ADMINISTRATIVE PROCEDURES

Procedure Number: 4-8
Effective Date: 8/12/2009
Revision Date: ___________________________

C. [Signature]
County Administrator

SUBJECT: DOCUMENT IMAGING OF DEPARTMENT RECORDS

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

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&M 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&M 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 record series is less than 10 years and the record
     - 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&M.

3. After review, D&M 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&M who will work with the County department to resolve the issue(s).

5. ASLAPR will forward the approved Request for Imaging/Microfilming to D&M 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 10% 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/

RECORDS MANAGEMENT DIVISION
1919 W. Jefferson • Phoenix, Arizona 85009 • Home Page: http://www.lib.az.us/records/
Phone: (602) 926-3815 • FAX: (602) 256-2838 • E-Mail: rmd@lib.az.us
An Equal Opportunity Employer
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

_________________________  ____________________________
Gladys Ann Wells, Director  Date Approved:
Arizona State Library, Archives and Public Records
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.

<table>
<thead>
<tr>
<th>Record series title</th>
<th>Retention Period</th>
<th>Estimated Total Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td>- List of indexed fields</td>
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</table>
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:
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~Fpij~Fmonitoring/

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

______________________________ Date Approved:
Gladys Ann Wells, Director
Arizona State Library, Archives and Public Records
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.

<table>
<thead>
<tr>
<th>Record series title</th>
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<tr>
<td>- List of indexed fields</td>
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ARCHIVAL RECORDS

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

<table>
<thead>
<tr>
<th>Record series</th>
<th>Retention Period</th>
<th>Transfer to State Archives</th>
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<tbody>
<tr>
<td>Permanent</td>
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# 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

## Authorized pursuant to A.R.S. §41-1348
(Violation of this statute is a misdemeanor crime.)

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<th>Political Subdivision</th>
<th>Agency Name</th>
<th>New req.</th>
<th>Revised</th>
<th>Date Submitted</th>
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<th>Signature</th>
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**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.)

<table>
<thead>
<tr>
<th>Record Series</th>
<th>Retention (yrs.)</th>
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**MICROFILM/FILM-BASED IMAGING** (Briefly describe the filming application in the "Comments" area of this request.)

<table>
<thead>
<tr>
<th>ELECTRONIC/DIGITAL IMAGING</th>
<th>(Complete the balance of this request.)</th>
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**STUDIES PERFORMED:**
- ☐ Feasibility (attach copy)
- ☐ Cost/Benefit (attach copy)
- ☐ P.I.J. (attach copy)

**LIST HARDWARE BELOW:**

**LIST SOFTWARE BELOW:**

**MIGRATION/EXIT PLAN FOR LONG TERM RECORDS** (Retention of 10 years or more)

- ☐ Migration/Exit Plan Adopted
- ☐ 5% – 10% System Cost annually Budgeted
- ☐ Vendor Source Code in Escrow

**IMAGING SYSTEM HAS ABILITY TO COMPLETELY PURGE/DESTROY/EXPUNGE OBSOLETE RECORDS (IMAGES).**

- ☐ Yes
- ☐ No

**OPEN SYSTEM ARCHITECTURE**

- ☐ Yes
- ☐ No

**NONPROPRIETARY HARDWARE AND SOFTWARE**

- ☐ Yes
- ☐ No

**IMAGE FORMAT**
- ☐ TIFF with Std. Headers
- ☐ Group 3
- ☐ Group 4
- ☐ Other:

**IMAGE RESOLUTION**
- ☐ 200 dpi
- ☐ 300 dpi
- ☐ 400 dpi
- ☐ Other:

**INDEXING**
- ☐ O.C.R.
- ☐ Manual
- Number of fields:  

**COMMENTS:**

Approved by:  

Approval Date  

Expires on (Approval date + 5 years)  

Director, Arizona State Library, Archives and Public Records

RMC-2 R04/02
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 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:

RECORDS MANAGEMENT DIVISION
1919 W. Jefferson • Phoenix, Arizona 85009 • Home Page: http://www.lib.az.us/records/
Phone: (602) 926-3815 • FAX: (602) 256-2838 • E-Mail: rmd@lib.az.us
An Equal Opportunity Employer
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

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

Date Approved:
**Archival Records**

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

<table>
<thead>
<tr>
<th>Record series</th>
<th>Retention Period</th>
<th>Transfer to State Archives</th>
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<tbody>
<tr>
<td></td>
<td>Permanent</td>
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</table>
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 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:
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

__________________________________________
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 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 |
EXHIBIT F
REQUEST FOR MICROFILM/DIGITAL SERVICES
DOCUMENT & MICROGRAPHICS MANAGEMENT DIVISION

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<tr>
<th>Department:</th>
<th>Name:</th>
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<th>Division:</th>
<th>Telephone:</th>
<th>Date Required:</th>
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<th>Address:</th>
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**MICROFILM SERVICES:**

- Document Preparation Required?  **YES** □  **NO** □
- Filming □  Processing Only □  Duplication □  Color □
- Number of copies □
- Jacketing □  **Microfiche Title** □

**DIGITAL SERVICES:**

- Microfilm Scanning and OCR (film to digital):  Roll □  Microfiche □
- Document Scanning and OCR: □
- Document Scanning/Microfilming and OCR (for permanent records): □

**Index Fields**

**Delivery Instructions**

**Signature of Requestor**

**Requesting Department**

<table>
<thead>
<tr>
<th>Fund</th>
<th>Account</th>
<th>Center</th>
<th>Activity W/A</th>
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