



# Northern Essex Community College

## Process Management Team

## Document Management

Sponsor: Mark Andrews



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# Team Members



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Lori Smerdon <i>Staff Assistant, Institutional Advancement</i>	<b>Team Scribe</b>
Chris Amaru, <i>Staff Associate, Comptroller's Office</i>	<b>Team Member</b>
Donna Bouchard <i>Staff Assistant, Human Resources</i>	<b>Team Member</b>
Regina Correia-Branco <i>Bursar</i>	<b>Team Member</b>
Laurie Perkins <i>Accountant, Bursar</i>	<b>Team Member</b>
Mark Casey <i>Comptroller</i>	<b>Team Resource</b>
Libby Jensen <i>Director of Alumni &amp; Donor Relations, Institutional Advancement</i>	<b>Team Trainer</b>

# Project Background



The recent move of the Payroll Office as well as most of the Human Resources Department to another building precipitated the urgent need to develop an efficient system of document processing, control and maintenance for those two areas. At the same time, it was felt that a study of document control needs for the remaining areas of the Division of Administration would probably be in order. By doing so, if other areas were found to have similar urgency in their document control and maintenance needs, these could be remedied more efficiently if all were addressed at the same time.

As a result, this project would analyze how documents are currently being handled in all of the Administrative areas and then develop recommendations for improvement based upon these findings. Ultimately, improvement in the area of document control would not only benefit those areas directly involved, but would serve to strengthen the infrastructure of all Administrative Services and indirectly, if not directly, benefit our students. With all due respect to the College's operations we do not mean to pre-empt in anyway the strategic plan.

For example, those students who are employed by the College as Work-Study students would garner immediate and direct benefit from improvements in the Payroll function. Any improvement made in the daily operations of the Maintenance Department through a more efficient handling of documents would most assuredly be felt by our students, not to mention faculty and staff. There is not one area of Administrative Services whose increased efficiency would not ultimately come to benefit our student body. Student success is not the sole domain of those who deal directly with students, but is shared by those whose services are more closely connected with the infrastructure of the College than with direct student services.

# Project Statement



To improve document management  
in all areas of administrative  
services as measured by:

- More efficient and secure methods of dissemination
- Improved retrieval time
- Better utilization of space

# Operational Definitions



**Document:** A collection of information in electronic or paper form that requires storage for an extended period of time.

**Electronic Copy:** A document that is stored in any number of electronic formats including email, word processing file, spreadsheet file or image.

**Hard copy:** A document that is printed on paper.

**Management:** The handling, use and control of a document.

**Number of Individuals handling a document:** How many people actually handle a document from creation to storage.

**Origin:** Place where the document was originally created.

**Process:** A well defined set of steps used to handle a specific document.

**Retrieval Time:** The amount of time it takes to retrieve a document from storage.

**State Regulations:** Laws which determine how long a document must be available for any purpose.

**Strategic Importance of document:** How many processes or decisions are dependent upon the document.

**Time retrieved annually:** The number of times a specific document type is retrieved on an annual basis.

**Utilization of space:** An estimate of the space used to store all of the documents of a specific type for that document's stated retention period. This estimate can be measured in physical space occupied, or in electronic storage consumed.

# Current Process



Currently, the Administrative Services division processes approximately 140 different types of documents for a total yearly volume of 68,781. These documents are typically received in hard copy format, processed and then filed for later reference. For archival purposes, there is additional file storage in the basement of A building in the Bentley Library.

**Process Management Team  
"Documentation Management"  
Survey for Offices**

Area \_\_\_\_\_ Date \_\_\_\_\_

Survey completed by \_\_\_\_\_

On average, I handle \_\_\_\_\_ of these documents over a \_\_\_\_\_ period of time.

**For each document - answer the following questions.  
Please attach a copy of the document to this survey.**

- What is the origination of this document? rec'd by outside source / generated internally
- How many people handle the document \_\_\_\_\_
- How is it received by you? (email /fax /mail /inperson /is it created by you?)  
\_\_\_\_\_
- What software is used to capture the documents data? \_\_\_\_\_
- Where is the document stored? short term = \_\_\_\_\_  
Long term = \_\_\_\_\_
- How often would the document be retrieved? \_\_\_\_\_
- Once stored, how long does it take for you to retrieve it? \_\_\_\_\_
- How long is the document kept? \_\_\_\_\_
- How is it filed? \_\_\_\_\_
- Do you know of any federal/state regulations govern the handling & storage of the document? If yes, explain \_\_\_\_\_  
\_\_\_\_\_
- What is the retention of the document and where is it kept? \_\_\_\_\_  
\_\_\_\_\_

## Process Management Team: Document Management

### DOCUMENT INDEX

This matrix represents an effort to describe the numerous documents utilized by the five departments of Administrative Services in their daily operations.

**Department Key: A=Administration B=Bursar C=Comptroller H=Human Resources M=Maintenance P=Payroll**

Document Name	Dept	Yearly Volume	Origin		Hard Copy	Electronic	# Times Retrieved Annually	# Diff. Individuals Handling Document	Strategic Importance Scale: 1 to 5 (1) low to (5) high	State Mandated Retention
			NECC	Ext						
Academic Background Forms	H	100	X		X		4	4	5	N/A
Ad for Newspapers	H	100	X		X		2	4	2	Until Administrative use ceases
Affirmative Action Form(AA-4)	H	100	X		X		0	4	5	3 yrs after hiring process is completed
Agency telephone directory/staff	H	12	X		X	X	20	4	5	Permanent
Employee Application Forms	H	1200	X		X	X	5	4	5	3 yrs after hiring process is completed
Approvals to Hire	H	200	X		X	X	12	2	5	3 yrs
Attendance Calendars/Records Prior to 2000	P	0	X		X		1	1	5	It appears a 3-6 yr retention period applies based on section D4(3)(a) and E4(5)(d) on pages 90 and 94 respectively
Board of Trustees Information	H	12	X		X	X	100	4	5	Permanent
Buddy Program Match Information	H	50	X		X		1	4	3	
Certificate of Eligibility for Tuition Remission	H	100	X	X	X		0	4	3	
Change of Personal Info	P	100	X	X	X		2	2	4	
COMECC Pledge Cards	P	75		X	X	X	1	2	3	75 yrs after term
Comp Time Forms	H	500	X		X		2	5	5	Appears a 6 yr retention period s at page 89, D4(2)(b)
Consensual Relationships & Drug-Free	H	400	X		X		1	4	5	Appears a 3 yr retention period applies at page 94, E3(5)
Cover Letters and Resumes	H	1200		X	X	X	5	4	5	3 yrs after hiring process is completed
Dental Enrollment Forms	P	250	X	X	X		1	4	5	Appears a 6 yr retention period s at page 89, D4(2)(b)
Department Weekly Attendance Reports	P	1404	X		X	X	4	3	5	It appears a 3-6 yr retention period applies based on section D4(3)(a) and E4(5)(d) on pages 90 and 94 respectively
Direct Deposit Forms	P	300	X	x	X	x	1	3	5	Appears a 6 yr retention period s at page 89, D4(2)(b)
E-mail/Banner/Novel/Tel Acct Application	H	400	X		X	x	0	4	5	N/A
Emp Confidentiality Statements Receipt	H	400	X		X	X	0	3	5	3 yrs after employee is inactive

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			NECC	Ext						
Employee (03) Weekly Attendance Sheets	P	500	X		X	X	2	5	5	It appears a 3-6 yr retention period applies based on section D4(3)(a) and E4(5)(d) on pages 90 and 94 respectively
Employee Awards & Recognition Doc	H	50	X	x	X		0	3	2	Summary information retained permanently, with all other documents tossed after 6 yrs
Employee Complaint/Record	H	12	X		X		25	4	5	See also Section M2(5)
Employee Eligibility Verification (I-9)	H	400		X	X		1	4	5	50 yrs after term
Employee Emergency Contact Info- <b>Update</b>	H	2	X	X	X		1	3	3	retain during period of employment
Employee Grievance Records	H	12	X		X		50	4	5	Permanent - see also Section M2(5)
Employee ID Form	H	400	X		x	X	1	4	5	retain during period of employment
Employee Memo of Understanding	H	150	X		X		2	6	5	Appears a 6 yr retention period based on Section E4(5)(d)
Employee Training and Certification Records	H	100	X	X	X		0	4	3	Appears a 10 yr retention period based on Section E4(8)
Evaluation Forms (Unit & Non-Unit)	H	329	X		X	X	2	4	5	Appears a 6 yr retention period based on Section E4(5)(d) on page 94
Faculty Evaluations	H	496	X		X		3	3	5	Appears a 6 yr retention period based on Section E4(5)(d) on page 94
Facility Confirmation Form A	A		x		x	X	1	2	5	
Family & Medical Leave Forms	H	5	X		X		2	2	5	Appears a 6 yr retention period based on Section E4(6)(c) on page 94
Flow Chart (Application)	H	250	X		X	X	3	4	4	3 yrs after hiring process is completed
Form 30	H	145	X		X	X	5	3	3	Permanent
Garnishment Forms (3 Documents)	P	30		X	X		3	2	5	Appears a 6 yr retention period applies at page 89 D4(2)(b)
GIC Forms (5 Forms)	P	300	X		X	X	2	3	5	no reference to this record found at cited source pagesAppears a 6 yr retention period applies at page 89 D4(2)(b)
Helpful Website Links (Orientation)	H	100's	X		X	X	0	2	3	N/A
Individual Payroll Files per Pay Periods	P	130	X		X	X	5	3	5	Review page 89, D4(2)(a)&(b)
Interview Guides for Reclassification Appeals	H	50	X		X		2	3	5	Appears a 6 yr retention period applies at page 96, E5(3)(c)
Job Description	H	688	X		X	X	4	4	5	3 yrs after hiring process is completed
Job Position/Administrative Records	H	100		X	X		1	2	5	
Job Posting	H	250	X		X	X	5	5	5	3 yrs after hiring process is completed

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			NECC	Ext						
Letters of Reprimand	H	5	X		X		2	4	5	Appears a 6 yr retention period applies at pages 95-96, E5(1)&E5(3)
Letters/Test/Reports (Sec. Support)	H	100	X		X	X	3	3	5	N/A
Medical Correspondence	H	20		X	X		3	3	5	other than medical records related to hazardous material exposure or workers com cases, the retention period appears to be 6 yrs under E4(6)(c). See also E3(2)
OBRA Forms	H	300		X	X		2	3	5	Appears a 6 yr retention period applies at page 89, D4(2)(b)
Organizational Charts	H	1	X		X	X	100	4	5	Permanent
Overtime Forms	P	100	X		X		1	5	5	3 yrs (See D4(3))
Parking Permit	H	50	X		X		0	3	3	
Past Deadline Letter	H	100	X		X	X	0	1	1	N/A
Permanent Payroll Records - O3 Empl	P	0	X		X		2	1	5	Permanent See D4(2)
Personnel Action Requests (PAR's)	H	500	X		X	X	250	4	5	Permanenet
Planned Absence Forms	H	1000	X		X	X	1	4	1	N/A
Policies Concerning: Sexual Harassment	H	300	X		X	X	0	1	4	3 yrs after hiring process is completed See E3(4)(a&b)
Reappointment Letters	H	250	X		X		2	3	5	Appears a 6 yr retention period applies at Page 94, E4(5)(d)
Recommendation Letters	H	500		X	X	X	2	4	4	3 yrs after hiring process is completed
Recruitment Summary Forms	H	250	X		X	X	2	4	4	3 yrs after hiring process is completed
Regret Letters	H	100	X		X	X	0	1	1	N/A
Resume	H	1200	X		X	X	1	2	5	If the resume is received unsolicited, retain 1yr per E2(3), if part of recruitment, retain 3 yrs per E2(3)
Retirement/ORP Forms (7)	P	50	X	X	X	X	numerous	3	5	See L13(2)
Shift Differential Forms	P	325	X		X	X	1	5	5	Appears a 6 yr retention period applies at Page 84 E4(5)(d)
Sick Leave Bank	H	218	X		X		2	3	5	N/A
Statement Concerning empl in Job not covered by SS	H	400	X		X	X	0	3	3	N/A
Step Increase for AFSCME Employees	P	150	X		X	X	1	2	5	See D4(2)
Tax Sheltered Annuity Foms	P	48		X	X		2	4	5	See D4(2)
Unsolicited Job Applicants/Applications	H	240		X	X	X	2	2	2	1 year
Various Voluntary Deduction Forms	P	500		X	X	X	2	3	5	See D4(2)
Verification of Employment Forms	P	300		X	X		1	2	5	

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			NECC	Ext						
W-4 Forms	H	400		X	X	X	2	3	5	See D4(2)
Workers' Compensation Records	H	12	X	X	X	X	25	4	5	75 yrs
Invoice	M	3650		X	X		0	1	1	3
Campus Crime Survey Report	M	1		X		X	1	2	2	Filed hard copies as back-up
DCAM/CAMIS Reports	M			X		X	?	2	3	ongoing updated reports on file
Building Plans	M			X	X		?	5	5	FOREVER
Building Manuals	M			X	X		?		5	FOREVER
Key Request	M	1040	X			X	0	3	3	
Room Data Sheets	M		X			X	?	2	3	
Daily Security Reporting	M	624	X		X		1	10	5	
Maintenance Payroll/ Time Sheets	M	52	X			X	0	18	5	
Service Agreements	M	24		X	X	X	1	2	3	7
Contracts	M	5		X	X		1	2	3	7
Security Incident Report	M	312		X	X		?	2	4	1
Maint. Work Request Appr. Form	M	730	X			X	?	2	2	
Maint. Work Request Form	M	780	X			X	?	2	2	
Comp time Slips	M	?	X		X		0	1	2	
Overtime Slips	M	?	X		X		0	1	2	
Planned Absence Forms	M	12	X		X		0	1	2	
Purchase Requests	M	312	X		X		1	6	3	
License Agreements	A	24	x		x	x	1	3	3	
Insurance Waiver	B	3534	X		X		0	2	5	
Hi Ed Non-NECC non MTA tuition waiver	B	5		X	X		0	1	2	
Non-Hi Ed all state tuition waiver	B	67		X	X		0	1	2	
Veteran Tuition Waiver	B	112		X	X		0	1	2	
Native American tuition waiver	B	4		X	X		0	1	2	
Staff tuition waiver	B	122	X		X		0	1	2	
Hi Ed Dep. Non-NECC non MTA tuition waiver	B	7		X	X		0	1	2	
Hi Ed MTA Non-NECC all tuition waiver	B	4		X	X		0	1	2	
Human Service Providers tuition waiver	B	9		X	X		0	1	2	
Foster Care child tuition waiver	B	8		X	X		0	1	2	
Staff Dependent tuition waiver	B	65	X		X		0	1	2	
National Guard tuition waiver	B	4		X	X		0	1	2	
Adopted Child tuition waiver	B	10		X	X		0	1	2	
Office of Financial Aid tuition waiver	B	2		X	X		0	1	2	

**Process Management Team: Document Management**  
**DOCUMENT INDEX**

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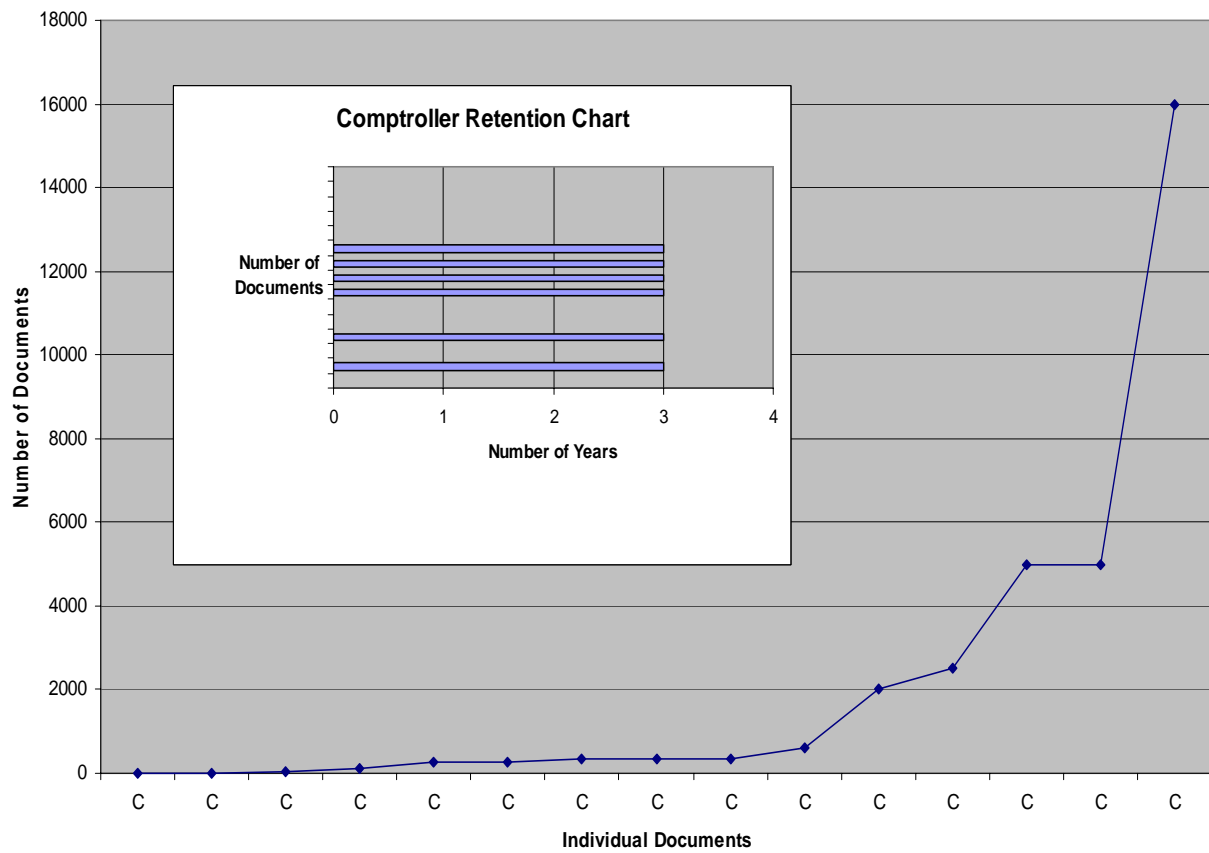
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Document Name	Dept	Yearly Volume	Origin		Hard Copy	Elec-tronic	# Times Retrieved Annually	# Diff. Individuals Handling Document	Strategic Importance Scale: 1 to 5 (1) low to (5) high	State Mandated Retention
			NECC	Ext						
Mass. Rehab. tuition waiver	B	111		X	X		0	1	2	
Petition for refunds or bill reduction	B	550	X		X		0	2	2	
Scholarships letter Non-NECC	B	110		X	X		0	1	2	
Loans	B	450	X		X		0	1	2	
Collection	B	725	X	X	X		0	1	2	
3rd Party contracts	B	2475		X	X		1	1	2	
Payment Plans	B	1300	X		X		0	1	2	
Raffle Tax Return	C	6	x		x		1	4	1	
Bank Transfer	C	360	x		x		60	3	2	
Credit Memo (CR05)	C	360	x		x		250	4	3	
Overtime Sheet	C	2500	x		x		24	2	1	
Tax Report	C	26	x		x		12	2	1	
Deposit Receipt	C	600		x	x		250	4	3	
CBI Invoice	C	100	x		x		30	2	1	
Transfer Authorization Form (TAF)	C	360	x		x		12	4	2	
Budget Documents	C	8	x			x	120	7	3	
Vendor Invoice	C	16000		x	x		26	2	4	3 yrs
Purchase Order	C	2000	x		x	x	26	3	4	
Requisition	C	5000					26	3	3	
Quote	C	250		x	x	x	26	3	2	
Travel Voucher	C	250	x		x		26	3	3	
Packing Slips	C	5000		x	x		5	2	1	

\*State Mandated Retention was reviewed by College Legal Counsel

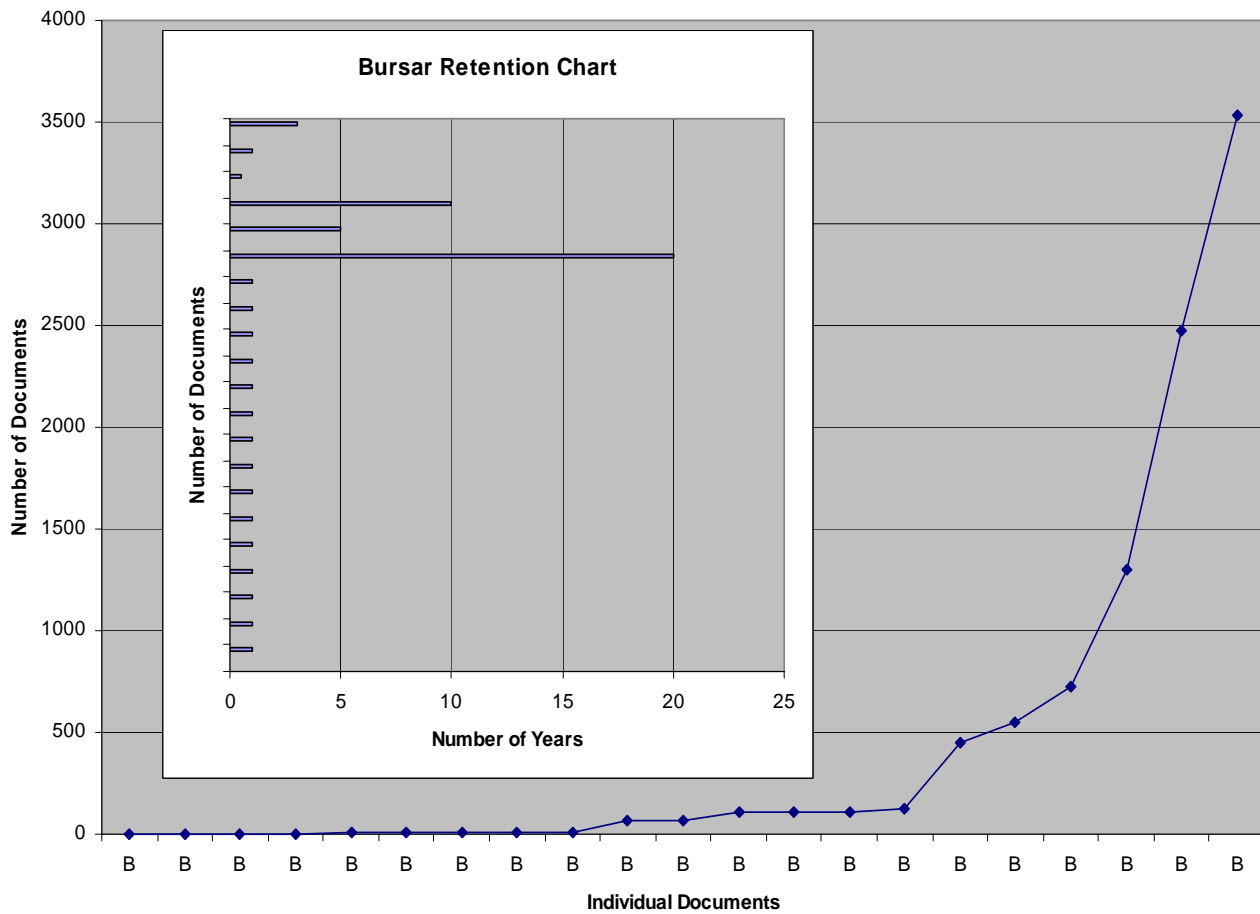
# Document Retention Graph

Document Volume in Comptroller



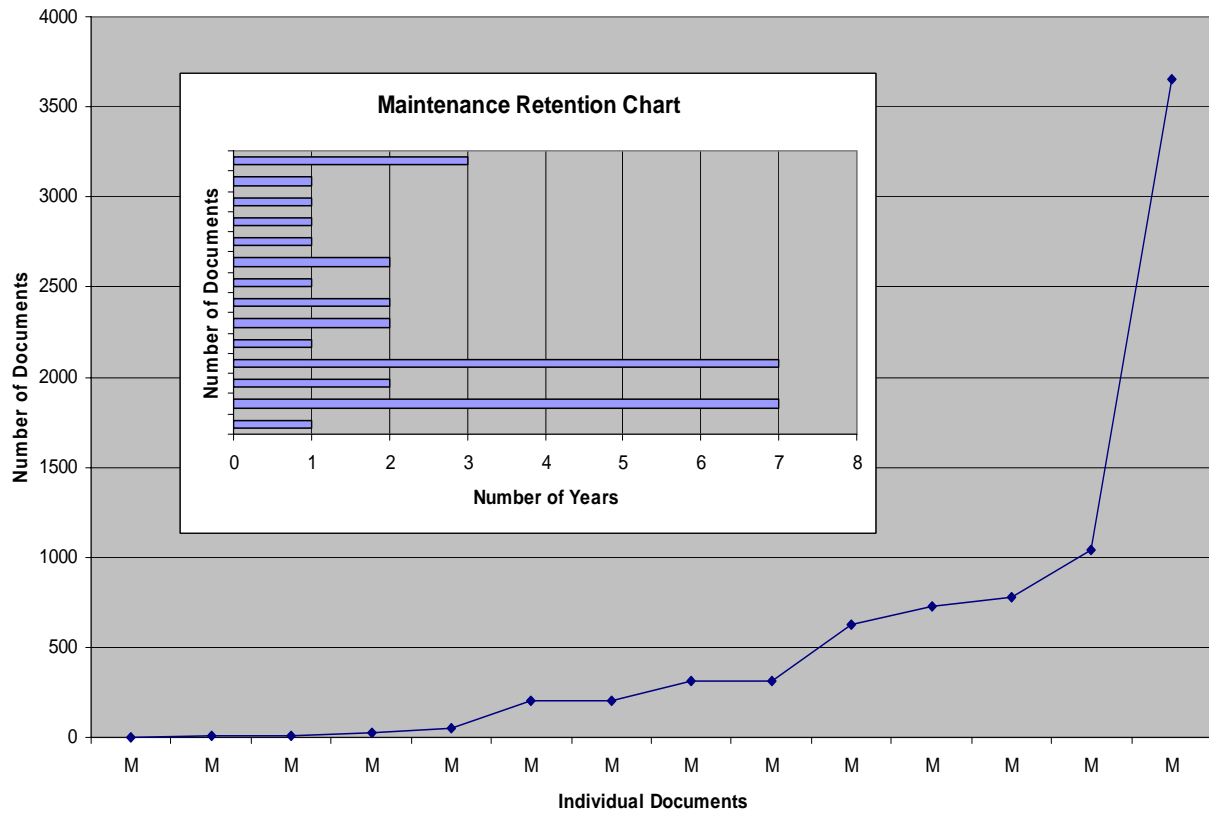
# Document Retention Graph

Document Volume in Bursar



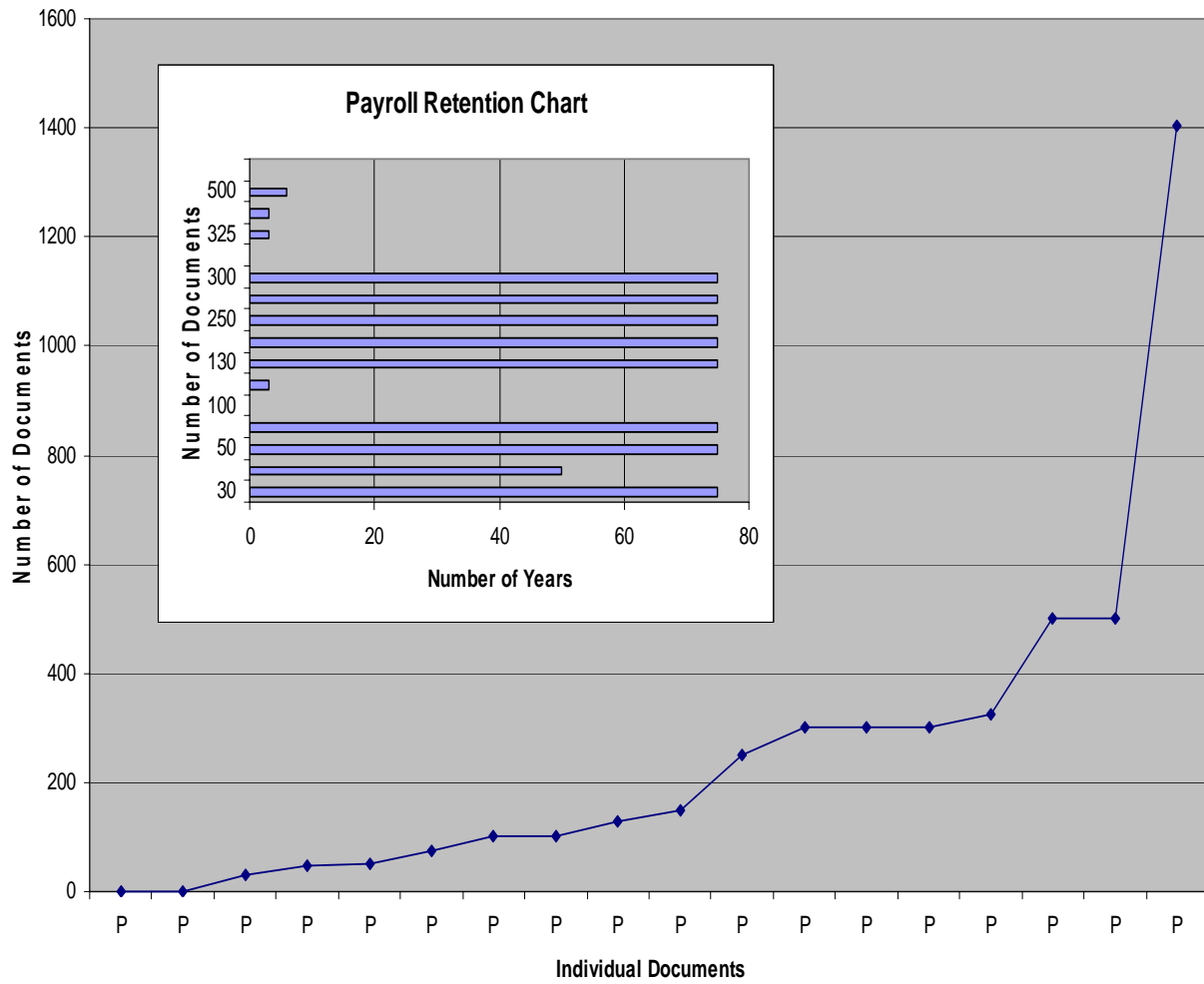
# Document Retention Graph

Document Volume in Maintenance



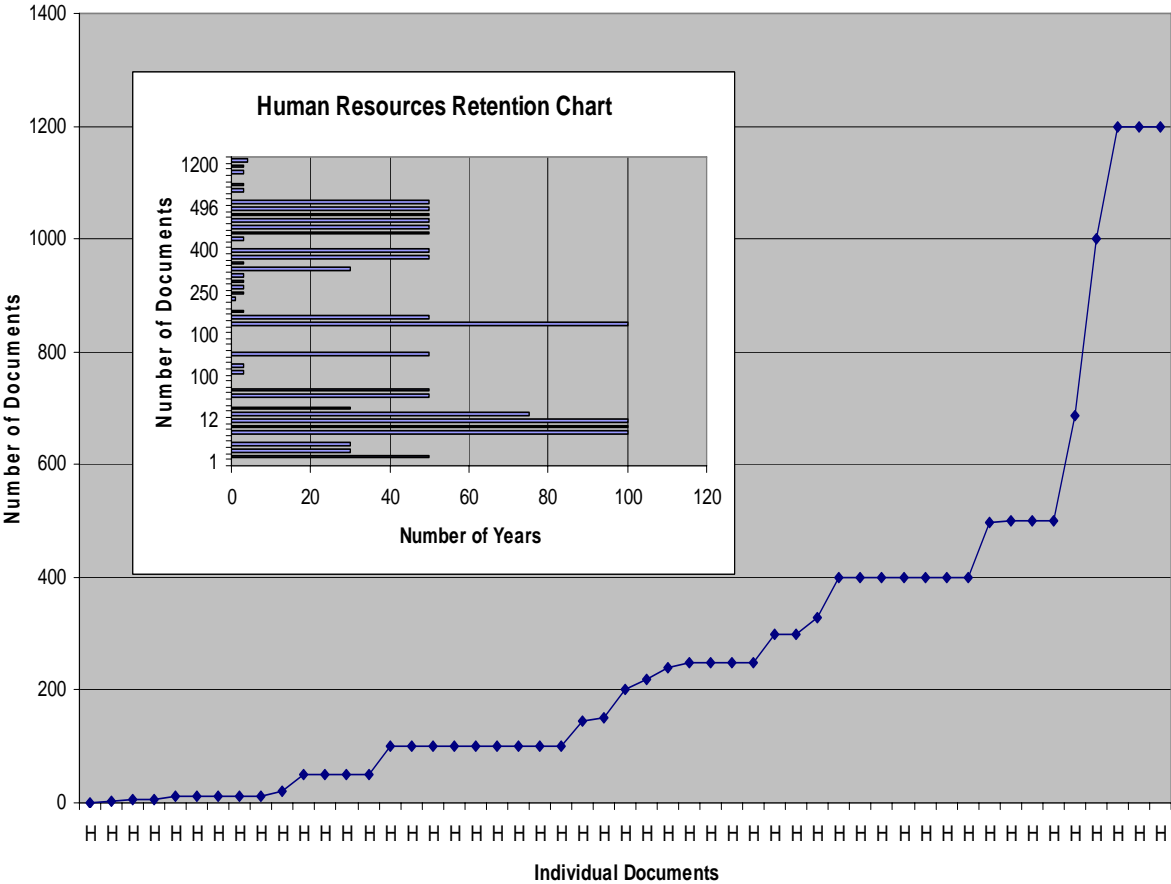
# Document Retention Graph

Document Volume in Payroll



# Document Retention Graph

Document Volume in Human Resources



# Analysis of Current Situation & Cause for Current Outcomes

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The Document Management Team surveyed all offices within the Administrative Services area to determine the documents used.

After the team surveyed everyone, graphs were developed to visualize the current situation and determine our most pressing needs which are then represented by our list of the top 20 documents.

Then a spreadsheet was created to outlined the following:

- ▣ Why is the document used?
- ▣ When is the document used?
- ▣ Who uses the document?
- ▣ How is it created?
- ▣ Where is it stored?

The team then created a Cause and Effect Diagram that highlighted some potential improvements that will be more efficient and effective for our customers.

A Force Field Analysis was also created to further outline the need for document management and some conditions that may be preventing changes.

# Top 20 Documents

Document Name	Yearly Volume	Dept
(03) Employee Weekly Attendance Sheets	500	P
Affirmative Action Forms (AA-4)	100	H
Bank Transfer	360	C
CBI Invoice	100	C
Comp Time Forms	500	H
Cover Letters and Resumes	1200	H
Credit Memo (CR05)	360	C
Email/Banner/Novel/Telephone Account Applications	400	H
Employee Application Forms	1200	H
Employee Confidentiality Statement Receipts	400	H
Employee Eligibility Verification Forms - (I-9)	400	H
Employee ID Form	400	H
Employee Memo of Understanding	150	H
Maint. Work Request Appr. Form	730	M
Maint. Work Request Form	780	M
OBRA Forms	300	H
Overtime Sheet	2500	C
Personnel Action Requests (PAR's)	500	H
Planned Absence Forms	1000	H
Transfer Authorization Form (TAF)	360	C

# Analysis of Top 20 Documents

<u>NAME OF DOCUMENT</u>	<u>WHY IS IT USED</u>	<u>WHEN IS IT USED</u>	<u>WHO USES IT</u>	<u>HOW IS IT CREATED</u>	<u>WHERE IS IT STORED</u>	<u>RECOM-MENDATIONS</u>
(03) Employee Weekly Attendance Sheets	Used for an employee to submit hours worked so they can get paid	At the end of every two week pay period	The Employee, the Employee's Supervisor, & Payroll	The employee fills it out & the supervisor signs it.	In the Employee's Personnel File	Develop an Electronic Time Card process
Affirmative Action Forms (AA-4)	To track Affirmative Action Candidates in accordance with the Massachusetts Fair Practice Law	When an applicant fills out the (AA-4) which is attached to the application form	Human Resources and the Hiring Committee	The Applicant fills out the form	In the hiring folder	Develop Electronic process (Part of the Application Process)
BANK TRANSFER	Used to Initiate Different Types of Journal Vouchers	On a Day - Day Basis	Used by the Comptroller's Office to Create Journal Vouchers in Banner, which is used to Adjust Accounting Ledgers	Buy using an Excell spreadsheet template that is filled in, printed out, routed for approval and used for data entry	Filed by month/year after 3 months moved to Business Office file storage for long term storage.	Investigate potential vender options.
CBI INVOICE						
COMP TIME FORMS	Record overtime worked, in exchange for compensatory time off.	As Needed	Employee, Payroll, Human Resources, and individual departments	Manually & Electronically	Personnel file, & Binders	Electronic Form to be kept in division/send an electronic version to payroll
COVER LETTERS & RESUMES	It is a tool created by an applicant used to apply for a job	When an applicant applies for a Job	Human Resources and the Hiring Committee	The applicant creates It	In the hiring folders. If an applicant is hired it is filed in their personnel file.	Develop an electronic process
CREDIT MEMO (CR05)	Used to Initiate Different Types of Journal Vouchers	On a Day - Day Basis	Used by the Comptroller's Office to Create Journal Vouchers in Banner, which is used to Adjust Accounting Ledgers	Buy using an Excell spreadsheet template that is filled in, printed out, routed for approval and used for data entry	Filed by month/year after 3 months moved to Business Office file storage for long term storage.	
E/Mail, Banner, Novel, Telephone Account Applications	Used for an employees to apply for a telephone and e-mail address (all employees are required to have an e-mail address). It is also used to request access to the Internet, Banner if applicable, as well as documentation that the applicant has read the polices and agree to abide by them.	When an employee is hired	Human Resources and Client Computing	The Employee fills it out	In the Employee's Personnel File	Create an online process, based on same format as Work Request

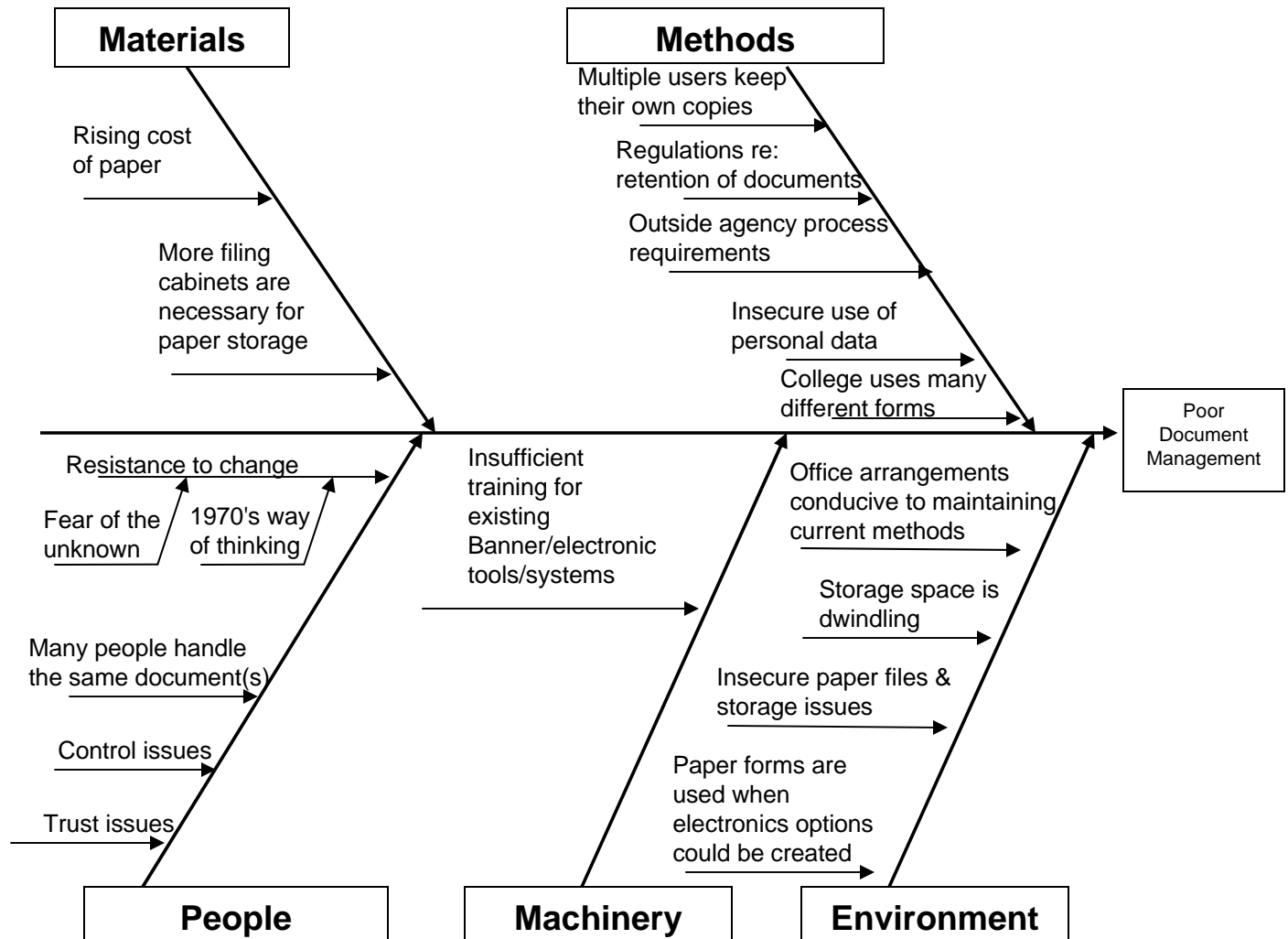
# Analysis of Top 20 Documents

<u>NAME OF DOCUMENT</u>	<u>WHY IS IT USED</u>	<u>WHEN IS IT USED</u>	<u>WHO USES IT</u>	<u>HOW IS IT CREATED</u>	<u>WHERE IS IT STORED</u>	<u>RECOM-MENDATIONS</u>
EMPLOYEE APPLICATION FORMS	To accurately evaluate an applicant who may be considered for a job.	It is sent to all applicants when they apply for a job	Human Recourses and the Hiring Committee	The applicant fills in appropriate information	It is attached to the applicants resume and stored in the hiring folder.	Develop an electronic process
EMPLOYEE CONFIDENTIALITY STATEMENT RECEIPTS	Used as Documentation that Employee has read the Confidentiality Statement and Agrees to Abide by it.	New Employee Orientation	Human Resources	Manually	In the Employee's Personnel File	Electronic Version w/Employee's signature
Employee Eligibility Verification Forms - (I-9)	Used by Human Resources to verify the eligibility of individuals for employment to preclude the unlawful hiring of aliens who are not Authorized to work in the United States.	When an employee is hired	Human Resources and must be available for Government Officials	Federal Government Form. The employee fills it out and Authorized Representative from HR signs it.	Kept in I-9 books by year hired and alphabetically as well the employee's Personnel File	Law needs to change before improvements can be made. (See State Mandates/Laws (MA does not recognize electronic copy as an original)
EMPLOYEE ID FORM	Used by Human Resources for Identification Information and Emergency Contact Information	When an employee is hired	Human Resources	The Employee completes the form.	Data is entered into Banner and HRCMS database. The original form is kept in the Employees Personnel File.	
EMPLOYEE MEMO OF UNDERSTANDING	Hiring process, Agreement between the employer and employee recommended for appointment or change of status	For new employees or for a change in status for current employees	Employee, Employer, Human Resources & Payroll	Manually & Electronically	Personnel file	Eliminate - same as PAR
MAINT. WORK REQUEST APPROVAL FORM	For the VP of Adm to sign off on maint work	When an employee needs something done and does a request in Banner for Maint help	Maintenance and Employee	Electronically in Banner	Administration	Keep online only - no paper trail needed
MAINT. WORK REQUEST FORMS	To request work to be done at college	When an employee needs something done	Maintenance and Employee	Electronically in Banner	Administration	Keep online only - no paper trail needed

# Analysis of Top 20 Documents

<u>NAME OF DOCUMENT</u>	<u>WHY IS IT USED</u>	<u>WHEN IS IT USED</u>	<u>WHO USES IT</u>	<u>HOW IS IT CREATED</u>	<u>WHERE IS IT STORED</u>	<u>RECOM-MENDATIONS</u>
OBRA Forms	All part-time employees must contribute to OBRA. (Full-time employees are members of the State's Retirement Program. The State of Massachusetts does not contribute to Social Security as permitted by the federal Omnibus Budget Reconciliation Act of 1990 (OBRA)	When a part-time employee is hired (all full-time student employees are exempt)	Human Resources, Payroll and ING Life Insurance and Annuity Company	(Outside agency form) The employee fills out the form.	Copy is sent to ING Life Insurance and Annuity Company and original is filed in Employee's Personnel File	Investigate if a electronic process could be developed.
OVERTIME SHEETS	To keep track of an employee's overtime worked	When an employee works overtime	Payroll Comptroller Administration	The employee fills out a form showing hours worked	Payroll	Track Electronically - Develop a system much like Work Request
Personnel Action Request (PAR'S)	Hiring process	For new employees or for a change in status for current employees	Employee, Human Resources & Payroll	Manually & Electronically	Personnel file & Binders	Develop an electronic approval process
PLANNED ABSENCE FORMS	Tracking of employee's vacation, personal leave, Comp time, personal sick time	As needed	Employee, Human Resources, Payroll, and Individual Departments	Manually & Electronically	Personnel file	Each department would be responsible for employees planned absence. Could be kept electronically - no need for multiple copies or to be filed in Emp Per. Files
TRANSFER AUTHORIZATION FORM (TAF)	Used to Initiate Different Types of Journal Vouchers	On a Day - Day Basis	Used by the Comptroller's Office to Create Journal Vouchers in Banner, which is used to Adjust Accounting Ledgers	Buy using an Excell spreadsheet template that is filled in, printed out, routed for approval and used for data entry	Filed by month/year after 3 months moved to Business Office file storage for long term storage.	

# Cause & Effect Diagram



# Analysis of the Current Situation

## Force Field Analysis

### **Why does document management need to be changed? \_\_\_\_\_**

Desire to reduce storage space due to limited space

Keeping pace with technology

Retrieval of document (ease and time)

Security

Time used to make copies and file

Cost of paper, time and storage

Efficiency

Improve services / accountable college

Productivity

Strategic Plan

### **What conditions are preventing the changes?**

Equipment needs / cost

Individual / Department resistance to change

Trust in the system that is being used presently

Time restraints

Obsolete technology

Staff turnover

Mandated document Retention

### ***Desired outcome of document management change(s):***

Less paper, better utilization of space and time, easier retrieval, cost effective, improvement in accessibility and better security of individual data.

# Improvement Theory & Implementation Plan

## Improvement Theory

Although there are many things that can be done to improve the management of the documents that Administrative Services handles, the best solution is to purchase document management /imaging software.

As part of an initiative within the IT division of the college, the purchase of document management/imaging software is being explored. It is our understanding that it is not a matter of whether this software will be purchased, but what software will be purchased and when it will be purchased. We will therefore leave those issues to the IT division and limit our suggestions to how document management/imaging software can benefit the Administrative Services Division.

## Changes to the existing system

We are proposing the following improvements to the document management process within Administrative Services.

1. Implementation of Document Management/Imaging Software.
  - a. The move from an entirely paper-based system to an electronic filing system can be a daunting task, therefore, we recommend that the move be done on a gradual basis, starting with one group within Administrative Services and spreading to the entire division over time.
  - b. Since a critical need for document management/imaging software had been identified nearly two years ago by the Human Resources department, it is our recommendation that they be the first department within Administrative Services to implement the software.
  - c. Install a document scanning station in the HR department office in B building. As we progress with the roll out of document management/imaging within Administrative Services, this scanner would be shared with the Business Office. Eventually, an additional scanning station would be set up for the Business Office.
  - d. It is considered to be impractical to scan documents in real time, as they are received, so the documents would be collected into batches and scanned into the system on a daily basis. It is estimated that HR would have approximately 30 documents per day to scan.
  - e. Workflows within the document management/imaging software will be developed to enable the efficient and timely processing of the scanned documents.
  - f. A schedule will be developed for scanning historical documents into the system. As these documents are scanned they will be destroyed in a manner consistent with state and federal regulations.
  - g. Prior to the installation of the document management/imaging software, training will be provided to Sue Beaumont, Donna Bouchard and Mary Chatigny. As the roll out continues, additional training will be made available to other staff in the Administrative Services division, as needed.

# Improvement Theory & Implementation Plan

2. For Planned Absence Forms, keep the form filed within the originating department. There would be no need to send a copy to HR.
3. Develop an electronic system, similar to the maintenance work request system, to track the E-Mail/Banner/Novell/Telephone Account applications.
4. Develop electronic version of Comp Time forms.
5. Develop an electronic time card process to handle the 03 Employee Weekly Attendance process.
6. Continue to research retention laws by working with Vice President of Administrative Services and the Community College's Legal Counsel.

## **Improvement Costs**

Because we are unsure of how the document management/imaging software will be paid for—we can not make an accurate estimate of the monetary costs associated with these improvements at this time. The remaining improvements should incur no monetary costs.

## **Time Costs**

### **Document Imaging**

#### ***Recurring Time Costs***

After the software is installed and HR staff is using the system, there will be a recurring time cost incurred to scan the documents into the system each day. This cost is estimated to be approximately 30 minutes per day. Obviously this time cost would vary with the volume of documents that needed to be scanned.

#### ***One-Time Costs***

There is a one-time cost associated with scanning historical documents into the system and destroying them after they are scanned. This cost is based on the number of historical documents that need to be scanned and destroyed.

## **Other Improvements**

Since many of our improvements involve building electronic systems to track certain documents, there will certainly be an initial time cost to build these systems. Once these systems are in place, using them will incur no discernable time cost.

## **Cost Savings**

Although saving money spent on storage is one of the goals of improving the division's management of documents, it is not the primary concern. Certainly there is money to be saved through reduced printing and improved utilization of space, but the exact amount is difficult to determine.

# Improvement Theory & Implementation Plan

## ***Time Savings***

There is definitely a time savings to be gained by implementing document management-imaging. The project team expects significant time savings to be gained when the document in question is retrieved both with high frequency and by a large number of people in physically separated locations. For example, the staff of the HR department is split between A building and B building. If a document is stored in one location and needs to be retrieved by a staff member located in the other location, document management-imaging will reap great time savings. This savings will be compounded for documents that need to be referenced on a frequent basis.

The above also applies to any non-document imaging improvement that involves tracking a document electronically.

## **Positive Results**

Once implemented, document management/imaging and the other improvements are expected to yield the following positive results:

- Faster retrieval time for documents stored online
- More secure storage of documents containing sensitive information
- Reduced physical storage requirements leading to improved space utilization
- More efficient handling of documents leading to improvements in customer service

## **Customer Impact**

In the case of the HR department, whose customers are employees and potential employees, the greatest impact on customers will be an increase in responsiveness to customer requests for information. Secondarily, hiring managers will garner improvements in the hiring process due to better access to hiring related documents such as applications and resumes.

## **Results Achieved So Far**

Through our research and analysis of the document management situation, we have already begun to transform the way the division handles documents. The following things are being looked at to improve the management of documents within the Administrative Services Division:

1. A scanner that was already present in the HR department will be used to scan cover letters, resumes and applications, so that these may be sent to hiring managers via e-mail.
2. We have stressed that the use of systems already in place for the handling of documents, such as the maintenance work request system, means that paper copies do not need to be filed.
3. Within the Comptroller's Office, we are working on a more efficient way to handle Bank Transfers, Credit Memos and Transfer Authorization Forms. This will most likely involve developing a naming convention and folder structure for the handling of these documents online.

# How will you study results?



According to our project statement we expect improvements to result in three different areas: more efficient and secure methods of dissemination; improved retrieval time; better utilization of space. The first two improvements will be measured with a follow up survey to be administered within the Administrative Services division approximately one year after the presentation to the steering committee. The third will be measured through a space study to be conducted once, soon after the presentation to the steering committee, and repeated approximately one year later.

## How will improvements be engrafted into the system?

The department head is most familiar with the uses of the documents that funnel through their departments. Standard practices for the handling of documents from intake to disposal, not individual preferences.

Improvements will be measured by efficiency of offices to perform daily tasks within time and space restraints.

Decisions will be made based upon improvement & implementation plans per department.

# Steering Committee Feedback

**Team Name:** Document Management

**Date:** May 5, 2006

**Sponsor:** Mark Andrews

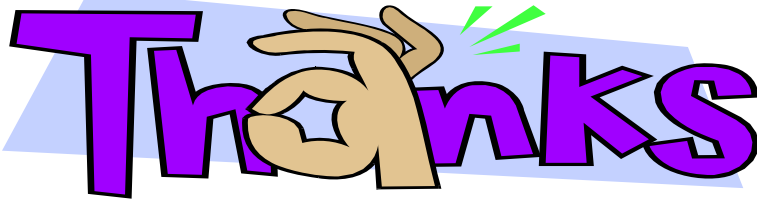
## Ideas for Improvement

## Support

1. Implementation of Document Management / Imaging Software. Responsibility for action with IT as directed by Steering Committee. \_\_\_\_\_
2. For Planned Absence Forms, keep the form filed within the originating department. There would be no need to send a copy to HR. Responsibility for action with HR Representative who will educate each department as soon as possible. \_\_\_\_\_
3. Develop an electronic system, similar to the maintenance work request system, to track the Email/Banner /Novell/Telephone Account Applications. Responsibility for action with IT, HR, Telecommunications, Helpdesk and Networking. \_\_\_\_\_
4. Develop electronic version of Comp Time forms. Responsibility for action with HR & IT. \_\_\_\_\_
5. Develop an electronic time card process to handle the 03 Employee Weekly Attendance process. Responsibility for action with IT, HR and Payroll. \_\_\_\_\_
6. Continue to research retention laws by working with Vice President of Administrative Services and the Community College's Legal Counsel. Responsibility for action with Vice President and Legal Counsel. \_\_\_\_\_

**Team Feedback Meeting – Date:** \_\_\_\_\_

**Sponsor:** \_\_\_\_\_ **Leader:** \_\_\_\_\_



**The Document Management Team wishes to thank the following individuals who generously contributed their time and knowledge to this project:**

President David Hartleb  
Stanley E. Jensen, Ph.D.  
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Jim Coleman

Joni Sheehan

Gladys Gomez

Patty Pierce

Sherri Acevedo

Sandy Ellis

Jane Lesiczka

Donna Rapa

Mary Chatigny

Allison Gagne

# Appendix A

## Community College Survey – Document Management Systems

	Business Office / Maintenance
Bunker Hill	No
Berkshire	No
Bristol	SCT for XTender
Cape Cod	No
Greenfield	No
Holyoke	No
Mass Bay	No
Massasoit	No
Middlesex	No
Mt. Wachusett	No
North Shore	SCT Xtender Student FA Only
Quinsigamond	No
Roxbury	No
Springfield Tech	No

This survey reflects that document management is being established within the Massachusetts Community College's and that we as a college need to be in the forefront of this process.

# Appendix B

## Email stating Bill to halve 30-year recordkeeping requirement heads to House

-----Original Message-----

From: State House News Service [mailto:news@statehousenews.com]  
Sent: Thursday, April 06, 2006 4:40 PM  
To: "SHNS Subscriber-Only List"  
Subject: BILL TO HALVE 30-YEAR RECORDKEEPING REQUIREMENT HEADS TO HOUSE

BILL TO HALVE 30-YEAR RECORDKEEPING REQUIREMENT HEADS TO HOUSE

By Amy Lambiaso  
STATE HOUSE NEWS SERVICE  
amy.lambiaso@statehousenews.com

STATE HOUSE, BOSTON, APRIL 6, 2006...A measure to reduce by half the number of years Massachusetts hospitals and health care clinics must keep records of their patients was approved by the Senate this week and could see action in the House, a leading lawmaker said. The bill's progression was halted during the waning days of last session when opposition surfaced from trial attorneys looking to protect the existence of patient records from decades ago to use in cases of medical malpractice, supporters say. This time around, the legislation has not drawn any public resistance, and a spokeswoman for the Massachusetts Academy of Trial Attorneys said the group is not opposed to the proposal. The Senate engrossed the bill during its formal session on Tuesday. Richard Powers, a spokesman for the Executive Office of Health and Human Services, declined comment on the bill since it had not yet reached the governor's desk. Supporters of the proposal say Massachusetts' law requiring hospital and health care clinics to retain patient records for 30 years after the time of a patient's discharge is antiquated and far beyond what other state laws require. The national average for retaining medical records is 10 years, according to the Massachusetts Hospital Association (MHA), the bill's leading supporter. The ability to reduce the number of records that are maintained and the time records are stored would reduce costs and expand the available space in hospitals and health clinics, supporters say. The bill would also give hospitals the ability to maintain scanned paper records as original documents. Currently state regulations do not allow for scanned records to be kept electronically as originals. "Maintaining medical records for a 30-year period since the last date of service is both impractical and costly," the hospital association wrote in its testimony to the Public Health Committee last October. "Despite the move to electronic information, costs will remain a

1

This article reinforces the need to improve document management, i.e.; reduce cost, improve resources/customer service and increase space.

# Appendix B

## Email stating Bill to halve 30-year recordkeeping requirement heads to House

Factor given necessary system maintenance and data corruption protection - not to mention the fact that it will be many years before paper records are eliminated completely." Rep. Peter Koutoujian (D-Waltham), chairman of the Public Health Committee that endorsed the bill in February, said he will push for the proposal to be approved in the House prior to the session expiring the first week in January 2007. "Thirty years is an onerous burden on hospitals that drains resources from giving care," he said. "There has been a lot of discussion about electronic data keeping, but we're not there yet. So right now, it is needed."

MHA spokesman Paul Wingle said the added burden of storing paper records and upkeep adds upwards of \$1 million annually to a large hospital's administrative costs; smaller hospitals may spend between \$100,000 and \$300,000 on record keeping. Under Medicare and MassHealth regulations, hospitals must retain patient records for five years after the last date of service, and the federal Health Insurance Portability and Accountability Act (HIPAA) requires records to be kept for six years. "This is an area that provides a clear area for reform," said Angus McQuilken, director of public affairs for Planned Parenthood League of Massachusetts. "Massachusetts has one of longest requirements in the country at 30 years, and this is one of the factors that is keeping health care costs high in the state." Eric Linzer, spokesman for the Massachusetts Association of Health Plans, whose members include several large health insurers, said the association does not have a position on the bill. "It's a hospital thing. It doesn't apply to us," he said. -END-

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[www.statehousenews.com](http://www.statehousenews.com)

# Appendix C

## Massachusetts Statewide Records Retention Schedule 05-05

A publication of the Records Conservation Board produced in conjunction with the  
Massachusetts Archives and the Supervisor of Public Records Office



Approval Date  
February 2, 2005

Expiration Date  
December 31, 2005

For complete schedule visit:

<http://www.sec.state.ma.us/arc/arcrmu/rmurds/05-05ApprovedCopy.doc>