

**Banner Document
Management System
(BDMS)
Record Keeping Policy**

FINANCE

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1. Introduction

This guide has been produced to provide practical guidance and information on standards for all business units using the Banner Document Management Suite (BDMS) within CSU.

2. What is BDMS?

The Banner Document Management Suite (BDMS) is an electronic document management system specifically designed for use with Banner in a higher education environment.

BDMS is to be used as an active/dynamic/living/permanent record that will be used to store documents and images and importantly to communicate information to stakeholders about the current events and circumstances that are affecting primarily Purchasing, Accounts Receivable, Accounts Payable, Travel and Ledgers.

Documents are scanned or imported into BDMS and then indexed. The indexing process labels the documents, usually with values that tie to information in Banner. Generally they will be indexed to Banner documents or IDs, but there is facility for miscellaneous documents to be held in BDMS even though there will not be any Banner document to link the images to.

SunGard Banner uses a third-party application from EMC, called ApplicationXtender, to deliver the primary tools for imaging, archival and retrieval. The acronym BDMS refers to these tools as well as the integration components that allow linking from Banner directly into BDMS. The tools consist of desktop installed applications (Document Manager, Image Capture) and an application available over the intranet (Web Access). A Banner user ID must be setup in BDMS to use any of the applications and to perform specific roles within each application, such as scanning, indexing and annotating.

3. Where does BDMS fit in relation to other recordkeeping systems?

Charles Sturt University has a number of recordkeeping systems. Examples of CSU recordkeeping systems include:

- Alesco (Human Resources records)
- Banner (Finance and Student records data)
- BDMS
- ProMaster
- eBox
- TRIM (Corporate records that do not have a related Banner transaction such as leases, licenses, contracts, tenders, annual strategic planning and budgeting documentation)

BDMS will be used to capture and store Digital records that are linked to Banner by way of a Banner ID or Banner transaction.

4. Records or activities that are captured in existing systems such as ProMaster or Talisma do not need to be duplicated in BDMS **Use of shared drives**

Copies of Documents relating to University records must not be maintained **on desktops, in shared folders or on hard drives** so where your business unit has access to BDMS, TRIM or ProMaster. These electronic storage facilities are not designed to function as recordkeeping systems and cannot maintain the evidence necessary to support business needs and achieve State Government compliance now and in the future.

The P: S: D: and C: drives of your computer should be used as set out below:

- The P: drive is for the storage of administrative documents that an individual requires to complete their job but the documents are not necessarily to be shared i.e. spreadsheet on staff flexi time. P: drive records have a short term value are not captured in BDMS or TRIM.
- The S: drive is for the storage of University documents that have long term value and are of interest to many people, they may be documents in draft mode, sharing mode or they may not have a need to be captured in TRIM but are needed to be shared.

The D: and C: drives should not be used for the storage of University records.

5. Why do we need to keep records?

A record comprises recorded information in any form, created or received and maintained by the University in the transaction of business activities and kept as evidence of such activity. Records may include forms, maps, e-mail, audio tapes, notes on telephone calls, photographs and videos.

Records and related documentation play a critical role within the University. They are a record of the University's transactions and provide evidence of its actions and decisions, and preserve its memory – its principal source of continuity. Effective records management and information systems support those functions and satisfy the necessary legal, administrative and audit requirements.

Records and related documentation represent the tangible product of the work of staff. To recreate them in the event of a total loss would cost millions of dollars. The loss of University's records, or even a part of them, could destroy the evidence of financial transactions, staff entitlements, and student history and jeopardize the University's rights and interests.

The CSU Records Management Policy identifies the principles which will govern the University's management of records. Those principles will ensure that records are created, protected and disposed of appropriately.

The policy applies to any record in any format, created, received or maintained by University staff or anyone performing work on behalf of the University (including contractors and consultants), in the course of carrying out a University function or activity.

For further information on this policy refer to the CSU Records Management Policy

<http://www.csu.edu.au/adminman/tec/tec.htm>.

All staff, consultants and contractors performing work on behalf of the University must comply with the standards and procedures issued in accordance with this policy.

6. Record Types stored in BDMS

The initial implementation of BDMS will cover Student Administration and Finance records only. Below is a list of the types of records that will be stored in BDMS as part of the initial implementation for Finance.

- Purchase orders
- Requisitions
- Cheque Run Documentation
- Vendor Invoices, Statements
- Out of Pocket Expenses
- Journal Vouchers
- Travel documentation
- Bank/Merchant Statements, stop payments, cancelled cheques
- Chart of Account change requests
- Third Party Contract documentation
- Debtors and Collections documentation
- Accounts Receivable Financial Payments, Debts, Payment Plans, Third Party billing
- Banner produced Accounts Receivable Invoices

7. Record/Document types that do not need to be stored in BDMS

The following are types of documents that **do not** need to be saved into BDMS:

- Duplicate copies of documents
- Drafts of reports, correspondence and/or routine calculations that were not circulated internally or externally or finalised
- Messages that do not relate to University business functions
- Electronic documents such as emails that are not related to a student or financial transaction
- ProMaster interactions
- Talisma interactions with students
- Easts records
- Banner records
- Interact
- My Degree Planner audits & plans
- BEIMS documents (?)
- Ebox (unless an Ebox triggers an action that will change data in Banner, eg. Withdraw from a subject, Leave of Absence etc. then the ebox is to be copied and stored in BDMS)

8. When to store documents in BDMS

In an effort to get the documents into the system as soon as they come into the organization, it is recommended that scanning and indexing is completed at point of processing in Banner or after point of communication is complete.

This will reduce the number of lost documents because an electronic copy will be captured in the beginning of the process.

The staff member will scan the document/s and will review the quality of the scan to ensure that the scanned document is aligned and able to be clearly read. If the quality of the scan is poor, the staff member will delete the document/s and re-scan.

9. How will Finance Staff use BDMS?

From 1 January 2012, all interactions with or about Financial transactions will be saved on electronic file. Therefore:

- All supporting documentation and interactions about financial transactions from 1 January 2012 will **only** require to be retained electronically. Paper documentation will be destroyed in accordance with point 19 below.

10. Electronic documents received and then saved into BDMS

Documents that a staff member receives electronically (ie. emails, word documents, pdf's etc.) are to be dragged and dropped into BDMS via the BDMS Document Manager application.

11. What documents need to be captured in BDMS?

If a document relates to a Financial transaction, in particular if the document refers to:

- A decision about a Financial Transaction;
- Information gathering about a Vendor, a Purchase or a Charge;
- Cheque Runs
- Out of Pocket EFT Runs
- Authorization for action relating to a student
- Request for any action relating to financial movement
- A completed action relating to a financial transaction
- The final interaction about a student or financial transaction (eg. Last email of a series of emails)

Sending or receiving an email constitutes a business transaction and is therefore classed as a record. Records sent and received in the course of official duties are to be treated as official records. They are public records as governed by the State Records Act 1998.

Under the State Records Act, the University and its employees are required to keep full and accurate records of its activities. Generally speaking, electronic messages should be captured into BDMS if they are documenting a business transaction or actions taken that relate to a student.

12. When to save an email or electronic document?

- Where you are responsible for capturing messages as records that you receive and send in relation to a student or financial transaction from within or outside the organization
- Where you are CC'd a message (i.e. you are not the main recipient), you should check whether the main recipient is from outside Finance or outside the organization, and if so you will need to capture a record of that message
- If there are several main recipients of a message, the person who is mainly responsible for the matter or project should capture the message as a record. In cases where you can predict the group of people who will be receiving emails on the matter or project, it may be helpful to agree on one person as being responsible for the capture of messages relating to that matter or project.

13. Batching

Batching is where physical paper documents are scanned, grouped, named and stored into a holding area ready for indexing into BDMS. The staff member will scan the whole batch and will review the quality of the scan to ensure that the scanned document is aligned and able to be clearly read. If the quality of the scan is poor, the staff member will delete the scan and re-scan before batching.

14. Indexing

Indexing is the process carried out to label, store and then enable the retrieval of a record from an electronic file.

Indexing can be carried out on a single document that has been received and is in an electronic format. Indexing can also be carried out on a batch (group of documents that are scanned together) under the same Application Type.

To index, the staff member needs to:

- Identify the appropriate application type (B-F-ID, B-F-DOCS, B-F-MISC etc)
- Identify the appropriate document type (via drop down box)
- Action the indexing via the BDMS web application (ApplicationXtender)

15. Finance Document Types for Indexing

Refer to: [BDMS Finance Document Types for Indexing](#)

16. Annotations

Annotations can be applied during and after the indexing function. Annotations permit users to highlight, add or hide information about a document without permanently changing the original image. Highlighting, stamps, redactions (blackouts or whiteouts) and sticky notes are among the most common annotations. For legal purposes, when a file needs to be viewed or printed without annotations, the BDMS Custodian Officer is the only staff member with these access rights.

Therefore if, for any reason, the original document needs to be viewed or printed, the BDMS Custodian Officer will carry out this action. (Contact finsystems@csu.edu.au)

In order for the document to maintain its integrity, all annotations (highlighting, redactions and stamps) are overlays that do not change the actual image. This way, a document can be printed with or without the annotations. Therefore highlighting, redaction and stamps should generally **only** be applied to a document **after** the scanning process because if annotations are applied before the scanning process these annotations would permanently change the actual image of the document.

An annotation is a note or a shape added to a page, typically to focus attention on a particular part of the page. You can use annotations to comment on the contents of a page, block areas of the page from view, or highlight important information. When you create an annotation, it is associated with the AX document or batch page on which you created it. Annotations are edited and stored separately from the image, but they are displayed with the image. The types of annotations available include text, highlighting, lines, arrows, and shapes.

17. Annotation Types to be used

The main types of annotations that the Division of Finance will use to annotate documents are:

Highlighting annotations are to be used when the user wants to draw attention to a part of the document to:

- Expedite processing (eg. Highlighting Purchase/Requisition number on a very detailed form)
- Emphasize an important piece of information of a document that will assist with decision making, to ensure this information is not missed.
- Data entry instructions if required

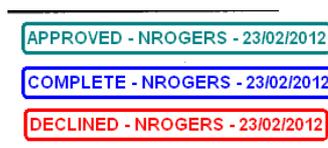
Text annotations are to be used when the user believes that by adding this text it will:

- Expedite processing (eg. where additional words would increase understanding)
- Assist with decision making.
- Data entry instructions if required

Please note: text annotations need to be professional and appropriate as a number of parties will access the file and read these annotations.

Rubber Stamp annotations are to be placed on the required position as required.

Rubber stamp annotations are to be visible when printed as they will add context and detail to a document that previously did not exist prior to the annotation.



Rubber stamp annotations are to be used in the following ways:

Approved

when a request has been approved by an authorized party

Declined

when a request has been denied by an authorized party

Complete

when all actions relating to that document have been auctioned.

18. Scanning Records

18.1 Scanners

Please contact Finance Systems before purchasing new equipment for use with BDMS. Typically equipment purchased at office supply stores will not meet the standards needed for use with BDMS. The following scanners are recommended for use with BDMS:

| Model | Est. Price | Duplex | Max Media Size | Document Feeder | Flatbed | Max Output Resolution | Daily Volume (scans/day) | Pages Per Minute | Notes |
|-------------------------|------------|--------|----------------|-----------------|---------------------|-----------------------|--------------------------|------------------|----------------|
| Kodak i1220 PLUS | \$ 1,500 | Yes | A4 | 75 sheets | Optional Attachment | 1200 dpi | 3,000 | 45 ppm | Colour Scanner |
| Kodak i2600 | \$ 1,500 | Yes | A4 | 75 sheets | Optional Attachment | 1200 dpi | 3,000 | 45 ppm | Colour Scanner |
| Kodak i1320 PLUS | \$2,600 | Yes | A4 | 75 sheets | Optional Attachment | 1200 dpi | 12,000 | 60 ppm | Colour Scanner |
| Kodak i1440 | \$11,000 | Yes | A4 | 150 sheets | Optional Attachment | 1200 dpi | 15,000 | 75 ppm | Colour Scanner |

18.2 Scanning Workstations/Monitors

It is recommended that when using Banner and BDMS at the same time dual monitors are purchased.

This setup works best for workstations using Banner and BDMS at the same time, especially if indexing.

18.3 Scanner Settings

Settings are available in several places within Image Capture, Document Manager and Web Access. Some settings are not available in Web Access. Many settings are dependent upon the scanner model and driver. Refer to the ISIS driver information in the scanner documentation.

18.4 Kodak Scan Settings

| Setting | Recommended Kodak Setting | Image Capture / Doc Mgr Menu Location | Web Access Menu Location | Description |
|---------|---------------------------|---------------------------------------|--------------------------|-------------|
|---------|---------------------------|---------------------------------------|--------------------------|-------------|

| Setting | Recommended Kodak Setting | Image Capture / Doc Mgr Menu Location | Web Access Menu Location | Description |
|---|---------------------------|---------------------------------------|---|---|
| Resolution/Dots per inch | 300 | Scan > Resolution | Scanner Setup > Driver Configuration | Controls dots per inch (DPI) Higher values produce larger files but greater clarity. Do not set this higher than 300 without discussing with the BDMS Lead. |
| Mode | Black and White | Scan > Mode | Scanner Setup > Driver Configuration | Affects clarity by looking at levels of color Color scans should only be done if black and white images are not clear. Greyscale is to be used if it is not clear when Black and white setting is used. Verify that your user settings are correct prior to scanning in color. |
| Page Size | | Scan > Page Size | Scanner Setup > Driver Configuration | Page size and orientation Select other page sizes as needed. |
| Source | | Scan > Source | Scanner Setup | Scanner source Select ADF Duplex if two sided Select Flatbed for oddly shaped documents. |
| Deskew | | | Scanner Setup > Driver Configuration | Detects and adjusts slanted pages |
| Document Rotation | | Scan > Rotation | Scanner Setup > Driver Configuration > Image Processing tab | Automatically change page orientation Individual documents can also be rotated by creating a new version of the rotated page. |
| Feed | | Scan > Feed | Scanner Setup (Manual feed not available) | How pages feed through - manual, single or automatic (all) Use Cntl-S with the Single setting to feed the next page |
| Configuration | | Scan > Configuration | Scanner Setup | Scanner specific settings |
| Remove blank pages | | File > Configuration > Scan tab | Scanner Setup -> Options... | Removes blank pages when scanning images. The noise Threshold may have to be adjusted to allow more noise to consider a page blank. |
| Create new batches when blank pages are detected | | File > Configuration > Scan tab | Not available | When scanning batches, a new batch can be created automatically when a blank page is encountered. The batch name will be the name of the original batch with a sequential number at the end. |
| Synchronized Scan | | File > Configuration > Scan tab | Not available | When scanning, causes the scanned images to display so that each page can be reviewed as it is scanned. Leave disabled to scan at the highest speed. |

18.5 File Format

The types of File Format that can be used are **PDF, MSG and TIFF**.

19. Legal Disposal of Records

Hardcopies of scanned records must be kept for 3 months prior to disposal. After original records have been scanned and indexed in BDMS the original paper record must be placed in a registered Archival Box for Quality control/Disaster Recovery purposes for a period of three (3) months after digitisation.

Prior to the disposal of imaged records, staff must ensure that no special requirements exist to retain the record in its original format. The following records are not to be disposed of after digitisation:

- Records that are subject to current or pending legal proceedings or an application for access under the Freedom of Information Act 1989, the Health Records and Information Privacy Act 2002 or the Privacy and Personal Information Protection Act 1998
- Records that are subject to a Government policy or directive not to be destroyed
- Original proclamations, charters, testimonials and intergovernmental agreements or treaties Records that are required as State archives that were created or received prior to January 1st 2000

After three months an authority to destroy must be completed and forwarded to the Records Office for approval, refer to appendix 1.

Please also refer to CSU's Imaged Records Procedure for more information.

20. Documents captured inadvertently within BDMS

The *Records Management Office* (RMO) is mindful that there may be instances where electronic documents have been created erroneously which never eventuate into an actual record. These types of documents can be deleted from BDMS under Normal Administrative Practice (NAP), however the University is required by law to retain the metadata relating to the document as proof that we have adhered to the State Records Act.

Note, in circumstances where a document is stored against an incorrect Index, the document should not be deleted and instead re-indexed correctly.

Approval will be required to delete documents within BDMS. The authority to delete documents in BDMS will sit with Managers and Team Leaders with a BDMS Custodian role created to monitor and action deletions.

21. Appendix 1:

Request for Authority to Destroy Records

Prior to destruction you must ensure that the:

- ✓ Minimum retention periods set by GDA's have been satisfied.
- ✓ Records are no longer required for legal, administrative, financial or audit functions.

Requestor Details

Name

Faculty/Division

Position/Title

Telephone

Signature

Date

Records Description

Description of Records *Attach a separate list of records if not enough room*

Authorisation for Destruction

FACULTY/DIVISION APPROVAL

This section must be completed by the Manager.

| | | | | | | |
|--|---------------------------|--------------------------|-----|--------------------------|----|---|
| Are the records still required by the University for any of the following functions? | Legal Functions | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | <i>If yes has been selected for any of these functions, then these records must be retained.</i> |
| | Administrative Functions | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |
| | Audit/Financial Functions | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No | |

Name

Position

Signature

Date

UNIVERSITY RECORDS MANAGER APPROVAL

Have the records satisfied minimum retention requirements? Yes No *If no, records **must** be retained.*

Name Shelley McMEnamin

Position University Records Manager

Signature

Date

Destruction of Records Completed by _____

Signature

Date