**Gift Processing Document Scanning Synopsis**

**Documentation Overview**

* **Gift Processing (GP) processes donations to the University of Washington, the University of Washington Foundation, and related agencies. GP utilizes three models of scanners to handle various donation documents types and sizes:**
	+ A full-page scanner handles all non-credit card documents that are larger than a third of a page and scans both gift documents and checks.
	+ A high-volume scanner handles all third page or smaller non-credit card gift documents and corresponding checks
	+ A desktop scanner to scan redacted credit donation documents, as well as allocation fund files and pledge documents

**Technical Guidelines**

* **All primary and supporting donation documentation as outlined above is saved either as a TIFF or a PDF. The documentation created in the TIFF format is converted to a PDF and all PDFs are created as searchable PDFs with retention date metadata attached.**
	+ The output size of all scanned documents is 300 DPI or better
	+ GP uses two programs to generate scanned images. The majority of scans are done through a program called AQURIT. This program scans both gift documents and checks, reads any OCR (Optical Character Recognition) zones on the forms, and saves the images to a secure image server that is backed-up off-site. These scans are generated as TIFFs, but in the completion of a batch a processor will write out a PDF version of the images contained within the batch. The PDFs will maintain retention date metadata, while the TIFFs will have retention data manage by the AQURIT program. The second program is called PaperPort and pairs with the desktop scanners that scan redacted credit card donation data, allocation fund files, as well as pledge documents. The output from this program is a searchable PDF with retention date metadata.

**Naming Conventions**

* **Four distinct naming conventions will apply for the three types of documents being retained electronically:**
	+ For the PDF version of all gift documents and checks, the file will be named to correspond with the batch number that the gifts are associated with in Advance, our Alumni/Donor Database. For example, a batch of 25 gifts would be assigned batch number 0000456789 in Advance. The corresponding electronic file of the batch images would be named 0000456789.PDF and stored in a common location on Gift Processing’s Nebula drive (GPROC). Retention data would then be stored within Advance as the Date of Record. This data will be queried on demand to determine dates for destruction.
	+ For the TIFF version of all gift documents and checks, the AQURIT program assigns a common naming convention within each unique batch that the system creates. For example, an item within a batch created on July 05, 2012 would get the following name 2012187\S6085\F0001002.TIF. The explanation of the name is: 2012187 is the 187th day of 2012; S6085 is the unique batch number found within AQURIT; F0001002.TIF is the designation of the front side of the document, sequential within the batch, unique to the folder it is created in, and has a corresponding back side image file.
	+ For allocation fund files the naming convention will correspond 1:1 to the Advance naming convention, which will be the mnemonic assigned in Advance, this can be a six or seven letter mnemonic. For example, the University of Washington Foundation President’s Fund for Excellence has a mnemonic of UNRSTR in Advance. All documents related to this allocation will be part of a single PDF named UNRSTR.pdf and be stored in the GP Nebula drive (GPROC).
	+ For pledge documents, the naming convention will consist of the last name of the donor and the pledge number that is generated from Advance. For example, Joe Husky has a $5000 pledge, number 0001234567. The pledge documents would be saved all as one PDF with the name of Husky\_0001234567 and be stored in the GP Nebula drive (GPROC). Within Advance the Date of Record associated with the pledge would become the retention date, and will be queried for destruction date.

**Image File Backup**

* **PDF and TIFF image files are backed up in the following manner:**
	+ TIFF files are backed up daily, weekly, monthly and annually to a tape library located in the Data Center at the UW Tower. There is a daily and weekly backup to disk array for fast restore of currently used images, allowing for minimal downtime if a server goes down. A copy of all data is stored off-site on a secured USB drive for disaster recovery.
	+ PDF files are stored on a Nebula drive (GPROC) that is backed up by Nebula on a daily, monthly, weekly and annual basis for recovery.

**Quality Control**

* **Each category of document (gift documents, allocation fund documents, pledge documents) is reviewed by at least one set of eyes for alignment of image (text must read left to right) and to ensure quality and readability of image.**
	+ Gift documents are scanned by a batch processor who reviews each document for image quality. The data processor who then picks up the batch for processing reviews the images again for quality and alert the batch processor if a rescan needed.
	+ Allocation fund documents are scanned by the new fund processor and reviewed for image orientation and quality.
	+ Pledge documents are scanned by the pledge coordinator and reviewed for image orientation and quality.

**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. All portrait orientation pages should be rotated to read from left to right. All landscape orientation pages should be rotated with the top of the page facing the left.
	+ Sometimes only part of the document is captured by the scanner: rescan the paper so that it is properly aligned and the entire page is included in the scanned image.
	+ Sometimes the condition of the original paper record precludes a good quality scanned image from being produced. In these cases it is necessary to document the problem to avoid future confusion over the poor quality of the scanned image, so in the instances when a quality scan cannot be accomplished, please tag the image in metadata as “best scan possible”. When saving to a networked drive or storage location (e.g. I-drive) use Acrobat Pro “Additional Metadata” in the Document Properties description tab

**Destruction of Electronic Files on a Retention Schedule**

* **Retention schedule candidates for destruction will be identified on an annual basis by a query that is run by a systems analyst.**
	+ Candidates for destruction will be appended to a standardized form that includes the following fields: Date of Record – File Name – Deletion Date – Processor – Authorization
	+ List will be presented to Director of Gift Processing for authorization of destruction and electronic signature
	+ Once the document is signed, it will be saved to the GP Nebula Drive for evidence of destruction. Naming format will be destruction date and file type (i.e. 07012012\_Gift).

**Appendix I**

**Relevant Retention Schedules**

* **Budget Number Requests: Provides a record of requests by an office to establish a new budget number.**
	+ Official Copy: Budget Office
	Retention: 6 years after end of biennium
	Disposition Method: Recycle

Other Copy: College/School or Department
Retention: 1 year after budget closed
Disposition Method: Recycle

* **Refund Check Requests: A record of refund checks issued for overpayments, cancellation of registration, cancellation of services, etc.**
	+ Official Copy: Procurement Services
	Retention: 6 years after end of month
	Disposition Method: Shred

Other Copy: College/School or Department
Retention: 2 years after end of biennium
Disposition Method: Shred

* **Endowment Fund Records: Correspondence and summary reports related to trust agreements, establishment of endowment funds, use of funds, etc.**
	+ Official Copy: Treasurer's Office
	Retention: 6 years after endowment liquidated
	Disposition Method: Transfer to Archives for review

Other Copy: College/School or Department
Retention: 1 year after funds dispersed
Disposition Method: Transfer to Archives for review

* **Gift Records: Documentation of the amounts of donations received, name of donors, and conditions placed on donations. May include Gift/Pledge Transmittal Form, correspondence, solicitation material, copies of checks or securities documents, acknowledgement letters, etc.**
	+ Official Copy: Development and Alumni Relations: Gift Processing (non-endowed funds)
	Retention: 6 years after end of month
	Disposition Method: Shred
* **NSF Checks: Checks returned because of insufficient funds in the check writer's bank account. May include letters notifying check writers of the return of their checks, etc.**
	+ Official Copy: Any Department Receiving an NSF Check
	Retention: 6 years after debt paid or determined uncollectable
	Disposition Method: Shred

**Appendix II**

**Relevant Hardware and Software Links**

* **AQURIT Remittance Scanning software:** <http://www.aq2tech.com/remittance.html>
* **Implementation of AQURIT:** <http://tuiusa.com/>
* **Canon CR-190i (check and 1/3 or less page document scanner):** <http://www.usa.canon.com/cusa/office/products/hardware/scanners/check_scanners/imageformula_cr_190i_check_transport>
* **Kodak i1220 Plus (check and full-page scanner):** <http://graphics.kodak.com/docimaging/US/en/Products/Document_Scanners/Desktop/i1220_Scanner/index.htm>
* **Xerox DocuMate 3115:** <http://www.xeroxscanners.com/en/us/products/item.asp?PN=DM3115>