
Chapter 8 Preparing Documents for Scanning

This chapter discusses how to prepare documents which will be added to NIRIS before shipment to scanning agencies. Properly preparing the documents helps ensure that document scanning is done efficiently and correctly.

Pre-Scanning Quality Control

Paper Versions of Documents

- Ensure that all pages are part of the document under review.
- When the first error, including missing or damaged pages, extra pages, misprinted pages, etc., is found, notify the appropriate Project Manager and return the document to the issuing agency, contractor, or document creator

- Request a corrected copy of the document from the Project Manager or have the COR contact the issuing agency, contractor, or document creator to provide a corrected copy

- Provide the following information, as appropriate and/or necessary, in the transmittal form when returning records with discrepancies to the issuing agency, contractor, or document creator. Command policies vary; consult your Environmental Records Manager
 - Contract Number or Contractor Name
 - CTO or DO Number
 - Record Title
 - Record Date
 - List of missing pages or other Items from the document
 - Administrative Record Number

- If a document has multiple volumes, verify that all volumes have been received

- Before scanning, remove blank pages ONLY. Do not remove pages marked with notations such as “This Page Intentionally Left Blank”, page numbers, etc.

- Do not remove TAB sheets. Ensure the page following the tab appropriately identifies appendices, figures, tables, attachments, enclosures, etc.

- On occasion, pages with maps, figures, tables, etc., are not numbered and one or two consecutive page numbers have been skipped.

- Place the next appropriate page number on the blank page(s) and the notation, 'This Page Intentionally Left Blank' to let readers know that pages were intentionally left blank.
- Verify page numbers using the Table of Contents.
- Remove maps and oversize documents from plastic slipcover(s) and place in a heavy stock paper slant-cut folder
- Damaged paper pages within a record require special handling (i.e., crinkled, ripped, extra hole punches, etc.)
 - Tag the pages with a Post-It™ marked with a red slash
 - Place the tag on the right edge of the paper page so that when the record is placed into the file folder it will be visible when scanning takes place

Electronic Version(s) of Documents including CDROMs, DVDs, and other Electronic Media

- Verify that the CDROM, DVD or other media version of the document is readable
- If the CDROM, DVD or other media has an error, notify the appropriate Project Manager and return the CDROMs or DVDs to the issuing agency, contractor, or document creator
- Request a corrected copy of the document from the Project Manager or have the COR contact the issuing agency, contractor, or document creator to request a corrected copy
- Provide the following information as appropriate and/or necessary in the transmittal form when returning records with discrepancies to the issuing agency, contractor, or document creator. Command policies vary; cConsult your Environmental Records Manager
 - Contract Number or Contractor Name
 - CTO or DO Number
 - Record Title
 - Record Date
 - List of missing pages or other Items from the document
 - Administrative Record Number

Preparing, Packing, and Shipping Records for Scanning

- Place each paper record in the appropriate size expandable file folder

- Create a file folder label which corresponds with the document label
- Place label on the right front of the file folder
- Arrange and pack file folders using the sequentially computer-assigned NIRIS record number
- Place file folders in an appropriately sturdy box
- Create an abbreviated Index for each installation, using the sequentially computer-assigned six digit NIRIS record number
- The abbreviated Index should contain the following data fields:
 - UIC number
 - Document number (UIC + document type + sequentially computer-assigned six digit NIRIS record number)
 - Record Date
 - Number of Pages
 - Record Type
 - Record Title
 - Author Affiliation
 - FRC Number
 - Box Number
- Prepare a transmittal cover letter. Command policies vary; consult your Environmental Records Manager
- Send a copy of the letter and index to:
 - Original to the scanning contractor
 - Project Manager if applicable
- In NIRIS, select the “Image Status Data Field’ to indicate that records have been shipped for scanning
- Seal and label the boxes with the scanning company’s address
- NOTE: Some Commands use the FRC standard boxes to pack the documents and folders so that the documents, once scanned, can be sent directly to the FRC from the scanning company or Regional Database Manager’s office
- Boxes can be hand carried to scanning companies so that documents, once scanned, can be placed back in the box, ready for shipment to the FRC

- The Scanning Index can serve as the FRC Index. Place the Index in the appropriate box(es) as directed by the Federal Records Center. Command policies vary; consult your Environmental Records Manager.
- DO NOT write on or label the boxes until the group of boxes has an FRC Shipping Approval Number
- Place the FRC SF-135 in the appropriate box(es) as directed by the Federal Records Center
- See the [Standard Operating Procedure: ERP Documentation - Identification, Preparation, and Submittal \(OU-4-USR-100\)](#) See Appendix O

Post-Scanning Quality Assurance

- Review all records (paper and electronic returned to the Command
- When scanned paper or other media are returned, verify that all records sent for scanning have been returned and remain in sequential order
- If necessary, remove Post-It™ tags previously applied to paper documents for scanning and discard
- If CDROMs, DVDs or external hard drives house the electronic versions of documents, verify each CD-ROM or external hard drive is usable and that all functions and features on the CD-ROM or external hard drive are operational (including, but not limited to, table of contents links, search functions, query builders, report printing, page marking, unmarking and printing, etc.)
- If CDROMs, DVDs or external hard drives house the electronic versions of documents, verify that all records and record pages are contained on the CDROM or external hard drive
 - NOTE: Command policies vary; consult your Environmental Records Manager. All of the above actions can be performed by a Regional Database Manager or a scanning contractor.
- In NIRIS, conduct a sample records review. Documents which are large or contain different types of formats or pages should be reviewed to verify page order, image quality and proper links applied from the table of contents

Creating or Converting to Approved NIRIS Electronic Document File Format

- See Appendix K for detailed information and directions on approved NIRIS electronic file format creation and conversion

- Media, other than paper, which contains information that must be added to the ARF, PF or SF, have special requirements. OSWER DIRECTIVE 9833.3A-1 requires that the original, non-paper version of information be described and preserved.
- Some media can be converted to the approved NIRIS electronic file format; some media may not be suitable for conversion to electronic format.
- If the media cannot be converted, the requirement to enter document metadata in NIRIS and describe the document media and location remains as a requirement.