

---

## College of the Environment Dean's Office Scanning Policy: Financial Records

---

Records are defined by Records Management. All records, created or received, have a specific amount of time they must be maintained. This is called the retention period. It is based on the content of a record and applies to all records regardless of physical form or characteristics. Retention periods are found on the Records Management's website, located at <https://finance.uw.edu/recmgt/gs>

### **SCANNED RECORDS**

Once paper records are scanned or saved as a PDF according to the technical requirements outlined in this document, the paper records can be destroyed. The retention period that applied to the paper record now applies to the scanned record.

### **TECHNICAL SCANNING REQUIREMENTS**

- **Formats and Scanning Densities**

Black and white, gray, and color paper records of any kind can be scanned. This includes color text documents, photographs, maps, and plans.

- Scanners will be set at a minimum of 300dpi (dots per inch). NOTE: The main office scanner should have the default set to this resolution.
- Scanned records will be saved as PDF files. JPEG (Joint Photographic Experts Group) format is not acceptable if the scanning is done with the intention of destroying the original paper records.

- **Quality Control**

Scanned document images must be inspected visually to ensure they are complete (the entire document has been captured), clear and easily read.

- Each scanned record will be visually inspected to ensure that the image is complete, clear and usable. If necessary, the scanned records will be compared to the original paper document to ensure accuracy.
- The number of original paper documents will be compared to the number of scanned records to ensure that every document was scanned.

- **Image Enhancement**

There are times when there is a problem with the final scanned image that makes it difficult to read and less than usable. If the scanned document is to replace the original paper record these common problems must be corrected.

- Speckles or spots on the scanned image: clean the glass on the scanner and rescan the paper.
- Skewed images that are not properly aligned: rescan the paper so that the image appears straight.
- When only part of the document is captured by the scanner, rescan the paper so it is properly aligned and the entire page is included.
- If the scanned record is of poor quality and is not clearly readable, reset the dpi (dots per inch) setting on the scanner to a setting higher than 300 dpi and rescan, increasing the dpi until the record is as readable as possible.
- If the paper document is of poor quality, note "Best scan possible" on scanned copy.
- If the paper document cannot be scanned to reflect the original, it must be kept.

### **MODIFYING SCANNED RECORDS**

It is important to ensure that the original content of a scanned record is not altered or modified once it has been finalized. Scanned records should be "read only" to ensure that there is no improper alteration or modification. However, many times it is useful to add a note on a PDF using a text box. This is not considered a modification of the scanned record and is an acceptable and practical way to make notes on an electronic record.

### **COMPUTER SECURITY STANDARDS**

All University computers and computing devices must be properly managed and protected from intrusion and misuse by unauthorized entities. The following steps will be taken to ensure the security of the records in individual office as well as the computer networks at the UW:

- The storage location meets all security and privacy requirements necessary for the stored records as outlined by the UW Office of the Chief Information Security Officer and the UW Privacy Office.
- Access is restricted to current employees of the College of the Environment.

---

## College of the Environment Dean's Office Scanning Policy: Financial Records

---

- System access accounts for users must be based on a unique identifier (login). Shared accounts are allowed when as authorized by the system owner or operator and where appropriate accountability can be maintained.
- When an employee separates, their immediate manager is responsible for notifying all system owners and operators, or the designated system administrator handling the computer or communications accounts, to close all related accounts and remove all access capabilities related to the separated employee.
- A growing number of office machines, such as printers, copiers, and fax machines are now network-connectable. These devices may retain copies of documents that have been scanned or copied on them. In most cases it is possible to configure these devices to automatically delete stored information. We highly recommend implementing automatic deletion or, when that is not practicable, instituting a practice of manually clearing the device's memory.
- If the documents to be scanned contain confidential UW data, additional security controls might be necessary. Organizations should contact UW Privacy Office for advice.
- Potential incidents of security breaches should immediately be reported to the Office of the CISO and the Privacy Office.

### **NAMING PROTOCOL FOR SCANNED RECORDS**

The file name should identify 1) the type of record, 2) the equivalent paper identifier (e.g., a budget number, EID, student number, or other subject identifier), and 3) a date. See Appendix A.

### **STORAGE LOCATION**

All scanned records will be stored on the College of the Environment networked files server: Env(<\\coenv-share.coenv.washington.edu>) (S:). This location is backed up daily by UW-IT. Adhering to a consistent file storage convention ensures that records can be found easily, and entire folders of scanned records can be destroyed when the retention period has been met.

### **PROCARD RECORDS**

Procard records will be stored in S: > Administration > F&A > Procard-CTA-Rcpts > Procard

From here, go to the folder for the appropriate time period.

- Each month has a subfolder for each budget and name of Procard holder.
  - Save a copy of the transaction report with scanned receipts (see Appendix A for naming convention) in the Name file.
    - After saving the document, right click on the document and select "Create Shortcut". Cut that shortcut and
      - Paste the shortcut to the applicable budget(s) folder(s). (This will take up far less server space than saving another copy of the document to the budget file).

### **CTA RECORDS**

Central Travel Account records will be stored in S: > Administration > F&A > Procard-CTA-Rcpts > CTA

From here, go to the folder for the appropriate time period.

- Each month has a subfolder for the CTA Transaction Summary Report and Receipts
  - Save a copy of the transaction report with scanned receipts (see Appendix A for naming convention) in the Name file.
    - After saving the document, right click on the document and select "Create Shortcut" Cut that shortcut and
      - Paste the shortcut to the applicable budget(s) folder(s). (This will take up far less server space than saving another copy of the document to the budget file).

### **RECEIPTS**

Other financial records will be stored in S: > Administration > F&A > Procard-CTA-Rcpts > Receipts

From here, go to the folder for the appropriate time period.

- Each month has a subfolder for each budget.
  - Each budget folder will contain scanned invoices, receipts, ISDs.

### **DESTRUCTION OF SCANNED RECORDS**

## **College of the Environment Dean's Office Scanning Policy: Financial Records**

---

Like all electronic records, scanned documents must be kept for the duration of the retention period. Deletion of records is a four-step process.

1. At the end of each fiscal year, the Administrative Specialist identifies all files on the fileserver that have reached the end of the retention period and sends a list of folders to the Director of Finance and Administration for destruction approval.
2. The Director of Finance and Administration reviews the list and approves as appropriate.
3. Upon receiving approval, the Administrative Specialist deletes files on the server.
4. Destroyed records are recorded on the Records Destruction Log form by the person who destroyed them.

Each member of the department is responsible for maintaining and deleting emails containing records not saved on the fileserver per the [records retention schedule](#).

Deleted files may be recorded on the Records Destruction Log by the Record Series Title; recording each individual document is not required. This also applies to email, except email with financial information stored as described above can be deleted without logging. **Deleted files and emails must also be purged from the Trash.**

**NOTE:** All records pertaining to ongoing or pending audits, lawsuits (or even reasonably anticipated lawsuits), or public disclosure proceedings must not be destroyed, damaged, or altered until the issue is resolved. It is the responsibility of both the reviewer and approver to properly identify any records that are on destruction hold during the review/approval process. Once the issue is resolved, the Director must be informed that records may be destroyed so s/he can authorize destruction of the records.

### **APPENDIX A: NAMING CONVENTIONS FOR RECORDS**

This list should be reviewed and updated quarterly or as needed.

TYPE OF RECORD OR RECORD NAME	NAMING CONVENTION
Procard Transaction Summary Reports and Receipts	Last Name of Procard holder, Rpt & Rcpts, MM.YY Example: Sherman, Rpt. & Rcpt., 08.17
CTA Transaction Summary Reports and Receipts	CTA, Rpt. & Rcpt. MM.YY
Date format for subfolder	YYYY-MM
Budget numbers in Record Names	XXXXXX (no hyphen)