

Ulster County Image Reformatting Protocol

1. Purpose

The Ulster County Image Reformatting Protocol (the “Protocol”) establishes best imaging practices to ensure the accuracy, usability, longevity and legal acceptance of digitized documents created and used by all County Departments and Offices. All records reformatted via an imaging process shall be created, maintained, accessed and disposed of in accordance with applicable laws, policies, rules, standards and guidelines, including, but not limited to, those identified in Section 2, Paragraph 2.2 of this Protocol.

Imaging reformatting shall be used to provide an accurate and long-term records imaging reformatting function, and to provide for imaging reformatting as a records space management option.

2. Statement of Intent

- 2.1** This Protocol sets forth the criteria for the creation and preservation of digitized documents and record series for the County. The County shall reformat hardcopy records to digital format in a manner compliant with all applicable laws, rules and regulations.
- 2.2** Laws, rules and regulations applicable to the Protocol include, without limitation: New York Arts & Cultural Affairs Law Article 57-a; New York Codes, Rules, and Regulations Title 8, Chapter II, Subchapter N; New York Codes, Rules, and Regulations Title 22, Part 104; New York Arts and Cultural Affairs Law § 57.05; and New York State Technology Law, Article 3.

3. Scope

- 3.1** This Protocol shall apply to all records created, received and maintained by the County.
- 3.2** All digitized documents created by the County shall conform to the following, where applicable:
 - New York State Archives Digital Imaging Guidelines, latest revision available at <http://www.archives.nysed.gov/publications>;
 - New York State Office of Court Administration Records Management Policy #9.0 – Guidelines for Electronic Records, latest revision available at <https://www.nycourts.gov/admin/recordsmanagement>.

4. Imaging Requirements for the Destruction and Replacement of Hardcopy Records

- 4.1** The County may reproduce any record series or document by digitization, and the resulting digital images may serve either as or in place of the original record series or document. The original hardcopy record series or documents shall be disposed of in compliance with the following, where applicable: New York Arts and Cultural Affairs Law § 57.29; 8 NYCRR 185.8; 22 NYCRR 104.3 and 104.4; and New York Judiciary Law §89.
- 4.2** Prior to destroying a hard copy paper record series or document that has been digitally reformatted, the following general imaging requirements shall apply:
- 4.2.1** Each record series or document must include an auditing system, which shall verify that no additions, deletions, or changes have been made without leaving a record of such additions, deletions, or changes. The auditing system shall include the manner or method by which tampering or degradation of the reproduction is prevented.
- 4.2.2** All digitized record series or documents shall be retained in currently available file formats.
- 4.2.3** Make sure that electronic records are not rendered unusable because of changing technology before their retention and preservation requirements are met.
- 4.3** When a digital image is to serve either as or in place of the original hardcopy record, the following shall apply:
- 4.3.1** Digitized documents, whether intended for use by office staff or the general public, shall contain all of the recorded information shown on the originals, and shall be able to serve the purpose for which the original records were created or maintained. Digitized documents shall be free of obstructions, shadows or any other features which impair the legibility of a document.
- 4.3.2** Imaging of the records shall be arranged, identified and indexed so that any individual document or component of the records can be located with reasonable ease.

5. Creation of Digital Images of Permanent and Non-Permanent Records

- 5.1** All permanent and non-permanent record series or documents reproduced as digital images shall be designated with the same retention as the original hardcopy records, if the digitized record series or documents will serve as the official copy of record. All record series or documents reformatted as digital images thus becoming an electronic record shall be created and maintained so that no resulting electronic document shall be rendered unusable due to changing technology.

- 5.2** All County records custodians using digital imaging of permanent records shall follow the procedures described in 8 NYCRR 185.8.
- 5.3** When a record series or document is reformatted in digital format by an Ulster County department other than the Ulster County department which has custody of the record series or document, a Scanning Agreement detailing the requirements of both departments shall be used. A sample Scanning Agreement is attached as Appendix A.

6. Authentication of Digitally Reformatted Record Series or Documents

- 6.1** This Protocol is designed to ensure that digital images remain authentic and reliable throughout their required retention periods.
- 6.2** The authenticity and viability of the images are determined by sound systems and processes that include, but are not limited to, well documented procedures, proper indexes and finding aids, quality assurance controls, reliable storage and backup practices, and tested and audited processes that ensure imaged records have not been altered, destroyed, or replaced. Systems that produce records must be shown to do so in the normal course of business and in an accurate and timely manner. Policies, procedures, training and support programs, and controls must be documented to demonstrate that the systems that produce records are reliable.
- 6.3** To ensure use of the best practices and processes to achieve the authenticity and viability of all images conform to this Protocol, each Ulster County Department or Office shall consult with both Ulster County Information Services and the Ulster County Clerk's Office prior to the imaging of any record series or documents. It is the responsibility of all Ulster County Departments and Offices to ensure this Protocol is implemented and maintained throughout the retention period of all imaged record series or documents. The components necessary to conform to this Protocol may include, without limitation, the following:
- 6.3.1** A Scanning Specification, which shall describe the essential technical requirements for items, materials, services and procedures for all record series or documents that will be digitally reformatted.
- 6.3.2** A Scanning Certificate, which shall document that the work was performed in the normal course of business and was performed by qualified employees of the County of Ulster. Items included on the Scanning Certificate shall include department name and address, name and address of department completing the scanning, record series title name and range information, type of scanner used, and a statement indicating that the scanning was completed in the regular course of business and the digitized images are accurate reproductions of the originals and signed by the scanning operator(s). A sample Scanning Certificate is attached as Appendix B.

6.3.3 A Scanning Log/Workflow Documentation, which shall serve to document the workflow process of the record series. Information fields on the Scanning Log/Workflow Documentation shall be determined by the needs of the department and record series, and may include information such as file names and date range, or specific record series arrangement information such as total number of images scanned, date scanned, name of scanning operator, and quality control information including general image verification, page by page verification and a record of errors. A sample Scanning Log/Workflow Documentation is attached as Appendix C.

6.4 A log of all record series or documents imaged by any Ulster County Department or Office shall be created and maintained by both Ulster County Information Services and the Ulster County Clerk's Office. The log shall indicate record series or document title, file format, location of stored images, retention schedule information (which shall include retention schedule name, applicable item number, retention period and destruction date or permanent retention when applicable), and any pertinent private personal information.

APPENDIX A – SCANNING AGREEMENT

Date:

Ulster County Department of _____ agrees to have the Ulster County Department of _____ scan into digital image format the record series listed below. The labor required for these services will be invoiced for informational purposes only and not for reimbursement.

Both the Ulster County Department of _____ and the Ulster County Department of _____ agree to complete the responsibilities so noted in this Agreement.

Records Series and Record Series Specifics Include:

Record Series

- Arrangement: _____
- Format: _____
- Estimated # of images: _____

Specific Agreements are as follows:

- All records, as they relate to this Agreement, shall be non-disclosable, and all records contained therein shall be treated as strictly confidential and shall not be disclosed for any reason whatsoever by the Ulster County Department of _____, their officers or employees. Said records may only be released to the Ulster County Department of _____.
- Ulster County Department of _____ will be responsible for pick up and delivery of all records from the Ulster County Department of _____ to the Ulster County Department of _____.
- All original documents will be returned to the Ulster County Department of _____.
- The Ulster County Department of _____ will complete and provide to the Ulster County Department of _____ a “Media Transport Form” and a “Scanning Transfer List for Pick Up of Records from Customer” for each transfer of records or documents that occur.
- Prepping will involve removing all fasteners and flattening documents and any other necessary preparation to accomplish scanning. Pagination will be completed if required to accomplish scanning integrity.
- Scanning will involve scanning each page assuring all pages prepped have been scanned. Scanning will be done using a production format scanner.
- Ulster County Department of _____ is responsible to provide 100% verification of all scanned record series or documents. The Ulster County

Department of _____ is also responsible to provide 100% verification of all scanned record series or documents. All verification will be documented on the Scanning Logs/Workflow Documentation. Any scanning errors found by the Ulster County Department of _____ will be reported to the Ulster County Department of _____ and the original documents will be made available for rescanning by the Ulster County Department of _____.

- Ulster County Department of _____ is not responsible to inventory or sort any record series or documents upon intake.
- Ulster County Department of _____ will assign _____ as the employee that is responsible for all communication to the Ulster County Department of _____ pertaining to this project.
- Request Analysis dated _____ was created and provided by Information Services and is added to this agreement per the request of the Ulster County Department of _____.

_____ Department Head Ulster County Department of _____	_____ Date
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_____ Department Head Ulster County Information Services	_____ Date
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_____ Department Head Ulster County Department of _____	_____ Date
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APPENDIX B – CERTIFICATION BY SCANNING OPERATOR

Records Scanned For: _____
Department Name: _____
Department Address: _____
Records Digitized By: _____
Department Name: _____
Department Address: _____
Record Series Title: _____
☐ Series Start Range: _____
☐ Series Ends Range: _____
Date(s) Record Series Scanned: _____
Type of Scanner Used: _____

This is to certify that the images representing the original hardcopy records are accurate reproductions of the above-named records. The images were digitized from the documents received for scanning in the course of regular business operations of the County of Ulster. The digitization of these records followed Imaging Guidelines established by the New York State Archives or the Office of Court Administration.

Name of Scanning Operator

Signature of Scanning Operator

APPENDIX C – SCANNING LOG/WORKFLOW DOCUMENTATION FORM

Example of the Scanning Log/Workflow Documentation Form

ULSTER COUNTY _____ (Department Name-if not scanned by originating department)

Ulster County (Department Name and Record Series or Documents being scanned)

Scanning Log/Workflow Documentation

File Name or other identifying information	Subsection (if applicable)	# of Digital Images Scanned	Date Scanned & Initials	Date Images QC'd & Page by Page Verification Completed & Initials	Date Images Imported to External server (if applicable)	Date Images QC'd & Page by Page Verification Completed (if scanned by other than originating department)