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## *Retention and Archiving of HR Documents and Files*

**Purpose:** Define guidelines for retention and archiving personnel and payroll documents including timesheets, active employee documents, and timesheets.<sup>1</sup>

**Target Audience:** MAU HR Offices  
SW Records Management

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**OFFICE RESPONSIBLE FOR RETENTION/ARCHIVING:**

**TERMINATED EMPLOYEE FILES:**

**MEDIUM**

- Termination years 1998 or later OnBase
  - MAU HR Office of primary job at time of termination
  
- Termination years 1980 through 1997 OnBase
  - SW Records Management
  
- Termination years prior to 1980 Microfiche
  - UAA, UAF, SW
    - SW Records Management
  - UAS & GI OnBase
    - MAU HR Office

**ACTIVE PERSONNEL/PAYROLL DOCUMENTS:**

The below documents received by HR after January 1, 2010 are retained in OnBase by all MAU HR Offices.

- Background Check Release-Standard
- Ethics Disclosures: Nepotism
- Ethics Disclosures: Employment outside UA
- I-9 & supporting docs
- Previous Injury and Illness
- Union Dues deductions

**TIMESHEETS:**

**MEDIUM**

**UAS Timesheets:**

Microfilm

- UAS
  - All timesheets are microfilmed by the State of Alaska Micrographics Lab located in Juneau, AK. These procedures are effective as of the fiscal year beginning July 1, 2009.
  - The microfilm ratio is 40:1, which is the same as used by the SW Records Office.
  - Original timesheets are filed by pay period in alphabetical order with no more than one calendar year on each microfilm.
  - Timesheets must be microfilmed within 12 months of the end of the calendar year. All backlog timesheets held by UAS will be microfilmed by the State of Alaska Micrographics Lab as soon as possible.
  - UAS is responsible for validation of the readability and accuracy of the final microfilm product.
  - The master film and one duplicate film are sent to University of Alaska Records Center, Attn: Records Coordinator, 910 Yukon Drive, Suite 019, Butrovich Building, Fairbanks, Alaska 99775.
  - One duplicate film is maintained at UAS.

All other timesheets prior to Jan 1, 2005:  
(UAA, UAF, SW, GU)

Microfilm

- SW Records Management

SW Records Office, which prepares three rolls of film. The original is stored at SW Records Office one copy is maintained by Statewide HR Operations, and one copy is maintained at the regional payroll office. A verification form accompanies the film at the time of distribution. The receiving office should verify that the appropriate film is received, sign the verification form, and return the form to SW Records Office. These procedures were effective as of the fiscal year beginning July 1, 1991.

All other timesheets on or after Jan 1, 2005:  
(UAA, UAF, SW, GU)

OnBase

*Effective July 1, 2009*

- SW Records Management
  - Timesheets held by the SW Records Mgt as of July 1, 2009
- MAU HR Offices
  - Timesheets held by MAU HR as of July 1, 2009

### **SECURITY REQUESTS:**

All HR OnBase Users need the concurrent license security class unless they have a named OnBase license connected with their username.

- hr\_onbase\_concur\_lic\_cls

Request the scanning security class designation (used for scanning payroll and personnel documents).

- (hr\_pay\_scan\_xxx\_cls): \*

Request the appropriate security class designations for Indexing documents.

- Indexing any personnel documents
  - (hr\_pers\_index\_xxx\_cls)\*
- Indexing timesheets and any other payroll documents
  - (hr\_pay\_index\_xxx\_cls)\*

*\*xxx represents the three character MAU designation  
(Statewide will use "SW" GI will use "UAF\_GI" for the MAU designation).*

You will need other security classes for retrieving, printing, redacting, etc. See the completed list of OnBase security classes for other OnBase privileges you may need to request. ([www.alaska.edu/hr/procedures/PDF/payroll.record\\_retention.security.pdf](http://www.alaska.edu/hr/procedures/PDF/payroll.record_retention.security.pdf))

### **SECURITY FORMS ARE LOCATED AT THE FOLLOWING LINKS:**

UAA: <http://www.uaa.alaska.edu/finsys/upload/Finance-HR%20access.PDF>  
UAF: <http://www.uaf.edu/files/uafhr/Banner%20Access%20Request%20Form%20HR-5.pdf>  
UAS: [http://www.alaska.edu/oit/sc/about/forms\\_newdocs/formAdminAccessUnixOracleBannerEDIR.pdf](http://www.alaska.edu/oit/sc/about/forms_newdocs/formAdminAccessUnixOracleBannerEDIR.pdf)  
SW: [http://www.alaska.edu/oit/sc/about/forms\\_newdocs/formAdminAccessUnixOracleBannerEDIR.pdf](http://www.alaska.edu/oit/sc/about/forms_newdocs/formAdminAccessUnixOracleBannerEDIR.pdf)

## **SCANNER SET-UP:**

See Scanner Set up guidelines at

([www.alaska.edu/hr/procedures/PDF/payroll.record\\_retention.scanner\\_setup.pdf](http://www.alaska.edu/hr/procedures/PDF/payroll.record_retention.scanner_setup.pdf))

## **DOCUMENT PREPARATION:**

Purge and merge documents from the employees personnel and payroll file per the purge and merge procedure ([future link](#)). At the same time you can prepare documents for scanning by removing all staples, removing obstructive attachments such as post-it notes, tape small attachments to a separate piece of paper, straighten folded edges and repair torn documents. For more detailed guidelines see [www.alaska.edu/records/records/prep/](http://www.alaska.edu/records/records/prep/)

## **RETENTION OF PAPER FILES/DOCUMENTS:**

### **TERMINATED EMPLOYEE FILES**

#### **PRIOR TO SCANNING:**

Payroll and Personnel files are maintained in paper until the trigger point to purge documents not needed beyond the termination year plus the retention period. (See the retention schedule and document inventory currently in effect at [www.alaska.edu/records/records/UA\\_HRRRDS.pdf](http://www.alaska.edu/records/records/UA_HRRRDS.pdf) for more details). After documents are purged from the payroll and personnel file, the two files are combined. (see purge/merge procedure at [future link](#)).

Terminated employees should be archived into OnBase by the end of the calendar year in which the payroll and personnel files are scheduled to be purged and merged based on the retention schedule currently in effect.<sup>1</sup>

#### **AFTER SCANNING:**

Paper files should be retained at the regional HR office or designated extended site for a minimum of 2 months after the file is committed in OnBase. This is to assure that the OnBase documents have been adequately archived with the established back-up procedures administered by OIT. MAU HR offices should shred documents after this retention period per the records destruction guidelines at [www.alaska.edu/records/records](http://www.alaska.edu/records/records).

### **ACTIVE PERSONNEL/PAYROLL DOCUMENTS**

#### **PRIOR TO SCANNING:**

Documents submitted to the MAUHR Office that are being retained in OnBase should be collected and scanned in a timely manner in accordance with MAU HR established guidelines and timeframes.

**AFTER SCANNING:**

Documents should be retained at the regional HR office or designated extended site for a minimum of 2 months after the file is committed in OnBase. This is to assure that the OnBase documents have been adequately backed up in accordance with established OnBase back-up procedures administered by OIT. MAU HR offices should shred documents after this retention period per the records destruction guidelines at [www.alaska.edu/records/records](http://www.alaska.edu/records/records).

**TIMESHEETS**

Prior to scanning: Paper timesheets can be scanned following the completion of the payroll run. Late and revised timesheets can be inserted into the batch at a later date (see Scanning & Indexing HR Documents for step on step instructions for inserting late/revised documents at ([www.alaska.edu/hr/procedures/PDF/payroll.record\\_retention.scanning.pdf](http://www.alaska.edu/hr/procedures/PDF/payroll.record_retention.scanning.pdf)))

Timesheets must be scanned no later than 12 months after the pay period end date.

After scanning: Paper timesheets should be retained at the regional payroll office for 2 months after scanning and indexing is committed in OnBase. This is to assure that the OnBase documents have been adequately backed up in accordance with established OnBase back-up procedures administered by OIT. MAU HR offices should shred documents after this retention period per the records destruction guidelines at [www.alaska.edu/records/records](http://www.alaska.edu/records/records).

**DESTRUCTION OF DOCUMENTS**

MAU HR offices should destroy documents after the defined retention periods per the records destruction guidelines at [www.alaska.edu/records/records](http://www.alaska.edu/records/records).

**LOGGING INTO ONBASE:**

There are several means of logging into OnBase depending on the function you are performing, the computer you are working at, and your personal preferences. See “Scanning & Indexing HR Documents” at ([www.alaska.edu/hr/procedures/PDF/payroll.record\\_retention.scanning.pdf](http://www.alaska.edu/hr/procedures/PDF/payroll.record_retention.scanning.pdf)) for log-in instructions.

**SCANNING DOCUMENTS:**

When scanning documents into OnBase you must use “Disconnected Scanning” from the computer with the Scanner attached to it. The computer must have a current OnBase Scanner license and VRS license. (see “Scanning & Indexing HR Documents” at ([www.alaska.edu/hr/procedures/PDF/payroll.record\\_retention.scanning.pdf](http://www.alaska.edu/hr/procedures/PDF/payroll.record_retention.scanning.pdf))).

**SCANNING INSTRUCTIONS:**

For set by step log-in and scanning instructions see “Scanning & Indexing HR Documents” at ([www.alaska.edu/hr/procedures/PDF/payroll.record\\_retention.scanning.pdf](http://www.alaska.edu/hr/procedures/PDF/payroll.record_retention.scanning.pdf)).

## **INDEXING AND COMMITTING DOCUMENTS:**

Indexing and committing can be done at either the scanning station or from your desk. It can be done through OnBase Thick Client (generally used at main campuses) or OnBase Thin Client (generally used for extended/rural sites). *(note: it is also technically possible to index through disconnected scanning, this is strongly discouraged due to a variety of issues).*

## **INDEXING AND COMMITTING INSTRUCTIONS:**

For set by step log-in, indexing and committing instructions see “Scanning & Indexing HR Documents” at ([www.alaska.edu/hr/procedures/PDF/payroll.record\\_retention.scanning.pdf](http://www.alaska.edu/hr/procedures/PDF/payroll.record_retention.scanning.pdf)).

## **VERIFICATION:**

### **TERMINATED EMPLOYEE FILES & ACTIVE PERSONNEL/PAYROLL DOCUMENTS**

Verification for quality control is accomplished by a two step process.

As File Scanned. As the technician scans files monitor:

- a. VRS Errors due to scanned content outside the VRS parameters
- b. Visually monitor documents on screen for:
- c. Pages with bleed through (to delete later)
- d. Miss feeds
- e. Visually monitor the scanner feed
- f. Listen to the scanner (the scanner makes a different sound if two documents are stuck together and pulled through at the same time).

After Batch is Committed. After the Batch is committed a different technician must complete a secondary verification of the file before the paper file can be destroyed. This includes:

*Confirming that the file/document exists in OnBase*

- a. Verify that the document count appears reasonable for the size of paper file.
- b. Spot check the readability of approximately 5 percent of the documents (example: every 20th document)
- c. Spot check about 5 percent of the pages in the paper file and verify that the document exists in OnBase. (example: every 20th document)

## **TIMESHEETS**

Verifying Batch Counts: The separator sheet contains the number of documents that should be scanned. This number should be compared with the upload total count at the end of the scanning process to assure that all documents have been scanned.

**RETRIEVAL:**

Instructions Pending

**Footnotes**

<sup>1</sup> *Procedures outlined for archiving Timesheet are effective July 1, 2009.*

*Procedures outlined for archiving Terminated Employee File and retention of Active Personnel/Payroll Document are effective January 1, 2010.*

<sup>2</sup> *Due to the backlog of terminated files waiting to be archived at the time of implementation, the timeframe specified in this procedure may not be able to be met within the first several years after implementation.*