

DATA MIGRATION POLICY

PURPOSE

To preserve electronic data as required by Oregon Public Records and Archiving statutes. (ORS 192.050)

APPLICABILITY

This policy is applicable to all City departments, offices, and agencies.

Policy

A. Storage of Digital Data

In support of the purpose statement above, all digital data is maintained online on magnetic hard disk drives. These drives are backed up to tape on a regular basis, in order to ensure the integrity of the data store. Multiple instances of tape backup data are maintained off site for up to one year or more. City servers utilize RAID-5 storage arrays, which protects data from single point of failures on the magnetic disk hardware. The City utilizes an AIT-5 tape library system with multiple drives, which insures that data is successfully backed up on schedule.

B. Unapproved Storage Media

The City does not utilize any optical drives, removable media, thumb drives, jump drives, CD-ROM or DVD media for long-term data storage or for archival purposes. The City periodically refreshes its library of AIT backup tapes.

C. Electronic Data Repository

The City has created an online electronic data repository for storing TIFF images of documents and photographs. This image repository is one of the most critical data stores maintained by the City. These images are stored on industry-standard servers, backed up to industry-standard magnetic tape, and the image format itself is an industry-standard TIFF image. Existing City scanning practices and hardware capabilities meet or exceed published OAR 200dpi resolution requirements. NTFS level security practices protect the TIFF images from manipulation or erasure. SQL-Server security protects the metadata from corruption or manipulation. Off-site redundant tape backups protect the image repository from catastrophic water or fire damage. When current server technology eventually becomes obsolete, the City will migrate the entire electronic image repository to the replacement technology. The City will never allow this critical image repository to lapse or become "stale" technically.

Larry Patterson, City Manager

Date



City of Albany
IT Policy
Policy #: IT-03-09-001
Title: Digital Imaging Policy

Purpose This policy is in support of the State of Oregon record retention statutes.

Scope This policy applies Citywide.

Policy It is the policy of the City of Albany, Oregon that all electronic data will be preserved as required by Oregon Public Records and Archiving statute for Digital Imaging (166-017)*. In support of this policy goal, all digital data is maintained on-line on magnetic hard disk drives. These drives are backed up to other disks off premises on a regular basis, in order to ensure the integrity of the data store. Multiple instances of tape backup data are maintained off-site for up to one year or more. City servers utilize various RAID storage array strategies, which protects data from single point of failures on the magnetic disk hardware. The City utilizes a LTO-2 tape library system with multiple drives, which insures that data is successfully backed up on schedule.

The City does not utilize any optical drives, removable media, thumb drives, jump drives, CD-ROM or DVD media for long-term data storage or for archival purposes. The City periodically refreshes its library of LTO-2 backup tapes.

The City has created an electronic data repository for storing documents in the native Laserfiche format (TIFF) as well as other data in their native formats which are referred to in Laserfiche as *Electronic Files*. This image repository is one of the most critical data stores maintained by the City. Existing City scanning practices and hardware capabilities meet or exceed published OAR 200dpi resolution requirements. NTFS level security practices protect all information stored in our data repository from manipulation or erasure. SQL- Server security protects the metadata from corruption or manipulation. Off-site redundant tape backups protect the image repository from catastrophic water or fire damage. When current technology eventually becomes obsolete, the City will migrate the entire electronic image repository to the replacement technology.

* Within the statute, under 166-017-0030 there is the following text:
Digitized documents shall be verified after digitization. Documentation describing each inspection shall be maintained for each digital imaging system and shall include the date of inspection, name of inspector(s), group of documents inspected, and sample size (if applicable).
The inspections and enforcement will be handled by the RIM Coordinators in the individual departments (see DIO Policy F-10-09, Section 3).

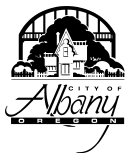


City of Albany
IT Policy
Policy #: IT-03-09-001
Title: Digital Imaging Policy

Guidelines The City will follow the Oregon Administrative Rules and regulations as required in the OAR 166-017-0010 by the Secretary of State, Archives Division.

Procedures 1.

Supersedes: New	Created/Amended by/date: 02/04/2009	Effective Date: 03/01/2009
IT Director: Jorge Salinas	City Manager: Wes Hare	



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

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 June 10, 2009, the City Council approved Resolution No. 5782 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



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.

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

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



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

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

Supercedes: NA	Created/Amended by/date: Res. No. 5782	Effective Date: June 10, 2009
-------------------	-------------------------------------------	----------------------------------

G:\Mary\RIM\Policy - Digital Image as Original.doc



Information Technology Data Migration Policy December 6, 2007

It is the policy of the City of Springfield, Oregon that all electronic data will be preserved as required by Oregon Public Records and Archiving statutes. In support of this policy goal, all digital data is maintained online on magnetic hard disk drives. These drives are backed up to tape on a regular basis, in order to ensure the integrity of the data store. Multiple instances of tape backup data are maintained off-site for up to one year or more. City servers utilize RAID-5 storage arrays, which protects data from single point of failures on the magnetic disk hardware. The City utilizes an AIT-5 tape library system with multiple drives, which insures that data is successfully backed up on schedule.

The City does not utilize any optical drives, removable media, thumb drives, jump drives, CD-ROM or DVD media for long-term data storage or for archival purposes. The City periodically refreshes its library of AIT backup tapes.

The City has created an online electronic data repository for storing TIFF images of documents and photographs. This image repository is one of the most critical data stores maintained by the City. These images are stored on industry-standard servers, backed up to industry-standard magnetic tape, and the image format itself is an industry-standard TIFF image. Existing City scanning practices and hardware capabilities meet or exceed published OAR 200dpi resolution requirements. NTFS level security practices protect the TIFF images from manipulation or erasure. SQL-Server security protects the metadata from corruption or manipulation. Off-site redundant tape backups protect the image repository from catastrophic water or fire damage. When current server technology eventually becomes obsolete, the City will migrate the entire electronic image repository to the replacement technology. The City will never allow this critical image repository to lapse or become "stale" technically.

DRAFT
City of Springfield
Digital Imaging as Originals Policy

Originated: January 22, 2008

Approved by: Gino Grimaldi, City Manager: _____
Date: _____

I. Purpose

To identify which public records scanned into the LaserFiche digital imaging system can be considered originals and to set forth a migration process for records with a retention schedule of between 10 and 99 years.

II. Policy

In accordance with ORS 192.420 the City of Springfield maintains all public records and makes accessible to the public any nonexempt public record. Also, in accordance with ORS 192.050, with approval of the 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 of the original. The State Archivist directed that a policy be put in place to authorize the use of digital images as originals. The following policy allows certain documents that have been scanned into a digital imaging system to be considered originals for the purpose of retention and inspection of those records.

- Public Records with a retention schedule of 10 years or less will be considered to be the original once scanned and later verified that the image was actually captured into the current citywide digital imaging system *.
- Public records with a retention schedule of 10 to 99 years will be considered to be the original once scanned and later verified that the image was actually captured into the current citywide digital imaging system with the understanding that the City of Springfield must have in writing a migration plan indicating how we will move the information in the current citywide digital imaging system, to new software and/or hardware without loss of information. The City will also migrate any images and/or information stored on cd, dvd, tape or other output devices once every 10 years or 1 year prior to vendor claim to playback stability, whichever is shorter.
- Public records with a permanent retention schedule or a retention schedule of more than 99 years may be imaged but must also be retained in paper or microfilm format.

* **Migration plan:** All documents with a retention schedule of more than 10 years, but less than 99 years, shall be documented and filed as specified by the City Recorder. The documentation shall include:

- Date the document is scanned into the current citywide digital imaging system
- Retention period of the original document
- Date the document's retention schedule ends
- The header label used in the system

In accordance with OAR 166-017-0050(2)(d) digital imaging system storage media shall be inspected annually. This inspection will be done by the Information Technology Department to determine whether or not the digital image needs to be transferred to another medium. If it is determined that the record must be transferred to another medium, the contents of the entire document must be intact and unchanged.

* The current citywide digital imaging system will be the system implemented by the Information Technology Department