# MINUTES OF THE DIGITAL DOCUMENT IMAGING SUBCOMMITTEE

## 27 JANUARY 1999

**Members Present:** Charles Arp, Dale Darnell, Joe Dickman, Suzanne Farrar, Laurie Gemmill, Gary Heinze, David Larson, Eric Mays, Mark Schmidbauer, Deborah Swank, Jane Wildermuth

**Members Absent:** Bob Myers, Carol Volle, Jim Wasil

Note: Mark Schmidbauer (Bureau of Workers Compensation) acted as chair for Jim Wasil

I.   Introductions - Members introduced themselves.

II.   Charles Arp, gave an overview of the work of the Electronic Records Committee, the draft electronic records policy, creation of subcommittees, then reviewed the charges to the subcommittee.

Subcommittee Charges:

- Creation of a set of guidelines for imaging material that has a retention period of less than ten years

- Creation of a set of guidelines for imaging material that has a retention period of greater then ten years

- Consider if documents with retention periods of great than ten years should be destroyed after imaging; if so under what criteria?

- Review/revise "Draft General Requirements for Imaging Systems"

III.   Mark Schmidbauer began discussion of general categories necessary to consider for guidelines. The scope, purpose and goal for the subcommittee was discussed and it was considered that "imaging" is too broad a term. In an effort to be more precise, it was agreed that the following was our focus:

*Digital Document Imaging - Conversion, storage, and distribution of information displayed by but not directly modified by a computer.*

It was agreed that perhaps there should be two sets of requirements, short and long term requirements as well as a section on Issues to Consider when deciding whether to utilize Imaging Systems.

IV.   Definitions/further work is necessary in numerous areas. The following are areas that need to be worked on, the name of the people responsible for

working these areas is in brackets. Some of the issues which arose during discussion of each point are also included.

**Standards** [Dale Darnell]

- Does AIIM/ANSI have definitions for general terms, recommended formats, etc.?

**Acceptable Format/Application Driven Formats** [Jane Wildermuth]

(some of this may come out of Standards)

- Are there standard file formats for specific purposes?
- Categories of formats?
- Should we define acceptable formats for specific purposes?
- Levels of scanning, dpi, grayscale vs. color, quality levels for scanning different materials such as blueprints, printed materials, photographs, etc.

**DRP - Disaster Recovery Plan** [Gary Heinze]

- Disaster Preparedness - hardware and software necessary, data migration, etc.
- Back-up - [Mark Schmidbauer]

**Arching of Data** [Arp]

- Long term storage as opposed to archiving for backup which is part of disaster recovery

**Destruction of Data** - [Eric Mays]

- Legal definition? Acceptable means? Certification?

**Permanent & Specific Terms** [Dave Larson/ Charles Arp]
- Guidelines for permanent retention
- Guidelines for short term/specified term retention of images

**ROI - Return on Investment** [Joe Dickman]

- Model for determining when imaging technology is a sensible option.
- We should include questions which agencies should ask themselves and vendors when considering imaging.

**DOCUMENTATION**

**Security** [Deborah Swank &; Suzanne Farrar]

- What level of security is there, what precautions should be taken?

**Quality Control** [Swank &; Farrar]

- What level of quality control will be pursued for what length of time?

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**Data Integrity** [Laurie Gemmill]

- What measures should be taken to ensure data integrity?

**Procedures** [Gemmill]

- Ensuring that all procedures are documented

**Indexing** [Darnell &; Gemmill]

- Access points, need for multiple ones

V. Each person/group will formulate a response to these issues and post them for discussion within the next two weeks; this discussion will take place on a separate Imaging Subcommittee listserv which is being created. The address will be [ercimag@list.opp.state.oh.us](mailto:ercimag@list.opp.state.oh.us). [non-functioning address - 2011]

VI. The next meeting is scheduled for Wednesday, March 3, 1999 at 1:30 p.m.

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## 3 MARCH 1999

**Members Present:** Charles Arp, Dale Darnell, Joe Dickman, Suzanne Farrar, Laurie Gemmill, Gary Heinze, David Larson, Eric Mays, Mark Schmidbauer, Deborah Swank, Jane Wildermuth

**Also Present:** Lucy Grosz (Ohio Department of Human Services), Shervelda George (Ohio Historical Society intern)

**Members Absent:** Bob Myers, Carol Volle, Jim Wasil

Note: Jim Wasil regrets that he will be unable to continue as chair of the subcommittee and has asked that Mark Schmidbauer take over his responsibilities.

I. Reading/review of minutes from first subcommittee meeting.

II. subcommittee members reported on areas they researched. General discussion followed each report. Reports are listed below with some of the comments made during the discussion.

### QUALITY CONTROL - DEBBIE SWANK/SUZANNE FARRAR

- See handout for report.
- Suggestion that each agency should determine their own level of necessary quality control. The subcommittee will issue general recommendations, reference ANSI standards and include several scenarios/examples.
- One suggestion was that when beginning a new project, 100% quality assurance should be done. As quality is maintained, then level of quality control can be decreased dependent upon the needs of the agency. However whenever a substantial change is instituted such as a new scanning project, new scanner operator, new hardware or software, quality control should return to 100%.

### AUDITS - SWANK/FARRAR

- See handout for report.
- Audits should be conducted periodically, at least twice a year, and after any major changes.
- Audits should review the process, personnel and sample of the output to see if the quality if acceptable. Agencies should consider the value of having outsiders conduct the audits to gain feedback.

### SECURITY - SWANK/FARRAR

- See handout for report.

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### DISASTER PREPAREDNESS &; RECOVERY - GARY HEINZE

- See handout for report.
- Redundant Sites/Hot Sites - idea of having hardware, software and output duplicated in another physical location so that in the case of disaster, work can continue. Audits should include checks to insure that the redundant sites mirror the hardware and software specifics of the original site.

### BACK-UP - MARK SCHMIDBAUER

- See handout for report.
- No changes.

### DATA INTEGRITY - LAURIE GEMMILL

- See handout for report.
- Idea that data integrity and quality control should be combined was approved

### PROCEDURES - GEMMILL

- See handout for report.
- Included a section on technical documentation.

III.   As we were unable to review all work, Mark Schmidbauer suggested that each person/group post their reports to the list (ercimag@list.opp.state.oh.us) within the next two weeks. Others should re-post original reports with any changes resulting from committee discussions. Further discussion can then take place via the list and additional progress can be made.

IV.   The next meeting is scheduled to be held Wednesday, 7 April 1999 at 1:30 p.m., in the 3rd Floor Archives/Library Conference Room, Ohio Historical Center.

# MINUTES OF THE DIGITAL DOCUMENT IMAGING SUBCOMMITTEE

## 7 April 1999

**Members Present:** Charles Arp, Joe Dickman, Suzanne Farrar, Laurie Gemmill, Gary Heinze, David Larson, Eric Mays, Mark Schmidbauer, Deborah Swank, Jane Wildermuth

**Members Absent:** Dale Darnell, Bob Myers, Carol Volle, Jim Wasil

I. Approval of minutes from previous subcommittee meeting.

II. Review of each section for final editing and/or approval.

- Review and approval of "Quality Control" section.

- Review of "Security" section. After discussion, it was decided to delete the first paragraph, it was then approved.

- Review and approval of "Procedures Documentation" section.

- Review and approval of "Technical Documentation" section.

- Review and approval of "Backup" section.

- Review of "Destruction/Disposal" section. A few suggestions were made, Eric Mays will make edits, re-post to the list, where it can be approved.

- Review of "Formats", "Levels of Scanning" "Archiving of Data", and "Guidelines for Permanent Retention vs. Short Term Retention". After discussion, Charlie Arp decided to re-write this section and post it to the listserv for discussion.

- Review of "Imaging Cost Considerations". Joe Dickman will make a change, then re-post to the list, where it can be approved.

- Review of "Document Imaging Standards". After discussion it was decided that most of this portion will be integrated into other areas, including the introduction.

- Review of "Disaster Preparedness and Recovery". Gary Heinze will edit this section then re-post to the list for discussion and approval.

III. It was decided to draft some additional sections.

- Charlie Arp will draft an Introduction. It will include information on appropriate uses of technology, records management (retention and disposal), and quality control (examples of what happens, what acceptable levels of quality are).

- Joe Dickman will draft a section on Document Preparation and Scanning.

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**IV.**   The subcommittee needs to submit an interim report to the Electronic Records Committee (ERC). Charlie Arp and Laurie Gemmill draft a repot and send it to Mark Schmidbauer for comment. It will then be forwarded onto the subcommittee members via the listserv on 19 April. Members will have until 26 April to comment. The interim report will be submitted to the ERC at its May meeting.

**V.**   The next subcommittee meeting is scheduled to be held Wednesday, 2 June 1999 at 1:30 p.m., in the 3rd Floor Archives/Library Conference Room, Ohio Historical Center.

# MINUTES OF THE DIGITAL DOCUMENT IMAGING SUBCOMMITTEE

## 2 June 1999

**Members Present:** Charles Arp, Joe Dickman, Suzanne Farrar, Laurie Gemmill, Gary Heinze, David Larson, Eric Mays, Mark Schmidbauer, Deborah Swank, Jane Wildermuth

**Members Absent:** Dale Darnell, Bob Myers, Ed Rawson, Carol Volle, Jim Wasil

I. Approval of previous subcommittee meeting minutes.

II. Mark Schmidbauer reported on the May Electronic Records Committee (ERC) meeting. The ERC received the Digital Imaging Subcommittee Interim Report. The final imaging guidelines will be presented at the ERC September meeting.

III. Review of Draft Introduction

Some editing changes were suggested. Discussion continued regarding scanning historical records, records with retention periods of more than 10 years, and short-term records. Charles Arp and David Larson will work on phrasing of introduction.

IV. It is necessary to bring all draft portions together into one draft set of guidelines before further comment. Laurie Gemmill and Charles Arp will compile drafts, then format and edit them. We received permission from the Alabama Department of Archives and History to use their imaging guidelines as a model for Ohio's guidelines. The first draft of the guidelines will be issued via the listserv by June 23. All subcommittee members should review the guidelines and submit suggestions, comments, etc. Discussion can take place via the listserv. All comments must be received by July 20 for inclusion into the second draft that will be discussed at the next meeting.

V. The next subcommittee meeting is scheduled to be held Wednesday, 28 July 1999 at 1:30 p.m., in the 3rd Floor Archives/Library Conference Room, Ohio Historical Center.

# MINUTES OF THE DIGITAL DOCUMENT IMAGING SUBCOMMITTEE

## 28 July 1999

**Members Present:** Charles Arp, Joe Dickman, Suzanne Farrar, Laurie Gemmill, Gary Heinze, David Larson, Eric Mays, Mark Schmidbauer, Deborah Swank, Jane Wildermuth

**Members Absent:** Dale Darnell, Bob Myers, Ed Rawson, Carol Volle, Jim Wasil

I. Members reviewed current version of draft guidelines. Several points were discussed and approved. Laurie Gemmill will edit the guidelines to reflect comments, then post to the ERC website. The draft guidelines will be available for review and comment for 60 days.

II. The draft guidelines will be presented to the Electronic Records Committee (ERC) at the 14 September 1999 meeting for potential implementation.

III. A periodic review of these guidelines was suggested, possibly on an annual basis.

IV. Further editing may be necessary depending upon the outcome of the ERC meeting, but no further meetings of the subcommittee are planned at this time.

V. Mark Schmidbauer and Charlie Arp thanked the subcommittee members for their work. Suggestions for future subcommittees were solicited.