

Title: Document Imaging, Quality Assurance Standards
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Quality Standards

The level of quality to be obtained through the imaging process will be dictated by the retention and/or legal requirements associated with the records; the quality of the source (original) document, the equipment/software; and processing techniques.

Quality Assurance

Every imaging project associated with College records will have a corresponding audit. In some instances a random audit may satisfy this requirement, but the majority of the projects will have a full audit component. Full audits are required when (1) records have a mandated retention, and (2) the source documents are destroyed after being scanned.

Audit serves three primary purposes: To ensure that (1) the source document has been captured and the document information has not been compromised, (2) images meet established standards, and (3) the Scan operator has applied consistent procedures, therefore, providing feedback to the scan operator in relationship to equipment problems and/or procedural issues.

A visual quality control evaluation will be performed by comparing the source document to the scanned image and related index data. Two quality checks will be performed: (1) during the scan process and (2) after the scan process following the system back-up process. The second quality check will be a full audit or a random audit based upon record retention requirements and the project process.

The second quality check or final audit is performed to ensure that all documents entered into the imaging system will be available with the necessary quality and accuracy of the index information. Records must pass the final audit prior to the destruction of the original documents.

Each quality check includes, but is not limited to the following components:

- Verification of Folder and Document Type
- Verification of the Index information
- Verification of the completeness of the system file as compared to the paper file
- Verification of the quality of images according to the project's quality standards
(Note: Quality of the image is dependent upon the quality of the source document)

Full Audit

A final audit of all scanned documents will be performed by the record auditor. After the final audit has been completed and passed inspection, the originals are eligible for destruction.

Random Audit

A final audit of scanned documents will be performed by the record auditor by performing a random sampling of the files. A random audit will be performed on five percent (5%) of the project files by batch and scan operator.

If the result of the random audit indicates an error rate of four (4%) percent or greater, the entire box/batch of records must be audited. The auditor records the findings on the audit log.

Audit Logs

The auditor records the details of the audit each day. The project coordinator or and scan operator reviews the logs daily to determine if corrective action is needed.