

RESOLUTION NO. 5782

A RESOLUTION ADOPTING THE "DIGITAL IMAGE AS ORIGINAL" POLICY (F-10-09).

WHEREAS, the State of Oregon Archivist will allow for a digital image to take the place of an original document for certain records following the state's approval of the policy and adoption by the agency; and

WHEREAS, the policy titled F-10-09, Digital Image as Original (DIO) was approved by the State of Oregon Archivist in April 2009; and

WHEREAS, the DIO policy is set forth in Exhibit A; and

WHEREAS, adoption of the DIO policy is an important first step towards integration of digital images into the City of Albany's records management plan; and

WHEREAS, transitioning to digital images for certain records saves storage space, office space, storage supplies, and staff time; and

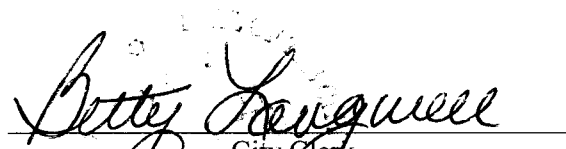
WHEREAS, the consequential reduction in ink, paper, and energy consumption promotes sustainability.

NOW, THEREFORE, BE IT RESOLVED that the Digital Image as Original policy attached as Exhibit A is hereby adopted.

DATED AND EFFECTIVE THIS 10th DAY OF JUNE 2009.

ATTEST:


Mayor


City Clerk



City of Albany
Finance/City Clerk's Office
Policy #: F-10-09-001
Title: Digital Images as Originals (DIO)

Exhibit A

Purpose To outline procedures for using Digital Images as Originals (DIO) for the purposes of records management. This policy works with state of Oregon guidelines and the City of Albany Records Information Management (RIM) Program.

Scope This policy applies to RIM Coordinators.

Policy The City recognizes that implementing DIO for records management saves file storage space. Records can also be directly transferred to the City's digital imaging system, Laserfiche, rather than be printed to paper and scanned, reducing the use of expensive resources such as paper, ink, and energy. It also increases staff efficiency by reducing the amount of time it takes to archive and dispose of records.

On, the City Council approved Resolution ...which allows for digital images to be retained as originals for all records series, excluding permanent and historical records.

- Procedures**
1. **Authority.** In accordance with ORS 192.050, with approval of proper budgetary authority, all records captured by a digital imaging system shall be deemed an original: and a transcript, exemplification, or certified copy of any such reproduction shall be deemed a transcript, exemplification, or certified copy.
 2. **Digital Image vs. Electronic Record.** Word, Excel and Mail Server (Outlook) are electronic records, not digital images, and are acceptable formats for Short-term retention only. Outlook, Word, and Excel records that have been retained electronically which become eligible for Long-term retention can be converted to a digital image and DIO can be applied. To convert an electronic record to a digital image refer to "Process – Converting Electronic Record to Digital Image" located at: Intranet/Finance/City Clerk Forms & Policies.
 3. **System Documentation.** In accordance with OAR 166-017-0020, the Information Technology – Digital Imaging Plan (DIP) commits to migrating Laserfiche documents to a current technology when Laserfiche technology expires without loss of information. This plan is maintained and implemented by IT. This applies to records with retention of ten years or more.
 4. **Image Quality Verification and Documentation.** In accordance with OAR 166-017-0030:
 - a. Digital images shall be verified for their quality prior to disposal of the original document. The party responsible for the record is responsible to



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evaluate the quality of the images by spot-checking a sample of documents in the scanned batch. Following the determination that the digital records are of good quality, the original paper records can be destroyed. (The disposal of the paper copy immediately following its being scanned in as a DIO does not need to be documented on the Records Storage & Disposal Log – Non-paper Records, because it is no longer considered the “original” record.)

- b. Documentation describing each inspection shall be maintained and shall include the date of inspection, name of inspector, group of documents inspected, and sample size (or number of documents). The Laserfiche Audit Trail, printed annually by Information Technology (IT), will complete this function. The Audit Trail will list all DIO records in Laserfiche. The City Clerk's Office will retain the list in accordance with OAR 166-200-0060 (10).
 - i. *Storage.* RIM Coordinators may use Section A of the Records Storage & Disposal Log – Non-paper Records identify digital originals in Laserfiche. RIM Coordinators should retain the Log during the retention period; the City Clerk's Office does not need a copy of the Log while records are in storage.
 - ii. *Disposal.* RIM Coordinators must use Section B of the Records Storage & Disposal Log – Non-paper Records to record the deletion of digital images that have met their retention period. Forward the original copy of the Log to the City Clerk's Office. Departments may keep a copy of the Log for their records.

5. **Records Eligible for Scanning.** The state of Oregon identifies two categories of digital images, based on their retention, which are eligible for DIO.

- a. Eligible records
 - i. *Ten years or less.* Records must be verified for image quality.
 - ii. *Ten to 99 years.* Records must be verified for image quality and subject to the DIP.
- b. Non-eligible records
 - i. *Permanent Records.* These records are not eligible for DIO. Records can be scanned for ease in locating files but the digital image does not take the place of the original. The original record must be retained permanently in paper form. All Permanent records are retained by the City Clerk's Office. Permanent records are designated as such in the Retention Schedule.

6. **Scanning Responsibility.** F-09-08, Records Management Policy, identifies categories based on retention periods to determine the party responsible for a record (the City Clerk's Office or the RIM Coordinators). The categories are: Short-term, Long-term, and Permanent. The party identified is responsible for scanning (if DIO is applicable), retention, and disposition of records.

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RIM Coordinators may elect to write a policy or procedure for their Departments to provide for the DIO process so long as that policy meets the requirements of F-10-09.

7. **Identity Theft Protection.** Scanned documents must be in compliance with F-04-08, Identity Theft Protection. RIM Coordinators can use the redactor function in Laserfiche to meet this requirement.
8. **Annual Inspection.** In accordance with OAR 166-017-0050 (d), digital images must be inspected annually. Inspection includes:
 - a. *Visual inspection and playback.* The RIM Coordinator responsible for the record should verify the quality of the images by spot-checking a sample of their digital records. A minimum of 20 digital records is required. If loss of digital quality exists, the party should notify the City Clerk's Office and Information Technology immediately.
 - b. *Documentation.* Complete the Annual DIO Inspection form, which includes the date of inspection, name of inspector, group of documents inspected, and sample size. The party responsible for the record is responsible to complete the form. The form should be forwarded to the City Clerk's Office for retention in accordance with 166-200-0060 (10).
9. **Purging Records.** RIM Coordinators must use Section B of the Records Storage & Disposal Log – Non-paper Records to record the deletion of digital images which have met their retention period. Forward the original copy of the Log to the City Clerk's Office. Departments may keep a copy of the Log for their records.
10. **Duplicate Records.** RIM Coordinators are discouraged from keeping duplicate records, as this is a liability issue for the City in the event of Public Records Requests and Legal Holds.

Related Documents

1. Digital Imaging Plan (DIP) – IT Policy
2. Annual DIO Inspection form
3. Records Storage & Disposal Log – Paper Records
4. Records Storage & Disposal Log – Non-paper Records
5. F-04-08, Identity Theft Protection Policy



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6. F-09-08, Records Management Policy
7. Flowchart – Retention
8. Flowchart – What is Public Record?

Supersedes: NA	Created/Amended by/date: Res. No.	Effective Date: June 10, 2009
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