Personnel File Document Flow

Planning your unique document flow is helpful when considering how personnel file documents will be received, scanned and monitored for quality. We have included some examples of personnel file document flow processes in the slides that follow.

Please plan to develop a personnel file document flow diagram to document the process within your division. When mapping out this process, it is important to consider existing processes/structures and how they will be incorporated into the new processes for handling personnel file documentation. Most aspects of the document flow and quality monitoring should be designed to meet the needs of your division/school/college.

Your personnel file document flow diagram can also very useful as a resource and when training staff involved in personnel file imaging, and should be updated when changes to your process occur.

Note: You can download the flow charts in an editable format at: go.wisc.edu/121964

College of Engineering

<u>Overview - Engineering HR Personnel File Document Flow</u>

About Engineering HR: Engineering is a decentralized HR department serving the division administration as well as the 9 academic departments. There are additional staff located in the departments that provide HR services to their departments directly. Engineering HR oversees entry into the personnel file for all documents from the departments. Departments are able to scan PDF documents into their department faculty and staff personnel files. Engineering Divisional HR oversees entry in the personnel file for all faculty and staff.

How Engineering HR receives documents: The documents received are in either electronic format (e.g. PDF, Word, etc.) or hardcopy. Engineering HR continues to receive both electronic and hardcopy documents with an increasing number of electronic documents received from our units and departments.

College of Engineering

Hardcopy Documents

Dean's Office or Department HR receives a document

E-documents

HR receives/creates e-document and begins next step

Document saved to shared drive folder

Document forwarded to HR student

- Engineering HR staff will scan/link documents in ImageNow OR route to HR student. Route hardcopy OR edocument to HR student (not both).
- HR students will check shared drive as part of normal routine.
- NOTE: Imaging is <u>NOT</u> used for P&B, medical, or other non-personnel file documents.

Engineering HR staff review document for completeness

- Hardcopy documents should be corrected before continuing.
- E-documents should be corrected and scanned again, ensuring all parties have an updated copy.

Capture document & save to Workflow Queue; then route to QA Queue

 Reference P-file Imaging Procedures & Document Crosswalk for assistance.

Review doc in QA Queue

Not OK

ОК

Review QA Queue 10 Days, then autocomplete

- HR Director or HR Managers will audit this queue and review documents with notes.
- Documents will be routed back to QA or completed.

Complete!

- Print document, if needed, and check upper right to indicate imaging complete.
- File document in cabinet.

Correction on document needed

- Print & make corrections/ delete from QA
- · Signature needed
- Date needed

Respond to questions

- Document type
- Index key value
 - Make notation in "Notes" field with question (or ask).
 - Email HR Assistant, Director, or HR Manager to let them know you've placed a document with a note in the Review Queue.

Division of Information Technology

Overview - DolT HR Personnel File Document Flow

About DolT HR: DolT Human Resources is a centralized HR department serving the division and does not have additional HR staff located within departments.

How DolT HR receives documents: DolT HR receives hard copy and electronic documents from division employees, managers, etc. The division is decreasing the amount of hardcopy documents generated and will be increasing the number of files received electronically as PDFs and from other electronic systems (e.g. Performance Management).

Division of Information Technology

Hardcopy Documents

DolT HR receives/creates a hardcopy document

E-documents

DoIT HR receives/creates e-document and begins next step

Document Saved to Shared Drive

Folder-N:\DoIT\HR\DoIT.DoIT HR\HR
Team\Scanned Documents\To Be Filed
(Electronic P-files)

Document emailed to DoIT HR student account

- DolT HR staff will scan/link documents in ImageNow OR route to HR student.
 Route hard copy OR e-doc to HR Student (not both).
- HR Students will check student email and shared drive as part of normal routine.
- NOTE: Imaging is <u>NOT</u> used for: P&B, Medical, or other non-personnel file documents at this time.

DoIT HR staff review doc for completeness

- Hardcopy documents should be corrected before continuing.
- E-documents should be corrected and scanned again, ensuring all parties have an updated copy.

Capture document & save to Workflow Queue; then route to QA Queue

 Reference P-File Imaging Procedures & Document Crosswalk for assistance.

Review doc in QA Queue

Not OK

ОК

Review Queue 10 Days, then autocomplete

- HR Assistant Director or HR Director will audit this queue and review documents with notes.
- Documents will be routed back to QA or completed.

Complete!

- Print document, if needed, and check upper right to indicate imaging complete.
- File document in cabinet.

Correction on document needed

- Print & make corrections/ delete from QA
- Signature needed
- Date needed

Question for HR Assistant Director

- Document type
- Index key value
 - Make notation in "Notes" field with question (or ask).
 - Email HR Assistant Director or HR Director to let them know you've placed a document with a note in the Review Queue.

Office of the Vice Chancellor for Research and Graduate Education

Overview - OVCRGE HR Personnel File Document Flow

About OVCGRE HR: OVCRGE is a decentralized HR department serving the division administration as well as the 17 research centers (departments) that are included in OVCRGE. There are additional staff located in the research centers (departments) that serve provide HR services to their research centers (departments) directly. OVCRGE HR receives and ensures entry into the personnel file for all documents from the research centers (departments). OVCRGE HR creates and ensures entry in the personnel file for all OVCRGE administration and Graduate School staff.

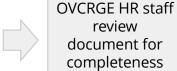
How OVCRGE HR receives documents: The documents are received in either electronic format (e.g. PDF, Word, etc.) or hardcopy. OVCRGE HR continues to receive both electronic and hardcopy documents with an increasing number of electronic documents received from the research centers (departments).

Office of the Vice Chancellor for Research and Graduate Education

Hardcopy Documents

OVCRGE HR
receives/creates a
hardcopy document and
puts document in the "to
be scanned" bin

E-documents



Hardcopy

continuing.

copy.

documents should be corrected before

E-documents should

ensuring all parties

have an updated

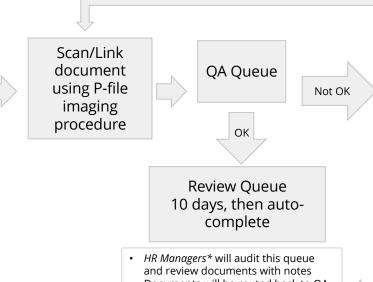
be corrected and

scanned again,

OVCRGE receives/creates e-document and saves document in the Shared Drive folder –

S:\HR\Scanned P-File Docs to be Filed

- OVCRGE-HR staff have the ability to scan/link documents in ImageNow. They can scan/link OR route to HR students. If route to HR students, then hard copy <u>OR</u> e-doc but not both.
- HR Students will check shared drive and "to be scanned" bin as part of normal routine. HR students can not retrieve documents once they have been sent to the Review Queue.
- NOTE: Imaging is <u>NOT</u> used for: Pay & Ben, Medical, or other non-personnel file documents at this time.



Correction on document needed

- Print & make corrections/ delete from OA
- Signature needed
- Date needed

Question for HR Manager

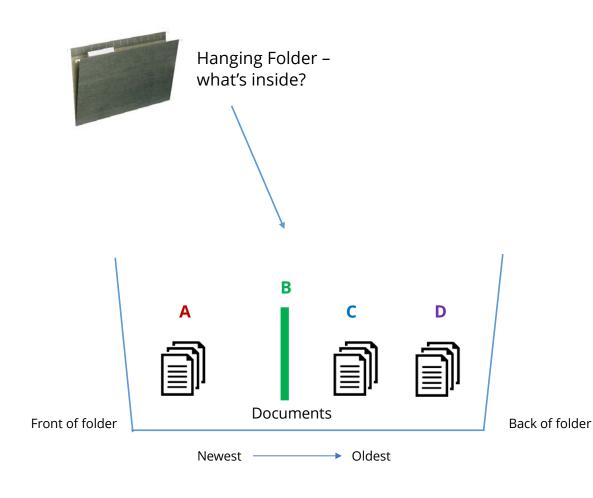
- Document type
- Index key value
- Documents will be routed back to QA Queue or completed
- *At this time the QA Queue will be monitored by Trisha Bauer. Eventually, this will be monitored by all HR managers

- Make notation in "Notes" field with question (or ask)
- Email HR manager to let them know you've placed a document with a note in the Review Queue

Complete!

- Print document, if needed, and check upper right corner to indicate imaging complete.
- File document in paper personnel file and/or payroll binder. If unable to file right away, put document in to-be-filed bin. To be determined when no longer maintaining duplicate paper personnel file.
- Delete e-document from shared directory once scan is complete.

Office of the Vice Chancellor for Research and Graduate Education P-File organization while scanning



- A = Scanned documents keep documents that are already scanned in ImageNow in the front of the folder
- **B** = Place a colored sheet / sticky note behind documents that have already been scanned to separate them from unscanned documents
- **C** = Unscanned documents to be processed in ImageNow
- **D** = Insert containing documents that should not be scanned (i.e. insurance forms, TSA documents, w4, etc.) stays behind all required P-File documents.

Notes:

- Keep all documents in time/date order documents will be oldest in the back and newest in the front
- Once documents have been scanned a (√) checkmark will be added to document in upper right corner

School of Medicine and Public Health

Overview - SMPH HR Personnel File Document Flow

School of Medicine and Public Health

Hardcopy Documents

SMPH HR business partner receives/creates a hardcopy document

E-documents

SMPH HR business partner receives/creates e-document

Document saved to shared drive (Electronic P-files folder) SMPH HR business partner reviews doc for completeness

- Hardcopy documents should be corrected before continuing.
- E-documents should be corrected and scanned again.

SMPH HR
Business partner
scans
documents in
ImageNow OR
routes to HR
student

SMPH HR business partner or HR student captures doc and saves to Workflow Queue

HR Operations reviews doc in QA Queue

OK

Recapture modified doc & save to Workflow Queue

If necessary, print and make corrections delete from QA Not OK

Document is

either complete

or routed back to

Complete!

Review Queue within 10 Days – auto-complete