



UW SCANNING REQUIREMENTS

Records Management Services

Electronic Records: The Basics

Definition of a Record

*“...information **regardless of physical form or characteristics**, and including such **copies** thereof, that have been made or received by any agency of the state of Washington **in connection with the transaction of public business...**”*

- The retention period which would have been applied to the paper record must instead be applied to the electronic record.

- All electronic records must be accessible and readable for their full retention period
 - Find it
 - Open it
 - Read it

What is a Record?

► Defined in RCW 40.14.010

- Written Notes
- Data Points
- Contracts
- **Emails**
- Word Documents
- Facebook
- Databases
- And More



► Everything created at the University is a record



Scanning: The Basics

- ❑ Any kind of record can be scanned including text documents, photographs, maps, plans, diagrams, and drawings.
- ❑ Scanned files must be accessible and readable for their full retention period. For each scanned document you must be able to:
 - Find it
 - Open it
 - Read it
- ❑ The **UW Scanning Requirements** must be met to justify the use of scanned images as replacements for the original paper records
 - ❑ A Scanning Policy must be on file with Records Management Services before scanned paper records can be destroyed
 - ❑ The UW Scanning Requirements are based on *Imaging Systems, Standards for Accuracy and Durability – Chapter 434-663 of the Washington Administrative Code (WAC)*

Bottom Line

- ❑ If you create or receive it electronically
 - ❑ *Don't print it, keep it electronically*
 - ❑ *Don't have to keep paper*
 - ❑ *If you do print and don't annotate, it's a duplicate and can be destroyed at any time*
 - ❑ Retention applies to electronic copy
 - ❑ Refer to section 04 of the University General Records Retention Schedule
 - ❑ *Electronic Records that do not need to be Printed or Saved*
- http://f2.washington.edu/fm/recmgt/Database_Printouts

If You Scan Paper Records

UW Scanning Requirements

- Based on Imaging Systems, Standards for Accuracy and Durability – Chapter 434-663 of the Washington Administrative Code (WAC)
- Can't destroy the paper records without a scanning policy
- Must be on file with Records Management Services
- Policy allows the scanned copy to become the Legal and Official version of the record

Scanning Policy

The purpose of the departmental scanning policy is to:

- ❑ Establish a consistent process that enables your department to replace paper records with scanned, electronic records
- ❑ Ensure adherence to retention requirements no matter the physical format

Before Scanning – Written Procedures

Written documentation of the process used to scan records must be created before the original paper records are destroyed

- Technical scanning requirements
- Quality control inspections
- Standards and instructions for organizing, naming and labeling files
- Applying Records Retention Schedules/Purging records
- Backups
- Computer security

Scanning for Ariba

- You must scan and attach receipts and support documents to Ariba for:
 - *e-Travel*
 - *e-Procurement*
 - Non-PO Invoices
 - e-Reimbursements

- Documents will be available for viewing by the approvers and the travel office
 - *This will expedite processing*
 - *Ariba will be the “official system of record”*
 - *Documents will be maintained for the legally required UW records retention period*

- Abbreviated Scanning Procedures
 - *Instructions for the use of scanning hardware, including scanning settings*
 - *Instructions for quality control inspections*
 - *How scanned records are enhanced or manipulated to create a more readable image*
 - *Instructions for meeting UW data security standards*

Technical Requirements

Scanned documents must meet these technical requirements:

- Scanners must be set at a minimum of 300 dpi (dots per inch)
- Must be saved as searchable PDF files.

Quality Control

Scanned document images must be inspected visually to ensure they are complete (the entire document has been captured), clear and easily read.

- ❑ *Compare the original number of documents to the number of scanned images*

- ❑ *Visually inspect*
 - ❑ Each scanned image, **or**
 - ❑ Every 10th scanned image (Sampling)

Quality Control: Image Enhancement

Ensure that any of these problems are corrected:

- Speckles or spots
- Skewed images that are not properly aligned
- Only part of the document is captured
- Poor quality image
- Low ink/toner

- If you can't get a clear image, you must keep the original paper document.

No Modification

- ❑ It is important to ensure that the original content of a scanned record is not altered or modified once it has been finalized.
- ❑ Scanned records should be “read only” to ensure that there is no improper alteration or modification.

Note: Adding a note on a PDF using a text box is not considered a modification and is an acceptable and practical way to make notes on an electronic record.

Organizing and Filing Scanned Images

Like your current filing system? Why change?

Don't like your current filing system? This is a great opportunity...

- Save individual documents to folders. Include the year the records were either created or received in the folder title; **and**
- Consider using or including the formal record series title as found on a UW records retention schedule in the folder title

Organizing and Filing Scanned Images

- Store scanned documents in a secure location accessible by your workgroup
 - Network/Shared Drives such as I:Drive
 - A department-managed database
 - Cloud-based drives such as SharePoint or Google Docs
- Manage by folder
 - Save individual documents to folders
 - Include year and record series title in the folder's title
- Consider using Acrobat Pro's "Additional Metadata" to add details

Organizing and Filing Scanned Images: No Modification!

Ensure that the original **content** of a scanned record is not altered or modified.

- Scanned records should be “read only” to ensure that there is no improper alteration or modification.

- Note:* Adding a note on a PDF is not considered a modification and is an acceptable and practical way to make notes on an electronic record.

Implementing Retention

- ❑ A record is a record – no matter the physical format!
 - The retention period for a paper record is the same for a scanned electronic record

- ❑ Follow the retention period listed for each records series on a UW Records Retention Schedule
 - <http://f2.washington.edu/fm/recmgt/retentionschedules/gs>

Destruction of Scanned Records

- Records should be deleted/purged once the retention period has ended
- Record deletions in an audit log
- Use an approval process
- Ensure that the ability to delete files is restricted to authorized users only

Back-ups

Scanned records must be backed up regularly to ensure that they remain accessible and readable for their full retention period

- ❑ Store back-ups in a location that is more than 15 miles from the source, and in a secure environment suitable for data media storage
- ❑ If a specific software application is being used, back-ups must include architecture as well as content
- ❑ Note: A back-up is considered a duplicate record. Regardless, the duplicate record is subject to audit, litigation, and public records requests as long as the back-up exists.
 - Do not retain back-ups longer than necessary to restore records
 - Back-ups should not be retained longer than the retention period of the records it contains

Migration and Preservation

- ❑ Records with retention periods of more than 6 years
 - Network Drives
 - Files must be saved in the new operating system when a new version of Windows is released
 - Databases
 - Scanned records must be migrated to the most recent version of the software. Versions of the software cannot be skipped.

- ❑ Historical (Archival records)
 - Identified as Archival or Potentially Archival on a Retention Schedule
 - Consult with John Bolcer, University Archivist before destroying the paper (jdbolcer@uw.edu)

Security and Confidentiality

All University computers and computing devices must be properly managed and protected from intrusion and misuse by unauthorized entities.

- Don't share passwords.
- Managers should notify system administrators to close accounts and remove access for separated employees.
- Office computers, printers, and scanners are network-connectable. Check the memory of your office machine and delete any copies of records that you find.

QUESTIONS?

Barbara Benson	Cara K. Ball	Anna Sgarlato	Michael Mooney
bbenson@uw.edu	ballc2@uw.edu	annasgar@uw.edu	mmooney@uw.edu
206-543-7950	206-543-6512	206-543-0573	

<http://f2.washington.edu/fm/recmgt/>