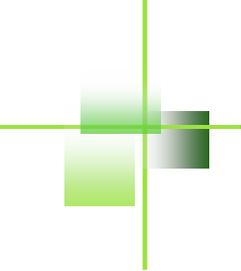


# EBS Educational Session 8

What Do I Do with My Files?

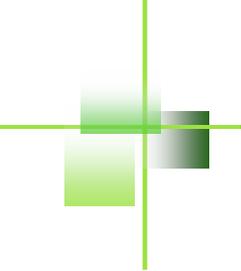
December 1, 2010

[ebsp@msu.edu](mailto:ebsp@msu.edu)



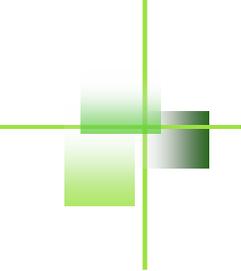
# Agenda

- University Archives
  - MSU document policy
  - Business record definitions
  - Document scanning protocols
  - Considerations for purchasing a scanner
- Financial Processing Transactions
  - MSU policy
  - How to provide supporting documentation
  - Disposal of original paper documentation
- Service Billing Transactions
  - MSU policy
  - Handling of Service Billing Transaction documentation
- HR/Payroll Transactions
  - MSU HR/Payroll Transaction process
  - How to provide supporting documentation
  - Disposal of original paper documentation



# University Archives

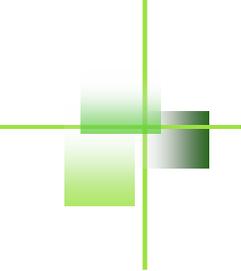
- In the new Enterprise Business Systems, MSU's administrative and academic units will “scan, attach and store business documents electronically rather than retaining papers copies in a file cabinet” (Course EBS- N100, Lesson 1).
- The University Archives is providing the following guidance to assist university units in the transition from a paper- based system to a new paper- sparse business workflow.
- We also are offering training at various venues around campus and at your offices upon request.
- Please do not hesitate to contact us with follow- up questions at [archives@msu.edu](mailto:archives@msu.edu) or 355- 2330.
- We are all making this transition together!



# University Archives

## Definitions:

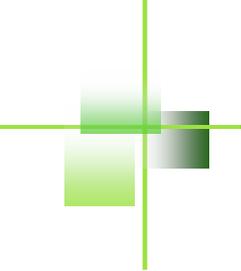
- **University business record** - “information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.”  
*ISO 15489 – The International Records Management Standards*
- **E- Doc and HR Forms** - Transactional documents created in Enterprise Business Systems (EBS), such as a financial processing document; Appointment Form; a procurement document; a maintenance document, i.e. the creation of a new account; or a workflow document. E- docs and HR Forms will replace many of the forms listed in MSU’s Manual of Business Forms and HR personnel system transactions and forms.
- **Supporting Documentation** - Invoices, receipts, contracts, letters of offer, fixed term memorandum, etc. that are appropriate and necessary for the legal and regulatory processing of a financial or HR transaction; by contract or governmental requirements such as for a grant account, by federal law or State of Michigan requirements, or by MSU policy as outlined in the Manual of Business Procedures or Human Resources Policies and Procedures.



# University Archives

## Scanning Protocol:

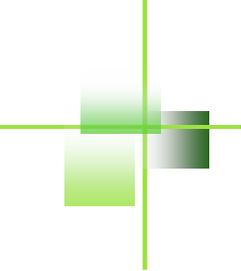
- MSU complies with the State of Michigan's Records Reproduction Act (Act 116 of 1992) and related best practices. Digital images of supporting documentation minimum requirements are:
  - 300 DPI/PPI
  - PDF strongly preferred
  - TIFF and other file types are acceptable
  - Images must be clear, readable, in good order
  - File size maximum is 5MB
- For more information:
  - [State of Michigan's Records Reproduction Act \(Act 116 of 1992\) \(opens in new window\) \(PDF\)\\*](#)
  - [Best Practices for Reproducing Public Records \(opens in new window\) \(PDF\)\\*](#)
  - [Best Practices for the Capture of Digital Images from Paper or Microfilm \(opens in new window\) \(PDF\)\\*](#)



# University Archives

## New Business Workflow

- Paper copy is kept until the transaction is fully approved.
- Scanned image is now the official business record.
- Paper copy does not need to be sent to central administrative unit.
  - Exceptions = Purchasing cards and I- 9s.
- Unit is not required to store the scanned image after transaction is approved.
- Responsibility for scheduling and disposition of university business records in enterprise business systems is shared by University Archives and the central administrative units.
- Current record retention schedules still apply.



# University Archives

## Once e- doc and HR forms receive final approval:

- The scanned supporting documentation becomes the official University record.
- Internal Audit will use scanned supporting documentation for their review.
- Units should dispose of paper originals using the following methods:
  - MSU Recycling
  - Shred papers containing sensitive data before recycling or place in specific secured sensitive data bins.

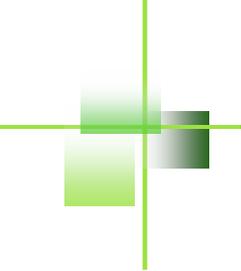
**Note:** Disposal relates only to documentation that directly supports the specific transaction being processed. University Records Management policies remain in effect for all documentation.



# University Archives

## Handling sensitive data in documents:

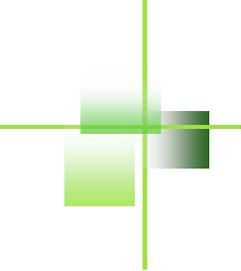
- Redact or obscure sensitive data from imaged documents.
- In the rare instances where sensitive information needs to be included:
  - access is limited to users with the appropriate security role (e.g., HR Unit Administrators, HR/Payroll Approvers).
  - Use the “Secured Field” portion of the e- doc in the finance system.
- Units should dispose of paper originals using the following methods:
  - MSU Recycling
  - Shred papers containing sensitive data before recycling or place in specific secured sensitive data bins.



# University Archives

## Types of scanners:

- **Desktop or Flatbed scanner:** The most common and inexpensive type of scanner; includes glass window and cover lid, usually accommodates up to standard letter size documents.
- **Document scanners:** Similar to a fax machine or desktop printer, dedicated document scanners automatically feed sheets through as they scan.
- **Multifunction printer/scanner/copier:** One machine that can print, scan, copy, fax, and e-mail; and shared in an office environment. Automatic document feeders are optional, ink-jet or laser printer depending upon need. Pricing varies, leasing is common. If leasing, ask the dealer for a “hard drive erase” option to ensure that university records are wiped from the hard drive when the lease expires.



# University Archives

## Scanning 101

### 1. Document Preparation

Remove all staples, paper clips or other fastening devices.

Repair all torn or damaged documents.

Remove creases or folds for the pages so that no data is covered or lost.

Identify and locate missing or misfiled documents.

Identify and mark out any confidential or sensitive data.

Arrange the documents in the order in which they are to be scanned.

### 2. Scan the document

Set resolution to 300 dpi for text, drawings and photographs.

Set file type (also known as format) to PDF (preferred) or TIFF.

Scan the document.

Move the document to your unit's secured file storage location.

### 3. Quality Control

Develop your unit's internal procedures to ensure quality scans are created.

Identify unit roles and responsibilities so that attachments are inspected.

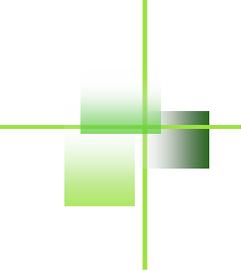
- For example, Fiscal Officers or HR Unit Administrators

Inspect the scanned images to ensure compliance with data security policies.

Verify that there are no missing pages.

Verify that the text is legible throughout the document.

Verify that no confidential or sensitive data is present or available.



# University Archives

## File Naming Conventions :

Keep document name meaningful but short (255 character limit).

**THIS:** HorseNamingInfo      **NOT THIS:** Getting the right names for horses

Make sure document name describes the file's contents and makes sense to anyone if the creator is unavailable.

**THIS:** Budget2007      **NOT THIS:** Info for TD project 2007

Use capital letters to differentiate between words, and use underscores instead of spaces.

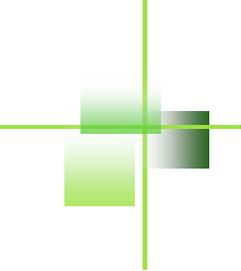
**THIS:** 2010\_OffProcedures      **NOT THIS:** 2010- office procedures

When using personal names, give the surname first followed by the initials of the first name.

**THIS:** Bletch,F\_Memo2008      **NOT THIS:** Memo Fred Bletch 2008

When using a date use the “year- month- day” format (4- digit year, 2- digit month, 2- digit day). Include a leading zero for numbers 0- 9.

**THIS:** 2006- 03- 24      **NOT THIS:** Mar 3 2006 Naming order



# University Archives

## File Naming Conventions:

Order elements in a file name in the most appropriate way to retrieve the record. If records are retrieved according to date, that element should appear first (appropriate for time- specific, recurring events).

**THIS:** 2007- 10- 20Agenda      **NOT THIS:** Agenda 20 Oct 2007

If records are retrieved according to description, use that element first (usually appropriate for events that are infrequent).

**THIS:** AnnualMtg2007- 10- 20      **NOT THIS:** October 2007 Annual Mtg

Records relating to recurring events such as meeting minutes, regular periodic reports, or budget planning documents, should include both the date and the event in the file name.

**THIS:** 2007BudgetDocs      **NOT THIS:** Info for last year's budget docs

The version number of a record should be indicated in its file name by using "v" followed by the version number. Use the letter "d" to indicate a draft.

**THIS:** OrgChart2009\_v02      **NOT THIS:** Org Chart 2009 rev

**THIS:** OrgChart2009\_d      **NOT THIS:** Draft Org Chart 2009



# University Archives

## Prepare a secured and organized storage location:

Each office will need a secure location to store scanned images and attachments until transactions have been fully approved by the appropriate central administrative units. This is true whether or not local units choose to maintain a copy of attachments for their own records.

We recommend using a *file plan* to organize and maintain the scanned images and documents and improve business efficiency and productivity. A *file plan* is a hierarchical filing system used to arrange business documents by the functions and needs of an individual office.

## Primary Subjects (main unit or office business functions)

- **Secondary Subjects** (more specific functions or activities of your unit or office).
  - **Tertiary Subjects** (limit by date or equivalent category)
    - File Name (use naming conventions).

# University Archives

## Sample *File Plans* and *retention schedules*\*:

Finance	Human Resources
<p><b>ACCOUNTS PAYABLE – 6 years*</b>            Vendor                Invoices                    2010-11                    2011-12                    2012-13                    2013-14                    2014-15                    2015-16</p> <p><b>ACCOUNTS RECEIVABLE – 6 years*</b>            Payments for Services Rendered                    2010-11                    2011-12                    2012-13                    2013-14                    2014-15                    2015-16</p>	<p><b>SEARCH COMMITTEE RECORDS (faculty) – 3 yrs after date of appt*</b>            2010                Assistant Professor I                    Job posting                    Committee procedures                    Affirmative Action Reports                    Applicant info                    List of candidates                    Interview records                    Final evaluations                    Final report</p> <p><b>PERSONNEL RECORDS (academic) – 3 yrs after termination*</b>                Smith, Juanita                    Offer Package                    Promotion &amp; Tenure                    Congratulatory Letters</p>

[http://archives.msu.edu/records/scanning.php?records\\_scanning](http://archives.msu.edu/records/scanning.php?records_scanning)

Scanning | University Archives | Michigan State University - Mozilla Firefox

File Edit View History Bookmarks Tools Help

http://archives.msu.edu/records/scanning.php?records\_scanning

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MICHIGAN STATE UNIVERSITY

University Archives & Historical Collections

About Records Management Collections Research Outreach Giving

Home > Records Management > Scanning

**Records Management**

- Purpose and goals
- Policies
- FAQs and definitions
- Retention schedules
- Creating a records management plan for your unit
- Records transfer, retrieval, and destruction
- Scanning
- Education and training

**Scanning**

In the new [Enterprise Business Systems](#), MSU's administrative and academic units will "scan, attach and store business documents electronically rather than retaining papers copies in a file cabinet" (Course EBS-N100, Lesson 1).

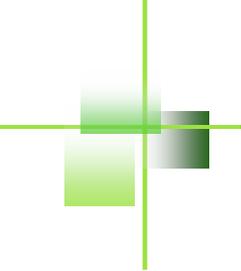
The University Archives is providing the following guidance to assist university units in the transition from a paper-based system to a new paper-sparse business workflow. We also are offering training at various venues around campus – through Human Resources Development (HRD), Administrative Data Users Council (ADUC), EBSP training, LCTTP courses and at your offices upon request. Please do not hesitate to contact us with follow-up questions at [archives@msu.edu](mailto:archives@msu.edu) or 355-2330. We are all making this transition together!

**MSU policy**

**Scanning**

- [MSU Policy](#)
- [Definitions](#)
- [Protocol](#)
- [Things to consider](#)
- [Types of scanners](#)
- [Scanning 101 \(PDF\)\\* \(opens in new window\)](#)
- [Naming electronic files and folders \(PDF\)\\*](#)
- [Other Web Resources](#)

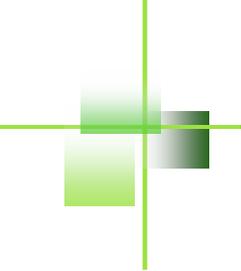
3:36 PM  
12/2/2010



# Questions and Answers



# Thank You!

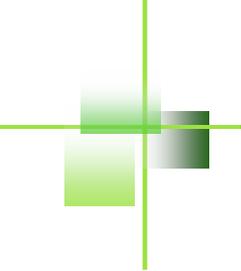


# Financial Processing Transactions

MSU policy: All Financial Processing Transactions must be completely supported by documentation (written information that provides backup and depth to a transaction) and/or thorough referencing, description, and explanation.

Examples of supporting documentation include:

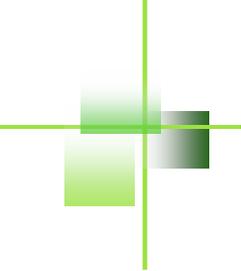
- Itemized Receipts
- Invoices
- Reports
- Contracts



# Financial Processing Transactions

An example of some Financial Processing Transactions e- docs:

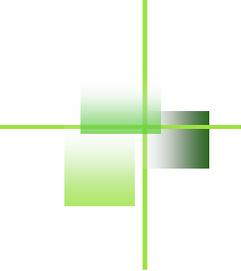
- Advance Deposit
- Auxiliary Voucher
- Budget Reallocation
- Cash Receipt
- Credit Card Receipt
- Disbursement Voucher
- Distribution of Income and Expense
- General Error Correction
- Indirect Cost Adjustment
- Internal Billing
- Pre- Encumbrance
- Transfer of Funds
- Intra Account Adjustment



# Financial Processing Transactions

Scanned supporting documentation is **required** for the following Financial Processing Transactions:

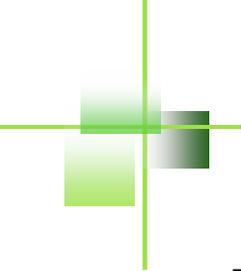
- Advance Deposit
- Credit Card Receipt
- Disbursement Voucher
- Internal Billing



# Financial Processing Transactions

A detailed explanation, description and reference are **required** for the following Financial Processing Transactions. **Scanned** supporting documentation is **optional** (unit's discretion):

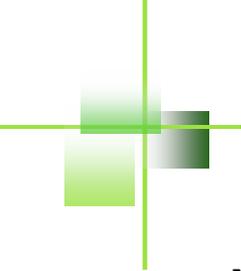
- Auxiliary Voucher
- Budget Reallocation
- Cash Receipt
- Distribution of Income and Expense
- General Error Correction
- Indirect Cost Adjustment
- Pre- Encumbrance
- Transfer of Funds
- Intra Account Adjustment



# Financial Processing Transactions

Exception to disposal of scanned supporting documentation:

- Purchasing Card transaction receipts
  - Original receipts must be maintained in department files and retained per MSU Records Management policies.

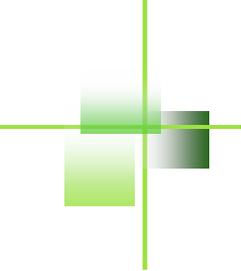


# Service Billing Transactions

MSU policy: All Service Billing transactions must be completely supported by documentation (written information that provides backup and depth to a transaction).

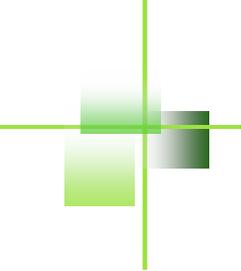
Examples of supporting documentation include:

- Monthly account statements
- Individual transaction detail summaries.



# Service Billing Transactions

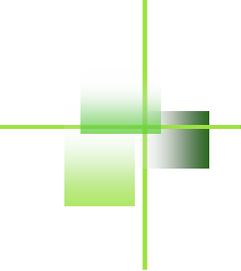
- A unit may be authorized and set up to use the Service Billing e- doc with approval from Accounting.
- Scans of supporting documentation can be attached to the Service Billing e- doc.
- Some Service Billings will include imaged supporting documentation.
- Other Service Billings will include paper original supporting documentation.
- University Records Management policies remain in effect for paper original supporting documentation.
- All supporting documentation must be reviewed on a timely basis regardless of delivery method. Please see MSU's Monthly Account Review policy for more information.



# Questions and Answers



# Thank You!



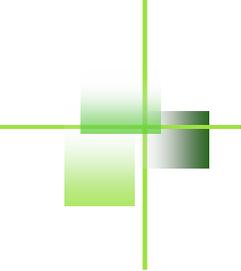
# Human Resources/Payroll Transactions

Many human resources transactions must be supported by documentation (written information that provides supplemental information to a transaction).

Examples of supporting documentation include:

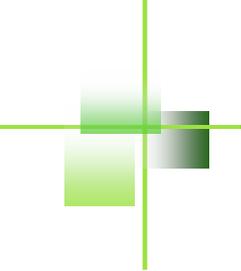
- Multiple Appointment Memorandum
- Conflict of Interest Form
- Search and Recruitment Activities
- Birth Certificate
- Marriage License.

In the new Human Resources/Payroll system, images of supporting documents can be attached to HR Adobe Interactive Forms.



# Human Resources/Payroll Transactions

- For certain HR forms attached supporting documentation is required for processing.
- For other HR forms, while attached support is optional (at a unit's discretion), a complete and approved form is all that is required to support a transaction.



# Human Resources/Payroll Transactions

Supporting documentation is **always required** for the following HR/Payroll Transactions:

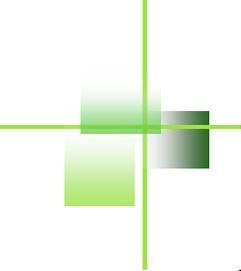
- Benefits New Dependent Forms require supporting documentation.

Supporting documentation is **required in certain scenarios** and will be outlined on the HR web site at the following link:

<http://www.hr.msu.edu/FormsInfo.htm>

Exceptions to scanned documentation:

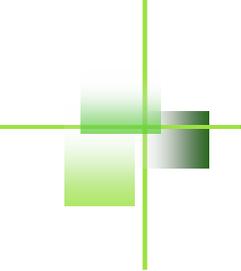
- For new hires, all original, paper I- 9s should be routed to HR.



# Human Resources/Payroll Transactions

Once the HR/Payroll transactions has received all approvals:

- The scanned supporting documentation becomes the official University record.
- Internal Audit will use scanned supporting documentation for their review.
- Units should dispose of paper originals using the following methods:
  - MSU Recycling
  - Shred papers containing sensitive data before recycling or place in specific secured sensitive data bins.



# Questions and Answers



# Thank You!