SW Records Policies and Procedures

I. Document Intake

A. Condition of incoming documents

Documents brought to the Records Office, either for long-term storage or to be scanned, must meet certain criteria. They must be properly identified and labeled with the record type, applicable dates, originating department and retention. If the documents are to be scanned, they must also be free of staples and other metal bindings, sorted according to their indexes.

Documents to be scanned should be neatly stacked and without excessive folded corners. If a document is less than 3” x 5” it should be taped to a letter-size (8.5” x 11”) piece of plain paper. The smaller document should be centered on the larger piece of paper with at least a 2 inch border all the way around. Under no circumstances should multiple smaller documents be taped to a single piece of paper. This will cause severe jams in the scanner as well as damage to the documents.

B. Documentation

All documents must be accompanied by a “Records Transfer List.” This form lists details of the documents being stored/scanned by the Records Office, the originating department, date transferred, storage location, and future actions to be taken with the documents (i.e. scanning, temporary or permanent storage).

C. Storage

Documents to be stored in their paper form must be in acid free “bankers boxes.” Other boxes are not appropriate for long-term storage of documents. Rubber bands are not to be used due to their relatively short lifespan. Documents must be identified, indexed, sorted, and prepped for the Records Office by the originating department.

II. Document Scanning

Scanning or imaging is the process by which paper documents are copied and saved as digital images. These digital images or electronic records are saved as PDF or TIFF files. The purpose of inspection is to ensure that electronic document images are sufficiently legible and usable for their intended purposes, which may include display, printing, facsimile transmission, or optical character recognition.

A. Document Preparation for Scanning

1. **Staples** and paperclips must be removed from all documents prior to drop off.

2. All "post-it" notes or any other small, attached items must be removed from the front of a document if they are covering information. Any of these notes can be placed on the back side of a document if they must be scanned with that particular document. If not, the item must be placed on a separate sheet of plain white paper and taped down as flat as possible, using scotch tape on all four sides of the item.

3. Taped documents (including receipts, "post-it notes," small documents, or carbon copies) must be taped individually and neatly on a separate white sheet of paper.

4. Straighten any folded edges and repair any torn documents.

5. If documents are part of a file (i.e. personnel files), they are to be scanned in "batches" according to how many documents are in the file, and must be counted (front and back if applicable) prior to scanning.

B. Document Handling and Scanning

All documents should be scanned in the same orientation (i.e. vertical or horizontal) and placed face down, topside first in the feeder. Once loaded and ready to scan, a batch number will be assigned to the batch of documents being scanned. This will help ensure the batch can be successfully located once uploaded to OnBase. Batch name may include campus code, department, doc type, and identifying characteristics of the document, dates, term years, employee ID #s, and initials of the scan operator, etc.

C. Document Verification

During the scanning process, the scan operator should be watching for the following possible errors:

1. Overlapped images
2. Folded corners that cover information
3. Images that are too light or too dark
4. Any other defect that makes retrieving the information difficult
5. Stapled copies and double pulls (where the machine pulls two or more pieces of paper at once).

Once a batch of documents is scanned into OnBase, the scan operator must verify the number of documents scanned matches, or is greater than, the original document count; to assure no documents are missing, or that a double pull did not occur.

D. Uploading Batches

Once the batch is completely scanned and verified for quality control, the batch must be uploaded to OnBase for indexing and committing.

III. Indexing and Committing Batches

A. Indexing Properties

1. Document Type Groups

Each document scanned will belong to a specific document type group, which is determined by the department it originated from, or belongs to.

2. Document Type

Each document within a document type group is assigned a document type based on the type of document it is (i.e. timesheet, termed file, journal voucher, etc.). The document types are approved by functional area managers.

3. Keywords

Each document type will have different keywords assigned to assist in identifying the document for retrieval purposes. The keywords are approved by functional area managers.

4. Document Date

Each document scanned will automatically fill in with the date the document was indexed into OnBase.

B. Indexing Documents

When indexing documents in OnBase, always verify the information you are entering in the keyword fields is correct. Always double-check for the following:

1. Correct spelling
2. Correct campus selected if applicable.
3. Dates entered correctly if applicable.
4. Numbers are entered correctly and not transposed.
5. All other relevant information is entered correctly before selecting the final “index” button.

C. Committing Documents

1. Verify Selection

Once the documents are indexed, they need to be committed to the OnBase system. When selecting batches to commit, first verify you have selected the correct batches before selecting the final “commit” option.

2. Verify documents have been committed

Once committed, verify the documents are in the system by doing a search on the document by completing the following in OnBase. This verifies the record integrity through paper to electronic conversion.

Follow these steps to retrieve a document:

- **a.** Go to “File”
- **b.** Click “Open”
- **c.** Click “Retrieve Document”
- **d.** Select Docy Type Group
- **e.** Select Doc Type
- **f.** Enter appropriate keywords
- **g.** Click “Find”
- **h.** Document should appear in the document search results window.

IV. Records Retention

Like all electronic records, scanned files must be accessible and readable for their full retention period. This includes finding the file, opening the file, and reading the file regardless of the format and software used in its creation.

All university records are to be kept for a predetermined amount of time, according to the retention schedule published on the Records and Information Management website: www.alaska.edu/records

V. Destruction

A. Guidelines

Documents to be destroyed must have originated from one of three sources:

1. Documents stored in the Records Office that have reached the end of their retention period, in accordance with the appropriate records retention schedule.
2. Documents that have been microfilmed by the Records Office and are not needed in their original form any longer.

3. Documents from other outside departments which have reached the end of their retention and have been determined no longer needed, according to the appropriate records retention schedule.

B. Documents transferred to the Records Office for destruction

Documents transferred to the Records Office for destruction must be verified by the department that the following things apply:

1. They contain personally identifiable or financial information of a sensitive nature that should be guarded from the general public. The Records Office will not destroy non-confidential information.

2. The records have been verified by the department in accordance with the appropriate records retention and disposition schedule, to have met their retention period.

C. Method of Destruction

When it is deemed appropriate to destroy documents, because they have reached the end of their retention period, or they have been scanned and the originals are no longer needed, those documents will be destroyed. The system we currently use to destroy documents is a mobile document destruction system called “Shredway.” It consists of a large rotary shredder mounted in a truck. It is capable of destroying large quantities of documents in a very short time. It is very powerful but does have some limitations. All documents to be destroyed must be prepared using the following guidelines:

1. Only confidential material can be shredded. We will not accept text books, magazines, binders, or any other items of a non-confidential nature. Non-confidential documents must be removed prior to document delivery or the documents will not be accepted.

2. Remove any hanging file folders from documents prior to delivery. The Shredway document destruction process can handle staples, paper clips, binder clips, and file folder prongs, so it is not necessary to remove such items prior to document delivery. However, the spring steel bars in hanging file folders can produce sparks in the shred truck during the destruction process, so they pose a significant fire hazard. Documents containing hanging file folders or other larger pieces of spring steel will be refused. Please contact the Records Office prior to document delivery if your documents contain any questionable metal parts.

D. Procedures

When documents are slated to be destroyed, they must be placed in the locking totes provided by Shredway. These totes are stored in the loading dock on the east end of the 1st floor of Butrovich. The documents are to be placed loose within the totes; in other words, removed from any box they were stored or transported in. This practice helps us to maximize our cost for this service. Once the totes are full, a shred run will be scheduled by the Records Office.

All departments should contact the Records Office directly to schedule shred drop off, and be prepared to complete the necessary paperwork for shred services. The records coordinator or designee must observe the documents being destroyed and provide the department with a copy of the Certificate of Destruction upon request.

E. Shred Documentation

All records destroyed must be documented on a Certificate of Destruction Form, available in the forms section of the Records and Information website: www.alaska.edu/records.

Upon completion of the destruction, Shredway will also provide a separate Certificate of Destruction, including all records shredded in that particular run. This certificate will be retained by the Records Office.