

Image Processing System Guidelines

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The following guidelines have been developed to assist public entities that are currently using or considering the acquisition of an electronic imaging system for storage and retrieval of public records:

- **Establish and routinely audit comprehensive records management guidelines:**
...for paper, microfilm/fiche, and image-processed records through use of state- issued records retention schedules and records disposition forms, and consult with the Division of Revenue and Enterprise Services, Records Management Services (RMS) for guidance when questions arise.
- **Form a team of agency representatives:**
...that will review and select the system. This team should be comprised of users, finance, MIS, and legal representatives. Review the key resources existing within the agency - staff knowledge and expertise, and existing in-house data and telecommunications systems.
- **Consult State standards:**
...Image Processing for Public Records (NJAC 15:3-4 et seq.) before preparing specifications for an RFQ, RFI, or RFP for any new system or upgrade.
- **Consult RMS:**
... before preparing specifications for an RFQ, RFI, or RFP for any new system or upgrade.
- **Conduct a feasibility study:**
...to determine if an imaging system will be appropriate and cost-effective for your records management needs. Maybe another system would provide a better alternative or could be employed alongside an imaging system (e.g. microfilming or COM).
- **Set realistic timelines:**
...for the following project phases: feasibility study; vendor bidding; system selection, implementation, testing, and conversion; training; backfile document scanning; and production.

- **Be wary:**
...of claims regarding new technologies without track records or standards. RMS can provide guidance in the evaluation of such claims.
- **Determine system compatibility:**
...with existing in-house records and information management systems. Identify any agency-specific recordkeeping needs to be incorporated into an imaging system.
- **Ensure that system hardware and software are applicable:**
...for the in-house applications they will automate. The system should serve the agency and its applications, and not have the agency serving the system.
- **Plan for data migration:**
...during the initial stage of development, for system hardware and software upgrades which should incorporate the creation of a history file which includes copies of old and new versions of system hardware and software documentation (see NJAC 15:3-4.3,4.7).
- **Ensure that the system has an open architecture:**
...with nonproprietary dependent hardware and software (see NJAC 15:3-4.3).
- **Use high-quality hardware and software:**
...for your entire imaging system (see NJAC 15:3-4.3).
- **Create a data index:**
...data is useless if it cannot be searched and accessed through user specified parameters (see NJAC 15:3-4.7). The index *at a minimum must* recreate the functionality of the existing records management system.
- **Specify security measures:**
...desired with the vendor during initial system discussions.
- **Permanent and long-term records (retentions of 10 years or longer):**
...maintained on optical media may require hardcopy, microfilm backup, or have a documented path to migrate (see NJAC 15:3-4.3).
- **Develop and implement:**
...routine magnetic tape refreshing and optical media backup procedures (see NJAC 15:3-4.3, 4.4).
- **Create and periodically test disaster prevention/recovery plans:**
... for storage media, hardware, and software (see NJAC 15:3-4.4).