

RESOLUTION NO. 2023-19

A RESOLUTION establishing a policy for the procedure of digitizing public records of the City of Ellensburg, Washington.

WHEREAS, State law allows, through WAC 434-662 and WAC 434-663, for secure preservation and maintenance of paper-based public records, by digitization and electronic imaging; and

WHEREAS, the City of Ellensburg is committed to maintaining public records while maximizing paperless opportunities by retaining and centralizing valuable records; and

WHEREAS, the attached Paper-to-Digital Conversion Policy addresses provisions of the City of Ellensburg's policy and the state laws that authorize the conversion of both archival and non-archival paper-based records to digital imaging, in accordance with the Washington State Archivist retention schedules;

NOW THEREFORE, BE IT RESOLVED, by the City Council for the City of Ellensburg as follows:

Section 1. The City of Ellensburg does hereby adopt the Paper-to-Digital Conversion Policy, attached hereto as Exhibit 1, for digitization and secure preservation of City paper records, both archival and non-archival, to enhance public access to public records.

Section 2. The City Manager is authorized to make future revisions to the Paper-to-Digital Conversion Policy as they deem necessary for the efficiency of the City and/or to comply with changes in Washington law.


Section 3. This resolution shall take effect and be in force immediately upon its adoption.

ADOPTED by the City Council of the City of Ellensburg this 21st day of August, 2023.



Mayor

Attest:



City Clerk



City of Ellensburg Paper-to-Digital Conversion Policy

Policy Adopted: August 21, 2023

Standard

1. Authority

ECC 1.06.020 authorizes the City Manager to issue rules or administrative regulations not inconsistent with general law, the Charter or ordinances of the City, outlining the general procedure for the administration of City activities under the City Manager's jurisdiction.

The State Records Committee and the Local Records Committee have approved destruction authorities for non-archival paper-based source records that have been imaged and verified as complete and accurate in accordance with RCW 40.14.020(6)(a).

WAC 434-662, Preservation of Electronic Public Records, provides for the secure preservation of electronic records for their minimum retention period for present and future access and/or transfer to the Washington State Digital Archives for retention so that valuable legal and historical records may be centralized, made more widely available, and permanently preserved.

WAC 434-663, Imaging Systems, Standards for Accuracy and Durability, sets out the requirements for imaging source documents and the requirements for maintaining imaged documents in accordance with the Washington State Archivist retention schedules.

2. Policy

The City of Ellensburg is committed to maintaining public records in accordance with state law while maximizing paperless opportunities in the workplace and enhancing public access to public records.

3. Purpose

The purpose of this policy is to identify the minimum requirements the City will meet in order to lawfully destroy paper-based source records after they have been converted to an accepted digital format through the scanning process.

4. Application

This policy applies to all City employees, contractors and volunteers managing and/or handling public records in all City departments.

Practice

1. Definitions

- a. "Archival records" are those public records of 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.
- b. "Non-archival records" are those public records which do not possess sufficient historical value to be designated as archival. These records must be retained for the minimum retention period specified by the applicable Washington State Archives, current records retention schedule. These records should be destroyed after their minimum retention period expires, provided that the records are not required for litigation, public records requests, express city policy, or other purposes required by law.
- c. "Digitization" is the process of converting paper records into a digital format.
- d. "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.
- e. "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.

2. Procedure – Converting Paper Record Sets to Digital Record Sets

- a. Verify Eligibility of Records for Paper-to-Digital Conversion.
 - i. Determine if the record is archival or non-archival. Only non-archival records, covered by a current, approved records retention schedule, are eligible for scan and toss.

NOTE: The City may elect to digitize archival records in accordance with State requirements; however, after digitization is complete and has been verified, the paper records must be made available for appraisal and/or transfer to Washington State Archives for preservation.

- ii. Determine the retention value of the non-archival records to be digitized by consulting the appropriate retention schedule. Only current records retention schedules approved for use by the Local Records Committee in accordance with RCW 40.14.070 can be used for making this determination. Current approved records retention schedules for local government agencies are linked on the City's SharePoint intranet and are available on the Washington State Archives' website at www.sos.wa.gov/archives. Contact the City Clerk's Office for assistance.
- b. Proper Imaging of Records.
- i. Records must be scanned and verified in a systematic and consistent fashion that ensures a complete and accurate copy of the source record. Records that are not completely and accurately captured must not be destroyed; these source records must be retained for the entire minimum retention period.
 - ii. Quality Control. The following procedures are to be followed to ensure quality control of digital records:
 - a. Visually compare and inspect each imaged record and source document.
 - b. If necessary, utilize enhancements or other manipulations of the scanned images (such as de-skew, de-speckle, etc.) to improve the quality of the resulting image.
 - c. Periodically verify indexing/metadata accuracy.
 - iii. In instances where the content of the source document is not completely legible (faded receipt, coffee stain covering information, etc.), the source document must be retained for the entire minimum retention period.
 - iv. Vendors contracted to conduct imaging must comply with the requirements of this policy.
 - v. All records must be scanned at minimum density (resolution) of 300 dots per inch (dpi).
- c. Acceptable Formats.
- i. Records with short-term retention (i.e., records requiring retention for 6 years or less) may be digitized using either a lossless or lossy image format. Acceptable file formats include: **TIFF, PNG, PDF, PDF/A, JPEG, JPEG 200**.
 - ii. Records with long-term retention (i.e., records requiring retention for more than 6 years) require lossless image formats in order to ensure preservation. The current recommended formats are:

- **TIFF** (Group 4 for Black & White (bi-tonal) images; Group 5 for grayscale

and color images) or **PNG**.

- For archival images that are to be transferred to Washington State Digital Archives, lossless **TIFF** format is required.
- If data compression is used to save space, a lossless compression method must be used for long-term records.

d. Managing, Storing and Retaining Images.

- i. Develop consistent naming conventions to facilitate access, retrieval, and management of information.
- ii. Images must be stored, maintained and accessible for the entire length of the required retention period.
- iii. The City must retain legal custody of the imaged records even if outside providers are used to store/host the imaged records, including other government agencies and cloud storage but excluding Washington State Archives.
- iv. Contracts/agreements with third-party vendors must require that legal custody of the records remains with the City, and that all imaged records (including associated metadata) be returned to the City in a format accessible by the City at the end of the contract/agreement.
- v. Appropriate mitigation strategies must be undertaken to ensure that records (including any associated metadata) which have not met their minimum retention period can be fully recovered in the event of vendor failure.
- vi. Imaged records must be protected against alteration and/or deletion, damage, or loss throughout the entire retention period. Specific protective measures include, but are not limited to:
 - a. Establishing security protocols, approved administrators and users;
 - b. Employment of system checks and error-checking utilities;
 - c. Implementation of back-ups and disaster preparedness measures.
- vii. Digitized 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 City 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.

3. Destruction of Digitized Images

- a. Digitized records are to be destroyed only after the minimum required retention period as specified by the approved records retention schedule currently in effect.
- b. Records must not be destroyed when required for:
 - Existing public records requests in accordance with Chapter 42.56 RCW; or
 - Ongoing or reasonably anticipated litigation; or
 - Other legal requirements, federal statutes, grant agreements, etc.; or
 - Archival transfer.
- c. 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, the current approved records retention schedule must be followed.
- d. Departments are to follow defensible disposition practices for the destruction of imaged records. This includes following a regular and systematic schedule for destruction processes.
- e. Departments shall document the destruction of both paper and scanned records using the city-provided disposition log template. Disposition logs are used to document that digitized records were destroyed lawfully under the appropriate disposition authority once retention requirements have been met.

4. Handling Archival Paper Records After Digitizing.

- a. Prepare the Scan & Toss Checklist – Approval Form (see **Exhibit A to the Policy**). Prior to Destruction of archival paper records, the department records officer shall complete the Scan & Toss Checklist – Approval Form and submit to the department director for review, approval and signature. Following approval of the department director, the form shall be submitted to the City Clerk and Public Records Officer for review and approval. ***The checklist must be authorized by all signing parties in the review/approval flow prior to the transfer of records.***

NOTE: Scan & Toss Checklist - Approval Form is not necessary for digitization of non-archival records

- b. Do not destroy archival paper records after digitizing. While paper records which have been designated as archival (including potentially archival) may be scanned and retained by the City of Ellensburg, the original hard copies must be reviewed and/or transferred to the Washington State Archives.
- c. Coordinate with the City Clerk's Office to receive archivist appraisal of potentially archival records, and to transfer archival records to the Washington State Archives.

Responsibilities

The **Information Technology Department** is responsible for assisting department to ensure that document imaging systems meet the technical requirements outlined in WAC 434-663.

Supervisors, managers, and directors or their designee are responsible for reviewing and understanding this policy, for reviewing and approving the paper-to-digital conversion of department records consistent with this policy, and for maintaining the required system documentation as described in WAC 434-663-530.

Public Records Officer is responsible for ensuring that paper-to-digital conversation of public records occurs in a manner consistent with this policy and as necessary to protect the integrity of existing public records.

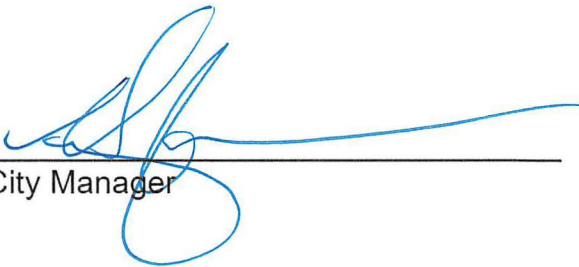
The **City Clerk** is responsible for providing guidance and support to department records officers in the paper-to-digital conversation of public records, coordinating Washington State Archivist appraisal and transfer, and ensuring that public records are converted and ultimately dispositioned consistent with this policy and state law.

The **City Manager** is responsible for overall City compliance with this policy.

Guide

Consistent with the City's shared values of *teamwork*, *integrity* and *excellence*, this policy is intended to ensure compliance with state requirements when destroying paper-based source records after they have been converted to a digital format by scanning.

Approval


City Manager

Responsible Administrator: City Clerk
Adopted – August 21, 2023



ARCHIVAL RECORDS SCAN & TOSS APPROVAL FORM

Department: _____ Records Officer: _____

State Retention Schedule DANS/RIDS No.	Description of Records	Date Range of Records to be Digitized & Dispositioned

Prior to disposition, the following scanning requirements must be met. Please complete the following checklist and obtain approval signatures, then provide this form to the City Clerk for permanent retention. See the City of Ellensburg Paper to Digital Conversion Policy for more information.

- ☐ Quality control procedures implemented to ensure capture of complete and accurate copies.
- ☐ Long-term records (longer than 6 years) have been imaged with an acceptable lossless file format such as PDF/A, TIFF or PNG.
- ☐ All records have been scanned with a minimum resolution of 300 dpi.
- ☐ Appropriate steps have been taken to protect images from deletion, alteration, or other damage/loss.
- ☐ Appropriate planning and strategies have been implemented to migrate technology changes.
- ☐ Appropriate index methodology implemented to allow for searching of documents.
- ☐ Arrangements have been made to transfer archival records to the Washington State Archivist as of _____.

Approvals:

Department Director

Print Name

Date

Public Records Officer

Print Name

Date

City Clerk

Print Name

Date