Date Range of Records Requested For Destruction
1. ARE THEY ELIGIBLE?		
<input type="checkbox"/> Only "NON-ARCHIVAL" records are eligible for early destruction after scanning.		
2. ARE THE RECORDS BEING SCANNED TO ENSURE A COMPLETE AND ACCURATE COPY?		
<input type="checkbox"/> Quality control procedures implemented to ensure capture of complete and accurate copies.		
<input type="checkbox"/> Short-term records (6 years or fewer) imaged with an acceptable file format such as PDF, PDF/A, JPEG or TIFF.		
<input type="checkbox"/> Long-term records (longer than 6 years) imaged with an acceptable lossless file format such as TIFF or PNG.		
<input type="checkbox"/> Black & White (bitonal) documents containing fonts no smaller than 6-point and grayscale records scanned with a resolution of at least 200 dpi.		
<input type="checkbox"/> Black & White (bitonal) maps, engineering drawings, and other bitonal documents containing fonts smaller than 6-point, fine detail, or poor contrast, scanned with a resolution of at least		
<input type="checkbox"/> Color records scanned with a resolution of at least 150 dpi. (300 dpi recommended).		
<input type="checkbox"/> IT has approved equipment / methodology for scanning.		
3. ARE IMAGES ACCESSIBLE AND PROTECTED FOR THE ENTIRE REQUIRED RETENTION PERIOD?		
<input type="checkbox"/> Appropriate steps taken to protect images from deletion, alteration, or other damage/loss.		
<input type="checkbox"/> Appropriate planning and strategies implemented for migration and technology changes.		
<input type="checkbox"/> Appropriate index methodology to search documents.		

Approved: _____ Date: _____
Employee

Approved: _____ Date: _____
Department Head/Elected Official