General Policy – Imaging

Purpose:

The purpose of establishing an imaging system on the BSC campus is to reduce the amount of physical space that is necessary for storing paper records and the ease of the retrieval of documents which increases the operational efficiency of the institution. BSC departments following this policy will be able to support the claim that their imaged documents are trustworthy and admissible in place of original source documents.

This policy follows the procedures outlined in NDUS 1901.4.

Roles:

1. **Owner User** - top level administrator who has access to change all security privileges.
   - System Administrator can promote or demote users to the Manager role.
   - System Administrator cannot belong to a group, be inactivated, or deleted.
   - System Administrator cannot promote or demote an inactive user.
   - Should only be accessed when sharing administrative responsibilities.

2. **Manager User** - will define the users and super users and their abilities in the system by assigning privileges to them.
   - Manager has access to all drawers in their group.
   - Manager can delete documents.
   - Manager cannot promote or demote users to the manager role.
   - Manager cannot modify his or her own privileges.
   - Manager cannot be deleted except by the System Administrator.

3. **Super User** - role of a typical functional user within ImageNow.
   - Super User can scan documents, process batches, access documents, link scanned documents to drawers and many other features in ImageNow.
   - Super User cannot delete.

4. **User** - role of a typical end user within ImageNow.
   - User can access and view documents, but cannot modify, scan, process, link or delete documents.
   - User is assigned privileges to perform tasks within ImageNow by a Manager.
Policy:

1. New user access requests must come from an ImageNow manager after required training has been completed and logged.
2. The level of access is based on the user and the workflow process.
3. New users will be added to the established BSC ImageNow listserv.
4. Any department implementing ImageNow must have the approval from the BSC Chief Information Officer prior to implementation.

Training:

1. New users must review NDUS Imaging Procedures 1901.4 and BSC Imaging Policy.
2. New users must review the training manual housed on the ImageNow BSC shared directory.
3. Current users will be required to review NDUS 1901.4 and 1901.2 and BSC Imaging Policy annually and the training manual as updates occur.

Validation:

1. At a minimum, validation will be done on a quarterly basis, within the first two weeks of the month. (Example: Validation for the fourth quarter will be done between January 1 and January 15).
   a. Pages to be verified will be randomly selected from the previous quarter for validation.
   b. Validation will include paper to imaged and imaged to paper.
   c. The validation must be done by someone other than the person that scanned the pages. The validator shall verify that the source page’s content matches the scanned page.
   d. The validator shall randomly select 2% of the pages scanned up to 2,500. If the selection period contains more than 2,500 pages, the validator shall validate 10 additional pages.
      • If errors are identified during the validation process, they must be fixed.
      • If the error rate exceeds 3% of the pages verified, the validation sample will be expanded appropriately (i.e. a second validation will be performed for the identified timeframe).
      • The pages randomly selected for validation shall be retained for two years after validation for audit purposes. The pages not randomly selected for the validation period may be destroyed following the validation.
      • Documents subject to FAR 4.703 (federal contracts) must be retained for one year even though it has been verified in the system as being stored properly.

2. Validation log will be housed on a BSC shared directory, with access given only to those performing the validation and ImageNow managers and system administrator.

Auditing:

All auditing functions will follow guidance from NDUS Imaging Procedures 1901.4.

User Group:

1. Departments utilizing ImageNow will be required to have one person serve on the BSC
ImageNow User Group. Each ImageNow department manager would identify the user that will sit on the user group.

2. User group would review on an annual basis all document imaging policies, procedures and training documents.

3. User group members would be a liaison between the ImageNow User Group and ImageNow end users for their respective departments.

4. User group members will be responsible for completing the quarterly validation of pages.

**Technical Administration/Security:**

1. The server equipment is located in a secured area within Information Services, with access provided only to authorized Information Technology Solutions and Services (ITSS) personnel.

2. The scanning devices are located in the individual offices where the scanning functions are performed. The client software is installed on only the workstations where the operator is authorized to have access to the imaging application.

3. BSC uses NDUS user ID credentials (login and passwords) for the ImageNow accounts. Users are required to change passwords in compliance with NDUS 1901.2 – Computer Network Usage Procedure. Group membership is revoked when an employee leaves BSC or changes roles/positions. User accounts are not deactivated in Active Directory (AD).

4. An ImageNow user is locked out of the system (for 5 minutes) after five repeated attempts to sign-in.

5. ImageNow will automatically time-out a user after 30 minutes of inactivity.

6. Backups of data (i.e. ImageNow files) stored on BSC servers are performed according to the process below:

   - Monday through Thursday – Differential backups are performed (this procedure stores only the files that have been changed since the last full backup).
   - Friday – A weekly full backup is performed.
   - Last Friday of the month – A full backup is performed and tapes are stored off site.
   - The ImageNow backups are labeled as part of the campus backups. (ImageNow does not have its own backup media.)
   - BSC verifies on a daily basis that backups were performed.

7. ImageNow does not allow for a restore of a particular record. If a restore is required, the entire database needs to be restored from the last full backup, then the remaining data gets restored from the nightly differential backups. All records created since the last backup will need to be recreated.
8. BSC performs regular testing of the system’s performance and reliability for hardware and software. Scanning hardware problems and resolutions will be logged by the system administrator.

9. Digital images are saved in a non-proprietary file format and stored in a controlled environment. The file format for the ImageNow digital images are scanned as a “.tif” file and can be opened or viewed by an application that reads “.tif” files.

10. The naming convention of all digital images, whether scanned images or printed to the ImageNow printer is sequentially labeled with an “.OSM” extension.

11. ImageNow digital images “.OSM” (.tif) files are in a non-proprietary format and are not compressed.

ITSS and ImageNow Managers will work collaboratively to ensure BSC is upgrading to the newest version of ImageNow. This process will allow BSC to migrate data to a newer or different digital format without requiring re-imaging.

Procedures:

1. All users will follow the same operating procedures. A document will be captured using a compatible scanner or Capture Now software. Before being linked the document will be reviewed for Quality Assurance (QA) by the scanner, which includes a check for accuracy and legibility. If it passes inspection, it is linked. Admissions, Academic Records, and Financial Aid route to the appropriate work queue. The document can also be linked to an existing document.

2. The original document is not modified, but may have annotations added to it. The annotations are added as part of the workflow as informational/comments for record keeping.

3. There is a search grid in ImageNow. Individual student records can be searched by their name, ID or SSN (Financial Aid & HR only).

4. Staff who have work queues can delete a page from a record, but are not allowed to delete a full record.

5. Admissions’ processes allow for certain documents to be deleted from ImageNow (and hard copy) if an updated version is received. The pages that will be deleted are sent to delete queues for deletion by the Admissions’ ImageNow Manager. Examples of documents include: in-progress college transcripts, HS transcripts if newer version contains a graduation date, immunization records, applications older than 5 years, and expired placement scores.

References:

History of This Policy:
