DOCUMENTATION SCANNING & QUALITY ASSURANCE PROCEDURE

FOR SYDNEY MEDICAL SCHOOL

RECORDS MANAGEMENT SERVICES

Last Updated: 4 November 2010

Records Management Services Helpdesk
t. 02 9036 9537 (ext. 69537)
e. records.online@sydney.edu.au
TABLE OF CONTENTS

FAQ...................................................................................................................................................................... 2

DOCUMENT PREPARATION ............................................................................................................................. 3

SCANNING .......................................................................................................................................................... 3

QUALITY ASSURANCE ...................................................................................................................................... 4

Select a Set of Documents to Work On ........................................................................................................... 5

What if the scanned document is of poor quality and should not be kept as a record? .............................. 8

What happens if the image quality is poor? ................................................................................................... 14

Appendix 1: Quality Assurance Tools and User Profile Requirements ............................................................. 15

Appendix 2: Mapping a Network Drive to RMS' Medical Folder.......................................................................... 16

Appendix 3: Installing the Citrix ICA Client ........................................................................................................ 17

Appendix 4: Student’s Scan Cover Sheets for Documents with ONE Barcode ................................................ 21

Appendix 5: Formatting Column Headers in TRIM via Citrix ............................................................................. 22

Appendix 6: Technology Specifications, IT Support and Key Contacts at Medical Program Admin Unit .......... 23

Appendix 7: Installing Barcode Font 3 of 9 to Pre-Insert Document Barcodes into Page Template ................ 24

Appendix 8: Stored Programming for Kyocera MFD Devices > Scan via SMB to RMS' Medical Folder............. 26

FAQ

Q: It is my first time scanning and verifying scanned documentation, where should I start?

A: Register as a new TRIM via Citrix user and follow the other instructions in Appendix 1 on page 15.

Q: How will TRIM via Citrix training be delivered by Records Management Services?

A: RMS provide 1:1 (at your desktop) and group classroom training sessions for TRIM via Citrix. Training sessions can be held within the Medical Program Administration Unit office or RMS’ Training Room on Camperdown Campus.

Q: Where can I access the most up to date version of this scanning procedure?


Q: How long do I need to retain hardcopy documents, after they have been scanned and quality verified?

A: The original paper documents can be destroyed 6 months from the date of your verification.
DOCUMENT PREPARATION

1. Remove all staples as they will cause permanent damage to the glass mirror in your scanner (photocopier), and tear your documents.

2. Place the relevant scan cover sheet in front of the student’s documentation. Ensure that all document barcodes are present, i.e. one document barcode must appear on the first page of each document type. If any barcodes are missing, please affix the relevant document barcode.

3. When a post-it note is present ensure that it is not attached to pages where there is information present. Please attach post-it notes to a blank A4 page. If paper is fragile please photocopy first.

4. Smooth down all page edges, ensuring that you maintain the sequential order of the documents.

SCANNING

Kyocera TASKalfa 250ci

5. Routinely clean the three glass panels inside the scanner – it is recommended that this is done prior to your scanning, as dust can result in poor image quality & thus, rescanning.

6. On the scanner, select Program > Call (default tab) > Medical Folder > insert documents into feeder > Start. This will be the destination folder for the scanned documents.

7. The Medical Folder scanning template has been pre-programmed to select the default settings:
   - 2 Sided Scanning (Head to Head) - all pages will now be scanned on both sides; however, the software used by RMS will delete any blank pages upon processing.
   - TIFF (multi-paged output)
   - 300 dpi
   - Black and White
   - Mixed Sized Origins: ON
   - Original Type: Text
   - Scan to PC via SMB
   - Server: \arms-fs-prd-1.shared.sydney.edu.au
   - Shared Name: medical

8. Once you have finished scanning the batch, please email the Records Online helpdesk records.online@sydney.edu.au and include the time of the last document scanned.

9. If you are scanning a lot of documents, it is recommended that you contact the Records Online helpdesk just before you start scanning.

10. RMS will launch the processing application and upload the images to the relevant Practicum files.

11. Records Online helpdesk will inform you as soon as the images are ready to be quality checked. In normal circumstances, the turnaround should be within 4 hours. Please inform RMS if the job is required to be done urgently.
QUALITY ASSURANCE

12. Upon receiving an email from Records Online helpdesk to say your documents have been uploaded, go to http://recordsonline.usyd.edu.au/ and select, **Click here to launch the TRIM application**. Authenticate using your UniKey login and password. If you are a new staff member, please see FAQ or if it is your first time using an application via Citrix, please see Appendix 3 on page 17.


14. Select **Search > Saved Searches > Medicine Student Admin Unit QA**
15. A list of documents that have been uploaded will be shown like this:

![Image of a list of documents]

16. The display of the documents can be sorted by clicking on a particular desired column. For further information on formatting columns in TRIM, please refer to Appendix 5 on page 22.

**Select a Set of Documents to Work On**

17. Select and tag a range of documents - this could be based on document title or date scanned. To the left of the first document, click your mouse to insert a purple tick (as shown below). Using a PC, tag adjacent documents by holding down the ‘Shift’ key as you place a tick beside the final document in the range you will be verifying. For documents that are not adjacent, hold down the ‘Ctrl’ key instead.

18. Right click on one of the tagged documents and select:

   **Locations > Assignee > set Assignee to All Tagged Rows > OK**

![Image of assigning documents]
19. The dialogue box ‘Set Assignee - All Tagged Records’ opens. Within, ‘Set to Location’ write your surname and include an asterisk * at the end.

20. Click on the yellow manila folder to the right of your surname (as below) and select your name > OK

21. Your name will now be underlined and in black font colour. Click OK. Next time, instead doing steps 24 and 25, simply click on the arrow down click (circled) and pick your name from the drop down list.
22. The dialogue box, ‘Set Assignee All Tagged Records’ opens. Select, ‘Yes to All’.

23. Click on ‘Records In or Due Tray’, you will see all the documents you have assigned to this location.

24. Double click on a document, and assess the quality on the following criteria:
   
a. Have all pages been scanned?
   b. All contained information legible?
   c. If the document satisfies the above criteria, please write the document number, date imaged and your initials in the stamp:

   ![Stamp Image]

   d. The original paper documents can be destroyed 6 months from the date of your verification.

   e. Finalise the documents: tag all successfully quality verified documents, select:

   Right Click > Electronic > Final > OK

   If you have multiple documents tagged select, OK > Yes to All
f. Assign the documents to the Practicum file: with the documents tagged, select:

Right Click > Location > Assignee > set Assignee to Home Location > OK

If you have multiple documents tagged, select: OK > Yes to All

25. If there are pages that have not been scanned or the content of the document is not legible, then you will need to rescan the document, by following the steps outlined between steps 26 - 47.

What if the scanned document is of poor quality and should not be kept as a record?

26. As shown below, if DOC2010/459179 needed to be rescanned, select:

Right Click > Check Out
27. The first time you attempt to check out a document using TRIM via Citrix, please select:

![Image of Citrix Full Access security prompt]


![Image of Check Out Document dialog box with selected options]

29. Within ‘Save As’, select My Computer and then double click on C$ on ‘Client’ (V:)

![Image of Save As dialog box with selected drive]
30. Within ‘Save As’, double click on **Documents and Settings** (for some people, this folder is **Users**)

31. Within ‘Save As’, double click on **your UniKey**, i.e. ghewitt.

32. Within ‘Save As’, double click on **Desktop**.
33. Within ‘Save As’, choose a location on your Desktop for the document to be amended and Save.

34. Within ‘Check Out Document’ the Extract To: Local File, as path will now be your Desktop. Click OK.

35. Navigate to your Desktop and open the document you have checked out for modification.

36. Rescan the relevant page(s) from your scanner or MFD using the output as PDF. Scan the pages to your email address.

37. Open the scanned image from the email into Adobe Acrobat 9.0 Professional.

38. In Adobe Acrobat 9.0 Professional, select Combine > Merge Files into a Single PDF...

39. Within the next dialogue box, select Add Files > Add Open Files.
40. Select the original document (registered in TRIM) from the list and select, **Add Files**.

41. Within the next dialogue box, select **Combine Files**.

![Combine Files Dialogue Box]

42. Before saving the combined file, return to TRIM and copy the **Container** title (as per screenshot). Paste into **File Name** (as per screenshots) and retain student’s name and SID for ease of identification.

43. Save the combined document to your **Desktop**.

![Records in Tray or Records Due for Action - 1 Record Found]

---

*Geraldine Hewitt 4 November 2010*
44. From your Desktop, open the combined document and rearrange the order of the pages as required. This is easiest with the pages displayed on the left hand side. To configure your display select, View > Navigation Panels > Pages. The pages can simply be dragged and dropped into place. Ensure that this combined document is now a true copy of the hardcopy original. Save and Close.

45. Return to TRIM, highlight the original document that you sought to modify, Right Click > Check In.

46. Select the Local File icon (circled) and locate the combined document that you saved to your Desktop in step 39 > Open > OK. The combined document will now be saved to TRIM as a revision.

47. Within TRIM, right click on the relevant document and repeat step 24: e and f.
48. If the original document is very faint and illegible in the first place, you will need to rescan it and replace it as per steps 31 - 42. Before scanning the document to your email, select the **Colour/Image option on the scanner > Density > set to maximum density (i.e. +3)**. If this still does not warrant a desired outcome, you may also try to photocopy the original using +3 high density and then rescan the document, using the photocopied version and again, selecting +3 density.

49. After trying the combination of the aforementioned methods and the rescanned document is still not ideal, but of equal or better quality than the original, settle upon this scanned version. You will need to leave a note against this document to account for the less than perfect scanned image.

50. Within TRIM, select the relevant document, **Right Click > Details > Notes > Add Notes**

51. Within the ‘Record Notes’ dialogue box, type one of the following accounts:
   a. **All attempts have been made to ensure this scanned version is ‘as good as it can get’.**
   b. **The image produced has better readability than the original hardcopy document.**

52. Within TRIM, right click on the relevant document and repeat step 24: e and f.

53. Under GA 36 issued by the NSW State Records Authority (see: http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/rules/general-retention-and-disposal-authorities/imaged-records-gda-24/imaged-records-ga-36 for the full requirements) records that have been imaged are able to be destroyed, providing:
   - Copies are made which are accurate, complete and accessible
   - The digitised copies are captured into a formal recordkeeping system - which they will be once they have a DOC ID number as provided by TRIM/Records Online.
   - Originals are kept for quality control purposes for an appropriate length of time after copying (i.e. minimum 6 months).

54. The quality control steps are particularly important. NSW State Records’ recommended minimum retention is 6 months; however, it could be longer based on individual business requirements.

55. Changes to the NSW and Commonwealth Evidence Acts in about 1995 meant that copies of documents (including digitised copies) are admissible as evidence.

END
Appendix 1: Quality Assurance Tools and User Profile Requirements

If this is your first time performing the quality verification of scanned documents in TRIM:

1. **Register as a new TRIM via Citrix user at:** [http://recordsonline.usyd.edu.au/newuser.htm](http://recordsonline.usyd.edu.au/newuser.htm)

   1.1. Registration turnaround time is 1 to 2 days as RMS and ICT staff set up your TRIM profile.

   1.2. Once your TRIM profile has been created, you will receive an email from the Records Online Helpdesk to advise you to update the default password assigned to your account.

   1.3. Contact the Manager of the Medical Program Administration Unit to organise TRIM via Citrix training from RMS.

2. **Download the required tools and system interface:**

   2.1. TRIM native application (only available on MCS domain) or TRIM via Citrix (accessed via the internet). For instructions on how to access TRIM via Citrix, please see Step 12 on page 4.

   2.2. If using TRIM via Citrix, please install the **Citrix ICA Client** using Appendix 3 on page 17.

   2.3. **Adobe Acrobat 9 Professional** or higher: this application is free to all University PCs or MACs, and can be downloaded from: [http://itassist.usyd.edu.au/staff/services/software/adobe.shtml#acrobat](http://itassist.usyd.edu.au/staff/services/software/adobe.shtml#acrobat).

3. **Confirm your TRIM Profile settings with Records Online Helpdesk:**

   3.1. If you find using TRIM via Citrix, that you cannot modify documents, contact the Records Online Helpdesk on extension: 69537, telephone: 02 9036 9537 or email: records.online@sydney.edu.au and ask them to verify that your TRIM user profile is set to:

   **User template: End User + Modify Record + Student Caveat**

   This TRIM profile ensures that you have the ability to check documents out, make relevant changes and check the documents back in, and you will also be able to insert notes in the note field against documents.

   3.2. If further difficulties are experienced, it may be that ICT have not finalised your TRIM profile. In the event of this happening, Records Online Helpdesk staff will provide you with further instructions.
Appendix 2: Mapping a Network Drive to RMS’ Medical Folder

1. On your Desktop, right click on **My Computer > Map Network Drive** (as below).

![Map Network Drive](image)

2. The dialogue box ‘Map Network Drive’ will open; please select the fields as outlined below.

   - **Drive:** please use an available network drive letter (i.e. Z: drive)
   - **Folder:** `\arms-fs-prd-1.shared.sydney.edu.au\medical`
   - If you are not on the MCS domain, select ‘Connect using a different user name’ and enter:
     - **User Name:** MCS\UniKey and your Password
     - Please deselect ‘Reconnect at logon’ and click **Finish**. The Medical network folder will now open.

3. To create a Desktop shortcut to the Medical folder, open **My Computer > highlight the Medical network folder > right click and select Create Shortcut > Yes**. The shortcut will appear as below.

   ![Shortcut to Medical](image)

For further assistance, please contact RMS Helpdesk on ext. 69537 or records.online@sydney.edu.au
Appendix 3: Installing the Citrix ICA Client

If it is your first time accessing an application via Citrix or if you receive an error message when attempting to launch TRIM via Citrix (as per Step 12 on page 5) please follow the steps outlined below:


2. The dialogue box, ‘Citrix ICA Client Install’ will open. The Recommended Client Platform should be appropriate for your operating system. In this example, select **Windows 32-bit** as shown below.

3. The dialogue box, ‘Installation Instructions’ will open. Select, **Download ICA32.EXE**.


6. The dialogue box, ‘Citrix ICA 32-bit Windows Client InstallShield Wizard’ will open. Select, Next >

7. The dialogue box, ‘Welcome’ will open. Select, Next >
8. The dialogue box, ‘Citrix License Agreement’ will open. Scroll to the bottom and select, Yes.

9. The dialogue box, ‘Select Program Folder’ will open. Citrix will automatically select the correct default Program Folders: Citrix ICA Client and Existing Folders: Citrix ICA Client. Select Next >

10. The dialogue box, ‘Select Client Name’ will open. ‘Use Machine name as client name’ will remain ticked and Client Name will be individual to your device. Select, Next >
11. The dialogue box, ‘Select Desired Features’ will open. Choose ‘No’ and select, **Next >**

[Image of Select Desired Features dialogue box]

12. The progress toolbar, ‘Setup’ will launch and once set up has been finalised it will automatically close.

[Image of Setup progress dialog]

13. The dialogue box, ‘Information’ will confirm successful installation of the Citrix ICA Client. Select, **OK**.

[Image of Information dialog]

14. The program folder, ‘Citrix ICA Client’ will open. Select **x** to close this window.

[Image of Citrix ICA Client folder]

For further assistance, please contact RMS Helpdesk on ext. 69537 or records.online@sydney.edu.au
Appendix 4: Student’s Scan Cover Sheets for Documents with ONE Barcode

1. At the beginning of each year, Ken Chow and Elizabeth Cooper from Sydney Medical School run a report of all students enrolled in Medicine. This report is generated from FlexSIS. RMS require the following information in order to generate a Scan Cover Sheet for each student:

(i) SID
(ii) Surname
(iii) Given Name(s)
(iv) Stage (i.e. academic year of progression - Stage 1, 2 or 3, and in Stage 3 - Year 3 or Year 4)

2. Ken or Elizabeth email this report (in Excel spreadsheet format) to the Records Online Helpdesk: records.online@sydney.edu.au.

3. Records Online Helpdesk generates four batches of Scan Cover Sheets (in PDF format). These are sent to Ken and Elizabeth, adhering to the following document naming convention and specifications:

(i) Medicine - Stage 1 - Scan Cover Sheets - 2010.pdf
(ii) Medicine - Stage 2 - Scan Cover Sheets - 2010.pdf
(iii) Medicine - Stage 3 - Year 3 - Scan Cover Sheets - 2010.pdf
(iv) Medicine - Stage 3 - Year 4 - Scan Cover Sheets - 2010.pdf
(v) Scan Cover Sheets will be in alphabetical order and can be printed off individually or as a batch.
Appendix 5: Formatting Column Headers in TRIM via Citrix

1. Launch the TRIM via Citrix application (please refer to Step 12 on page 4 for further instructions).

2. Open the Saved Search, Search > Saved Searches > Medicine Student Admin Unit QA

3. Within ‘Medicine Student Admin Unit QA’, where ‘Record Number’, ‘Assignee’, ‘Owner Location’ are located on the horizontal grey column, Right Click > Format Columns.

4. Configure ‘Column Preferences’ using ‘Add’ and ‘Remove’ to ensure that the fields in ‘Available Columns’ are added to ‘Displayed Columns’ (as below). To finalise your amendments, select OK.
### Appendix 6: Technology Specifications, IT Support and Key Contacts at Medical Program Admin Unit

<table>
<thead>
<tr>
<th>Main Contacts</th>
<th>IT Support Officer</th>
<th>Domain System</th>
<th>Operating System</th>
<th>Email Client</th>
<th>Scanner Model</th>
<th>Scanner TCP/IP</th>
<th>Mode of Scanning</th>
<th>Stored Scan Settings</th>
<th>Scan Output Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ken Chow and Elizabeth (Liz) Cooper</td>
<td>Sean Robinson</td>
<td>MEDFAC</td>
<td>Windows XP Pro.</td>
<td>Outlook 2007</td>
<td>Kyocera TASKalfa 250ci</td>
<td>TBC (GH)</td>
<td>SMB</td>
<td>Yes</td>
<td>SMS Medical Program ##</td>
</tr>
</tbody>
</table>
Appendix 7: Installing Barcode Font 3 of 9 to Pre-Insert Document Barcodes into Page Template

1. Visit [http://sydney.edu.au/arms/rol/manuals.shtml](http://sydney.edu.au/arms/rol/manuals.shtml) and navigate to ‘Download Document Barcode Font 3 of 9’ > Right Click > Save Target As...

![Image of download process]

2. The dialogue box Save As opens > select Desktop > Save

![Image of save as process]

3. From your Desktop select Start Menu > Control Panel > Fonts. To install Barcode Font 3 of 9, drag and drop the font icon from your Desktop into the Fonts dialogue box.

![Image of font installation]

Geraldine Hewitt 4 November 2010 Page 24
4. If this step fails or you are not an Administrator on your computer, please contact your local IT Support as they will enable you to install Barcode Font 3 of 9.

5. You can then copy and paste the relevant document barcodes into the page templates you are updating, taking care to avoid any text and inserting barcodes away from the page edge. These barcodes will be provided by your Project Officer.

6. Please include the Barcode Number beneath the barcode as this information is extremely helpful, should any error occur during the uploading of scanned documents, i.e. when a barcode has not been affixed properly, the software cannot accurately read the barcode value and assign the correct document title.

7. Many business units have found it beneficial to include this body of text underneath the document barcode (as per the screenshot):

   Please complete this form using black pen only. In addition, do not write over the barcode on this page.

8. Once you have pre-inserted the document barcodes, please send a copy of the finalised document to RMS so that we can test our processing software can successfully read the barcode. We undertake this before the launch of any new pre-barcoded form.

   For further assistance, please contact Records Online Helpdesk: e. records.online@sydney.edu.au.
Appendix 8: Stored Programming for Kyocera MFD Devices > Scan via SMB to RMS’ Medical Folder

This procedure was written for a Kyocera KM5050, however, Records Management Services (RMS) have successfully implemented on: Kyocera KM2050, KM3050, KM4050 and Kyocera TASKalfa 250ci.

Summary

a. RMS’ Medical folder is added to the Kyocera address book as an SMB folder destination.
b. From the Address Book, we select this new SMB folder destination and specify the scan settings used to output scanned Practicum documents to RMS’ Medical folder.
c. These scan settings are captured as a Program on the Kyocera. Sydney Medical School and Clinical School staff will use this Program to more efficiently scan Practicum documentation.

1. On your Kyocera MFD, press the Send button

2. Select Address Book
3. Select **Edit Address Book**

4. Select **Register/Edit**

5. Select **Add**
6. Select **Contact**

![Contact tab selected](image)

7. Create a meaningful name for the contact by selecting, Name field > **Change**
   7.1. The example used is PAAM Medical Folder > **Medical Folder** is most often used.

![Contact name changed](image)

8. Select the **Address** tab

![Address tab selected](image)
9. Press the **Down Arrow** until you reach the **Folder (SMB)** page and select **Change Dest**.

10. Select the relevant to tabs to enter the information below and to finalise, select **OK**:

10.1. **Host Name**: `\arms-fs-prd-1.shared.sydney.edu.au`
10.1.1. If you receive error message 2101 (failed transmission via SMB), your MFD may require the TCP IP rather than DNS, please update Host Name to: `\129.78.67.58`
10.2. **Path**: medical
10.3. **Login User Name**: mcs\UniKey of MFD Administrator
10.4. **Login Password**: UniKey password of MFD Administrator
10.4.1. If you would like to use RMS’ role based MFD profile instead of your UniKey, please contact Records Online Helpdesk: e. records.online@sydney.edu.au

11. Review that all details are correct and select **Register** to enter the new contact in the address book. On the display screens that follow, please select > **Close** > **Close** > **OK**
12. Press **Send** button > **Address Book** and select the new address, i.e. **Medical Folder**

13. Select the **Quick Setup** tab and enable the required options:
   
   13.1. **2-sided/Book Original:** ON
   13.2. **Original Image:** Text
   13.3. **Scan Resolution:** 300 x 300 dpi

14. Select the **Type of Original/Transmission** tab and enable the required options:
   
   14.1. **Mixed Sized Originals:** ON
   14.2. **File Format:** TIFF
15. Select the **Advanced Setup** tab and enable the required options:

15.1. **File Name Entry** > *File Name* > enter a title for scans sent from this MFD > **OK**

15.1.1. BMRI_ identifies documents scanned by Brain & Mind Research Institute

15.1.2. Other suggestions include: School of Rural Health (Dubbo) = Dubbo_scan_

15.1.3. **File Name Entry** might also be called **Output File Name**

![Advanced Setup](image)

16. Press the **Program Button**

![Program Button](image)

17. Select the **Register** tab (bottom of screen) and select an available program job number.

17.1. Enter a meaningful name for your program, i.e. **Medical Folder** and select **Register**

![Register tab](image)

To scan documents, press the **Program** button > select **Call** tab (default) > select stored program i.e. **Medical Folder**. Scan settings are auto-programmed > insert documents > select **Start** to begin.

If you encounter any anomalies that have not been accounted for in this document, please contact: Records Online Helpdesk ext. 69537, t. 9036 9537 or e. records.online@sydney.edu.au.