

Document Scanning Guidance for use with CSU's Kuali Finance System

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Version 1.0

Purpose and Audience

This document contains the policies, procedures, and best practices for handling documents in the Kuali Finance System (KFS). This document is intended to provide initial guidelines with the expectation that these guidelines may evolve over the first few years of CSU's use of KFS as functionality and external requirements become more evident. The intended audiences for this document are those individuals attaching/uploading such documents into KFS, those who will see such documents via workflow routing, those responsible for evaluating employees performing such functions, and those responsible for fiscal matters.

Questions concerning the fiscal aspects of this document are to be directed to the University Controller, Lynn Johnson, Lynn.Johnson@Colostate.edu; and questions concerning the technical aspects of this document are to be directed to the Vice President for Information Technology, Patrick Burns, Patrick.Burns@Colostate.edu.

Background

The Kuali Finance System at Colorado State University includes the ability for documents to be stored in the system, and routed through work flow processes. In addition, documents stored in the system are preserved, thereby meeting our obligations for preservation of our financial records as required by the Financial Policy and Procedure Instructions Manual FPI J-7 Record Retention. In certain circumstances retention of hard copy documents will be required in order to meet Federal Contract retention requirements for a period of one year beyond the date of the document.

Technical

All documents entered into KFS are to be in **PDF format**. Hardcopy documents should be scanned directly to PDF. Documents in 'native' format, such as Word, Excel, etc., are to be converted to PDF before being uploaded to KFS. Documents should be scanned to take advantage of compression technology; in particular native and encapsulated bitmap images and the like are not to be used as these are unnecessary for clarity and generate huge files and excessive system requirements. All documents to be uploaded to KFS should be examined for quality control by viewing the PDF for clarity, proper formatting, proper pagination, etc.

Documents should be scanned using at least 300 dots per inch (dpi) resolution. Hardware scanners are to be capable of at least 600 dpi resolution, and should be able to scan directly into PDF. All documents are to be scanned at an acceptable resolution, with post-scanning examination to ensure all pertinent information is captured. Where color is not important, documents may be scanned in black and white. Higher resolutions may be required to capture greater detail, for example, maps, diagrams, engineering

drawings, logos, etc. Normally, 600 dpi should suffice, although 1,200-2,400 dpi may be required for ultra-high resolution.

Documents containing sensitive information (e.g. credit card numbers, social security numbers, personal financial and personal medical information, performance information, grades, etc.) may not be retained on local storage systems, rather such documents are to be deleted immediately after the document is uploaded to KFS.

Functional

Most e-Docs within KFS provide the ability to “attach” an electronic document to the respective e-Doc within the Notes and Attachments tab. If a PDF copy of the document is not attached, a hard copy must be retained for the period specified with FPI J-7. **If a PDF copy is attached, the original must be maintained for a period of one-year (until further notice).** The types of documents that may/should be attached include the following:

<u>e-Doc Name</u>	<u>Attachment</u>	<u>Responsible Party</u>
Advance Deposit	ACH Wire Notice	Account Org
Adjustment/Accrual Voucher	Supporting documents	Account Org
Budget Adjustment	Supporting documents	Account Org
Cash Receipt	Check Copy	Account Org
Disbursement Voucher	Vendor Invoice	Account Org
Disbursement Voucher - Travel	Travel Voucher	Accounts Payable
Disbursement Voucher – Individual	Supporting documents	Accounts Payable
Distribution of Income and Expense	Supporting documents	Account Org
General Error Correction	Supporting documents	Account Org
Indirect Cost Adjustment	Supporting documents	Sponsored Programs
Internal Billing	Supporting documents	Billing Org
Internal Order	Supporting documents	Ordering Org
Pre-Encumbrance	Supporting documents	Account Org
Payment Request	Vendor Invoice	Accounts Payable
Receiving	Bill of Lading/Receiving docs	Account Org
Requisition	Quotes	Account Org
Work Order Authorization	Supporting documents	Ordering Org
Procurement Card	Invoice/Receipt	Reallocator

Supporting documents may include e-mail, word, excel and or other such documents either printed or scanned as a PDF type file. Extraneous information not directly supporting the specific transaction should not be “attached” to a KFS e-doc. It is the responsibility of the **Fiscal Officer** to review the items “attached” to an e-Doc at the time of approval to validate their integrity and relevance to the transaction.