Brief Guide to the Imaging Procedures

It is currently common to want to scan paper records taking up space in offices and storage, keep the scans, and destroy the original paper. This can improve efficiency in office workflows by making sharing easier and reducing duplication.

But hold on! There are a number of implications and risks to this. Therefore we have developed the **Procedures for the Imaging of University Records** and a risk-based assessment to determine when the procedures should be followed.

Risks and Implications

- If the records have a long retention period (e.g. longer than 7 years) or are kept permanently, the imaging must be done to high standards through a fully-documented process.
- If the scope of the imaging projects is large, e.g. an entire records classification, the imaging must be done to high standards through a fully-documented process.
- If the records are evidence of accountabilities the university has to students, staff, and faculty members, the records must be scanned accurately and reliably.

Scope of the procedures – when do they apply?

- When the project is large in scope and affects many individuals (e.g., all employee Benefits files).
- When the records are to be kept permanently by the university (e.g. Faculty members' Performance files).

Scope of the procedures – when do they likely not apply?

- When the original hard copy records are kept.
- When, for example, there is only one incoming or outgoing form.
- When there are new digital business processes where the scope of the records is limited.

The next page has a set of questions that units have to answer when contemplating any imaging, to enable assessment the proposed program and any associated risks.

Imaging Gateway Questions

Query	Why do we want to know?
1. What records are being imaged?	*Identification of the records*
2. Do the records contain confidential information, i.e. personal information or confidential business information?	*Confidential or Highly Confidential records require higher degrees of attention to security*
3. What is the DOR classification for these records?	*Identification of the records*
4. What is the retention period?	*Value of the records*
5. Is yours the primary office?	*Value of the records*
6. What format are you scanning them to?	*Integrity of the images – .tif and .pdf are the preferred formats*
7. What quality control will you perform on the scanned images (checking scanning quality)?	*Integrity of the records*
8. Where are you saving them to?	*Security of the records*
9. Who has access to these areas	*Security of the records*
10. Who administers access to these areas	*Security of the records*
11. Are you storing the images in more than one place – i.e. is there an intermediary storage location? What are the access restrictions for each of these locations?	*Security of the records*
12. What will the naming convention be for the images?	*Process control*
13. How long do you intend to keep the images in each location?	*Security of the records*
14. How long do you intend these scans to stay where you're saving them?	*Security and value of the records*
15. What are you doing with the original paper?	*Process control*
16. How soon after quality control check (7 above) do you intend to destroy the originals?	*Process control*
17. Do you have instructions for unit staff on when to dispose of the images?	*Process control*
18. Is any of the process above documented?	*Process control*
19. For existing imaging programs, how many successful retrievals occur annually (approx.)	*Integrity of the records*
20. For existing imaging programs, have any retrievals failed because the image was not clear enough or was missing?	*Integrity of the records*