

## 12. AUDITING SYSTEM

As part of its responsibilities under the LSN Rule, the LSNA established a system designed to monitor document integrity and system performance within the LSN program and to generate informational reports of such activity. The objectives of such an auditing system are to:

- Give participants reasonable assurance of the integrity of presented documentary material and of participant compliance with their responsibilities under the LSN Rule; and
- Obtain usable statistical data for informational and system management purposes.

The LSN spidering software is a custom auditing program that interacts with the participant's documentary material in a way that allows the LSN staff to identify any subsequent changes to a document.

### 12.1 Automated Auditing

The auditing system is primarily an automated one, utilizing software that scans participant LSN websites and gathers data about website content and website activity. LSN staff analyze the data gathered in this fashion and make determinations regarding participant compliance and system management issues. The types of data that the system gathers on each participant LSN website include:

- Count the number of records that have been added since the last monitoring crawl, including:
  - Number of bibliographic header records
  - Number of text files
  - Number of images
- Files that have been changed
- Files that have been removed
- Total number of documents to-date
- If the website has suffered any unscheduled downtime

The information gathered assists the LSNA in measuring participant compliance and in assessing the effectiveness of LSN operation. In addition, the auditing system assists NRC and participant staff with issues of document integrity during loading. Information obtained through monitoring will routinely be published on the central LSN site, after analysis and appropriate follow-up actions have been completed. For example, if a monitoring crawl of a participant's LSN website reveals that a document has been changed in some way, LSN staff will contact that participant to determine the nature of the change before publishing a notice of the change on the central LSN site. The LSN staff analysis will operate on an exception basis, investigating out-of-the-ordinary occurrences discovered by the automated monitoring crawl.

If a participant uses an ISP to house their LSN text images and bibliographic headers, they must ensure the ISP will allow a crawler (spider, robot, etc.) to visit their LSN website.

The participant should consider costs associated with cost-per-transfer, if applicable, for their LSN website. If the participant's ISP charges the participant on a transfer rate basis, the participant should contact the LSNA to make arrangements to schedule the crawling of their ISP hosted-site to minimize the financial impact on the participant.

## **12.2 Data Accuracy**

Sampling of participant text data will be conducted by LSN staff by random sampling to confirm that document conversion accuracy approaches the recommended standards detailed in the Guidance Section on Optical Character Recognition (OCR) accuracy.