

BIC IMAGING PRE-CERTIFICATION FORM

**(FOR DEPOSITORY INSTITUTIONS THAT IMAGE
LOAN COLLATERAL DOCUMENTATION
UNDER THE BIC PROGRAM)**

INSTITUTION NAME: _____ ABA#: _____

A. PLEASE ANSWER THE FOLLOWING QUESTIONS. (ATTACH ADDITIONAL PAGES AS NECESSARY)

1. DESCRIBE THE IMAGING PROCESS.

- DESCRIBE HOW DOCUMENTS ARE IMAGED (WHO, WHAT TECHNOLOGY, ETC).
- PLEASE COMMENT ON THE QUALITY OF THE IMAGES (DPI, BIT DEPTH, COLOR, HOW SMALL TYPE AND ODD BACKGROUNGS ARE HANDLED).
- EXPLAIN IF, HOW AND HOW OFTEN THE ACCURACY AND COMPLETENESS OF THE IMAGING PROCESS IS TESTED.
- DESCRIBE ANY PROBLEMS THIS TESTING HAS UNCOVERED AND CORRECTIVE MEASURES, IF ANY, TAKEN.
- DESCRIBE HOW THE ABILITY TO ALTER OR DELETE IMAGED DOCUMENTS IS CONTROLLED AND HOW ANY SUCH ALTERATIONS OR DELETIONS ARE TRACKED.

2. DESCRIBE THE STORAGE OF AND ACCESS TO IMAGED DOCUMENTS.

- DESCRIBE HOW IMAGED DOCUMENTS CAN BE ACCESSED.
- DESCRIBE ANY CONTINGENCY ARRANGEMENTS FOR IMAGED DOCUMENT ACCESS.

3. DESCRIBE THE CONTINGENCY PLAN FOR PROTECTING IMAGES AGAINST LOSS.

- HOW FREQUENTLY ARE IMAGES REPLICATED TO SERVE AS BACK-UP?
- ARE BACK-UP IMAGES STORED OFF-SITE? IF SO, WHERE?

4. DESCRIBE HOW ORIGINAL PAPER DOCUMENTS ARE STORED.

- ARE THEY DESTROYED, KEPT ON THE INSTITUTION'S PREMISES OR SENT TO A RECORDS AND INFORMATION MANAGEMENT (RIM) COMPANY FOR STORAGE?

5. IF ORIGINAL PAPER DOCUMENTS ARE DESTROYED, DESCRIBE THE DOCUMENT DESTRUCTION PROCESS.

- EXPLAIN HOW THAT PROCESS IS MONITORED AND VERIFIED. FOR EXAMPLE, IS THERE A LOG OR ARE DESTRUCTION RECEIPTS GENERATED?

6. IF ORIGINAL PAPER DOCUMENTS ARE SENT TO A RIM, DESCRIBE HOW ORIGINAL PAPER DOCUMENTS ARE STORED AT THE RIM.

- DESCRIBE PHYSICAL STORAGE FACILITY OF THE RIM AND ACCESS TO ORIGINAL PAPER DOCUMENTS.
- DESCRIBE HOW THE DOCUMENTS ARE PROTECTED FROM LOSS, FIRE, THEFT, AND OTHER DANGERS.
- DESCRIBE CHECKS TO ENSURE THAT DOCUMENTS CONTINUE TO BE IN PLACE AT THE RIM.

7. DESCRIBE HOW MATURED OR SOLD LOANS ARE RELEASED FROM THE PLEDGE.

- DESCRIBE HOW SOON MATURED OR SOLD LOANS ARE REMOVED FROM THE RIM AND FROM THE IMAGING SYSTEM; WHETHER THERE IS A LAG BETWEEN THE TIME THE LOANS ARE REMOVED FROM THE RIM AND THE TIME THE LOANS ARE RELEASED FROM THE PLEDGE.

B. AUTHORIZATION

PLEASE HAVE THE APPROPRIATE OFFICIALS OF YOUR INSTITUTION REVIEW AND SIGN THIS FORM.

I have reviewed the above responses to the BIC Imaging Addendum and attest that the responses are accurate.

Authorized Signature*

Title

Date

Print Name

Authorized Signature*

Title

Date

Print Name

*Authorized individuals listed on the Borrowing Resolution (line 2) or the Official OC-10 Authorization List as a pledgor.

I certify that I am in receipt of, and have reviewed the Federal Reserve Bank of New York's BIC Imaging Guidelines. Further, I attest that all relevant internal policies and procedures have been reviewed and examined for BIC Imaging program conformance and confirm this institution to be in compliance.

Authorized Signature**

Title

Date

Print Name

** I am an ___ internal auditor ___ external auditor or ___ responsible director.

Send all documentation in one mailing to:

Federal Reserve Bank of New York
33 Liberty Street, 9th Floor
New York, NY 10045
Attention: Discount Window Staff

For more information, please call the Discount Window hotline at 1-866-226-5619.