Overview of Procedures
The District is responsible for retaining the programmatic and financial records of federal and non-federal grants for a minimum of six (6) years. The District has a long-term storage facility where records no longer necessary for day-to-day grant management can be stored. In addition, the Office of Grant development and Compliance maintains a digital document retrieval system for key compliance documents that will allow for the easy access of records during audit periods. The District’s Records Management Office facilitates the storage and retrieval of District records that are either not part of the digital storage and retrieval system or relate to long term storage.

Procedure Details
Grant Program Managers and Principals, Grant Fiscal Services (GFS) Grant Budget Analysts, the Grant Accounting Unit, the Office of Research and Evaluation and any other offices or departments that are involved in grant management are responsible for ensuring that records are retained in accordance with District policy GP1400: Documentation and Record Retention. This procedure relates to the acquisition of documents to be scanned and maintained in OGDC’s electronic database for assurance and quick retrieval. This database, maintained by an outside vendor to include the scanning of documents, has a web front end user system available to select personnel.

For long term storage procedures, the District’s Records Center User Guide should be used when placing records other than those listed below into storage. The Guide explains how to initiate a request to move files and records to offsite storage including how to procure storage materials (e.g. boxes) and how to retrieve records that have previously been placed in long-term storage.

Responsibilities
Grant Program Managers / School Principals must ensure that all necessary records related to the compliant fiscal and programmatic implementation of their grant are kept in audit-ready status onsite in the school or grant program office. For the particular records listed in the procedures below, members of the Grants Compliance Office and Grants Fiscal Services must ensure that those records are properly labeled, scanned and stored in accordance with the procedures below.

Grants Compliance Monitors (GCMs) are responsible for collecting, printing and organizing certain records as indicated below to be given to the Budget Operations Assistants (BOAs) for final labeling.

Principal Financial Analysts (PFAs) are responsible for collecting, printing and organizing certain records as indicated below to be given to the Budget Operations Assistants (BOAs) for final labeling.

Budget Operations Assistants (BOAs) are responsible for completing the SCANNER Form for documents listed below and packaging documents for pick-up and entry into the web-based system.
**Procedures**

For each document type listed below, the Responsible Personnel will deliver the document to the BOA who will be responsible for completing the appropriate SCANNER form (except where noted) and packaging each discreet record packet for shipment and entry into the digital document storage system.

<table>
<thead>
<tr>
<th>DOCUMENT TYPE</th>
<th>RESPONSIBLE PERSONNEL</th>
<th>ACTIONS TAKEN</th>
<th>Doc. Package Contents</th>
<th>FREQUENCY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Semi-Annual Time Certification (CERTS) and TPERs</td>
<td>GCM Collects / BOAs complete SCANNER Form</td>
<td>Collect copies of the fully executed CERT and accompanying TPER from each School/Office/Grant overseen. Print paper copy of CERT if it is electronically signed. Make sure the location number and grant name (cost objective) are complete on the CERT. Deliver as a single packet to BOA for processing.</td>
<td>One Semi-Annual Cert and TPER per package/ form.</td>
<td>Semi-Annually</td>
</tr>
<tr>
<td>PAR Form</td>
<td>GCM Collects / BOAs completes SCANNER Form</td>
<td>Collect copies of signed PAR forms from each school/office monitored during monthly monitoring visits. Complete a SCANNER Form for each office / Org separated by fund code of the federal (non-operating) grant funding salary. Deliver completed SCANNER form and document packet to the BOA for packing and shipping.</td>
<td>All PAR forms for all employees in a given organization by fund and semester (Pay period 1-13 or pay period 14-26) per package/form.</td>
<td>Collected semi-annually, packaged for scanning</td>
</tr>
<tr>
<td>Grant Quotation Form</td>
<td>GCM Prints form / BOA completes SCANNER form</td>
<td>Print copies of signed grant quote form that must indicate Adv. Doc. No. and ABC Code. Deliver to BOA for processing.</td>
<td>One GQF per package/form. BOA to verify Adv. Doc. and ABC Code present</td>
<td>As processed</td>
</tr>
<tr>
<td>DOCUMENT TYPE</td>
<td>RESPONSIBLE PERSONNEL</td>
<td>ACTIONS TAKEN</td>
<td>Doc. Package Contents</td>
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</tr>
<tr>
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</tr>
<tr>
<td>Meal Request Form (MRF) and accompanying documentation</td>
<td>GCM provides documentation / BOA completes SCANNER form</td>
<td>Collect copies of fully-executed meal request form (including the post event approval section filled in) along with event flier/agenda, participant sign-in, RSVPs and food payment documents (PVs) as processed. Deliver packet to BOA for processing. If method of payment is an SEH-195 reimbursement form, see below.</td>
<td>1 MRF and supporting documentation per package/ form.</td>
<td>As processed</td>
</tr>
<tr>
<td>SEH-195 (non-travel) Reimbursement Form and accompanying documents</td>
<td>GCM provides documentation / BOA completes SCANNER form</td>
<td>Deliver a Compliance approved copy of SEH-195 grant reimbursement with supporting documentation (copies of receipts, agendas, participant sign ins, etc.) to BOA for processing.</td>
<td>1 SEH-195 and backup documentation per package/ form.</td>
<td>As processed</td>
</tr>
<tr>
<td>SEH-195/ SEH-194 (Travel reimbursement)</td>
<td>GCM provides documentation / BOA completes SCANNER form</td>
<td>Deliver a Compliance approved copy of SEH-194 pre-approval and SEH-195 grant reimbursement with supporting documentation (copies of receipts, conference information, proof of attendance, etc.) to BOA for processing.</td>
<td>1 SEH-194 and 195 and backup documentation per package/ form.</td>
<td>As processed</td>
</tr>
<tr>
<td>Incentive Documentation</td>
<td>GCM provides documentation / BOA completes SCANNER form</td>
<td>Collect copy of incentive plan and all related evidence and documentation and give packet to BOA for processing.</td>
<td>1 incentive plan with distribution evidence/ documentation per package/ form</td>
<td>As processed</td>
</tr>
<tr>
<td>Subgrantee Determination Form and related documentation</td>
<td>Chief / Deputy Chief provides documentation to BOA for scanning</td>
<td>Print fully-executed copy of the Subgrantee Determination Form (signed by Chief or Deputy) and printout of Resolution from the system and deliver to BOA for processing.</td>
<td>1 SDT form and Resolution per package/ form.</td>
<td>As processed</td>
</tr>
<tr>
<td>DOCUMENT TYPE</td>
<td>RESPONSIBLE PERSONNEL</td>
<td>ACTIONS TAKEN</td>
<td>Doc. Package Contents</td>
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</tr>
<tr>
<td>Subgrantee Monitoring Form</td>
<td>GCM provides documentation / BOA completes SCANNER form</td>
<td>Collect Subgrantee Monitoring Forms at the end of each fiscal year and deliver forms to BOA for processing.</td>
<td>1 Subgrantee Monitoring Form per package/ form.</td>
<td>Annually</td>
</tr>
<tr>
<td>Compliance Monitoring Form</td>
<td>GCM provides documentation / BOA completes SCANNER form</td>
<td>Print complete compliance monitoring form for each School/Office/Grant at the end of each fiscal year after final records retention check and deliver printed copy to BOA for processing.</td>
<td>1 Monitoring form per grant per school/office per package/ form.</td>
<td>Annually or as grants close</td>
</tr>
<tr>
<td>EH-81 (student trip list) and accompanying documents</td>
<td>GCM provides documentation / BOA completes SCANNER form</td>
<td>Deliver copy of EH-81 student list and accompanying documents related to grant-funded trip to BOA as a packet for processing.</td>
<td>1 EH-81 and accompanying documents per package/ form.</td>
<td>As processed</td>
</tr>
<tr>
<td>PD/EC Attendance Logs and accompanying documents</td>
<td>BOA</td>
<td>Upon entering hours into Payroll system, BOA will print copies of each associated CPER/PPER screen and copies of PD/EC Attendance Logs, PD/EC approval form and Student Sign-in Sheets or PD Agenda (as appropriate) for each event. The BOA will then complete a SCANNER Form for the package.</td>
<td>1 set of PD/EC attendance logs and accompanying sign-ins/agendas and PPER printouts per package / form</td>
<td>As processed</td>
</tr>
<tr>
<td>Grant Budget Amendment Form</td>
<td>GBA provides documentation / BOA completes SCANNER form</td>
<td>Forwards fully-executed Amendment Form and backup documentation (screen shots, grantor amendment approval, etc.) to BOA for processing</td>
<td>One amendment form and backup documentation per package/ form.</td>
<td>As processed</td>
</tr>
<tr>
<td>DOCUMENT TYPE</td>
<td>RESPONSIBLE PERSONNEL</td>
<td>ACTIONS TAKEN</td>
<td>Doc. Package Contents</td>
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</tr>
<tr>
<td>----------------------------------------</td>
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</tr>
<tr>
<td>JV Approval Form and accompanying documentation</td>
<td>PFA</td>
<td>PFA will deliver fully-executed JV Approval form and any accompanying documentation from to GFS BOA. GBA will print a copy of the crystal or advantage screen shot showing the JV posted correctly to GFS BOA. GFS BOA will deliver complete package to GCO BOA who will complete SCANNER form for the package once complete.</td>
<td>1 JV Approval form and accompanying documentation per package/ form.</td>
<td>As processed</td>
</tr>
<tr>
<td></td>
<td>GBA/ GFS / GCO BOAs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Match Documentation</td>
<td>PFA provides documentation / BOA completes SCANNER form</td>
<td>Will print copies of all match documentation and deliver to BOA for processing.</td>
<td>1 grant per quarter per package/ form.</td>
<td>Quarterly</td>
</tr>
<tr>
<td>SRC Resolution Approval Form</td>
<td>Chief provides form / BOA completes SCANNER form</td>
<td><strong>Fully executed form that contains the SRC Resolution System Number for audit trail printed and scanned.</strong> <em>When resolution relates to in-kind/service donations or other resolutions that do not align to a grant fund code, the default code of 1100 (Operating) and the organization number of the sponsoring organization will be used on the SCANNER form.</em></td>
<td>1 SRC Resolution Approval Form per SCANNER form</td>
<td>As processed</td>
</tr>
<tr>
<td>ARCHIVE</td>
<td>Various</td>
<td>To contain various documentation not otherwise categorized</td>
<td>Miscellaneous</td>
<td>As appropriate</td>
</tr>
</tbody>
</table>

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SAMPLE SCANNER FORM

Document Type (please check one)

- [ ] Semi-Annual Certs
- [ ] PAR Forms
- [ ] PD-EC Attendance Log
- [ ] Budget Amendment - Documentation
- [ ] JV Approval Form
- [ ] Grant Quotation Form
- [ ] Incentive Documentation
- [ ] Meal Request Form - Docs
- [ ] Match Documentation
- [ ] Subgrantee Monitoring Forms
- [ ] Compliance Monitoring Forms
- [ ] EH-81
- [ ] SEH-195
- [ ] Subgrantee Determination & Related
- [ ] Archive

FUND #: ________________________________

FUND NAME: ________________________________

ORG CODE: ________________________________

ORG NAME: ________________________________

FISCAL YEAR: ________________________________

BOX #: ________________________________

Contents
The SCANNER Form must be legibly completed and matched up with the appropriate document and placed in the box for pickup by the outside vendor. The elements to be completed by the BOA are as follows:

- Fund Number – Identify the four digit ABC Fund Code for the dominant federal grant associated with the record.
- Fund Name – Identify the common name of the grant associated with the fund number.
- Org Code – Identify the four digit organization number of the school or office most directly charged with managing the aspect of the grant the record is related to.
- Org Name – Identify the name of the school or office associated with the above org number.
- Fiscal Year – Identify the fiscal year from which the expenditures were made or the transaction occurred.
- Box Number – To be filled in by the BOAs. Increasing numerically as boxes fill with various types of similar documents.

Definitions
Records are information, regardless of physical form or characteristics, that document a transaction or activity of the District and that is created, received or retained pursuant to law or in connection with a transaction, business or activity of the District. The term includes a document, paper, letter, information stored or maintained electronically and a data-processed or image-processed document.

Policy
- **GP1400: Documentation and Record Retention**

Forms
- “SCANNER” Form (System for Capturing And Now Naming Electronic Records)

Contacts
The following people are primary contacts regarding this procedure:
- **Grant Compliance Office**
- **Records Management Office**
Frequently Asked Questions

Related Information

- SRC Policy 800 Records Management
- District’s Records Center User Guide
- District’s Administrative Records Retention Schedule

History

Amended:

- Amended on 10/24/13 to include reference to the OGDC scanned document database of key compliance files.
- Amended on 4/29/2015 to make technical adjustments.