

# ADMINISTRATIVE PROCEDURES



Procedure Number: 4-8

Effective Date: 8/12/2009

Revision Date: \_\_\_\_\_

*C. Paula Valley*  
County Administrator

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SUBJECT: **DOCUMENT IMAGING OF DEPARTMENT RECORDS**

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DEPARTMENT RESPONSIBLE: **Clerk of the Board  
Document and Micrographics Management Division**

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## I. STATEMENT

The Pima County Records Management Program, administered by the Document and Micrographics Management Division (D&MM) of the Clerk of the Board, provides for the County-wide implementation of document preservation and imaging standards in compliance with the Arizona Department of Library, Archives and Public Records (ASLAPR) guidelines. Document imaging refers to both microfilm and digital formats.

## II. RESPONSIBILITIES

### A. Document and Micrographics Management

1. Coordinate the implementation of a centralized document management system with the Information Technology (IT) Department.
2. Assist County departments in understanding the requirements to begin the application process for document imaging.
3. Review and forward all completed requests for document imaging to ASLAPR for approval.
4. Provide imaging services and scanning of documents for the preservation of permanent or long term records on microfilm.
5. Provide a secure, temperature controlled vault for the storage of original microfiche (filmed records) as a resource for disaster recovery.

### B. County Departments

1. Work in conjunction with D&MM when considering a document scanning program or document management system.
2. Obtain approval for any document scanning and/or microfilming by submitting the appropriate request to D&MM in compliance with A.R.S. 41-1348.
3. Conduct an annual review of approved document imaging requests and update as necessary.

### III. OBTAINING APPROVAL FROM ASLAPR

All Pima County records are the property of the State. Approval from ASLAPR is required to implement any document scanning, imaging management systems or the microfilming of records.

#### A. Implementation Plan

Departments are required to have certain prerequisites prior to beginning any application process. D&MM and the IT Department are available to assist in plan development.

1. The department must have an approved Retention Schedule identifying the record type they wish to image. (See Administrative Procedure No. 4-6).
2. All imaging hardware must meet the criteria established by ASLAPR.
3. All imaging or document management system software must include a records management component that will provide the following:
  - a. Indexing of records for retrieval
  - b. Designation of a retention period for each record
  - c. Placement of a hold on certain records to retain for pending litigation

#### B. Application Process

1. ASLAPR has issued the following types of applications. Departments should choose the applicable document based on their implementation plan or contact D&MM for assistance. Depending on retention requirements, ASLAPR may require a more complex approval application be submitted.

##### Request for Document Imaging of Public Record

- Total retention period for a records series is less than 10 years and the
- Source documents are destroyed (Exhibit A)
- Source documents are not destroyed (Exhibit B)

##### Request for Document Imaging Implementation (Exhibit C)

- Total retention period for a record series is 10 or more years and the source documents will be destroyed.
- Request for imaging covers a wide range of record series on (1) form.

##### Request for Microfilming of Public Records

- Permanent Public Records (Exhibit D)
- Non-Permanent (50-99 year retention) Public Records (Exhibit E)

2. The department shall complete and sign the applicable application, attach all required documentation and forward to D&MM.
3. After review, D&MM will submit the application to ASLAPR.
4. Any questions and/or concerns raised by ASLAPR on a proposed *Request for Imaging of Public Records* application will be addressed through D&MM who will work with the County department to resolve the issue(s).
5. ASLAPR will forward the approved Request for Imaging/Microfilming to D&MM who will retain the original and return a copy to the originating department Records Coordinator.

**IV. SOFTWARE/HARDWARE ACQUISITION FOR DOCUMENT IMAGING**

- A. Departments shall follow the requirements of Administrative Procedure No. 3-24, Computer Equipment & Software Acquisition, as well as published Information Technology Department hardware and software standards.
- B. A copy of the approved *Request for Document Imaging of Public Records* must accompany the Form 3-24, Computer Equipment & Software Acquisition Request for the purchase to be considered.

**V. MICROGRAPHIC/DIGITAL SERVICES PROVIDED BY D&MM**

- A. D&MM can provide economical Imaging services.
- B. All non-general fund departments must execute a Letter of Agreement to receive services.
- C. The department will complete the *Request for Microfilm/Digital Services* form and mail, scan, email or fax to D&MM (Exhibit F).
- D. D&MM will contact the Records Coordinator to arrange for the pick-up of the documents.
- E. Images will be identified/indexed in accordance with department guidelines and copies shall be provided to the department as instructed on the *Request for Microfilm/Digital Services* form.
- F. The original microfilm will be maintained in the D&MM vault and a copy will be returned to the department.
- G. D&MM will return source documents, if applicable.

**VI. EXCEPTION**

This Administrative Procedure does not apply to Clerk of the Superior Court.

**VII. RELATED PROCEDURES**

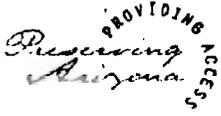
- A. Administrative Procedure No 4-5, Pima County Records Management Program
- B. Administrative Procedure No 4-6, Department Records Retention and Disposition Schedules
- C. Administrative Procedure No 4-7, Storage/Retrieval/Destruction of Department Records

**FORMS**

Exhibit A, Request for Imaging of Public Records, Source Documents Destroyed  
Exhibit B, Request for Imaging of Public Records, Source Documents Retained  
Exhibit C, Request for Document Imaging Implementation, Documents Destroyed  
Exhibit D, Request for Microfilming of Public Records, Permanent Records  
Exhibit E, Request for Microfilming of Public Records, Non-Permanent Records  
Exhibit F, Request for Microfilm/Digital Services

All forms are available on the County Internet.

# EXHIBIT A



## Arizona State Library, Archives and Public Records

### REQUEST FOR DOCUMENT IMAGING OF PUBLIC RECORDS WHEN THE SOURCE DOCUMENTS ARE DESTROYED

#### REQUEST

The [governing body's name] ("Applicant") requests authorization from the Arizona State Library, Archives and Public Records, in accordance with ARS §41-1348, to scan records described on the attached list and agrees to comply with the following conditions and standards:

1. The records covered by the agreement are not archival records requiring permanent retention and include (list record series, estimated length of time the records must be kept, and retention period or attach a list for multiple record series):
2. The Applicant recognizes that the scanned copy of the records will become the official copy, and the applicant will take care to ensure the scanned copies are complete and the information is not altered.
3. The Applicant will routinely destroy all originals and retain the scanned copies of the records for the period specified on a records schedule approved by the Arizona State Library, Archives and Public Records, and will suspend scheduled destruction of any record potentially responsive to reasonably foreseeable litigation, audit, or investigation.
4. The Applicant certifies that the images will use the most current versions of TIFF, GIF, JPG, or PDF for the file format and that the images will conform to the following standards.
  - Black-and-white text records may be scanned using a bi-tonal scale. If the records' retention period is five years or less they shall be scanned at 200 dpi or greater. Records with a retention period of more than five years shall be scanned at 300 dpi resolution.
  - Black-and-white records containing images or graphics shall be scanned using a 256 gray scale and a resolution of 300 dpi.
  - Color records will be scanned at a minimum 300 dpi resolution and 24 bit color depth.
  - Text files may be compressed using a lossless algorithm. Image files may use a lossy algorithm.
5. The Applicant certifies the system on which the electronic records are stored is backed up and that the backups are routinely verified.
6. The Applicant certifies that the digital images will be appropriately indexed for retrieval based on key data elements in the records (date, name of parties to the records, and other information specific to the particular records series). Indexes will be created for the following fields (list below or on the attached list):
7. The Applicant will institute a quality control process that includes inspecting at least 1% of all records to ensure that all information the scanned versions are legible.
8. The Applicant certifies that the benefits of digitizing these records justifies the costs and is ready to demonstrate that to any concerned party.
9. For state agencies only, the Applicant has submitted a Project Investment Justification (PIJ) to the Government Information Technology Agency (GITA) if required. For more information, see <http://azgita.gov/project%5Fpij%5Fmonitoring/>

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*On behalf of [agency or political subdivision]*

\_\_\_\_\_  
[signer's name and title]

\_\_\_\_\_  
Date:

AUTHORIZATION

As authorized under ARS §41-1348, the Arizona State Library, Archives and Public Records authorizes the Applicant to reproduce these records using electronic media following these procedures for a period of five years. Failure to comply with these procedures is a violation of ARS §41-1438.

*On behalf of the Arizona State Library, Archives and Public Records*

\_\_\_\_\_  
GladysAnn Wells, Director  
Arizona State Library, Archives and Public Records

\_\_\_\_\_  
Date Approved:

## RECORDS COVERED BY THIS REQUEST

### Notes:

1. Archival (permanent) records cannot be scanned using this request form.
2. In addition to listing the retention period of the records, please note the estimated length of time the digitized records will be kept before destruction. For example, personnel records must be kept five years beyond the date an employee leaves service, but as an employee may work for many years the length of time the records must be kept would be much longer. This figure does not have to be exact.

Record series title  
- List of indexed fields

Retention Period

Estimated Total Retention



## EXHIBIT B

# Arizona State Library, Archives and Public Records

### REQUEST FOR DOCUMENT IMAGING OF PUBLIC RECORDS WHEN THE SOURCE DOCUMENTS ARE NOT DESTROYED

#### REQUEST

The [government body's name] ("Applicant") requests authorization from the Arizona State Library, Archives and Public Records, in accordance with ARS §41-1348, to scan records described on the attached list and agrees to comply with the following conditions and standards:

1. The records covered by the agreement include (list record series, estimated length of time the records must be kept, and retention period, or attach a list for multiple record series):
  
2. The official copy of the records is on paper or microfilm.
3. The Applicant will retain the official, paper copy of the records only for the period specified on a records schedule approved by the Arizona State Library, Archives and Public Records, and will suspend scheduled destruction of any record potentially responsive to reasonably foreseeable litigation, audit, or investigation.
4. The official copy of the records shall be kept by the Applicant, transferred to the State Records Center for storage, or – if permanent – transferred to the State Archives.
5. The Applicant may destroy scanned copies of the records before the approved retention period, and shall destroy the scanned copies at the end of the retention period. Applicant shall seek advice of counsel regarding the destruction of scanned copies of records potentially responsive to reasonably foreseeable litigation, audit, or investigation before destruction of those records.
6. The Applicant certifies that the images will use the most current versions of TIFF, GIF, JPG, or PDF for the file format and that the images will conform to the following standards.
  - Black-and-white text records may be scanned using a bi-tonal scale. If the records' retention period is five years or less they shall be scanned at 200 dpi or greater. Records with a retention period of more than five years shall be scanned at 300 dpi resolution.
  - Black-and-white records containing images or graphics shall be scanned using a 256 gray scale and a resolution of 300 dpi.
  - Color records will be scanned at a minimum 300 dpi resolution and 24 bit color depth.
  - Text files may be compressed using a lossless algorithm. Image files may use a lossy algorithm.
7. The Applicant certifies that the system on which the electronic records are stored is backed up and that the backups are routinely verified.
8. The Applicant certifies that the digital images will be appropriately indexed for retrieval based on key data elements in the records (date, name of parties to the records, and other information specific to the particular records series). Indexes will be created for the following fields:

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9. The Applicant certifies that the benefits of digitizing these records justifies the costs and is ready to demonstrate that to any concerned party.
10. For state agencies only, the Applicant has submitted a Project Investment Justification (PIJ) to the Government Information Technology Agency (GITA) if required. For more information, see <http://azgita.gov/project%5Fpij%5Fmonitoring/>

*On behalf of [agency or political subdivision]*

\_\_\_\_\_  
[signer's name and title]

\_\_\_\_\_  
Date:

AUTHORIZATION

As authorized under ARS §41-1348, the Arizona State Library, Archives and Public Records authorizes the Applicant to reproduce these records using electronic media following these procedures for a period of five years. Failure to comply with these procedures is a violation of ARS §41-1438.

*On behalf of the Arizona State Library, Archives and Public Records*

\_\_\_\_\_  
GladysAnn Wells, Director  
Arizona State Library, Archives and Public Records

\_\_\_\_\_  
Date Approved:

## RECORDS COVERED BY THIS REQUEST

### NON-PERMANENT RECORDS

In addition to listing the retention period of the records, please note the estimated length of time the digitized records will be kept before destruction. For example, personnel records must be kept five years beyond the date an employee leaves service, but as an employee may work for many years the length of time the records must be kept would be much longer. This figure does not have to be exact.

Record series title	Retention Period	Estimated Total Retention
- List of indexed fields		

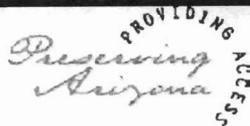
### ARCHIVAL RECORDS

Please note when the original, official copy of the records will be transferred to the State Archives, if appropriate.

Record series	Retention Period	Transfer to State Archives
	Permanent	

# EXHIBIT C

## REQUEST FOR DOCUMENT IMAGING IMPLEMENTATION



**Arizona State Library, Archives and Public Records**  
**RECORDS MANAGEMENT DIVISION**  
 1919 West Jefferson Street, Phoenix, Arizona 85009  
 Phone: 602-542-3741 ● Fax: 602-542-3890 ● E-mail: rmd@lib.az.us

<b>Authorized pursuant to A.R.S. §41-1348</b> (Violation of this statute is a misdemeanor crime.)		New req. <input type="checkbox"/>	Revised <input type="checkbox"/>	Date Submitted	
State Agency <input type="checkbox"/>	Political Subdivision	Agency Name			
Org. Unit/Division		Office		Phone	
Address		City		AZ	Zip
Submitted By (Name)		Title		Signature <b>X</b>	
<b>DESCRIPTION OF RECORDS TO BE IMAGED: (Include record series name as it appears on the retention and disposition schedule and list various documents included in the series.)</b>					
<b>Record Series</b>					<b>Retention (yrs.)</b>
MICROFILM/FILM-BASED IMAGING (Briefly describe the filming application in the "Comments" area of this request.)			<input type="checkbox"/>	ELECTRONIC/DIGITAL IMAGING (Complete the balance of this request.)	
			<input type="checkbox"/>		
<b>STUDIES PERFORMED:</b>		<input type="checkbox"/> Feasibility (attach copy)		<input type="checkbox"/> Cost/Benefit (attach copy)	
				<input type="checkbox"/> P.I.J. (attach copy)	
<b>LIST HARDWARE BELOW:</b>			<b>LIST SOFTWARE BELOW:</b>		
<b>MIGRATION/EXIT PLAN FOR LONG TERM RECORDS (Retention of 10 years or more)</b>					
<input type="checkbox"/> Migration/Exit Plan Adopted		<input type="checkbox"/> 5% - 10% System Cost annually Budgeted		<input type="checkbox"/> Vendor Source Code in Escrow	
<b>IMAGING SYSTEM HAS ABILITY TO COMPLETELY PURGE/DESTROY/EXPUNGE OBSOLETE RECORDS (IMAGES).</b>				<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>OPEN SYSTEM ARCHITECTURE</b>				<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>NONPROPRIETARY HARDWARE AND SOFTWARE</b>				<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>IMAGE FORMAT</b>		<input type="checkbox"/> TIFF with Std. Headers <input type="checkbox"/> Group 3 <input type="checkbox"/> Group 4 <input type="checkbox"/> Other:			
<b>IMAGE RESOLUTION</b>		<input type="checkbox"/> 200 dpi <input type="checkbox"/> 300 dpi <input type="checkbox"/> 400 dpi <input type="checkbox"/> Other:		<input type="checkbox"/> Bimodal <input type="checkbox"/> Grayscale	
<b>INDEXING</b>		<input type="checkbox"/> O.C.R. <input type="checkbox"/> Manual <input type="checkbox"/> Number of fields:		<b>BACKUP MEDIA:</b>	
<b>COMMENTS:</b>					
Approved by:				Approval Date	
Director, Arizona State Library, Archives and Public Records					
				Expires on (Approval date + 5 years)	



# EXHIBIT D

## Arizona State Library, Archives and Public Records

### REQUEST FOR MICROFILMING OF PERMANENT PUBLIC RECORDS

#### REQUEST

The **[governing body's name]** ("Applicant") requests authorization from the Arizona State Library, Archives and Public Records (ASLAPR), in accordance with ARS §41-1348, to microfilm records described on the attached list and certifies the following conditions are true:

1. The records covered by the agreement are to be retained permanently and include (list record series or attach a list for multiple record series):
  
2. The Applicant recognizes that the microfilmed copy of the records may become the official copy, and the applicant will take care to ensure the microfilmed copies are complete and the information is not altered.
3. The Applicant ensures that the microfilmed copies of the records are kept permanently as specified on a records schedule approved by the Arizona State Library, Archives and Public Records. The microfilm will be retained by:  Submitting Agency  Vendor  ASLAPR/RMD
4. The Applicant certifies that the following conditions apply (check all that apply):
  - Filming performed at:  Submitting Agency  Vendor  ASLAPR/RMD
  - Source documents will be:  retained  destroyed  
by whom:  Submitting Agency  Vendor  ASLAPR/RMD  Archives
  - Microfilmed created using:  Planetary  Rotary  Digital
  - Image Format:  16MM  35MM
  - Copy for Office Use:  Microfilm  Digital
5. The Applicant certifies that a Certificate of Compliance (Form used to certify that the microfilm was processed in accordance with standards published by ASLAPR. See website [www.lib.az.us/records/form](http://www.lib.az.us/records/form) for a copy.) The certificate will be filed annually if the filming is not performed by ASLAPR/RMD.
6. The Applicant certifies that a reduction ratio greater than 24X will not be used.
7. The Applicant will institute a quality control process that includes inspecting at least 1% of all records to ensure that all information on the microfilmed versions are legible. For permanent records where the source documents will be destroyed, 100% of the records must be verified to ensure that all the information on the microfilmed versions is legible.

On behalf of **[agency or political subdivision]**

\_\_\_\_\_  
**[signer's name and title]**

\_\_\_\_\_  
Date:

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AUTHORIZATION

As authorized under ARS §41-1348, the Arizona State Library, Archives and Public Records authorizes the Applicant to reproduce these records using micrographic media following these procedures. Failure to comply with these procedures is a violation of ARS §41-1438.

*On behalf of the Arizona State Library, Archives and Public Records*

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GladysAnn Wells, Director  
Arizona State Library, Archives and Public Records

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Date Approved:

## RECORDS COVERED BY THIS REQUEST

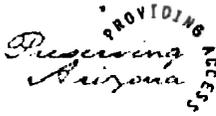
### ARCHIVAL RECORDS

Please note when the official copy of the records will be transferred to the State Archives, if appropriate.

**Record series**

**Retention Period**  
**Permanent**

**Transfer to State Archives**



# EXHIBIT E

## Arizona State Library, Archives and Public Records

### REQUEST FOR MICROFILMING OF NON-PERMANENT PUBLIC RECORDS

#### REQUEST

The [governing body's name] ("Applicant") requests authorization from the Arizona State Library, Archives and Public Records, in accordance with ARS §41-1348, to microfilm records described on the attached list and certifies the following conditions are true:

1. The records covered by the agreement include (list record series, estimated length of time the records must be kept, and retention period; or attach a list for multiple record series):
  
2. The Applicant acknowledges that the microfilmed copy of the records may become the official copy, and the applicant will take care to ensure the microfilmed copies are complete and the information is not altered.
  
3. The Applicant ensures that the microfilm copy of the records will be retained for the period specified on a records schedule approved by the Arizona State Library, Archives and Public Records (ASLAPR), and will suspend scheduled destruction of any record potentially responsive to reasonably foreseeable litigation, audit, or investigation. **Before the microfilm is destroyed, the Applicant will notify ASLAPR.** If ASLAPR determines that the microfilm has enduring value to the state, the microfilm will be transferred to ASLAPR. Microfilm will be retained by:  Submitting Agency  Vendor  ASLAPR/RMD
  
4. The Applicant certifies that the following conditions apply (check all that apply):
  - Filming performed at:  Submitting Agency  Vendor  ASLAPR/RMD
  - Source documents will be:  retained  destroyed  
by whom:  Submitting Agency  Vendor  ASLAPR/RMD  Archives
  - Microfilmed created using:  Planetary  Rotary  Digital
  - Image Format:  16MM  35MM
  - Copy for Office Use:  Microfilm  Digital
  
5. The Applicant certifies that a Certificate of Compliance (Form used to certify that the microfilm was processed in accordance with standards published by ASLAPR. See website [www.lib.az.us/records/form](http://www.lib.az.us/records/form) for a copy.) This certificate will be filed annually if the filming is not performed by ASLAPR/RMD.
  
6. The Applicant certifies that a reduction ratio greater than 24X will not be used.
  
7. The Applicant will institute a quality control process that includes inspecting at least 1% of all records to ensure that all information on the microfilmed versions are legible.
  
8. The Applicant certifies that the benefits of microfilming these records justifies the costs and is ready to demonstrate that to any concerned party.

On behalf of [agency or political subdivision]

\_\_\_\_\_  
[signer's name and title]

\_\_\_\_\_  
Date:

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AUTHORIZATION

As authorized under ARS §41-1348, the Arizona State Library, Archives and Public Records authorizes the Applicant to reproduce these records using micrographic media following these procedures for a period of five years. Failure to comply with these procedures is a violation of ARS §41-1438.

*On behalf of the Arizona State Library, Archives and Public Records*

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GladysAnn Wells, Director  
Arizona State Library, Archives and Public Records

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Date Approved:

## RECORDS COVERED BY THIS REQUEST

### NON-PERMANENT RECORDS

In addition to listing the retention period of the records, please note the estimated length of time the microfilmed records will be kept before destruction. For example, personnel records must be kept five years beyond the date an employee leaves service, but as an employee may work for many years the length of time the records must be kept would be much longer. This figure does not have to be exact.

Record series title	Retention Period	Estimated Total Retention
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