



## **Requirements for the Destruction of Paper Records after Imaging "Plan to Scan"**

### **Purpose**

State and local government agencies organizing a scanning project where they plan to destroy or transfer the originals must meet certain minimum requirements when imaging records.

They should also follow best practices to produce complete and accurate copies of paper records. These practices include standard imaging procedures, design and maintenance of scanning systems, and quality control measures.

Having a plan to scan also addresses access and retrieval of digitized records throughout their legally required minimum retention period(s) in the Washington State records retention schedules.

These parameters come from state and national standards, including but not limited to:

**Chapter 40.14 RCW** *Preservation and Destruction of Public Records;*

**Chapter 434-662 WAC** *Preservation of Electronic Records;*

**Chapter 434-663 WAC** *Imaging Systems, Standards for Accuracy and Durability;*

**ISO 15489-1:2016**, *Information and Documentation – Records Management – Part 1: Concepts and Principles;* and

**ISO/TR 13028:2010**, *Information and Documentation – Implementation Guidelines for Digitization of Records.*

For standards and guidelines on microfilm, please refer to the *Washington State Standards for the Production and Use of Microfilm*.

**PLEASE NOTE:** State government agency staff need to consult with the agency's Records Officer on all matters related to the retention, transfer, and/or destruction of public records (**RCW 40.14.040**).

### **Are Your Records Eligible?**

**NON-ARCHIVAL** paper records scanned and verified to have complete and accurate copies can be destroyed after scanning.

**ARCHIVAL** paper records scanned and verified to have complete and accurate copies can be appraised by the Archives for possible transfer (both the paper and/or a digital copy).

*Note: County Clerks have an exemption for the destruction and reproduction of court documents. For details, please see **RCW 36.23.065**.*



## Authorization

Paper records scanned in compliance with state requirements can be destroyed or appraised under the Source Record DANs in the *State Government General Records Retention Schedule (SGGRRS)* and the *Local Government Common Records Retention Schedule (CORE)*.

### NON-ARCHIVAL Paper Records

Retention Schedule	Disposition Authority Number (DAN)
State	GS 11012
Local	GS50-09-14

### ARCHIVAL Paper Records

Retention Schedule	Disposition Authority Number (DAN)
State	GS 11014
Local	GS2010-017

## How Do Records Need to be Scanned?

Agencies must scan and verify records in a systematic, consistent fashion. They should develop policies and procedures for quality control. Agencies should also train staff on scanning responsibilities. Common examples of quality control procedures include:

- Image quality improvement (such as de-skew, de-speckle, etc.)
- Use of scanning targets
- Visual inspection and inventory of imaged records
- Organizing and indexing records with appropriate file names
- Periodic checks of indexing and metadata
- Regular inspection of scanners and systems

If a source document cannot be scanned completely and accurately, or its scanned image is not fully legible, the source document **must** be retained for the entire retention period. It is vital that no information is lost or obscured during the scanning process.

## What About Third-Party Vendors?

If a vendor is scanning records on behalf of the agency, the vendor **must** meet these "Plan to Scan" requirements. It is the agency's responsibility to ensure their records are scanned in compliance with these requirements.



## What Formats Should Be Used?

The choice of file format will depend on the contents of the record and its retention length. Scans need to be accessible for the entire retention period. It is important to pick a format that can be easily converted or is likely to still be in use when the records meet retention.

For short-term records (6 years or fewer retention), either a lossless or lossy image format may be used. Examples include:

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

For long-term records (more than 6 years retention or Archival records), a lossless format should be used to ensure preservation. Recommended formats include:

- TIFF (Group 4 for bitonal images; Group 5 for grayscale and color images)
- PNG
- PDF/A

## Image Density (Resolution) Table (Chapter 434-663 WAC)

OUTPUT	DENSITY
<b>Black &amp; White (Bitonal)</b> (fonts no smaller than 6-point)	Minimum: 200 DPI Recommended: 300 DPI
<b>Black &amp; White (Bitonal)</b> (maps, engineering drawings, and other documents containing fine detail, fonts smaller than 6-point, or poor contrast)	Minimum: 300 DPI Recommended: 300 DPI
<b>Grayscale</b> (8-bit)	Minimum: 200 DPI Recommended: 300 DPI
<b>Color</b> 24-bit RGB	Minimum: 150 DPI Recommended: 300 DPI

## How Do I Manage, Store, and Retain Images?

Images **must** be maintained and stay accessible for the entire length of the records retention period. Agencies should develop policies and procedures not only for storage but also migration and conversion of records to other systems or file formats.

These factors will impact the choice of hardware or software and should be weighed accordingly when choosing a storage solution.



The Washington State Archives recommends agencies use an Enterprise Content Management (ECM) System to maintain records and manage access over their retention period. The choice of ECM will depend on the agency’s business function and other factors (such as volume of records, number of staff, confidentiality, etc.)

It is recommended an agency uses an ECM or records management application that is **DoD 8180.01/5015.02-STD** certified.

### **Legal Custody**

Agencies must keep legal custody of imaged records. If agencies are storing records outside of their immediate jurisdiction (such as on the cloud or with another service provider), they should specify in contracts/agreements that:

- Legal custody of the imaged records (including all metadata) stays with the originating agency.
- Vendors will return records to the agency in an accessible format at the end of any contract/agreement.

Agencies should also create policies and procedures for recovering records due to circumstances such as:

- The vendor going out of business;
- The agency deciding to start using a different vendor or platform; or
- Change in ownership of the vendor.

### **Disaster Preparedness**

Agencies must protect imaged records from alteration, deletion, damage, and loss during the retention period. Specific protective measures may include but are not limited to:

- Establishment of security protocols, and approved administrators and users.
- Implementation of backups and disaster preparedness measures.
- Storage of backups off-site to reduce environmental risks such as fire, flood, earthquake, etc.

Note: For **NON-ARCHIVAL** records with a required retention of “Permanent” or “Life of the Agency,” it is recommended the agency create state standard-compliant 35mm 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 (**Chapter 434-677 WAC**).



## Minimum Requirements for "Plan to Scan" CHECKLIST

### ARE THE RECORDS ELIGIBLE?

**SCAN AND TOSS** – The records are **NON-ARCHIVAL**.

**SCAN AND TRANSFER** – The records are **ARCHIVAL**.

### ARE THE SCANS A COMPLETE AND ACCURATE COPY?

Quality control procedures established to ensure capture of *complete and accurate* copies.

Records scanned to the appropriate file format and DPI (see page 3).

Short-term record (retention period of 6 years or less)

Long-term record (retention period of more than 6 years or Archival record)

Records verified to be complete and fully legible.

### ARE SCANS ACCESSIBLE AND PROTECTED?

Appropriate steps taken to protect images from deletion, alteration, or damage/loss.

Appropriate planning and strategies implemented for migration and conversion of records.

**PLEASE NOTE:** State government agency staff need to consult with the agency's Records Officer on all matters related to the retention, transfer, and/or destruction of public records (**RCW 40.14.040**).