eSign Cloud
Getting Started Guide – Archives and Imaging Systems

Using this Guide

The self-paced learning approach to the implementation of IMM eSign provides an institution with control over the pace at which its employees will learn the materials needed to understand, implement, utilize, and support their solution.

This guide serves as a reference tool as well as a companion guide to the fourth lesson in Stage 2: Getting Started—Archives and Imaging Systems.

After watching the video located on the lesson page use the materials at the end of this guide to assist you and your team in making and documenting initial decisions and processes and to help you prepare for the initial installation activity.

The guides in this Stage should be used in concert with the Implementation Workbook, which will serve as a single location for documenting and maintaining your decisions.

The lessons in Stage 2 will enable you to:

- Increase your understanding of the most important elements of eSign
- Prepare for and document your initial implementation
- Make decisions about how to set up user rights and permissions
- Make decisions about the signer experience both in branch and remotely
- Understand the installation process and your roles and responsibilities

Overview

Once the signing ceremony or ceremonies have been completed, there must be a process in place to maintain those records. With its flexible and configurable architecture, IMM eSign facilitates archiving signed documents and optionally any attachments to your imaging system. In this lesson we will examine the process flow, system and configuration requirements, and discuss considerations your team should discuss prior to the initial setup.

The key elements of this lesson are:

- The process flow of documents moving from business systems or other sources, to IMM eSign, to remote signing, to the imaging system
- The 3 archives: eSign, Adobe Sign, and Institutions' Imaging Systems
- The Imaging Index Service and connections to various Imaging Systems

And after watching the video you should be able to:

- Describe the process of archiving documents to your imaging system
- Identify the necessary components of the imaging system and archiving process based on your imaging system
- Decide what elements will be included in the archiving process
- Document any concerns or questions regarding the archiving process to discuss with your IMM Implementation Consultant

Activity Checklist

- Watch the Lesson 4: Archives and Imaging Systems video
- Consider the questions posed in the lesson (they're reiterated in this guide)
- Enter information into the Imaging tab of the Implementation Workbook

IMM eSign

eSignature Process

The eSignature process with IMM eSign Cloud is managed primarily "in the cloud".
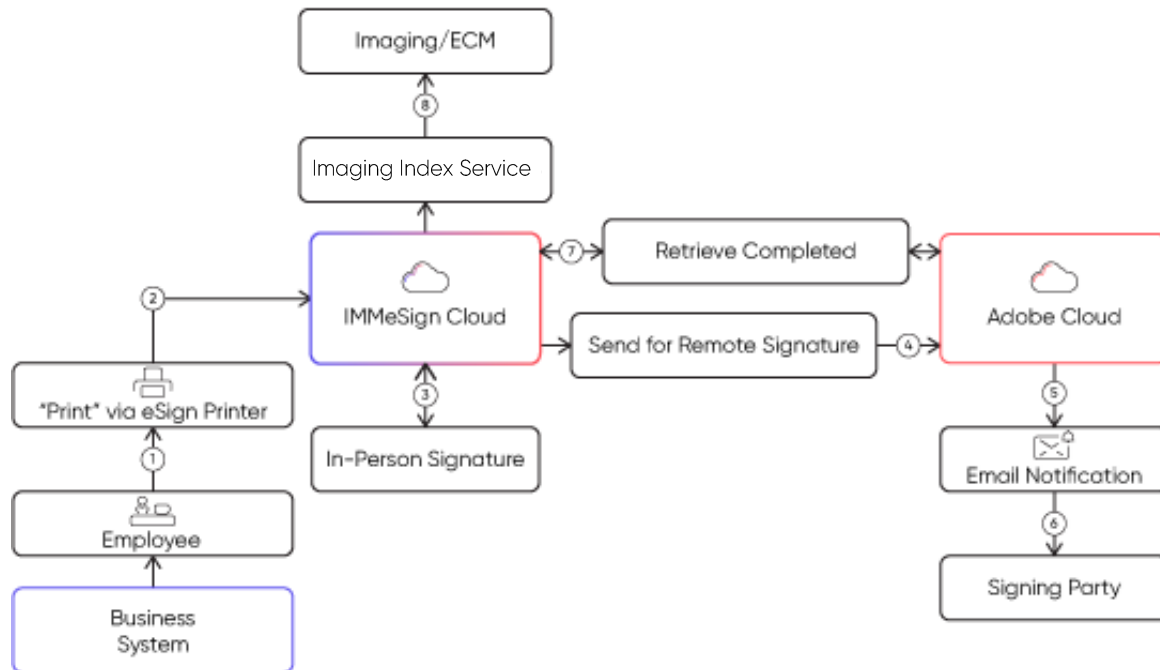
Communications between your users' workstations and the IMM cloud are secure via HTTPS and SSL certificate.

The signing processes that we have discussed so far either take place in branch or through the secure Adobe Sign service.

Once all signing ceremonies are complete, all the documents, including the audit files, are organized and retrieved to a server in your institution's environment where they will be ready to pass to an Imaging System.

Archives

Once the documents in the session are all signed, the session is labeled "closed."

eSign
Once those documents are moved successfully from the IMM eSign Cloud to the institution's server, the documents are maintained on the IMM eSign Cloud for a configurable number of days (default is 365). The data records are also maintained for a configurable number of days for audit purposes.

Adobe Sign
Any documents that have passed through Adobe Sign are subject to the retention policy in place. By default, Adobe Sign securely retains all customer documents on the service for as long as the account is active.

However, if you wish to delete the original documents from the Adobe Sign systems, you can define a "retention policy" that sets how long transaction data and documents should remain in Adobe Sign.

Imaging System

Ultimately, signed documents, data, and audit files will be passed to the institution's imaging system where they can be stored according to the institution's retention policies and be available for business process purposes.

Imaging Index Service

A key component of the eSign Cloud architecture is a small but important service called the Imaging Index Service.

This service must be set up on a server in the institution's data center. Using a secure connection, the service will monitor the IMM eSign Cloud Service on a frequency set using Windows Scheduler on the server. Often this frequency is set at every hour on the half hour, but that decision is up to the institution.

The files that the Imaging Index Service retrieves are ready for the archive process.

Imaging Systems Settings

To enable the creation of the archive-ready files, there are settings that must be configured by the eSign Administrator (with the assistance of your IMM Implementation Consultant, of course.)

IMM eSign offers a menu of Imaging Systems in the administrative settings that can provide pre-configurations depending on the institution's imaging vendor. IMM has worked with many vendors and has been able to streamline the archiving process both using these settings as well as our internal knowledge.

In many cases, the "default" "Index TXT" setting will be used to format the documents and data.

Regardless of the Imaging System employed, there are a few standards. In order to send the documents into an imaging system archive, IMM needs to provide the document itself (it'll be a PDF) and data (indexes, keywords, document names, file names, etc.). Different imaging systems will have different input standards and we can accommodate them so long as we know what they are.

With the Index TXT method, there are three basic elements.

The index file is a text file (but could be a CSV or XML as well) that contains the data, or "instructions" for the imaging system. Two elements are set that pertain to the Index File:

File Name Template

The import tool of the imaging system will be set up to "expect" a certain file name or file name structure. In my example below, the file name is "eSign_session_[DATE]_[time]" – but you'll want to check with your imaging system vendor to verify the best naming convention.

IMM eSign

```
eSign_session_yyyymmdd_hhmmss.txt - Notepad                                    —    □    ×

File  Edit  Format  View  Help
"837","LOS_Identification","Identification_1234.pdf","mm/dd/yyyy","Mickey Mouse","1234","123-45-6789"
"837","LOS_Loan Application","LoanApp_1234.pdf","mm/dd/yyyy","Mickey Mouse","1234","123-45-6789"
"837","LOS_PromissoryNote","PromNote_1234.pdf","mm/dd/yyyy","Mickey Mouse","1234","123-45-6789"
"837","LOS_AdobeAudit","TeWebDE-Audit_1234.pdf","mm/dd/yyyy","Mickey Mouse","1234","123-45-6789"
"837","LOS_eSignAudit","TeA-Audit_1234.pdf","mm/dd/yyyy","Mickey Mouse","1234","123-45-6789"
"837","LOS_Title","TitleDocument1_1234.pdf","mm/dd/yyyy","Mickey Mouse","1234","123-45-6789"

                                          Ln 6, Col 93        100%    Windows (CRLF)    UTF-8
```

Line Template

The second element also has to do with the index file and that is the "line template" – this means, the structure of the information on each line of the Index File – one line equals one document. You can see from my example that we are passing a static value "837" followed by the document type name as it exists in the imaging system, followed by the name of the document file itself, followed then by some index data: a date, a name, a number, and a social security number. The values are double quote delimited and separated by commas. The decisions for what values go in what order delimited and separated by what characters should be made in partnership with your Imaging vendor.

Archive File Name Template

The file names above – such as Identification_1234.pdf –can be set to be unique and useful and in keeping with any requirements of the imaging system.

Imaging System Vendor

Facilitating the moving of your signed documents to your imaging system is a key component of the IMM eSign product and our Implementation Teams are ready to help you. That said, we are just a facilitator in the process. It will be imperative that you understand any **requirements** of your imaging system, acquire any necessary **modules** or ancillary **products** that may be needed, and **coordinate** with your imaging system team.

It is a good idea to engage with your imaging system vendor **early** in the process (or with the system administrator at your institution if you have one) so that we can assist you in setting this up. Being the "LAST" part of the process, sometimes it is left until LAST, but we recommend a sooner than later strategy.

A note on Timing

A final element of the imaging process is the overall timing – the question, "when will the signed documents be in my imaging system?" is a common one. IMM only has partial control over this timing – it depends on whether documents are being signed remotely, what setting is being used for the retrieval of signed document by IMM from Adobe Sign, how frequently the Imaging Index Service runs and how frequently your imaging service retrieves files from your data center. You can see these linkages in the process diagram at the start of this document.

IMM eSign

Be sure to talk amongst your team, document your specifics in the Implementation Workbook, and identify any questions or areas of concern you may have to bring to your IMM project manager or implementation consultant.

Questions to Consider

Who is our imaging system vendor?

Is our imaging system on premise or hosted (cloud based)?

Who is our imaging system administrator/contact?

Do we need any extra modules/products?

What values do we need to pass into the imaging system along with the documents?

What timing do we need from when a session is closed to when the images are in the archive? Is that important to this process?

Begin answering and documenting these decisions in the Implementation Workbook.