

Guidelines for University Records in Electronic Format

General Recommendations

- Use a sustainable file format that is designed to be accessible for the entire period during which you must maintain the record. Non-proprietary formats are best.
- Develop quality assurance procedures to verify the quality and integrity of the scanned images.
- Ensure that metadata is consistent, accurate, and appropriate for current business needs as well as future disposition of the records. See minimum records management metadata standards below.
- If scanning is done in-house, develop a manual that documents procedures and equipment used to create digital images. See below for minimum information to collect about equipment used.
- If scanning is outsourced departments must maintain a copy of the purchase order and detailed service-level agreement as long as the scanned records are maintained.

Format Guidelines for Digital Imaging of Paper Records

Retention period of 10 years or less

- PDF or JPEG, 300 dpi

Retention period longer than 10 years

- PDF/A or TIFF, 600 dpi

Metadata Guidelines

All records should conform to basic metadata standards so that they can be located, retrieved, and disposed of for records management and business purposes.

- Basic metadata include:
 - Record Type (as indicated on the retention schedules)
 - Date of Creation (not the date scanned)
 - Creator (creating department)
 - Custodian (custodial department)
 - Record Title/Filename (for each individual record)
- For born-digital records, metadata should also include:
 - File format
 - Software used to create file
- In addition to basic records management metadata, departments should ensure that they consider and create metadata needed to locate records efficiently for the conduct of day-to-day business.

Documentation Guidelines for Imaging Projects

Offices that image paper documents in-house should be sure to fully document their process to ensure business continuity in the case of staff changes, to provide training documentation, and to ensure the long-term authenticity of the records they are disposing of.

- Documentation should include:
 - Scanner manufacturer and model number
 - Driver software for scanner
 - Imaging software
 - Instructions manual that describes steps required in scanning, which should include:
 - Resolution and any compression standard used
 - File formats
 - File naming conventions
 - If batch conversion or batch file re-naming will be necessary, and what tool is used for such conversions
 - How the scanned images will be stored in the file system
 - Any image enhancement techniques conducted after imaging

Audit Trail Guidelines

When selecting a system to store electronic records, departments should ensure that the system has the ability to create and maintain an audit trail. An audit trail is information about who has accessed and/or modified a record and when the access and modification occurred. This information is critical for ensuring record authenticity. Systems housing official University records should be able to do the following:

- Track who accessed the system where records are being stored.
- Track the time that a person accessed the recordkeeping system.
- Track who created and modified records in the system.
- Track the time that a person created or modified a record in the system.