

# STATE RECORDS CENTER and ARCHIVES

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February 12, 2013

Lesia Richardson  
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Dear Ms. Richardson,

Your request for approval of the imaging system plan for your agency has been reviewed. All points outlined in *1.14.2 Microphotography Systems, Microphotography Standards* have been addressed. This plan will expire on February 12, 2018

With this approval, the requirements of *1.14.2.16 Imaging System Plan* have been met. However, approval is for the plan only and does not release the agency from the custodial obligation for the maintenance, confidentiality, security, preservation, and disposition of the agency's records or from compliance with any applicable state or federal statutes.

Sincerely,

John Hyrum Martinez  
State Records Administrator

JHM/LrL

**New Mexico School for the Blind and  
Visually Impaired (NMSBVI)  
IMAGING SYSTEM PLAN AS PER NMAC  
1.14.2.16**

**Table of Contents**

1. System Description.....4

    1.1. The General Purpose of the System.....5

    1.2. The Specific Goals of System.....5

        1.2.1.Improve Internal Operations.....5

        1.2.2.Reduce the Storage Demands on the Record Center .....5

        1.2.3.Platform for Future Improvements.....5

Exhibit A - Affected Record Series Identified for Imaging.....23 & 24

    1.3. The Technical Description of the System Including:.....5

        1.3.1.Component Machines.....5

        1.3.2.Software.....7

        1.3.3.System.....5

    1.4. System Security Specifications.....8

        1.4.1.Audit Trails.....8

        1.4.2.Intrusion Detection.....9

    1.5. Plan for Public Access and Finding Aids.....9

    1.6. System’s Expected Implementation Date.....9

    1.7. System’s Expected Life Span.....9

2. Management Control.....10

    2.1. Policies and Procedures.....10

        2.1.1.Steps Leading up to the Conversion of Records.....10

        2.1.2.Methods for Storage of the Records.....11

        2.1.3.Plans for Disaster Recovery .....11

        2.1.4.Steps Involved in the Retrieval and Disposition of Records. ....11

        2.1.5.Staff Roles and Responsibilities.....12

        2.1.6.Staff Maintenance of Operation Logs.....12

        2.1.7.Monitoring, Controlling and Verifying the Accuracy and Integrity of Imaged  
            Records.....13

        2.1.8.Designing, Implementing, and Documenting Quality Control.....13

2.1.9. Attesting to the Accuracy and Validity of Records at the Time they are Created .....	13
2.1.10. Developing and Following Systematic Steps for Data Entry.....	13
2.1.11. Retaining any Specially Written Extraction Programs, and Producing Labels for Media Produced.....	13
2.1.12. Documenting Problems and their Resolution.....	14
2.1.13. Documenting that Procedures are Followed.....	14
2.1.14. Maintaining Records for Inspection.....	14
2.2. Management shall plan for the provision and maintenance of adequate facilities that ensure the converted and stored records will be accessible, useable and understandable.....	14
2.3. Management shall plan for document and test procedures for scanning and indexing records prior to implementation.....	14
2.4. Management shall provide for formal instruction and training in system operation and maintenance, including image input, process and retrieval. Training and support programs shall be put in place to ensure that staff understands the policies and procedures.....	14
2.5. Management shall establish controls that monitor the accuracy and authenticity of data, the continued reliability of hardware and software, and the integrity and security of the system. [see 1.13.70 NMAC Performance Guidelines for the Legal Acceptance of Public Records].....	15
2.6. Management shall establish controls that provide for the testing of procedures to ensure that the procedures accomplish their purpose.....	15
2.7. Management shall ensure that the proposed imaging system provides adequate information to fulfill the requirements of state and federal law.....	15
2.8. Management shall ensure that the imaging process or system can be shown to be trustworthy in producing accurate results.....	16
2.9. Management shall ensure that the system creates or compiles records in the normal course of business to support the described function or activity.....	16
2.10. Management shall ensure that the system preserves information over time in identical or functionally equivalent form to the original information.....	16
2.11. Management shall ensure that records are kept in an understandable form and insure that they can be made accessible within a reasonable amount of time, and within the time established by law.....	16
2.12. Management shall ensure that the records are organized in a manner that facilitates retrieval.....	16
2.13. Management shall determine if special equipment has to be provided to display the records or to print copies of them.....	16

3. Disposition of Records.....17

3.1. For disposition of original records created from 1950 to present, refer to 1.13.30 NMAC Destruction of Public Records.....17

3.2. Original records of the state from 1912 to 1950, the American territorial, the Mexican Republic, and the Spanish colonial periods shall be transferred to the SRCA after the imaging and verification process is complete.....17

3.3. For disposition of imaged records (masters and working copies) whose legal retention has been met, refer to 1.13.30 NMAC Destruction of Public Records.....17

4. Five Year Review, Amendments and Modifications.....17

## 1. System Description

NMSBVI's objective is to move towards a paperless environment. This will help improve service to students, faculty, and staff, and reduce the space occupied by paper files. Other institutions have shown that the use of electronic document and record management systems can increase staff efficiency and reduce costs.

ClickScan software, from Professional Document Systems will be the basis for NMSBVI's move to a paperless world. NMSBVI will begin that process by converting a major segment of records center documents (Reference Exhibit A) to electronic form, permitting the consolidation of records from expansion spaces and enabling the records center to accept more records from departments. NMSBVI will also use an imaging system within the Student Services department to archive transcripts and other permanent student records.

### 1.1. The **General Purpose of the System.**

Once the digitized record has been converted and validated, it will become the official copy of record, and the paper original will be properly destroyed.

### 1.2. The **Specific Goals of System.**

#### 1.2.1. Improve Internal Operations

Electronic documents are instantaneously accessible, simplifying tasks which require reference to data.

#### 1.2.2. Reduce the Storage Demands on the Records Center

The NMSBVI storage areas are less than optimal for film and paper records and require additional time and effort for access. There is an expected 10% annual increase in record center contributions, which can only increase the pressure for records storage. Converting major holdings to images will make space available in the facility.

#### 1.2.3. Platform for Future Improvements

The system described here will be the basis for future paperless improvements including support for future process automation projects. NMSBVI's intent is to increase the storage of records within it, as resources permit, including adding capture at the point of receipt.

### 1.3. The **Technical Description of the System Including:**

#### 1.3.1. Component Machines

The document and record management system is structured as a client-server solution with the following component machines required by ClickScan:

##### (1) Server

Server Name: SIGMA

Model:

Dell PowerEdge 2900

Processing Power:

CPU: 1.87 GHz Intel XEON

Total Physical Memory: 4 MB SDRAM

Storage:

300 GB of local Hard-drive, mirrored

CD-ROM Drive

User Interface Devices:

Keyboard  
Mouse  
17 inch flat panel monitor

Networking:

100 Megabit Ethernet

Software:

Microsoft Windows 2003 Server  
Microsoft SQL Server 2000  
ClickScan 3.0

(2) Scanning Station

Processing Power:

CPU: 2.4 GHz, Intel Pentium IV  
Memory: 512 MB SDRAM

Storage:

80 GB of local Hard-drive  
CD-ROM Read/Write Drive

User Interface Devices:

Keyboard  
Mouse  
17 inch flat panel monitor

Networking:

100 Mbit Ethernet

Software:

Microsoft Windows XP Pro  
ClickScan 3.0 workstation client

Scanner:

Cannon DR 7080C Color Production Scanner, Universal Flatbed Scanner  
with Automatic Document Feeder (ADF)  
Optical Resolution: 600dpi  
Output Resolution 100, 150, 200, 300, 400, 600dpi  
Scanning Speeds:  
Black-and-White, 70ppm  
Grayscale (8-bit), 70ppm  
Color (24-bit), 70ppm  
Document Size Selection: Automatic 5" – 17"

(3) Minimum User Workstation

Processing Power:

CPU: 2.4 MHz, Pentium IV  
Memory: 512 MB SDRAM

Storage:

80 GB of local Hard-drive  
CD-ROM Read/Write Drive

User Interface Devices:

Keyboard

Mouse  
17 inch flat panel monitor

Networking:  
100 Mbit Ethernet

Software:  
Microsoft Windows XP Pro  
ClickScan 3.0 workstation client

Scanner:  
Cannon DR 4010C Color Desktop Scanner, Universal Flatbed Scanner  
with Automatic Document Feeder  
Optical Resolution: 600dpi  
Scanning Speeds:  
Black-and-White, 42ppm  
Grayscale (8-bit), 42ppm  
Color (24-bit), 42ppm  
  
Document Size Selection: Automatic 2.8” – 14”

(4) Printers

Network connected, 600 dpi or greater density laser printers

(5) Backup

The SQL Server database (SIGMA server) which holds the index information for the ClickScan imaging system and record files are backed up to LTO-3 tape, using BrightStor backup software from Computer Associates. Full backups are run daily (Monday through Thursday), weekly (Friday) and monthly.

1.3.2. Software

Imaging Application:

ClickScan

Imaging Settings:

Photographs:

JPEG compression that maintains readability  
minimum of 200 dpi.

CD-ROM Creation:

File and directory structures shall be compliant with the Microsoft Windows NTFS file structure and naming convention.

Where CD-ROM media are used for permanent records storage, they shall be of the highest quality available with a minimum shelf life of 100 years. Any variance shall be justified. CD-ROMs are stored in a climate controlled vault; for long term access they will be reviewed every five years.

1.3.3. System

1) General System Architecture

The document and record management (ClickScan) system operates as a client-server application. The server contains a relational database and service components responsible to content indexing and the movement of electronic record files to and from workstations.



Scanning workstations capture images locally using the relational database in the imaging system and in the ClickScan system to assist in validating and completion of index data. Once images have been reviewed and indexed, images and indexes are loaded across the NMSBVI LAN into the repository. Indexing performed by document management staff; student files, human resources and payroll will be indexed alphabetically; board minutes will be indexed by month and year. Client workstations access documents and records using applications or the system provided viewer.

## 2) Network Topology and Protocols

The NMSBVI network is composed of individual campus 100 megabit LAN which is linked to the Internet with firewalls and bandwidth controls.

TCP/IP is the protocol used throughout the network. Servers are assigned static (fixed) IP addresses; workstations are assigned IP addresses dynamically.

## 3) Access Security

The user access security system of the imaging system will utilize a username and password scheme connected to the NMSBVI network.

## 4) System Restore

Once the hardware has been restored, recovery of the system is accomplished by:

- 1) Re-install the base software and any software patches from original media if needed.
- 2) Recalling the last full back-up media and any subsequent partial backups from their storage locations.
- 3) If the document storage area has been affected, documents need to be restored to their original network locations. This may be a different physical location than originally used, mapped by software to mimic the original configuration. Depending on the failure, this may only require restoration of a portion of the total documents.
- 4) If damaged, restore the database image to its last recoverable state. Depending on the type of failure, this may entail restoring the database software, then the last full backup, and finally any subsequent partial backups.
- 5) Using vendor provided tools, run a consistency check between the database information and the files located on the network. This may identify errors such as:
  - a. Files with no indexing information.  
The files in question will be reviewed manually and manually re-entered into the database.
  - b. Indexing information with no file.  
The indexing information will provide guidance as to which documents are missing and where they originated. The original documents will be sought (typically from the imaging quality assurance storage area) and re-added.
- 6) Review of all transactions after the last recoverable backup. Since records are only entered in the Records Center, this would be performed by referring to the box batch logs. It might be necessary to re-scan and re-index documents.

## 1.4. System Security Specifications

### 1.4.1. Audit Trails

Audit Trails will be accomplished by using an outside source to accomplish this requirement.

#### 1.4.2. Intrusion Detection.

Access to ClickScan will employ the NMSBVI unified login mechanism. Only authorized users will be provided with a login.

#### 1.5. Plan for Public Access and Finding Aids

NMSBVI does not intend to provide direct public access to the records in the system. It is intended for internal use only.

Users will have three approaches to finding information:

1. From a related ClickScan screen, a function key will provide a list of all related documents in ClickScan. By selecting a document, it may be viewed, assuming the ClickScan user has access security to the document.
2. A user of the ClickScan interface will be able to perform a hierarchical search by browsing the file plan, which will be replicated as drawers and folders. The drawers are the heading or title for each folder and the folder will contain the information. Student files, human resources and payroll will be indexed alphabetically; board minutes will be indexed by month and year.
3. A relational search using the metadata by which the document was indexed.

#### 1.6. System's Expected Implementation Date

NMSBVI will determine the expected implementation date based on internal time frames.

#### 1.7. System's Expected Life Span

The system is expected to be in used as long as the ClickScan system continues to meet the needs of NMSBVI's digital records community in addition to State, Local and Federal requirements.

## 2. Management Control

NMSBVI has defined the procedures it will follow with the ClickScan system as follows:

### 2.1. Policies and Procedures

#### 2.1.1. Steps Leading up to the Conversion of Records Policy:

NMSBVI will only convert paper records that have been entrusted to the NMSBVI Records Center.

Procedure: The document management personnel will be dedicated to scanning using the scanning workstation in the Records Center. This individual will be initially trained by the ClickScan vendor. New employees will be trained through hands on training and use of vendor documentation and NMSBVI written procedures. They will inspect recent imaged records monthly to ensure that accuracy and quality are being maintained, as well as retaining a log of any problems observed by end-users.

Records from the series documented will be removed from their storage shelf location and tracked using the physical storage tracking features. A worksheet will be initiated, which will follow the original records through the conversion process and later disposition. Boxes will be moved within the Records Center to a work area, where they are prepared for scanning. Paper clips and staples will be removed and any damaged sheets will be mended according to accepted records procedures or photocopied. Missing documents from a set will be noted.

Using existing access procedures, the employee will start the capture software on the scanning station in the Records Center. Packets of related documents will be kept together and in the order provided.

Like records will be scanned in batches. The scanner will be loaded with prepared complete record packets, and a batch defined to the scanning software. The documents will be scanned, with the finished documents placed in order to one side. Once the box has been completely scanned, all documents will be returned to the box they originated from, and the box placed into a holding area inside the Records Center.

The documents will be scanned, with form detection of existing cover sheets to assist in sensing the start of each new document. The scanning hardware can detect miss feeds of paper, either through thickness, perceived document length, or problems in feeding. These are corrected at the time of scanning. The scanning hardware will also detect and attempt to correct any contrast or brightness problems with the scanned image, as may occur with pencil or faded originals. The scanner will be cleaned as needed, based upon image quality and feed problems.

Each batch is held in the capture software in a review state after scanning and automatic processing has completed for Quality Assurance and Indexing. An employee (an attempt will be made to have this be a different person than that who performed the scanning) will take a batch of scanned originals and open the scanned batch to review image quality and completeness, and add indexing information as needed. These activities cover:

- Missing or incorrect indexing information.  
Initial index information will be provided whenever possible from OCR of the document or its cover sheet, plus access to the ClickScan system. Additional information may need to be hand entered. Index information will be validated against the contents of the ClickScan system, and additional indexing information will be provided from its database.
- Poor image quality.  
This will be corrected by immediate rescanning of the relevant sheets.

- Failure to detect the break between documents.  
The imaged document will be broken into its pieces, and each document separately indexed.
- Missing pages.  
The originals will be compared to the imaged documents to ensure that all of the pages are present.

Corrections will be made from the quality assurance interface, and logged on the Batch tracking sheet.

Once a batch has been reviewed and approved by QA, it is electronically approved for addition to ClickScan. Access security to the records will be assigned based upon record series, preventing anyone but the records staff from viewing the records, and the file plan location determined based upon the index values. The original documents are retained in the Records Center for a minimum of four months. The Batch/Box Tracking sheet will be retained as a record that the proper process has been followed, along with any corrective actions that were needed.

The Records Center Management Specialist will inspect recent imaged records monthly to ensure that accuracy and quality are being maintained, as well as retaining a log of any problems observed by end-users. This may result in original documents being retrieved from the Records Center and re-processed.

#### 2.1.2. Methods for Storage of the Records

The electronic records will be stored on the NMSBVI Storage Area Network, a high-reliability magnetic storage subsystem. The records will be indexed in the relational database located on the redundant magnetic storage on the ClickScan server stored on the document management server.

The document management server is located in a secure facility, only accessible to authorized NMSBVI Computer and Information Technology operations staff.

#### 2.1.3. Plans for Disaster Recovery

IS has regular backups of the information on ClickScan and an alternate server location, as described in Section 1.3.5.

### **Steps Involved in the Retrieval and Disposition of Records**

Retrieval of records requires an account on ClickScan to access the relevant records. Security is assigned to records based upon their series at the time of capture into ClickScan. Without an account, users will not be shown either the record or an entry for it in any search list.

Any record in the list may be displayed in the viewer by selection (mouse click or keystroke) from the list. Any record shown in a viewer may have an annotation attached, but may not be added to, deleted or modified.

Using the ClickScan access screen, a user will be able to perform relational searches for records they are authorized to view, including the ability to use wildcards, and/or and not qualifications.

Disposition of originals: A standing agreement with the owing departments will confirm that the Records Center can dispose of records which have been imaged. The following procedure will be used for disposal:

Document images are visually reviewed during the indexing process, with spot checks for quality by the Records Management Specialist (RMS). A minimum of six months after they have been scanned and captured, paper originals will be listed on a disposition request to the New Mexico

State Records Center. When permission to dispose has been obtained, the paper originals will be disposed of in accordance to 1.13.30 NMAC Destruction of Public Records.

Disposition of images: Records stored within the Records Center will be disposed of in a manner in accordance to 1.13.30 NMAC Destruction of Public Records and NMSBVI records policy, as they are now. Disposition lists of records that have met their retention period will be supplied to the owners, and if they grant their approval in writing, the records will be destroyed. Destruction will employ automatic techniques and remove the image completely. Administrative level privileges to the Records Center are required to initiate a destruction activity; therefore, it can only be performed by the RMS or ClickScan Administrator.

#### 2.1.5. Staff Roles and Responsibilities

##### Computer Information Systems (IS):

ClickScan System Administrator: The ClickScan Administrator has been trained by the ClickScan software vendor on the proper maintenance of the system, including the installation of upgrades. The ClickScan Administrator is the only individual authorized to grant access to ClickScan. Only records staff will have permission to add documents. Record owners will only obtain view permission.

Network Personnel: NMSBVI's network staff ensures that the LAN connections necessary for the components of ClickScan to operate are working properly. It is their responsibility to ensure that the database operates with high availability, as well as work with the ClickScan Administrator to install patches and upgrades as required.

Operation Staff: NMSBVI's IS operations staff monitors the status of the ClickScan server and the performance of regular backups. They summon other expertise as needed to address problems, such as hardware repair.

IS Manager: The Manager of the IS department will be responsible for monitoring his staff's work and ensuring that appropriate procedures are being followed.

##### Records:

Records Management Specialist: (RMS) will perform document preparation, scanning, and QA/Indexing, and will be responsible for ensuring image quality and proper indexing. RMS is also responsible for the proper conversion of paper records in the Records Center into ClickScan.

#### 2.1.6. Staff Maintenance of Operation Logs

The following operational logs will be maintained:

- Capture Log  
Maintained by the RMS as he/she converts paper records to electronic format. This log follows a batch of records from preparation through scanning to quality assurance and indexing. Repairs and scanning corrections are also recorded here, including rescans, copying to improve legibility or observed gaps in the paper originals.
- Error Log  
Maintained by the RMS.  
This log records any problems in accessing or using records from the system, and the action taken to correct the problem.
- Disposition Log  
Maintained by the RMS.  
This log is an existing record of the disposition of records. It indicates approvals by record owners of records that are past their retention period, and the disposition activity. The log

is now extended to include reports and the disposition of electronic records. A new section of this log book will contain the record of the proper destruction of paper originals after their conversion to electronic form.

- Backup Log  
Maintained by IS Operations Staff.  
Computer Associates BrightStor has a log file that is used for backups.

#### 2.1.7. Monitoring, Controlling and Verifying the Accuracy and Integrity of Imaged Records

The record conversion process is described in Section 2.1.1. Once conversion is complete, users will be able to view records (dependent on their security) but do not have the privilege to add, delete or modify contents or indices. These rights are reserved to the Records Center. All additions, deletions and modifications are automatically logged by ClickScan. Periodic checks will verify that records are accurate.

Access to the hardware and database that support ClickScan is granted to authorized IS staff.

#### 2.1.8. Designing, Implementing, and Documenting Quality Control

As mentioned elsewhere in this document, record quality is verified both at the conversion stage and through usage and manual and automatic checks.

Image quality will be assisted by automatic enhancement features in the scanning subsystem. Capture procedures include both human review of images and automatic validation of index information against the ClickScan system.

After conversion, records will be checked by manual and automatic checks and user activity.

Conversion and maintenance tasks are documented through the use of manual and automatically produced logs.

#### 2.1.9. Attesting to the Accuracy and Validity of Records at the Time they are created

The RMS or designee will be able to attest to the accuracy and validity of records due to the documented and maintained processes by which they are collected, stored and converted to digital form.

Record owners attest to the accuracy and validity of record originals at the time they are transferred to the Records Center. They are responsible for documenting and maintaining the procedure by which they are collected and stored while in active use. The RMS has a role NMSBVI-wide to assist in the development and review of the maintenance of these procedures.

Once transferred to the Records Center, they are maintained in a controlled access facility, and boxes are tracked using the physical storage features of the records management database.

When converted to digital form, the process and logs described here will support any claims as to their accuracy versus the paper originals.

#### 2.1.10. Developing and Following Systematic Steps for Data Entry

As described in Section 2.1.1. above, data entry will be a part of the indexing process. Each record series will have an entry screen that requires the necessary indexing fields.

#### 2.1.11. Retaining any Specially Written Extraction Programs and Producing Labels for Media Produced.

An extraction program will be used to extract records for copying onto CD-ROM. Records are selected using a relational search against the ClickScan contents. Information will be grouped into

CD-ROM sized sets, including both the electronic records and a text index that relates each record file and its stored metadata. The same tool can be used when migrating records from the existing system to a future replacement. No special conversions of information will be needed since industry standards are being used throughout.

#### 2.1.12. Documenting Problems and their Resolution

As described above in 2.1.6., all problems and their resolution will be documented in the appropriate log. System operation and backup problems will be documented by the IS staff. Record creation, use, and disposition problems will be documented by the RMS.

#### 2.1.13. Documenting that Procedures are followed

All records creation or disposal activities will be logged, using both internal software produced logs and manual logs. The RMS will be responsible for reviewing that the related procedures are being followed.

System backup and maintenance activities will be logged by the IS staff as a part of their normal tasks. The Manager of IS will be responsible for seeing that these procedures are being followed.

#### 2.1.14. Maintaining Records for Inspection

The contents of ClickScan are available for inspection at any time. All activity logs will be maintained by the RMS and available for review by internal and external auditors and examiners.

#### 2.1.15. Documenting Methods for Ensuring Record Access, Usability and Understandability

This process is designed to ensure that records are properly imaged for legibility and completeness and properly indexed to ensure access.

The end-user methods for access to records will be documented.

### 2.2. **Management shall plan for the provision and maintenance of adequate facilities that ensure the converted and stored records will be accessible, useable and understandable.**

All users of the imaging system will be provided with personal computer workstations that meet the minimum requirements for the display of records. Any valid ClickScan user who can access screens related to stored records will be provided a button that will access related records.

### 2.3. **Management shall plan for document and test procedures for scanning and indexing records prior to implementation.**

The document, prepared before acquisition or implementation, represents management's advance development of these procedures. See Section 2.1.1.

### 2.4. **Management shall provide for formal instruction and training in system operation and maintenance, including image input, process and retrieval. Training and support programs shall be put in place to ensure that staff understands the policies and procedures.**

As mentioned above in 2.1.1., the Records Management Specialist will initially be trained by the software vendor to use and maintain the scanning software and hardware. New employees will be trained by existing staff. This activity is the responsibility of the RMS.

System administration training will be provided by the vendor to the RMS and the ClickScan Administrator. The RMS or designee will be the only individual with access to the records system and/or manipulate records as required. The Computer Information Technology staff access to the system will be limited. New employees will be trained by existing staff.

Retrieval training will be provided to the RMS. The initial class will be provided by the software vendor; future training will be through a short written tutorial produced by the vendor, as well as peer training. As designated employees will be retrieving records through the use of a function key attached to a ClickScan screen, minimal training will be required. The IS and RMS will assist with end-user training and problems.

NMSBVI already has a regular records education program in place to educate users on basic record concepts and NMSBVI records policy. This is provided by the RMS.

**2.5. Management shall establish controls that monitor the accuracy and authenticity of data, the continued reliability of hardware and software, and the integrity and security of the system. [See 1.13.70 NMAC Performance Guidelines for the Legal Acceptance of Public Records]**

NMSBVI believes that the processes it has described for converting paper records to digital form, the security that is imposed by the system and upon the records kept within, and the processes for providing disaster recovery will support legal acceptance of records produced. They will be kept in written form, with periodic reviews of conformance. Operational logs for all stages of the record lifecycle (conversion, storage and disposition) will support such statements.

The records themselves will be kept in a format (TIFF) that has been legally accepted, and may be printed as needed.

All of this will permit the NMSBVI Records Custodian, Records Management Specialist or designee, to properly certify, present and defend scanned records in a legal proceeding.

**2.6. Management shall establish controls that provide for the testing of procedures to ensure that the procedures accomplish their purpose.**

NMSBVI has established a number of controls to review the performance of imaging system procedures. As described elsewhere:

- The RMS will review all record conversion activities and make periodic checks of imaged records. This review will ensure that the conversion procedure is being followed.

**2.7. Management shall ensure that the proposed imaging system provides adequate information to fulfill the requirements of state and federal law.**

The RMS, by regular review of records management procedures, ensures that all required information is being maintained within NMSBVI. The procedures used to convert the records entrusted to the Records Center will ensure that no records are lost or corrupted. The RMS will ensure that the identical records retention schedules and procedures will apply to imaged records as well as the paper originals. This will ensure that no information is lost and legal requirements are met.



**2.8. Management shall ensure that the imaging process or system can be shown to be trustworthy in producing accurate results.**

Electronic images do not deteriorate as do paper or film records. Electronic techniques are applied to ensure that any errors in the magnetic storage will be detected and corrected.

Tampering is unlikely, based upon the security features of ClickScan. However, any changes or deletions are logged, and the original may be restored from backup media.

The RMS will perform regular quality assurance checks to ensure that the system is trustworthy. This will check both the image quality and associated indices. These checks will occur at the time of conversion and periodically on a random selection of records.

IS will assist in the periodic checks by running validation checks between the server and ClickScan. A test will be performed to ensure that all records referenced in the relational database are being retained and have corresponding digital files. All digital files should have a reference in the relational database.

**2.9. Management shall ensure that the system creates or compiles records in the normal course of business to support the described function or activity.**

This system will collect records after the transaction is complete and the paper original is transferred to the Records Center. This is an existing NMSBVI procedure. Records will be converted after they are transferred from the owning department. The conversion schedule for records will be dependent upon expected activity of the RMS.

The normal business process will not be altered from its current operation.

**2.10. Management shall ensure that the system preserves information over time in identical or functionally equivalent form to the original information.**

Record images will be reviewed for quality and completeness at the time of capture. Once held in ClickScan, users will not be able to modify or replace them, only add annotations. Originals will be held until several complete backups have been run, ensuring that a system failure will not jeopardize any information.

**2.11. Management shall ensure that records are kept in an understandable form and ensure that they can be made accessible within a reasonable amount of time, and within the time established by law.**

Records will be stored in a non-proprietary format (TIFF, PDF, GIF and JPEG) viewable by a number of tools, including those provided with Microsoft Windows.

**2.12. Management shall ensure that the records are organized in a manner that facilitates retrieval.**

Records will be indexed according to the fields described in Section 1.3. Technical Description. This will permit searches to easily locate items. In addition, most records will be indexed to a ClickScan transaction, which will permit them to be retrieved directly from screens through a button.

**2.13. Management shall determine if special equipment has to be provided to display the records or to print copies of them.**

No special equipment will be needed to display records, beyond the minimal personal computer configuration described in section 1.3.3. User workstation. Copies may be printed using existing laser printers in the end-user offices.

### **3. Disposition of Records**

- 3.1. **For disposition of original records created from 1950 to present, refer to 1.13.30 NMAC Destruction of Public Records.**

Once the imaged records have been reviewed for completeness and readability, the original records will be put aside. Monthly, all originals which have completed quality assurance will be itemized on a request to the NM State Records and Archives for disposition approval. When granted, the originals will be disposed of in accordance with 1.13.30 NMAC Destruction of Public Records.

- 3.2. **Original records of the state from 1912 to 1950 (the American territorial, the Mexican Republic, and the Spanish colonial periods) shall be transferred to the SRCA after the imaging and verification process is complete.**

Not applicable, since records to be imaged are more current.

- 3.3. **For disposition of imaged records (masters and working copies) whose legal retention has been met, refer to 1.13.30 NMAC, Destruction of Public Records.**

A report will be produced identifying all records that have met their retention period. This report will be circulated to the record owners for approval. Those records that have been approved for disposal will be expunged using the imaging system's provided tools. These tools may only be used by either the ClickScan Administrator or the Records Management Specialist. The disposition report will be filed as a Destruction of Records File from the New Mexico State Records Center & Archives. Any record copies that exist on backup media will be destroyed as a normal part of the backup cycle.

### **4. Five Year Review, Amendments and Modifications**

NMSBVI will adhere to the requirements as outlined in NMAC 1.14.2.16(D) guidelines. This plan will be revised and re-presented for approval as NMSBVI expands its use of ClickScan.

**Exhibit (A) Table - Record Series Identified for Imaging**

Schedule Number	Record Series Name	Retention Period
1.15.5.409	W-2 Forms	five years after close of calendar year for which created <b>Electronic Records is the Official Copy</b>
1.20.2.101(3)	Student Cumulative Education Record File	Five years after submission of final expenditure report by NM department of education <b>Electronic Records is the Official Copy</b>
1.20.2.101(4)	Student Cumulative Education Record File	Two years after students last attendance <b>Electronic Records is the Official Copy</b>
1.20.2.102	Special Education Records	After completion of special services to the child but not sooner than five years after completion of the activities funded under grant award <b>Electronic Records is the Official Copy</b>
1.20.2.109	Students Attendance Record	One year after end of school year <b>Electronic Records is the Official Copy</b>
1.20.2.111	Students Absence Record	One year after end of school year <b>Electronic Records is the Official Copy</b>