Academic Department Information System (ADIS)

Academic Records Procedures

Updated: December 2008
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I. INTRODUCTION

The University of Nebraska Medical Center (UNMC) utilizes the Academic Department Information System (ADIS) to address record retention of specified academic records. ADIS will act as the sole repository of these records. ADIS is a campus-wide repository and is not system-wide.

Access to an academic member’s information stored in ADIS is restricted to the individual member, higher level administration, and college / unit staff that are typically allowed access to the original paper documents for processing purposes. Additional information on ADIS users can be found in Section VI of this document.

Access to ADIS is available at http://edge.unmc.edu/adis. For login, use:
- Lotus Notes ID
- Lotus Notes password

II. ELIGIBLE APPOINTMENTS

The ADIS repository is not intended for storage of documents relating to non-academic appointments, including managerial-professional staff, office and service staff, house officer, teaching fellow, teaching assistant, graduate assistant and student employees. Documents relating only to the following UNMC academic-administrative appointments and other academic staff shall be stored in ADIS:

1. All Faculty holding the rank of Assistant Instructor and above, regardless of type (ie, full-time, part-time, special, health professions, continuous)
2. Academic Administrators and Other Administrators
3. Temporary Faculty
4. Visiting Faculty
5. Courtesy Faculty
6. Adjunct (Volunteer) Faculty
7. Postdoctoral Research Associate
8. Postdoctoral Fellow
9. Research Associate
10. Research Assistant
11. Other Academic Appointments
12. All separated appointments that meet the above criteria, if within 7 years of separation date
III. DOCUMENTS

The following documents must be entered into ADIS. Where not applicable, the document may be excluded.

A. Required Documents

1. Annual Evaluations
2. Appointment Letters (Add, Delete, Change, Extend)
3. Current CV (in format specified under ADIS User Documentation)
4. Employment Contracts, including Health Professions Contracts and Terms of Employment Agreements where available
5. Letters of Offer or Cover Letter
6. Licensure/Certification/Diploma
7. Promotion Transmittal Form (Final)
8. Resignation Letter (including retirement)
9. Separation Notice (department initiated)
10. Supplemental Compensation Agreements
11. Visa

B. Conditional Documents Required for Template Support

In addition to required documents, some other documents are helpful and although not required to meet campus ADIS guidelines, may be designated as required for a particular Template (see Template Assignments under ADIS User Documentation).

Where these documents exist, they should be scanned and entered into ADIS. If these documents do not exist, they may be “excluded” by the Document Administrator when verifying uploaded documents. These documents include:

<table>
<thead>
<tr>
<th>Document Type</th>
<th>Template Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Development Leave</td>
<td>Leave of Absence (paid or unpaid)</td>
</tr>
<tr>
<td>Faculty Assistance for Doctoral Study</td>
<td>Leave of Absence (paid or unpaid)</td>
</tr>
<tr>
<td>Leave Request / Approval</td>
<td>Leave of Absence (paid or unpaid)</td>
</tr>
<tr>
<td>New Hire Form</td>
<td>New Hire / Rehire</td>
</tr>
<tr>
<td>CV (new hire)</td>
<td>New Hire / Rehire</td>
</tr>
</tbody>
</table>
C. Human Resource and Payroll Documents

Documents which normally reside in the Office of Human Resources (HR) and Payroll must continue to be sent directly to HR. Required entry of the document into ADIS is dependent upon the document type.

- **HR Document Requirements.**

  - **New-hire documents – optional entry**
    Entry of these documents into ADIS prior to sending the original document to HR is optional:
    
    - I-9 Employment Eligibility Verification
    - Initial Employment Background Check Verification (no need to send to HR – they receive data from vendor)

  - **New-hire documents for non-residents only – required entry**
    Entry of these documents into ADIS prior to sending the original document copy to HR is required.

    Expiration dates for these documents must also be entered into ADIS.
    
    - Work Permit
    - Visa
    - I-94 Form

ADIS will contain verification fields accessible only to HR for each of the documents noted above. HR will not scan or load the document into ADIS; however the original document will be maintained in the HR files according to retention requirements.
HR will confirm receipt of the original documents by either:

- selecting “verified” in ADIS if document is completed accurately – department signature date will also be entered for the I-9
- selecting “rejected” in ADIS if document is not completed correctly – the document will be returned to the department for correction

Units may confirm verification of HR documents on the Processed Templates screen:

Document Repository → Document Administration → Templates

HR reports will be run on a quarterly basis (more frequently if needed) to determine compliance with document receipt and renewal.

• **Payroll Document Requirements.**

Payroll documents should continue to be sent to the Payroll Office; they should not be scanned or included in ADIS, and copies should not reside in personnel files outside of the Payroll Office. These include:

- W-4
- Direct Deposit form

D. **Other Documents**

UNMC colleges and units may require the storage of additional documents in ADIS which are not required at the campus level.

E. **Documents to Exclude**

The following documents should not be included in ADIS. However, they must be retained in college / unit personnel files according to HR retention guidelines:

1. Letters of Reference and other supporting documents accumulated during recruitment of academic member.
2. Promotion and Tenure supporting documents. Only the final Transmittal Form should be entered into ADIS.
3. Payroll documents (refer to Section III.C.)
F. Shared Documents

The most current curriculum vitae (CV) for each academic member is shared by default with all UNMC colleges / units regardless of academic member's college or unit affiliation. Availability to the cv expedites compilation of investigator background material typically required for research proposal submissions.

Other documents can be shared with a particular unit through submission of a request to the Document Administrator of the academic member's primary appointment. Sharing with one or more units is allowed, and is necessary for academic members who hold appointments with more than one college / unit. Shared documents are designated with a check mark under the “share” column heading on the employee document screen.

IV. DOCUMENT ENTRY

A. Timeline

Documents may be entered into ADIS after SAP data has been entered for a new hire or an appointment change. All documents should be entered within 10 days of receipt by the primary home department.

B. Responsibility

• Primary Appointments and Transfers.
  Designated Document Handlers in each college / unit where the primary academic appointment resides shall be responsible for input of documents. Documents of academic members who experience an appointment transfer to another UNMC college / unit shall be forwarded to the Document Administrator of the new unit.

• Joint Appointments.
  In the event of joint appointments, the responsibility for document entry into ADIS lies with the college / unit of the academic member’s primary appointment. After obtaining necessary approvals from both participating units, the Document Administrator of the academic member’s primary college / unit may then:

  1. input the new appointment into SAP
  2. enter the documents into ADIS
  3. “share” the joint appointment ADIS documents with the other college / unit
  (more information on shared documents can be found in Section III.F.)
Example:
1. COM academic member receives a COPH joint appointment and a CON courtesy appointment.

2. CoPH obtains necessary approvals for the joint appointment and forwards documents to COM for entering into SAP and ADIS.

3. CON obtains necessary approvals for the courtesy appointment and forwards documents to COM for entry into SAP and ADIS.

4. COM designates “share” status in ADIS for the appropriate documents with CoPH and CON.

- **Inter-Campus Appointments.**
  Joint appointment academic members whose primary appointment resides at another campus (UNK, UNL, UNO) require manual entry of their new UNMC appointment into ADIS. To accomplish this, necessary approvals for the joint appointment must be obtained from both campuses, and a request submitted to Academic Services for ADIS participation. Documents pertaining to the UNMC appointment may then be entered by the college / unit Document Handler.

C. Required Equipment and Software

Document Handlers will require access to the following equipment in order to properly scan, load and read documents.

- **Computer.**
  Most computers required for work on the UNMC campus will meet minimum requirements for working in ADIS. Minimum network connections should be 100 megabits. Those with slower connections may experience delays in ADIS and when working with files.

- **Scanner:** *stand-alone or copier/fax/scanner.*
  Consultation with ITS or Better Business Equipment may be necessary.
  
  - Individual scanner – allows for uploading directly to folder on your department’s network (shared or private drive) prior to upload into ADIS. Scanner should allow flexibility for naming of documents.
  
  - Copier/fax/scanner – assigned name will be in digital sequence. Scanned documents are typically emailed to the user, then saved to network or
individual folder prior to upload into ADIS.

Where possible, documents should be compressed yet maintain clarity. Refer to Document Scan Policy under ADIS User Documentation for designated parameters.

- **Microsoft Word.**
  Documents which do not require scanning (ie, those without signatures) may be uploaded directly into ADIS without scanning. This method is preferred for cv’s, which are typically large documents.

- **Adobe Professional.**
  Documents which contain writing and signatures require scanning and conversion to format such as PDF (preferred format for ease of viewing by all campus designated users). PDF documents are dependent upon Adobe Acrobat Reader for viewing. Adobe Professional has features which allow compression of large files. In order to avoid exceeding storage restrictions, documents should be compressed while still maintaining clarity. Documents are restricted to a maximum size of 5 MB. Refer to Document Scan Policy under ADIS User Documentation for designated parameters.

D. Process Details

- **File Upload to ADIS.**
  Scanned files should be located in a folder accessible by the Document Handler. Each document loaded into ADIS should be reviewed to ensure the document is in final form (no draft versions) and contains all appropriate signatures.

  Documents may be uploaded in any format, though PDF is preferred. Because documents must viewed by designated users across campus, a format which utilizes software generally available and consistently utilized by all is recommended. PDF documents are also recommended because they may be compressed while still maintaining document clarity.

  TIFF images are not recommended due to less common use of the software necessary to view the images. Additionally, TIFF images are typically larger in size than PDF files and are unable to be compressed.

- **Naming of Files and Date Specifications.**
  To ensure accurate identification of documents by the Document Handler and Document Administrator, file names should be in the following format prior to upload into ADIS:
The date included in the file name should be the effective date of appointment or action (month / year); not date of letter.

For archive documents, a date range may be used in the file name. The begin date must be manually added to the document name. The end date will automatically populate (via the effective date selected) when the document is “added” to the repository.

- **Documents with Expirations, License/Document Number, and State of Issue.**
  In order to generate reports for monitoring of expiration and renewal date, document expiration dates, license and/or document numbers, and the State where issued should be included by the Document Handler when completing document information. If not initially added, the information may be later added or modified by selecting the appropriate document from the Document screen and then selecting “update” after the information has been entered.

- **Archiving Historical Documents.**
  Historical documents of the same type may be grouped and inserted into ADIS as one document. All available historical documents (after initial hire documents) which are associated with the established archive templates listed below should be included in the ADIS repository (also see Template Assignments under ADIS User Documentation):

  1. Archive - Annual Evaluation
  2. Archive - Appointment Add/Delete (paid or unpaid)
  3. Archive - Appointment Change (FTE, salary, appt type, appt term)
  4. Archive - Reappointment/Appointment Extension
  5. Archive - Supplemental Compensation TEA
  6. Archive - Terms of Employment Agreement (TEA)

Multiple documents of the same type should be scanned as a PDF in reverse chronological order. The Document Scan Policy, available under the ADIS User Documentation, should be followed in order to limit excessive document size.
Required academic documents which are historical but should not be placed in an archive template include:

1. Annual CV – only the new hire cv and the current cv need to be included in the repository. Archiving of other historical cv’s is not necessary. Annual cv’s after initial load will be required every year as part of the Current CV template.

2. Promotion and Tenure transmittal forms – only the Transmittal Form of Promotion and Tenure material should be uploaded into ADIS. Other documentation should be retained in a promotion and tenure folder by the college / unit of primary appointment. The transmittal forms should be placed individually in the Promotion and Tenure Template with appropriate date designation and not bundled together as an archived document.

3. Visas – each visa should be entered individually. The assigned file name in ADIS will not designate visa type. If desired, the type (ie, J1, H1B, etc.) may be manually added to the file name for ease of identification.

Example: DoeJH.VisaH1B.July2008

The type must be manually added to the document name. The date will automatically populate (via the effective date selected) when the document is “added” to the repository.

Refer to Section IV.D. of this document for further information on proper naming of ADIS files.

• Missing Documents and Signatures.
  A Discrepancy Form must be completed for required documents that are not available in the academic member’s personnel folder. Discrepancy forms and instructions for completion and upload are located under User Documentation in ADIS.

  In addition, some historical documents will not have all appropriate signatures. The most accurate and complete copy should be loaded into ADIS.

  Documents that are later found after the template has been processed and locked may be added as an addendum. Refer to the document Discrepancy Overview guidelines available in ADIS under User Documentation for processing discrepancy forms and addendums.
• **Locking of Documents and Templates.**
  Only Document Administrators of the academic member’s primary appointment or Academic Affairs may lock or unlock a document. A document locked by inclusion in a processed template by Academic Affairs cannot be unlocked or deleted for any reason.

• **Monitoring Progression of Documents and Templates.**
  The Document screen contains information on the progression of an academic member’s documents and assigned templates. The column entitled “Use” supplies the following indicators:
  
  o Blank – document has not been assigned to a template
  
  o Yellow – document has been assigned to a template
  
  o Red – document has been declined by Academic Affairs (email notification will follow)
  
  o Green – document has been verified and/or processed

  Reports are also available for tracking purposes (see Section VII.B. of this document).

V. **DOCUMENT RETENTION AND DESTRUCTION/DISPOSAL**

A. **Electronic Documents**

  Destruction of documents residing in ADIS will be the responsibility of the UNMC Office of Human Resources and the Office of Academic Affairs to ensure compliance with appropriate retention and destruction policies.

  Electronic versions of scanned documents which reside on a network or personal drive should be deleted upon notification of completed and verified academic record in ADIS by the Office of Vice Chancellor for Academic Affairs.

B. **Paper Documents**

  All paper documents which have been scanned and loaded into ADIS are to be retained by each college / unit until notification of approval for destruction is received from the Office of Human Resources and the Office of Academic Affairs.
Documents which are not included in the ADIS repository must be retained in designated personnel folders of each college / unit. Length of retention must comply with campus retention guidelines, available in the UNMC Retention and Destruction Policy 6056 (http://www.unmc.edu/dept/compliance/index.cfm?CONREF=10).

VI. ADIS Users

ADIS users may be assigned one or more roles. Security and access level are based upon role assignment (see Security Overview under ADIS User Documentation).

Listed below are some commonly used roles and their responsibilities. In order to maintain quality and consistency, it is recommended to limit Document Handlers and Administrators to no more than 2 or 3 per college / unit.

A. At college / individual unit level

- **Document Handlers.**
  - scanning (optional, because this may be performed by those without ADIS access)
  - upload of documents into ADIS
  - assignment of documents to appropriate templates

- **Document Administrators.**
  - assignment of Document Handlers and Leadership/Management roles
  - provide assurance of document quality and accuracy
  - monitor ADIS Report Queues for new documents and templates
  - verify document and assignment to the correct template
  - exclude documents where necessary
  - process college level templates

- **Leadership / Management roles.** These college / unit roles may have view only access, or edit/view access. Edit/view access is similar to that of document handlers.
  - Dean
  - Assoc Dean
  - Director
  - Deputy Director
B. At campus level

- **Office of Academic Affairs.**
  - user guidance for content, including questions regarding document types, template assignment, etc.
  - process campus level templates upon final confirmation of document/template verified by Document Administrator
  - notification of completion or discrepancies

- **Leadership / Management roles.** These campus level roles may have view only or edit/view access.
  - Chancellor
  - Vice Chancellor
  - Assoc Vice Chancellor
  - Training Director

C. Who to Contact

The campus ITS will provide ongoing development and maintenance for ADIS. Users should contact the appropriate resource as listed below.

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone</th>
<th>Email</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>Susan Welch, Academic Affairs</td>
<td>559-5187</td>
<td><a href="mailto:swelch@unmc.edu">swelch@unmc.edu</a></td>
<td>User guidance</td>
</tr>
<tr>
<td>Dave Padgett</td>
<td>559-2059</td>
<td><a href="mailto:dpadgett@unmc.edu">dpadgett@unmc.edu</a></td>
<td>Application support</td>
</tr>
<tr>
<td>Lee Trant</td>
<td>559-5664</td>
<td><a href="mailto:ltrant@unmc.edu">ltrant@unmc.edu</a></td>
<td>Application support</td>
</tr>
<tr>
<td>Workstation Support</td>
<td>Contact designated IT support for your department/unit</td>
<td>Connection difficulties</td>
<td></td>
</tr>
<tr>
<td>Steering Committee Representative</td>
<td>Contact Document Administrator for your college/unit</td>
<td>New application development</td>
<td></td>
</tr>
</tbody>
</table>
VII. OBTAINING INFORMATION AND REPORTS

A. Employee Summary and Photo

The Employee Summary screen, available through selection of an academic member’s name, displays specific data regarding the employee which is accessible to all ADIS users. Viewable data is dependent upon designated ADIS role.

Although display of the employee photo on the summary page is optional, units are encouraged to set all photos (faculty and staff) for “public” display unless otherwise requested by the employee.

B. Reports

A variety of reports are available under:

Document Repository → Document Administration → View Reports

Reports are generally classified as:

- **Required** – involves documents that must be stored for all academic members
- **Working** – queues designed to assist administrators in accomplishing tasks associated with the management of academic records
  - Orphan reports include documents not assigned to a template and documents assigned but not verified
- **Optional** – specific views of data that pertain to your organization. These may include, but not be limited to, document management criteria. Additional data as available from SAP may be included if allowable under campus HR guidelines.

Reports on HR documents will be run on a quarterly basis (more frequently if needed) to determine compliance with timely receipt of HR documents and renewal.

All report requests should be forwarded to ITS Application Services via David Padgett or Lee Trant (see table above in Section VI.C.).