

LOUISIANA STATE ARCHIVES

IMAGING EXCEPTION APPLICATION – INSTRUCTIONS

Mailing: PO Box 94125, Baton Rouge, LA 70804-9125
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Below are the instructions for inputting information in the *Imaging Exception Application*. Please review these instructions before completing this application for submission to the Louisiana State Archives, Division of Archives and Records Management.

The form and all supporting documentation should be completed as electronic documents, preferably in MSWord and submitted electronically for review.

Please submit the Certification Application with the required documentation attached in electronic format to:

Carrie Fager Martin, CRM
Carrie.Martin@sos.la.gov
Records Policy Planner
Division of Archives & Records Management
PO BOX 94125
Baton Rouge, LA 70804-9125
225-922-0002 (fax)

Records Management and State Archives personnel will review the application package for completeness and may request additional information for clarification. Once your application is complete, you will be asked to submit a final signed copy.

Should you have additional questions, please contact one of the following:

Carrie Fager Martin, CRM	Records Policy Planner 225-925-7552 or carrie.martin@sos.la.gov
Zach Tompkins	Records Management Supervisor 225-922-0104 or zach.tompkins@sos.la.gov
Melanie Montanaro	Archives Supervisor 225-922- 1186 or mcounce@sos.la.gov

APPLICATION INSTRUCTIONS TABLE OF CONTENTS

__Application Page and Evaluation Form	Page 2
__Quality Control Procedures	Page 5
__Data Migration Statement	Page 5
__Imaged Records Series List (SS ARC 972)	Page 5
__Agencies List Worksheet (Joint projects only)(SS ARC 971)	Page 6
__Request for use of Expedited Disposal Request Process For Converted Documents (SS ARC 930e)	Page 6

COVER PAGE

Provide your Agency's Name.

APPLICATION PACKAGE CHECKLIST

Copies of all listed documentation must be submitted with every application.

AGENCY VERIFICATION:

This section attests to the truthfulness and accuracy of the information provided. The area is reserved for the mandatory signatures of the Chief Executive officer (head of the requesting agency) and the Records Management Liaison for the agency. If applicable, a vendor's representative can also sign (optional).

EVALUATION FORM

1. AGENCY PROFILE:

It is important to identify the specific Department/Division/Bureau seeking the exception. The "Primary Contacts" are the people who will manage communications with the State Archives and the paperwork involved with the system. Provide all of the indicated contact information for the Primary Contacts (Project Manager, Records Management, and Information Technology). In Section 8 there is space for additional contact information.

2. RECORDS MANAGEMENT/INDEXING:

Note the form "Imaged Records Series List" is required (see page 6 for more information);

1. If the agency has not yet submitted a Records Management Liaison (SSARC 940) to the State Archives for the fiscal year in which the application is being submitted (July 1-June 30th), the agency should submit one with the application form (SSARC 970).

2. Each agency must have a valid Records Retention Schedule approved by the State Archives on file at the time of their application. The Records Management Program provides training on developing retention schedules on a monthly basis at the State Archives, free of charge. Please visit our website at:
<http://www.sos.la.gov/HistoricalResources/ManagingRecords/GetRecordsManagementTraining/Pages/default.aspx>
3. If the system does not have the ability to delete the images when retention periods have been met, please explain in the space provided.
4. If the agency is requesting expedited approval of disposal requests for converted records, please check Yes. Note: This will allow the agency to submit future disposal requests to dispose of scanned originals via email. Please complete Request for Expedited Authority to Dispose of Records Form (SS ARC 930e).
5. Indexing for the image processing system **MUST**, at a minimum, have the same index functionality as the existing records management system. Please note any enhancement to the indexing that the agency may be considering. For example, if your paper files are arranged by account number, at a minimum your imaging system must provide for indexing records by account number.
6. If the agency will be hosting the records of other agencies in the system listed on the application, please indicate that fact and complete Agencies List Worksheet (SSARC 971).
7. List the office(s) (Records Management Unit, Service Bureau, or other unit) that oversee(s) the day-to-day management of the image conversion processing system.

3. SYSTEM CONFIGURATION & DOCUMENTATION:
(NOTE: THIS SECTION IS CONSIDERED CONFIDENTIAL)

1. Indicate the name of the software (and version), operating system required, and the database types used by the capture software for the system for which the agency is applying. Please note if this is a commercial standard off-the-shelf (COTS) application. Please include the manufacturer's name and version number.
2. Indicate that your agency is creating and storing the imaged records as Single Page TIFF Group III or IV files or Multi Page TIFF, Portable Document Format (PDF) with version of PDF being used (1.X) or Other format.

Indicate the resolution at which your agency is scanning the documents. A minimum of 200dpi and 300dpi is required for small format documents and large format documents respectively. If another dpi is being used please indicate and explain why.

3. Indicate the name of the software (and version), operating system required and the database types used by the retrieval software for the system for which the agency is applying. Please note if this is a commercial standard off-the-shelf (COTS) application. Please include the manufacturer's name and version number.

4. Indicate the applicable storage hardware used to store the images for future retrieval. This includes storage area network (SAN) devices, and network attached storage (NAS) devices, local server or mainframe units, or other devices. Please note if this is a commercial standard off-the-shelf (COTS) systems and equipment. Please include the manufacturer and model numbers for storage equipment and total capacity being used for the storage method.

Indicate the RAID level used to safeguard images in case of disk failure. If RAID is not used, describe the alternative technology/process being used to safeguard images.

4. QUALITY CONTROL:

The procedures used by the agency to assure quality control should be submitted with this application. Images should be visually inspected for quality control.

1. Indicate percentage of images that are visually inspected.
2. Indicate when quality control is performed (check all that applies).
3. Please attach a copy of the quality control procedures being used by the agency with this application.

5. DISASTER PREVENTION/RECOVERY

(NOTE: THIS SECTION IS CONSIDERED CONFIDENTIAL)

1. Indicate how often the DPR -Disaster Prevention/Recovery - is tested and reviewed - monthly, annually, or some other interval.
2. Provide the physical location (address) of the offsite storage facility being utilized for backup media (paper, magnetic media, optical media, and/or microfilm).
3. Indicate how often the image processing system is backed-up.
4. Indicate what media is used for the backup.
5. Indicate how often the magnetic and optical media are refreshed (recopied).
6. Indicate whether your agency has established a facility to be a 'Hot Site' or 'Cold Site' in event of a disaster.
 - a. A 'Hot Site' is a facility that is fully outfitted with furniture and equipment, where an agency can bring its backup tapes/disks, load them to existing hardware that is in-place, and bring its system back up again.
 - b. A 'Cold Site' is a facility that is essentially an empty shell or does not have the necessary furniture and equipment in-place.

6. VENDOR AND SUPPORT INFORMATION:

Identify the appropriate information regarding all vendor(s) and their representative. This includes IT equipment and software vendors, imaging service vendors (including the State Archives). For each vendor please check all provided services that apply. Feel free to cut and paste if you need more vendor listings.

7. ADDITIONAL CONTACT INFORMATION:

Complete contact information and the role for any additional people that are instrumental in this imaging system application. This would include supervisors of sections overseeing scanning, legal counsel for agency (or agencies) involved in the project, IT liaison from the agency regarding programming and/or technical support, and major vendors involved in the project. If additional contacts need to be recorded, please copy the page.

RECORDS SERIES LIST

Using the form Imaged Records Series List, enter the agency name, and records series title, and retention time as found on the agency's approved records retention schedule(s), and the inclusive dates (e.g. date forward, 2000 to current, etc.) for those series the agency intends to image.

QUALITY CONTROL PROCEDURES

Written procedures for ensuring the image quality control of the system should be developed and submitted with application. Agencies are also encouraged to include policies and procedures regarding document handling and preparation, scanning, and security but submission of those policies and procedures are not required for the application. Such policies and procedures can serve as a training manual for staff to ensure consistent scanning processes.

Guidance for quality control procedures for imaging surveys and imaging exception applications (RM-G-QualityControl) can be found on our website:

<http://www.sos.la.gov/HistoricalResources/PublishedDocuments/RM-G-QualityControl.pdf>

DATA MIGRATION STATEMENT

An agency needs a strategy for making certain that public records that are being imaged today are accessible, retrievable, and readable in the future. The Data Migration Statement shows that your agency recognizes the future need to move the electronic documents from old technology to new technology (storage media, hardware and software); is budgeting for these moves; and how it is positioning itself to be able to easily accomplish these moves.

Guidance on what to include in a data migration statement for imaging surveys and imaging exception applications (RM-G-DataMigration) can be found on our website:

<http://www.sos.la.gov/HistoricalResources/PublishedDocuments/RM-G-DataMigration.pdf>

AGENCIES LIST WORKSHEET (JOINT PROJECTS ONLY) -SS ARC 971

If the agency applying for the exception will be hosting images from multiple agencies in their system (records for other agencies), they must also complete the form *Agencies List Worksheet* and submit it with their application. This worksheet should be amended within 30 days of records from an agency not already included on the existing application being added to the system. Failure to do so will be a breach of the agreement authorizing the exception and may lead to a revision or revocation of the exception approval.

REQUEST FOR USE OF EXPEDITED DISPOSAL REQUEST PROCESS FOR CONVERTED DOCUMENTS -SS ARC 930E

Agencies that are applying for and receive an exception to the imaging policy (or submit imaging surveys) are encouraged to complete and submit with their application a request for use of expedited disposal request process for converted documents (SS ARC 930E). La. Revised Statute 44:411 requires an agency to get permission from the State Archives before records can be destroyed. La. Revised Statute 44:39 gives an image standing as the original if the original no longer exists.

By completing and following the expedited disposal process, agencies converting their documents from paper to electronic can do so in a manner that will show the courts (if need be) that they have complied with state statutes and that the electronic records in their imaging system are now deemed to be the originals.

ELIGIBLE RECORDS

Records that have a total records retention of ACT + 10 years (Calendar, Fiscal, Academic or Federal Fiscal) or less on a current records retention schedule approved by the Louisiana State Archives are eligible for an imaging exception.

NOTE: Records that have a permanent or longer term retention (more than ACT + 10 years) are not eligible at this time.

Some schedules may be able to be amended to revise series that have PERM retention periods to a retention of ACT + 10 years (where ACT = until the end of the year in which your agency ceases to exist) but these changes are considered on a case by case basis. Some series cannot be changed if the law requires PERM retention or the record series is historically or administratively significant (Minutes, college transcripts held by colleges and universities, cumulative grade cards for schools, land records, etc.).

IMAGING EXCEPTION VS. IMAGING SURVEY

Note: If the records you are wanting to image have a total retention of 10 years or less total (even if the word ACT is used in its definition), do not require an exception. Please complete the Imaging Survey and make sure you have a current records retention schedule approved by the Louisiana State Archives on file with our office. Imaging Surveys, unlike exceptions, do not require approval by our office.

APPROVAL PROCESS

Once your office has an approved schedule on file with our office we will review the imaging survey you submit. You will submit your request to the Records Policy Planner's office. Please note that this review process can take some time to complete. You will receive a summary email of the review with any changes that are needed before the application can proceed for approval.

Once we have all the information required for approval (including the signed version), it is reviewed one final time by the Records Management and Archives Acquisition staff and they make their recommendation.

The application is then sent for final approval to the Executive Office for review and final decision.

Once the decision has been made, the Records Policy Planner will notify the agency of the outcome and the next step.