

**NEW JERSEY DIVISION OF REVENUE AND ENTERPRISE SERVICES**  
**RECORDS MANAGEMENT SERVICES**  
**ELECTRONIC IMAGING SYSTEM REGISTRATION**  
**APPLICATION INSTRUCTIONS**

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Mailing: PO Box 661, Trenton, NJ 08625

Location: 2300 Stuyvesant Avenue, Trenton, NJ 08618

Below are the instructions for inputting information in the Electronic Imaging System Registration Application. Please review these instructions before completing this application for submission to Records Management Services (RMS). The form must be completed and signed electronically. Please submit the application with any required documentation attached in electronic format. The online template allows applicants to attach electronic versions of required documentation.

Within 23 days of receiving an application, RMS reviews it, and if needed, contacts the agency regarding questions, additions or clarifications relative to the content of the application. RMS may require a site visit to review scanning procedures and the system platform.

Should you have additional questions, please contact:

The New Jersey Division of Revenue and Enterprise Services  
Records Management Services  
609.530.7486

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## COVER PAGE

Indicate whether this is an In-House, Service Bureau or Special Document Imaging (DORES services) application. Mark all that apply.

In-House imaging:

The agency provides all documentation.

Service Bureau or Special Document Imaging (DORES):

The agency provides sections 1, 2, 3, 4.2, 6 and 8 of the Evaluation Form, and the Records Series, Feasibility/RFP, Data Migration, and the Disaster Preparedness and Recovery documentation.

The Service Bureau provides sections 4.1, 5 and 7 of the Evaluation Form and the Scanning Policy and Procedures documentation.

## APPLICATION CHECKLIST

Copies of all listed documentation (except RFP and Feasibility Study) 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 signature of the requesting agency's Legal Custodian of Records (mandatory), the Primary Contact and the vendor's representative (optional). If there is more than one Legal Custodian, as in the case of Enterprise Systems, only one signature is needed.

## REVIEW FORM

### 1. AGENCY PROFILE:

List the Department/Division/Bureau requesting certification.

Also list the Primary Contact – that is, the person who will manage communications with RMS and the paperwork involved with the system; this may or may not be the Legal Custodian for the system. Provide all of the indicated contact information for the Primary Contact. In Section 8, there is space for additional contact information.

### 2. RECORDS MANAGEMENT/INDEXING:

Using the agency's related records retention schedules, list the records series titles, descriptions, and inclusive dates of all public records created, stored or maintained in the image processing system.

Indicate whether records retention schedules are being used at the agency and if routine records disposal practices are being followed in conjunction with the Division. If approved records retention schedules and routine records disposal practices *are not* being utilized, provide an explanation. Agencies may need to request revised retention schedule(s) and disposal methods for image processed records.

Indexing for the image processing system *MUST*, at a minimum, have the same functionality as the existing records management system. Please note any enhancement to the indexing that the Agency may be considering.

List the office that oversees the image processing system, such as the office of records and information management (as in the case of a municipality, the Municipal Clerk), Management Information Services (MIS), or other office or agency, including contractual arrangements with another office or agency or service bureau

### 3. FEASIBILITY STUDY/REQUEST FOR PROPOSAL:

Feasibility studies, Requests for Information (RFIs), Request for Bids (RFBs), and Request for Proposals (RFPs) are not required, however, they are strongly recommended. If the agency prepared a feasibility study and/or an RFI/RFP/RFB prior to the selection, purchase and implementation of the image processing system, then mark "Yes" and submit a copy of each along with the application.

### 4. SYSTEM CONFIGURATION & DOCUMENTATION:

Please note that as a general requirement, the capture system must have an open architecture at the Application Program Interface level. NJAC 15:3-4.3 requires that the current system architecture (database, operating system, and network) be *Open* (nonproprietary or interchangeable with many manufacturers), and *NOT Closed/Proprietary* (locked into one manufacturer's product(s)).

Indicate the applicable hardware configuration for the image processing system for image

capture. This includes server/mainframe units, desktop PCs, local area network (LAN) devices, wide area network (WAN) devices, storage area network (SAN) devices, network attached storage (NAS) devices, and scanners. Please note if this is a commercial standard off-the-shelf (COTS) systems and equipment. Please include the manufacturer and model numbers for all equipment.

Indicate the software and version that will be utilized for capture, as well as the operating system software for the image processing system.

Indicate that your agency is creating and storing the imaged records using an industry standard file format such as Single Page TIFF Group III or IV files.

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.

Indicate whether the retrieval system has an open architecture at the Application Program Interface level. NJAC 15:3-4.3 requires that the current system architecture (database, operating system, and network) be *Open* (nonproprietary or interchangeable with many manufacturers), and *NOT Closed/Proprietary* (locked into one manufacturer's product(s)).

Indicate the applicable hardware configuration for the image processing system for storage and retrieval. This includes server/mainframe units, desktop PCs, local area network (LAN) devices, wide area network (WAN) devices, storage area network (SAN) devices, and network attached storage (NAS) devices. Please note if this is a commercial standard off-the-shelf (COTS) systems and equipment. Please include the manufacturer and model numbers for all equipment.

Indicate the software and version that will be utilized for storage, and retrieval, as well as the operating system software for the image processing system.

#### **5. QUALITY CONTROL:**

The system must include a quality control function, which must encompass visual inspection of images. Visual inspection may be accomplished via an image-by-image regime, sampling or a combination of both.

Indicate when Quality Control is performed.

A scanned images log must be kept noting the scanner operator and the date. This log must be kept as long as the records must be retained.

Hardware and software error logs must be kept for the duration of the system.

#### **6. DISASTER PREVENTION/RECOVERY:**

Describe the disaster prevention/recovery program and how often it is reviewed.

Additional information that would help to shed light on your approach to disaster prevention/recovery coverage includes: an overview of the types of threats that confront

your systems; the likelihood that the threats will affect your systems; the impacts involved with loss of records stored on the system; and the economic constraints that you dealt with in choosing your approach to disaster prevention/recovery.

Indicate where the offsite storage facility being utilized for backup media (paper, magnetic media, optical media, and/or microfilm) is located. It is recommended that this facility be at least five (5) miles from where the imaging system is located. Other geographic considerations may have to be accounted for (e.g. If even at 5 miles apart they are within the same coastal flood plain, they will need to be located farther apart).

Indicate how often the image processing system is backed-up and what the back-up medium is.

Indicate how often the magnetic and optical media are recycled (i.e., how often are new media placed into the back-up program and old media destroyed).

Indicate whether your agency has established a "Hot Site" or "Cold Site" in event of a disaster. A "Hot Site" is a facility that is fully outfitted with furniture and equipment, where an agency can bring its back-up tapes/disks, load them to existing hardware that is in-place, and bring its system back up again.

A "Cold Site" is a facility that is essentially an empty shell or does not have the necessary furniture and equipment in-place. An agency would have to purchase or rent furniture and equipment to outfit the facility, then bring in the backup tapes/disks, load them to the hardware, and bring its system back up again.

Such facilities may be commercial or a mutual cooperative agreement with a corporation or government agency. Often vendors have designated such hot and/or cold sites in advance. Similar to the requirements for an offsite storage facility, it is recommended that this facility be at least five miles from where the imaging system is located.

If the records involved must be kept for 10 years or more, indicate whether your agency will: retain the original paper documents; have archival quality microfilm created from the digital images as additional backup; or will employ a data migration path to ensure the records will be available throughout the designated period. All migration paths for electronic records and associated content must guard against the risk of records lose due to the obsolescence of the underlying technology. The migration path must also be supported by a system vendor(s) and/or trained in-house staff.

Please note that if the records are deemed archival or historical, the original paper may never be destroyed.

If applicable, indicate whether you will create the archival microfilm in-house or will have it done by a vendor. If using a vendor, please provide contact information.

## **7. VENDOR AND SUPPORT INFORMATION:**

Indicate whether the vendor or other source has been contracted to supply: technical support

for hardware and software related questions and problems, staff training for hardware and software usage, and to supply copies of upgraded versions of software as they are released.

Identify the appropriate information regarding all vendor(s) and their representative. This includes IT equipment and software vendors, imaging service vendors (including DORES SDI), and micrographics vendors (including DORES).

**ADDITIONAL CONTACT INFORMATION:**

Complete contact information for the following people as applicable:

Role:

Legal Custodian(s) of Records – if this is a system that images the records of more than one office, please list all custodians.

Information Technology Representative

Records Manager

PARIS Project Manager

Additional Vendor(s) (indicate what type of vendor)

The “Legal Custodian of Records” is the person established by law who is legally responsible for the records and their retention (e.g. the municipal clerk for all municipal records or the agency/department head for County and State agency or departmental records). 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, the agency number, schedule number, records series number, and records series title, and retention time as found on the agency's associated records retention schedule(s), and the inclusive dates (e.g. date forward, 2000 to current, etc.) for those series the agency intends to image. If your agency plans to image records from more than one retention schedule, please use a separate form for the records from each schedule.

**SCANNING POLICY AND PROCEDURES**

Written policies and procedures for the system should be developed. These should include document handling and preparation, scanning, quality control, and security; and serve as a training manual for staff to insure consistent scanning processes.

**DATA MIGRATION STATEMENT**

An agency needs a strategy for making certain that public records that they are imaging today will be 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); will support these moves; and is positioning itself to be able to accomplish these moves.

**DISASTER PREPAREDNESS AND RECOVERY PLAN**

An agency's disaster preparedness and recovery plan addresses the steps it will take to get the agency back up and running if some type of event causes the images to become inaccessible -- i.e. natural disaster, epidemic, building damage, or computer systems failure.

### **MICROFILM INSPECTION REPORT**

If your imaging system has microfilm for its eye-readable backup, you must submit a sample reel to DORES for inspection, using the Microfilm Submission/ Inspection Form found on the website. A completed copy of the inspection report must accompany your application for certification.