

Document Imaging Policy

Purpose

Mayville State University imaging systems must be compliant with the State Board of Higher Education (SBHE), North Dakota University System (NDUS), and Mayville State University policies and procedures as well as best practices for planning, implementing, securing and management of electronically stored information.

The purpose of this policy is to establish a document imaging policy for all Mayville State divisions, departments and offices that create, use and manage digital images in an imaging system, in order to ensure validity and integrity of each record during image capture, storage and reproduction.

The only officially approved imaging system is the system provided by the North Dakota University System office of Central Technology Services. Any other imaging system must be approved prior to storage of any documents by the Chief Information Officer in consultation with the Records Office and/or the Business Office. In addition, this policy complies with NDUS Procedure 1204.1.

Procedure

Scanning/Indexing/Verifying

As it applies to document imaging, an application refers to an imaging solution designed for a specific purpose. A document imaging application may be simple or involve a complex workflow. A document imaging application may be specific to a single department or may be used by many campus work units depending on the purpose of the solution.

All departmental applications in the imaging system must adhere to the following procedures for scanning, quality assurance, naming, and verifying to ensure that the scanned documents are an exact copy of the original, information within image is readable, and accurately indexed.

Verification procedures for each application include:

1. Verification sampling of scanned images for larger archival processes should be between 20% and 40% of the total number of pages scanned. For single, large documents, verification can be done as appropriate to meet the sample percentage, reviewing every n^{th} page to align to the target percentage (e.g., reviewing every 5th page aligns to a 20% target). For large batches of separate documents, a certain number of key pages of each document within the batch should be verified as appropriate to meet the sample percentage, assuring both sides of duplexed originals and first and last pages are included. Small batches of documents scanned as part of routine daily activities should be verified page for page.
2. Verification of scanned documents must be performed by someone other than the individual performing the original imaging. Designation of individuals qualified to verify scanned images must be made by each department and incorporated into automated workflows as appropriate.
3. If errors are found, including incomplete or unreadable images, missing pages, etc., during the standard verification process, the entire document must be verified page by page. Any document images containing errors must be replaced with a fully verified revision. Deletion and replacement of document images must be reported stating the date, time, names of employees

performing the scanning and verification processes, reasons for deletion and/or replacement, and any other necessary supporting information.

4. Original, hard copy documents must not be destroyed or otherwise disposed of for at least one week following the remediation and documentation of imaging errors found and all other verification processes have been completed.

Verification must be done against the original document. Documents verified should ensure that the information within images is readable, complete and naming conventions are followed.

Each departmental document imaging application must include a design document that defines the purpose of scanning documents into an electronic format, a listing of the documents that will be scanned, the naming convention that will be followed, all necessary workflows, user access and document retention policy.

Document naming conventions defined for each imaging application must be adhered to.

Documents imaged into any imaging system must follow the NDUS records series and retention time so that the system can establish automated retention time of a document. Deletion of documents outside the records retention schedule for any reason, including replacement of documents that do not meet the initial verification requirements, must be done by a power user and must be documented at the time of deletion.

Staff having access to imaged documents must comply with University and NDUS confidentiality standards that govern the appropriate handling of all collected or maintained data.

Related Information

NDUS Procedure 1204.1 Imaging Procedures

NDUS Procedure 1203.7 Data Classification and Information Security Standard

NDUS Procedure 1206.1 Data Element Dictionary – Data Quality and Integrity

SBHE Policy 311 Public Records

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Sponsor: Vice President for Academic Affairs and Chief Information Officer