

Departmental Management of Imaged Master Records Acknowledgment

Departments may convert master records from paper to electronic format if federal, state, and university standards are followed and security requirements are implemented. This document is used for acknowledging technical imaging guidelines and provides guidelines for documenting imaging processes and retaining imaged records at the department level. University retention requirements and disposition procedures apply to master records in all formats, including imaged records. For assistance, contact Records Management Services at <http://www.utexas.edu/business/accounting/contact/ret.html>.

Master records must be individually retrievable and readable throughout their required retention periods, and a department must be able to convert or migrate records through successive technologies or retain the software and hardware required to read them.

Overview of Technical Guidelines for Imaging Records

Departments must observe the following standards when converting paper master records to an electronic format:

Identifying Records for Retrieval

Each imaged record and the media on which it is stored must be identified in a way that allows the images to be retrieved and read for as long as the records must be retained. Index information, or metadata associated with the imaged record must also provide enough information to allow for its final disposition. If technologies are updated, changed, or become obsolete, this identifying information must be accessible for the purpose of managing the files.

- Identify the retention requirements in The University of Texas at Austin Records Retention Schedule (UTRRS) for records that will be retained as images. Associate the retention requirement with each image by naming structure, metadata, indexing in an open relational database, or other means. The department must be able to dispose of the imaged records when their retention requirements have been met and the records have no ongoing value.
- Whether using a proprietary or open source file format, the department must have or obtain the means to retrieve, read, and manage the files for as long as the records must be retained.
- Plan for an annual review/assessment of technologies used to read, store, and retrieve images and if the technologies no longer have the ongoing capability to read and retrieve the images, implement one of the following strategies:
 - prepare to migrate or convert the files to new technologies
 - maintain the original software and hardware required to read, store, and retrieve the files for as long as they must be retained

Quality Assurance

Quality assurance is the visual review of image and index information, and the following guidelines apply:

- **Each scanned image must be inspected visually by at least one person to ensure that the image is legible and completely and accurately captures all of the information contained in the original.**
- When index information is assigned and entered manually (as opposed to being generated programmatically) as a title for an image, each image must then be retrieved and visually verified to ensure that the index information has been entered correctly so that the image can be retrieved.
- Automated image capture software and image retrieval systems must allow image and index information to be visually verified and approved for acceptance or release to the system.
- Establish a plan for reimaging the original hard copy if visual reviews reveal that an image is illegible or incomplete. Organize imaged hard copy so that individual original records can be retrieved up to the point that quality assurance reviews are completed.
- The original hard copy may be destroyed after visual verifications are completed.

Resolution Settings

Scanning resolution must be a minimum of 200 dots per inch (dpi), but 300 dpi is recommended for imaging documents that contain six point type font and larger. For documents with a type font smaller than 6 point, scanning resolution must be adequate to ensure that no detail is lost.

Output Review

Each device used to scan master university records must be configured or set to produce output that meets resolution and format requirements listed in this document. Scan a sample document of the types of master records to be imaged. Review the resulting image's file properties, then open and view it onscreen to ensure that the expected output has been produced.

File Formats

Electronic documents stored in an imaging system are to be in standard image file formats. TIFF (Tagged Image File Format) file format is the preferred standard. PDF (Portable Document Format), especially PDF/A, is also an acceptable format for records with retention requirements of 5 years or less.

Guidelines for Documenting Imaging Processes

Good documentation provides the means to ensure that departments have ongoing access to imaged records and continuity in management of records. If a department is legally required to produce records, documentation of imaging procedures is a part of demonstrating good faith records management practice to ensure the authenticity and integrity of the imaged records. Departments must document the following:

- a step-by-step workflow for converting, indexing, filing, and destroying the hard copy records once the electronic images are verified as legible, complete, and accurate
- quality assurance reviews and verification workflow
- training or instructions provided for anyone authorized to perform imaging processes
- a list of the people authorized to perform departmental imaging
- periodic review of training materials
- annual or periodic review and testing of:
 - viability of storage and retrieval technologies
 - a sample of the images to ensure that they remain retrievable and readable

Retaining Imaged Records

Departments that want to retain master records within the department must take the following measures:

- Ensure that records containing confidential or sensitive information are secured so that only authorized personnel can access them. Refer to the Information Security Office Securing Departmental Systems website at <http://security.utexas.edu/admin/> for information about developing secure departmental electronic records storage and retrieval systems.
- Departments must be able to suspend record destruction (whether automated or manual) in the event of any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record. After all outstanding issues have been resolved, automated or manual destruction can be reinstated for records that have met retention requirements.
- Use of a central server or storage device is recommended to prevent loss or destruction of master records designated as vital in the UTRRS or that are essential to departmental or university business. Backup copies of vital data must be created regularly, and the backup vital data copies must be stored off-site for disaster recovery purposes. Refer to the Information Security Office [Disaster Recovery](https://recovery.security.utexas.edu/TCPT/) website at <https://recovery.security.utexas.edu/TCPT/> for support and information about developing a departmental disaster recovery plan.

Note: Backup tapes cannot be used as sole storage for master records that have not met retention requirements unless the backup tapes are indexed for accessibility.

If master records are imaged and retained by the department, the Departmental Management of Imaged Master Records document must be included with the departmental records management plan.

I have read and taken into consideration the above list of requirements and recommendations.

Signature of Records Management Contact or Department Head

Date

Printed Name