

Grants and Contracts Functional Area Digital Document Imagery Infrastructure Working
Group
Meeting Minutes
December 16, 2004

Members:

Maggie Griscavage, GCS, UAF, Chair
Karol Weatherby, GCS, UAA
Tanya Hollis, GCS, SW
Candice Murdoch, GCS, UAS
Judy Brainerd, Financial Services, UAF
Sherry Lynch, CGC, CIFAR, UAF

Ad hoc invitees:

Russell O'Hare, SW Project Manager
Kathy Jeffords, Accounts Payable, UAF
Deb Moore, Procurement, UAF
Martha Nelson, Procurement, UAA

Agenda Items:

Retention Schedule
GCS Document Management System Workflow
Capability of new document management system

1) Retention Schedule

The Draft Interim Retention Schedule was reviewed and the group agreed that the OMB Circular A-110 regulations should be applicable to GCS records unless differing retention is specifically addressed in the award document and the sponsor has a requirement for retention greater than the federal regulation. Also needing consideration is whether there should be different retention schedules applied to a) regular sponsored research (fund 2's) vs. b) capital construction awards (fund 5's).

Accounts Payable (A/P), Procurement and Financial Services each have different needs from a subjective view, but these should, in any case, never be shorter than the A-110 requirement of three years from the date of submission of the final expenditure report, unless the documents are under review or litigation. State of Alaska statutes need to be introduced at the next group meeting to ensure that the A-110 regulation is still valid according to the laws of the state, especially in consideration of the number of state RSA's accepted by the university.

Since the GCS offices only deal with funded awards, the unfunded proposals retention schedule should be decided by the office of Sponsored Research (OSP) (pre-award); the Chair will get their input before the next group meeting. One year may be reasonable.

2) Document Management System (DMS) Workflow

The GCS tracking system focuses on four main areas: proposal, award, financial, and general documentation. Each MAU may handle/treat these differently, but these components are required for adequate sponsored funds oversight. There should be a standardization requirement in order for the acquired system to work properly. Wherever possible, it would be desirable to have Banner systems' images be portable into the digitized files (e.g., inception-to-date financial reports).

Either the department generating the proposal or the OSP should be responsible for scanning the full, final proposal into the DMS. My recommendation would be that OSP performs this task – to ensure that the actual approved proposal is the only one scanned. It may be reasonable to not scan a proposal into the system until OSP has been notified that an award has been made. This will keep the document image files storage block to an actual, useful need.

GCS document handling at UAF is as follows:

Award document received either electronically, i.e., NIH, NSF, or in hard copy. Sometimes the sponsor will send the award to the investigator instead of GCS, but eventually the document will make its way to us. The award is date stamped, logged to the Suspense Log, and the department is sent a photocopy along with a memo requesting budget forms for GCS. The department should make another photocopy of the award and give it to the investigator. Awards can be any size document, from one page to greater than seventy pages. GCS requests the original proposal from OSP. Absent a negative response from the department/investigator, GCS senior officers will accept the award on behalf of UAF.

The department will prepare budget request forms (BRFs) and send them to GCS, retaining copies for their use. In GCS, the award, the proposal, and the BRFs make a complete review packet. Senior GCS officials review the packet and, if all required elements are extant, GCS staff enters the relevant information into Banner finance system. Data entry staff forward the active packet to the grant technician according to sponsor, and the technician reviews the Banner data to ensure accuracy of information. The technician prepares a setup sheet and the student assistant(s) make one hanging folder with four or more manila folders per active grant. Each fund, per grant, gets its own manila folder. All are labeled.

At the GCS technician station(s), invoicing documents are generated monthly, financial status reports quarterly, and annual financial reports on-demand. Depending on the awarding agency, there may be backup documentation that is prepared, usually printouts off the Banner system, and provided to the sponsor. At closeout of an award, various final reports are generated according to the sponsor's requirements. These are only sent to the departments upon their request. Making these available in PDF form will provide a valuable tool for departmental financial managers.

Cash receipts are handled by the GCS office. Photocopies of checks are made and placed in the appropriate financial file(s). Additionally, a cash receipt form is generated and printed – also for the financial file(s). These are not currently available for departments to see, but they can check payments against award through the Banner financial system.

Subaward documents are prepared by the department and forwarded to GCS. These are comprised of the legal award document, the subrecipient's scope of work and budget, and a full copy of the original sponsor's award document to UAF. They are passed on to Procurement and matched up to a requisition in the Banner finance system. Procurement mails them to the subrecipient and, upon return to UAF, the purchase order is printed and sent back to the subrecipient with all the documents fully signed. Procurement makes full copies of the sub award package and sends one to back to GCS and one to the department. GCS does not see a copy of the purchase order.

The subrecipient invoices the Accounts Payable dept, with a copy of the invoice going to the initiating department. Once the initiating department accepts the invoice, A/P is notified to go ahead and pay the subrecipient. The check copy is kept in A/P. Neither GCS nor the initiating department sees a copy of the check. GCS only sees that payment is being made when the charge(s) show up in the billing operation, unless the fund(s) are under scrutiny for other reasons.

Effort reporting is a requirement on federal sponsored awards. The investigator's department is responsible for this event. Currently it is being tied to the payroll timesheet which is generated and signed at the department, and is eventually keyed in Human Resources (HR), except for one or two exceptions where the department will key the payroll data. HR retains the documents. GCS does not see this event, even though it ultimately has the responsibility for certifying that effort reporting has been done.

Journal vouchers are initiated at the department level. GCS and Financial Services have approval authority for these changes. Some JVs pass through GCS, but most go directly to Financial Services. These documents are retained by Financial Services.

Travel Authorization (TA) requests and travel expense claims are initiated at the department level. Copies of these documents are kept at the department. The originals are forwarded to the Travel department within Financial Services.

All the above documentation will be necessary for an audit, should one occur. Having digital images available through a single portal, from many locations, will greatly enhance and improve audit events.

3) System Capabilities

Scanners: High-speed, high dpi, double-sided and color capable. Selected key entry points, e.g., OSP, GCS, and departments according to their volume of sponsored research. Anti-skew capability, to cut down pre-commit reviewing of documents, is also desirable.

Highly important will be the **index system** that will govern document retrieval. For instance, OSP tracks by proposal number; GCS tracks documents by university-assigned grant numbers; Procurement tracks documents by either requisition number or purchase order number; Accounts Payable tracks by check number; departments track by fund/org code combinations. The system index should be able to retrieve all connected documents, regardless of how they are initially called up.

At the next meeting, the group will attempt to answer the following questions:

- a) At what point should the information be digitized?
- b) Who is responsible for digitizing?
- c) How many entry portals should there be? Where?
- d) Should/how should Banner information link to digital records?
- e) In what format should documents be digitized – PDF, tiff, film?
- f) How should the index be set up – each department has different retention needs?
- g) Who should have access?
- h) How can the document be retrieved? (Web; UA portal?)
- i) How should “scrubbing” (deletion) be authorized – automatic or cognitive decision?
- j) What’s the impact on other areas when the document is scrubbed?
- k) What should the backup requirement be? Daily, 48 hrs?