

## **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.

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Larry Patterson, City Manager

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Date





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

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

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**Scope** This policy applies Citywide.

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**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  
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Title: Digital Imaging Policy

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**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.

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**Procedures**      1.

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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-10-09-002  
Title: Digital Images as Originals (DIO)

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**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.

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**Scope** This policy applies to RIM Coordinators.

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**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.

This policy applies to the "official copy" of a public record.


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- 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, of the original.
  2. **Digital Image vs. Electronic Record.** Word, Excel, Mail Server (Outlook), and Sharepoint are electronic records, not digital images, and are acceptable formats for Short-term (two years or less) retention only. Records in Word, Excel, Outlook, and SharePoint that have been retained electronically which become eligible for Long-term (*two years or more, less than 100 years/permanent*) retention may be converted to digital images and a RIM Coordinator may apply DIO. RIM Coordinators can use "*Overview – Choosing records for DIO,*" on the Intranet, to determine if a record series is appropriate for DIO.
  3. **System Documentation.** In accordance with OAR 166-017-0020, System Documentation, 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. It applies to records with retention of ten years or more.
  4. **Image Quality Verification and Documentation.** In accordance with OAR 166-017-0030, Image Quality:
    - a. Digital images shall be verified for their quality prior to disposal of the



original document. The RIM Coordinator 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 may 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 inspections shall include the date of inspection, name of inspector, group of documents inspected, and sample size (or number of documents). The City Clerk's Office will print a report annually to list all DIO records in Laserfiche. The City Clerk's Office will retain the list in accordance with OAR 166-200-0060 (10), Records Management Records.
  - c. If scanning the record may compromise its validity (such as an embedded “void” watermark on the document), DIO is not recommended.
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 are subject to the DIP Policy.
  - b. Non-eligible records
    - i. *100 years to Permanent.* 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 its original form (i.e., paper). All records with retention of 100 years to Permanent are retained by the City Clerk's Office.
6. **Responsibility (Custody) of the Record.** F-09-08, Records Management Policy, identifies categories based on retention periods to determine the party responsible for a record.
- a. *Short-term (two years or less):* RIM Coordinators may retain custody. Notify the City Clerk's Office of the records series so it can be documented on the DIO-Master List, kept by the City Clerk's Office.
  - b. *Long-term (two years or more, less than 100 years/permanent):* contact the City Clerk's Office to determine who should retain custody.
  - c. *Documentation:* RIM Coordinators should document DIO records in their custody, using one of two forms: Section A of the Records Storage &

	<b>City of Albany</b> Finance/City Clerk's Office Policy #: F-10-09-002 Title: Digital Images as Originals (DIO)	
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Disposal Log – Non-paper Records or Records Inventory Spreadsheet.

7. **Identity Theft Protection.** Scanned documents must be in compliance with F-04-08, Identity Theft Protection. RIM Coordinators can use the redaction function in Laserfiche to meet this requirement.
8. **Annual Inspection.** In accordance with OAR 166-017-0050 (d), Storage Requirements, digital images must be inspected annually. Inspection includes:
  - a. *Visual inspection and playback.* The RIM Coordinator verifies the quality of the images by spot-checking a sample of the digital records. A minimum of 20 digital records is required for each record series. If loss of digital quality exists, the RIM Coordinator 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 (record series) inspected, sample size (20), and the total number of images in the record series. Annual DIO Inspection forms are due to the City Clerk's Office by February 1 of each year.
9. **Purging Records.** RIM Coordinators are responsible for purging DIO records in their custody.
  - a. RIM Coordinators should have a system in place to remind them to purge DIO records that have met their retention based on the Purge Date in the template.
  - b. RIM Coordinators must use Section B of the Records Storage & Disposal Log – Non-paper Records to record the deletion of DIO records 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.

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Supercedes: Res. No. 5690	Created/Amended by/date: November 28, 2011	Effective Date: January 11, 2012
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## 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.

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**DRAFT**  
**City of Springfield**  
**Digital Imaging as Originals Policy**

Originated: January 22, 2008

Approved by: Gino Grimaldi, City Manager: \_\_\_\_\_  
Date: \_\_\_\_\_

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**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