

University of North Dakota Statement of Imaging Integrity and Credibility

Preface: The purpose of this *Statement of Imaging Integrity and Credibility* is to set forth criteria and industry best practices for University of North Dakota (hereafter UND) departments to follow when utilizing imaging technology. Departments following these criteria will be able to support the claim that their imaged documents are trustworthy and admissible in place of original source documents.

This *Statement of Imaging Integrity and Credibility* is broken down into six key areas: Technical Documentation, Operating Procedures, System Audit Trail, System Security, Training, and Audit. Each section or sub-section lists criteria and specific questions related to those criteria that should be evaluated and answered by each individual department utilizing imaging technology.

University Department:

1. Technical Documentation

- a. **Hardware** – types, brand names, model numbers, and dates of installment of all hardware components of the system. Do you have operating manuals for all the hardware components? Where are these located?
- b. **Software** – name of software package, version numbers, implementation dates, and information about backup copies of all systems software and applications programs. Are there operating manuals for all the software components? Where are these located?
- c. **System Administrator** – identify a person as a system administrator to monitor the operation of the program and the training of assigned personnel.
- d. **Image Resolution** – what resolution setting are you currently using? Industry best practices suggest a scanning density of 200-300 dpi (dots per inch) or higher for more complex/intricate images.
- e. **Image Storage** – how are the images saved? Industry best practices suggest saving in non-proprietary file format.
- f. **Equipment Maintenance** – equipment maintenance logs should be maintained. Where are these maintained?

- g. **Image Compression** – are the images being compressed in order to save space? If so, the imaging program should use standard compression and decompression algorithms.
- h. **Retention and Disposal** – when are source documents destroyed? Can entire record series be purged from the system based on fiscal year? Records created by and stored in an imaging system shall be maintained and disposed of in accordance with the UND Records Retention Schedule.
- i. **Backup Procedures** – are the images captured by scanning the source documents being backed-up in any manner? If yes, please explain – where are the backups housed? How often is the backup conducted? Is the backup media being recycled (written over each time a backup is done)?
- j. **Image Preservation/Migration** – is there a migration plan currently in place? Migration is defined as the process of moving data from one electronic system to another, usually upgrading hardware and software, without having to undergo a major conversion or re-inputting of data.

2. **Operating Procedures** – list step-by-step how the following activities are accomplished

- a. **Creation** – how are images created? (scanning and entering data, ensuring that all information within images is readable, accuracy of index term verified)
- b. **Modifying** – once a document is imaged, is it ever modified? If yes, why and by whom? How is this being tracked?
- c. **Duplicating** – if someone needs a copy of a record, how can it be duplicated? (print a hard-copy version?)
- d. **Searching** – explain the process used to locate specific records?
- e. **Indexing** – how are the records indexed? Is the indexing similar to the index for paper records – explain? Is the index kept on the same server as the images? Indexing should provide for efficient retrieval, ease of use, and up-to-date information on the scanned images stored in the system.
- f. **Quality Control** – what processes do you have in place to ensure that each scanned image accurately reproduces the original?

Do the following appear with sufficient clarity to be recognized: letters, numbers, and symbols? Words and sentences? Graphics?
 Is index entry verification performed to ensure that all the images are retrievable?

Are scanning procedure manuals periodically reviewed to ensure that they contain the most up-to-date instructions?

- g. **Image Authenticity & Integrity** – how are you ensuring that scanned images are protected from accidental or intentional deletion or modification? Are you using a medium that is not rewritable? Are you using equipment that conforms to the standard methodology for media error detection and correction?
3. **System Audit Trail** – does the system require its users to identify themselves in order to create or delete records? What levels of access are granted to each user? Does the system provide automated audit trails? Does the automated audit trail record who used the system, when it was used, and what was done during the use? Does the audit trail describe who has access to the system? What levels of access are granted to each user? How are the audit trails maintained? Who has access to the audit trail?
4. **System Security** – give a description of the physical security procedures, network and system security protocols (passwords), and how levels of access are determined. This should establish that only authorized personnel create, copy, modify, or use scanned images within the system.
5. **Training** – is there a training program for staff on system procedures/processes? Explain how the training is performed and who conducts the training.
6. **Audit** – are periodic audits of the system conducted? If yes, with what frequency are they performed and who performs them? Industry best practices suggest that audits should be conducted at least annually. Audits help to ensure that records can be accurately retrieved and that there are no errors encountered or deterioration in the image.