

CHAPTER 13

ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) REQUIREMENTS

PURPOSE:

The purpose of this procedure is to establish requirements for electronic records scanned/imported into the Department's Electronic Document Management System (EDMS), and to ensure those records are legible, complete and retrievable.

AUTHORITY:

Chapter 119, Florida Statutes (F.S.)
Sections 20.23(4)(a) and 334.048(3), F.S.
Chapter 1B-26.003; and Rule Chapter 71A-1; Florida Administrative Code (F.A.C.)

SCOPE:

This procedure applies to all offices that store records in any Department electronic document management system (EDMS).

REFERENCES:

ANSI/AIIM MS44-1998 (R1993) - Recommended Practice for Quality Control of Image Scanners

ANSI/AIIM MS52-1991 - Recommended Practice for the Requirements and Characteristics of Original Documents Intended for Optical Scanning

ANSI/AIIM TR15-1997 - Planning Considerations, Addressing Preparation of Documents for Image Capture 6

050-020-025 Records Management

Chapter 12 of this Manual

025-020-002, Standard Operating System

TRAINING:

OIS will offer training to offices using the enterprise EDMS. The scanning/importing office manager is responsible for providing training to assist users in complying with the requirements in the office's local EDMS procedure.

FORMS:

The following form is available from the Department's Forms Library:

Records Disposition Request, Form No. 050-020-06

DEFINITIONS:

Application Owner (AO): The manager responsible for the business area supported by the Enterprise Electronic Document Management System (EEDMS).

Complete - An electronic record is complete when all original source document pages have been scanned into the EDMS and a manual page count has been performed to compare the number of original pages to the number of electronic pages scanned.

Document Preparation (also known as "Prepping") - Those activities designed to prepare a document to be scanned. This includes tasks such as inventorying pages, unpacking, unfolding, unbinding fasteners (removing staples, paperclips, etc.), repairing damaged pages, smoothing out pages, rotating pages and inserting identifying materials such as separator sheets, and setting scanners for single or double sided copies.

EDMS - Electronic Document Management System. EDMS is an electronic recordkeeping system that allows for the storage and retrieval of electronic records.

Enterprise EDMS (EEDMS) – The Department's approved enterprise EDMS application (currently Hummingbird DM).

Enterprise System Owner – The central office SMS or traditional SES manager responsible for the function supported by the statewide EDMS. For example, a statewide Construction EDMS or a statewide Engineering and Design EDMS.

Independent EDMS – Any EDMS that is not part of the enterprise EDMS.

Indexing – The process of recording the specific structured data that describes the electronic records in EDMS.

Local EDMS Procedure – This local EDMS procedure describes in detail the EDMS quality assurance (QA) and quality control (QC) requirements for an office within a

business area, including specific requirements for operating scanning hardware, providing a quality control sampling methodology, and rescanning bad documents. See **Topic No. 025-020-002, Standard Operating System, Sections 2 and 12.**

Import - Taking a document that already exists in electronic form, converting the file format to TIFF, if needed, and storing it in the Department's EDMS.

One-Location EDMS - An enterprise EDMS involving records being scanned exclusively for a single location or office.

Quality Assurance (QA) Tasks – For the purposes of this procedure, the tasks performed to design the office's EDMS process, assign accountability for tasks throughout the process, identify quality control methods and tasks to be performed at designated stages of the process, and preparation of a detailed local EDMS procedure for that office. Personnel from the Business Systems Support Office (BSSO), Office of Information Systems (OIS) will assist the scanning/importing office in the development of a detailed local EDMS procedure.

Quality Control (QC) Tasks – For the purposes of this procedure, the daily inspection and testing tasks performed by the scanning/importing office to ensure that documents placed in the EDMS are legible, complete, and retrievable. These daily quality control tasks and the office personnel responsible for performing them are specifically identified in the office's local EDMS procedure.

Statewide ED S - A statewide ED S involves records being scanned at multiple locations throughout the state for a single business area such as Construction, Structures maintenance, Survey and Mapping, Engineering and Design, etc.

TIFF - Tagged Image File Format

13.1 GENERAL INFORMATION

13.1.1 Core Elements of Electronic Records Management

Records created and/or maintained within any of the Department's EDMS shall serve as the official record copy if the source record was created for or by the Department. It is the Department's intent that once records have been scanned and record destruction requirements have been met, a request to destroy the paper records will be submitted using **Form No. 050-020-06, Records Disposition Request.**

13.1.2 Scanned/imported image quality and effective indexing protocols must be established and documented in detail in an office's local EDMS procedure.

13.1.3 All retention requirements applicable to a specific paper document also apply to an electronic copy of that document. Refer to **Topic No. 050-020-025, Records Management and Distribution**.

13.1.4 The application owner will be responsible for ensuring the internal business area EDMS process is documented in a local procedure and adhered to by their respective business area. This local procedure should answer the “what, when, where, who, why, and how” for each significant stage or phase of that office’s EDMS process, and must identify the quality controls being relied upon to provide the Department’s management with sufficient assurance that electronic documents produced are legible, complete, and retrievable.

13.1.5 In developing enterprise EDMS processes, personnel from the Business Systems Support Office, Office of Information Systems (OIS) will work with offices to develop local EDMS procedures that identify the process that, when adhered to, will provide the Department’s management with sufficient assurance that scanned/imported documents are legible, complete, and retrievable. The local EDMS procedure must, at a minimum, address the following:

- Process control requirements to prevent defects, scanning, and roles and responsibilities
- Indexing/Attribution standards
- Document tracking process that will identify documents that need to be scanned/imported
- Testing and sampling method
- Quality control requirements to detect defects and ensure document legibility, completeness, and retrievability
- Backup and offsite storage

13.1.6 The Office of Information Systems will be responsible for backup and offsite storage requirements for offices that are establishing an enterprise or one-location EDMS.

13.1.7 Offices that establish an independent EDMS must comply with all requirements in this procedure. These offices must also ensure the appropriate backup and offsite storage requirements are complied with.

13.1.8 All procurement requirements will be complied with in the purchase of approved EDMS equipment.

13.2 FRONT END ACTIONS AND QUALITY CONTROL (QC) MEASURES

13.2.1 The overall acceptance and success of the Department's EDMS will depend on the successful completion of all appropriate quality assurance tasks, including detailed planning for each office's EDMS process, followed by the implementation of quality control inspections and tests for "front end" prepping, scanning, and indexing functions. The front-end activities are labor intensive. Scanning/importing offices must pay very close attention to front-end activities to ensure the image quality of the documents scanned/imported into the EDMS is maintained. If the quality of images prepared for electronic storage is poor, then the electronic images will be impaired. Additionally, offices must also pay very close attention to ensure a high quality of indexing is maintained for later retrieval of the documents. If the quality of the indexing is poor, then documents may not be retrievable. The following actions will help ensure the quality of the electronic records is maintained:

- (A) Each office shall develop equipment-specific QC tasks to preserve the quality of images as well as the quality of indexing operations. These quality control tasks will be identified in the office's local EDMS procedure.
- (B) Scanning/importing offices are responsible for ensuring the performance of daily QC tasks for scanning, indexing, and retrieval. The central office enterprise system owner is responsible for conducting a review of each scanning/importing office's local EDMS procedure and operations to ensure document scanning operations comply with the requirements of this procedure as part of their quality assurance review (QAR) plan for district functions.
- (C) The Department's Records Management Liaison Officer, Office of Support Services, is responsible for conducting QAR's of central office units using a one-location EDMS. QAR's of district units using a one-location EDMS will be conducted by the District Records Management Coordinator.

13.3 SCANNING/IMPORTING AND INDEXING REQUIREMENTS

13.3.1 Calibration and Maintenance

The scanning/importing office's local EDMS procedure must include a requirement with accountability for ensuring that calibration and maintenance of the scanners is conducted based upon the manufacturer's recommended schedule.

13.3.2 Verification and Inspection

The scanning/importing office's local EDMS procedure must include a requirement

with accountability for ensuring that visual image inspection of scanned/imported documents is performed to verify the retrievability, legibility, page count and accuracy of the documents that have been stored in the Department's EDMS.

13.3.3 QC Sampling Method

The scanning/importing office's local EDMS procedure must include a requirement with accountability for ensuring the readability of electronically stored images by identifying a testing/sampling method. When an office initially starts scanning/importing documents into the system, it must sample 100% of the images stored in the system and achieve 100% accuracy for the specified time period stated in its local EDMS procedure. When the complete EDMS process is functioning as designed, (prepping, scanning/importing, indexing, and retrieval), sampling may be reduced in accordance with the QC standards stated in the office's local EDMS procedure, but not to less than 10% with 100% accuracy.

13.3.4 Unacceptable Documents

If the results of the QC tasks identify a document that did not comply with the scanning/importing requirements (legible, complete and retrievable) the document or relevant pages should be immediately re-scanned/re-imported and reviewed again to prevent document loss. When the re-work is successful, the defective electronic record must be deleted. Each office must stamp or hand-write the following statement on every original page to be scanned that is illegible: "Due to the illegibility or condition of the source document, the electronic copy of this page may not be legible."

13.3.5 Quality Control Testing

13.3.5.1 At the beginning of each scanning/importing day, the first document scanned and/or imported will be considered a test document. If the scanned and/or imported test document is properly indexed, legible, and complete, it shall be printed and the printed output reviewed for legibility. If the printed output is legible, then daily production scanning/importing may continue.

13.3.5.2 Images of test documents will be viewed on a monitor and compared with the original copy and the printed copy. The print quality must be good enough so that it does not produce any image distortion such as wavy lines, dark or light spots, or misalignment. If the printed copy is not acceptable, the printer must be checked and repaired if needed. If the problem is not printer related, the scanner must be checked and repaired if needed.

13.3.5.3 QC testing will be repeated until acceptable results are achieved. The printed test document will be used for comparison to the test image on the screen. The

on-screen image is to be viewed at a 1:1 ratio in order to avoid reduced resolution and windowed images.

13.3.5.4 If the QC testing is not successful, it must be assumed that either the scanner or another component is not working properly and additional corrective maintenance must be performed until the problem is identified and corrected.

13.3.5.5 There are times when equipment testing will need to be done more than once a day. Test documents must be scanned, printed, and subjected to the above QC testing after:

- Maintenance or repairs have been performed on any equipment used to scan.
- The scanner has been recalibrated for any reason.
- Scanner hardware or software settings have changed.

13.4 DAILY OPERATIONAL PRACTICE AND TEST REQUIREMENT

QC testing must be performed each scanning/importing day. As a recommended practice, if more than one individual is responsible for scanning/importing, each individual should perform QC tests on documents scanned/imported by the other employee. The QC testing shall include test retrievals and visual inspections that are equal to, based on the document index, a 10% random sampling of the scanned/imported documents stored that day.