

University of Washington General Records Retention Schedule



Revision 12
September 2011

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UW-GS 1 Committees, Councils, Associations and Boards

Ballots for Committee Selection: A record of the selection of members of a committee or representative for a specific position.

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Official Copy: Any Office

Retention: 1 year after votes counted

Disposition Method: Shred or Delete

Board of Regents: A record of actions taken and decisions made by the UW Board of Regents. Includes agendas, minutes, reports, correspondence, etc.

Official Copy: Board of Regents

Retention: 6 years after end of calendar year

Disposition Method: Transfer to Archives

Other Copy: College/School or Department

Retention: 3 years after end of calendar year

Disposition Method: Recycle or Delete

Committees/Councils/Teams -- External (Outside UW): A record of actions and decisions of committees, councils, etc., that are not sponsored by the UW but have UW representation because the work of the committee may effect the UW. Includes minutes, agendas, notes, reports, etc. Does not include professional organizations.

Official Copy: Any Office

Retention: 6 years after end of calendar year

Disposition Method: Transfer to Archives for review

Committees/Councils/Teams -- Internal (Within UW): A record of actions and decisions of UW-sponsored committees, councils and similar groups. Typically include minutes, agendas, notes, reports, etc.

Official Copy: Any Office

Retention: 6 years after end of calendar year

Disposition Method: Transfer to Archives for review

General Faculty Organization Meetings: A record of actions and decisions of the General Faculty Organization. Includes agendas, minutes, reports, correspondence, etc.

Official Copy: UWT: General Faculty Organization

Retention: 6 years after end of academic year

Disposition Method: Transfer to Archives

Official Copy: UWB: General Faculty Organization

Retention: 6 years after end of academic year

Disposition Method: Transfer to Archives

Other Copy: College/School or Department
Retention: 3 years after end of academic year
Disposition Method: Recycle or Delete

Search Committees for Deans and Directors: A record of committee procedures and decisions in the recruitment for a Dean or Director position. May include list of committee members, correspondence regarding planning for the search, the development of criteria for the selection of a candidate, job/position description, etc. Does not include materials submitted by an applicant.

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Official Copy: Any Office
Retention: 10 years after end of search
Disposition Method: Transfer to Archives for review

Search Committees for Faculty and Chairpersons: A record of committee procedures and decisions in the recruitment for a faculty or Chair position. May include list of committee members, correspondence regarding planning for the search, the development of criteria for the selection of a candidate, job/position description, etc.

Official Copy: Any Office
Retention: 6 years after end of search
Disposition Method: Shred or Delete

Staff and Faculty Meetings: A record of the decisions and actions taken at staff and/or faculty meetings or retreats. May include notes, minutes, or working papers.

Official Copy: Any Office
Retention: 6 years after end of calendar year
Disposition Method: Transfer to Archives for review

University Committee Meetings: A record of actions and decisions of University Committees. Includes agendas, minutes, reports, correspondence of executive committee meetings, faculty council and other committee meetings, etc.

Official Copy: University Committees
Retention: 6 years after end of academic years
Disposition Method: Transfer to Archives

Other Copy: College/School or Department
Retention: 3 years after the end of the academic year
Disposition Method: Recycle or Delete

UW-GS 2 Environmental Health & Safety/Facilities Services Records

Accident/Incident Reports: Form which reports incidents and accidents regarding employees and visitors in and around the University. Use of this form initiates the investigation/review process needed to improve workplace safety and health.

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Official Copy: Environmental Health and Safety: Occupational Health and Safety Office

Retention: 10 years after end of calendar year

Disposition Method: Shred or Delete

Other Copy: Any Office

Retention: 3 years after end of calendar year

Disposition Method: Shred or Delete

Other Copy: UWB: Administrative Services

Retention: 3 years after end of calendar year

Disposition Method: Shred or Delete

Administrative Records for Controlled Substances/Alcohol Testing: This series provides a record of the program administrative records relating to the Controlled Substances/Alcohol Testing process. May include agreements with testing facilities, testing policy and procedures, etc. See 49 CFR 382.401 for retention requirements.

Official Copy: Any Office

Retention: 6 years after end of calendar year

Disposition Method: Shred or Delete

Air Quality Sampling Files: Record of air sampling and evaluations for the presence of air contaminants to identify if employee(s) has (have) been exposed to toxic substances. Results are sent to offices for corrective actions.

Official Copy: Environmental Health & Safety: Occupational Health and Safety

Retention: 70 years after end of calendar year

Disposition Method: Shred or Delete

Other Copy: Any Office/Lab

Retention: 6 years after corrective action taken

Disposition Method: Shred or Delete

Ballots for Safety Committee Selection: This series provides a record of nominations and elections for Health and Safety Committees. may include announcements about nominations, nominations, sample ballots, voting/balloting instructions, ballots, and election result posting. Required as per WAC 296-800-13020(1).

Official Copy: Any Office

Retention: 2 years after Election Concluded

Disposition Method: Shred or Delete

Building Files: A record of space renovation, capital projects and other improvements to department facilities. Includes Environmental Impact Statement.

Official Copy: Facilities Services/Capital Projects/Capital & Space Planning Office

Retention: varies (refer to Department schedules)

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Other Copy: Any Office

Retention: 3 years after end of calendar year

Disposition Method: Recycle or Delete

Building Hour Modification Requests: A record of a department's request to change the posted building hours.

Official Copy: Building Coordinator

Retention: until superseded by new building hours

Disposition Method: Recycle or Delete

Official Copy: UWB: Facility Services

Retention: until superseded by new building hours

Disposition Method: Recycle or Delete

Building Security Survey Reports: Periodic reports of surveys of UW facilities sent to Building Coordinators. Reports are used by departments to update/enhance security measures for their facilities.

Official Copy: UW Police

Retention: administrative purpose served

Disposition Method: Shred or Delete

Other Copy: Building Coordinator

Retention: 2 years after end of calendar year

Disposition Method: Shred or Delete

Building Sweep Reports: A record of routine walk-throughs of a facility which report any problems discovered.

Official Copy: UW Police

Retention: administrative purpose served

Disposition Method: Shred or Delete

Other Copy: Building Coordinator

Retention: 1 year after end of calendar year

Disposition Method: Shred or Delete

Building Use Permits: A record of authorization from a Dean or department head for an individual to access a building or portion of a building. Required for students, temporary staff or temporary faculty using a building after normal working hours, as well as for some permanent faculty or staff accessing sensitive research areas.

Official Copy: Dean/Department head
Retention: 1 year after permit expires
Disposition Method: Recycle or Delete

Other Copy: User
Retention: until permit expires
Disposition Method: Recycle or Delete

Building Use Permit Authorization Lists: A record of the names of employees authorized to sign Building Use Permits.

Official Copy: UW Police
Retention: until superseded
Disposition Method: Recycle or Delete

Other Copy: Building Coordinators
Retention: until superseded
Disposition Method: Recycle or Delete

Chemical Hygiene Plan - Laboratory Specific: Documentation of safety measures implemented in labs to ensure protection of employees against chemical exposure. The lab specific plan is part of the overall Lab Safety Manual.

Official Copy: Any Lab
Retention: 6 years after superseded
Disposition Method: Transfer to Archives

Chemical Inventories: Record of chemicals in use at facilities, labs or departments. Inventories reveal where and when a chemical was stored as well as the identity of all toxic substances or harmful physical agents.

Official Copy: Environmental Health & Safety: Environmental Programs Office
Retention: 30 years after end of year or end of use of chemical
Disposition Method: Shred or Delete

Other Copy: Any Office/Lab (Hardcopy)
Retention: 1 year after superseded or office/lab closed
Disposition Method: Shred or Delete

Chemical Treatment Log: This series documents the discharge of treated chemicals into the sewer system.

Official Copy: Any Lab
Retention: 3 years after Calendar Year
Disposition Method: Shred or Delete

Controlled Substances/Alcohol Test Results – Negative Results or Cancelled Tests: This series provides a record of negative or cancelled controlled substances test results and alcohol test results, with

a concentration of less than 0.02, for employees with a Commercial Driver's License. See 49 CFR 382.401 for retention requirements.

Official Copy: Any Office

Retention: 1 year after end of calendar year

Disposition Method: Shred or Delete

Controlled Substances/Alcohol Test Results – Positive Results or Refusal to take the Test: This series provides a record of positive test results for Commercial Driver's License employees who took tests for controlled substances and alcohol misuse or of an employee's refusal to take the test. May include employer's copy of the controlled substance test chain of custody and control form, alcohol test form and results, previous employer background screen results if negative, etc. See 49 CFR 382.401 for retention requirements.

Official Copy: Any Office

Retention: 6 years after end of calendar year

Disposition Method: Shred or Delete

Controlled Substances/Alcohol Testing Collection Records: This series provides a record of the collection process regarding administering tests of employees with a Commercial Driver's License for controlled substances and alcohol misuse. May include collection logbooks, documents relating to the random selection process, and decision to administer post-accident tests or reasonable suspicions, etc. See 49 CFR 382.401 for retention requirements.

Official Copy: Any Office

Retention: 6 years after end of calendar year

Disposition Method: Shred or Delete

Departmental Health and Safety Manual: Department specific plan regarding health and safety concerns and the prevention of accidents. Also includes the emergency evacuation and operations plan. May include the Accident Prevention Plan, Hazardous Activity Workplan, Hazardous Assessment for Personal Protective Equipment or Job Safety Analysis.

Official Copy: Any Office

Retention: 6 years after superseded or updated

Disposition Method: Transfer to Archives for review

Disposal of Radioactive Waste - Form 160: Form sent to Radiation Safety from a lab indicating that a radioisotope is no longer in a usable form as well as its method of disposal. Data is removed from database when form is submitted to Radiation Safety.

Official Copy: Any Lab

Retention: 3 years after Copy is sent to Radiation Safety

Disposition Method: Shred or Delete

Other Copy: Environmental Health and Safety: Radiation Safety Office

Retention: 3 years after Database dump from Radiation Safety database

Disposition Method: Shred or Delete

Education and Training Records for Controlled Substances and Alcohol Misuse: This series provides a record of supervisors who conduct controlled substance and alcohol training sessions and Commercial Driver's License employees who attend the training. Includes driver's signed receipt of the education materials, policies and supervisor training. See 49 CFR 382.401 for retention requirements.

Official Copy: Any Office

Retention: 6 years after Cessation of Duties

Disposition Method: Shred or Delete

Facility Management Services, Requests for (Work Orders): A record of requests by departments for services of Maintenance and Alterations.

Official Copy: Facilities Services: Maintenance and Alterations

Retention: 1 year after entry into database

Disposition Method: Recycle or Delete

Official Copy: UWB: Facility Services

Retention: 1 year after entry into database

Disposition Method: Recycle or Delete

Other Copy: Any Office

Retention: 2 years after end of biennium

Disposition Method: Recycle or Delete

Fire Drill Report: This series provides a record that a fire drill was performed within a building.

Official Copy: Environmental Health and Safety: Building and Fire Safety Office

Retention: 6 years after entry into database

Disposition Method: Recycle

Other Copy: Any Office

Retention: 1 year after end of calendar year

Disposition Method: Shred

Fire Investigation Reports: Final report of fire investigations at UW buildings.

Official Copy: Environmental Health and Safety: Building and Fire Safety Office

Retention: 6 years after completion of investigation

Disposition Method: Shred or Delete

Other Copy: Any Office

Retention: until completion of investigation

Disposition Method: Shred or Delete

Fire Permits: A record of permits issued by the Seattle Fire Department to a facility allowing the conduct of activities which may present a fire hazard.

Official Copy: Any Office
Retention: 6 years after expiration of permit
Disposition Method: Recycle or Delete

Fleet Services -- Overnight Vehicle Use Authorization: Provides record of authorization, through written request or by email, for overnight use of Motor Pool vehicle by UW employee.

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Official Copy: Property and Transport Services: Fleet Services
Retention: 6 years after end of calendar year
Disposition Method: Recycle or Delete

Official Copy: UWB: Facility Services
Retention: 6 years after end of calendar year
Disposition Method: Recycle or Delete

Official Copy: UWT: Facility Services: Motor Pool
Retention: 6 years after termination of rental agreement
Disposition Method: Recycle or Delete

Other Copy: Any Office
Retention: 3 years after end of calendar year
Disposition Method: Recycle or Delete

General/Industrial Hygiene Sampling records: Documents Occupational Health and Safety sampling and evaluation for the presence of chemicals or physical agents to ensure employee exposure to substances are within mandated limits.

Official Copy: Environmental Health and Safety: Occupational Health and Safety Office
Retention: 70 years after end of calendar year
Disposition Method: Shred or Delete

Other Copy: Any Office/Lab
Retention: 6 years after end of calendar year
Disposition Method: Shred or Delete

Hazardous Activity Workplan: Workplan for jobs which include hazardous activities. Includes information on training, protection reporting, etc. May be included as part of the Departmental Health and Safety Manual.

Official Copy: Any Office/Lab
Retention: 6 years after superseded
Disposition Method: Transfer to Archives for review

Hazardous Assessment for Personal Protective Equipment: Assessment of workplace for hazards that might require the use of personal protective equipment. Includes regulations, degree of hazard and the engineering or administrative controls in place to identify what Personal Protective Equipment is needed. May be included as part of the Hazardous Activity Workplan or Departmental Health and Safety Manual or filed separately.

Official Copy: Any Office/Lab
Retention: 6 years after superseded
Disposition Method: Recycle or Delete

Hazardous Waste Collection Request Form: A record of a department's request for collection of hazardous materials/waste by the Environmental Programs Office. Request may be for routine or one-time only pick-up.

Official Copy: Environmental Health and Safety: Environmental Programs Office
Retention: 6 years after end of calendar year or generator inactive
Disposition Method: Recycle or Delete

Other Copy: College/School/Department or Lab
Retention: 1 year after date of collection
Disposition Method: Recycle or Delete

Hazardous Waste Tracking Records: Records produced to track the generation, shipping and disposal of hazardous and dangerous waste (including PCB). Includes shipping manifests, annual waste reports, exception reports, dangerous waste notification and hazardous waste notification.

Official Copy: Environmental Health and Safety: Environmental Programs Office
Retention: see department schedule for retention period

Other Copy: Any Off-campus Facility
Retention: 5 years after site no longer generates hazardous or dangerous waste
Disposition Method: Shred or Delete

Inspection Records - Hazardous Materials and Waste Management: Record of inspections of containers containing hazardous waste at UW facilities or entire facility to ensure compliance with Environmental Health and Safety regulations, policies and procedures. Includes Washington Department of Ecology inspections.

Official Copy: Environmental Health and Safety: Environmental Programs Office
Retention: 6 years after end of calendar year
Disposition Method: Shred or Delete

Other Copy: Any Off-Campus Facility or HazMat Storage Area
Retention: 5 years after last inspection or corrective action taken, whichever is longer
Disposition Method: Shred or Delete

Inspection Records - Internal Safety Inspections: Internal inspections/surveys to ensure office compliance with Environmental Health and Safety policies and procedures. Can be in the form of a checklist or department designed form. Includes request to Environmental Health and Safety for corrective action. *See Survey Records - Radiation Safety for labs using radioactive material*

Official Copy: Any Office/Lab
Retention: 2 years after last inspection or corrective action taken, whichever is longer
Disposition Method: Shred or Delete

Inspection Reports - Prevention and Assessment: Environmental Health and Safety Assessment team survey and inspections of building and labs for problems or violations of Environmental Health and Safety procedures, guidelines or regulations. Includes fire safety inspections, food services, water quality, eyewash/safety showers, fume hoods and biological cabinets.

Official Copy: Environmental Health and Safety: Building and Fire Safety Office
Retention: 6 years after last inspection or calendar year (depending on type of inspection)
Disposition Method: Shred or Delete

Other Copy: Any Office/Lab
Retention: 2 years after last inspection or corrective action taken, whichever is longer
Disposition Method: Shred or Delete

Inspection Records - Radiation Safety: Inspections of labs by Radiation Safety Office for problems or violations of Environmental Health and Safety Radiation Safety policies, procedures or guidelines.

Official Copy: Environmental Health and Safety: Radiation Safety Office
Retention: 30 years after end of calendar year
Disposition Method: Shred or Delete

Other Copy: Any Lab
Retention: 3 years after last inspection or corrective action taken, whichever is longer
Disposition Method: Shred or Delete

Job Safety Analysis: Analysis of job for safety precautions and/or regulations. The analysis identifies the need for Personal Protective Equipment Assessment and Training. This document may be included as part of the Departmental Health and Safety Manual.

Official Copy: Any Office/Lab
Retention: until superseded
Disposition Method: Recycle or Delete

Key Records: A record of building keys, door keys, and equipment keys issued to individuals. May include various Key Request forms, Special Keying/Security Request form, Key Request Authorization memos, departmental key authorization memos, Individual Key Record forms, etc.

Official Copy: Facilities Services: Lock Shop
Retention: 1 year after end of calendar year
Disposition Method: Recycle or Delete

Official Copy: Any Office - Individual Key Record forms; Key Authorization memos, which may be internal within a department, etc.
Retention: until superseded by new lock or keyholder
Disposition Method: Recycle or Delete

Official Copy: UWB: Public Safety
Retention: 1 year after end of calendar year
Disposition Method: Recycle or Delete

Other Copy: Any Office - pink and yellow copies of Key Requests
Retention: until key is received from Facilities Services: Lock Shop
Disposition Method: Recycle or Delete

Labor and Industries Compliance Inspection Reports: Inspection of offices or labs to ensure compliance with Washington State Industrial Safety and Health Administration (WISHA) regulations, policies and procedures.

Official Copy: Environmental Health and Safety: Occupational Health and Safety Office
Retention: 10 years after corrective action taken
Disposition Method: Shred or Delete

Other Copy: Any Office/Lab
Retention: 2 years after last inspection or corrective action taken, whichever is longer
Disposition Method: Shred or Delete

Long-Term Rental Request Form (for Fleet Services Vehicles): A record of requests for extended/long-term rental of a Fleet Services vehicle. May include supporting documentation, correspondence, etc. (*For short-term rentals -- see [Rental Agreements \(for Fleet Services Vehicles\)](#)*)

Official Copy: Property and Transport Services: Fleet Services
Retention: 6 years after termination of rental agreement, or request denied, or request withdrawn
Disposition Method: Shred or Delete

Official Copy: UWB: Facility Services
Retention: 6 years after termination of rental agreement, or request denied, or request withdrawn
Disposition Method: Shred or Delete

Other Copy: Any Office
Retention: 3 years after termination of rental agreement, or request denied, or request withdrawn
Disposition Method: Recycle or Delete

Material Safety Data Sheets (MSDS): Manufacturer's guide to potential hazards of, and protection methods for, each chemical purchased. Maintained as part of the MyChem.

Official Copy: Environmental Health and Safety: MyChem
Retention: 1 year after end of chemical use
Disposition Method: Recycle or Delete

Other Copy: Any Office/Lab (Hardcopy)
Retention: until superseded or end of use of chemical in office/lab, whichever is longer
Disposition Method: Recycle or Delete

Monthly Dosimetry Reports: Monthly reports of the processing of dosimetry badges which measure and record employee's radiation exposure.

Official Copy: Environmental Health and Safety: Radiation Safety Office
Retention: 70 years after end of calendar year
Disposition Method: Shred or Delete

Other Copy: College/School/Department or Lab
Retention: 3 years after end of calendar year
Disposition Method: Shred or Delete

Notice of Improper Hazardous Waste Disposal: Provides record of Custodial Services notification to Building Coordinators of buildings having department(s) which have violated hazardous waste disposal regulations.

Official Copy: Facilities Services: Custodial Services
Retention: 2 years after end of calendar year
Disposition Method: Shred or Delete

Official Copy: UWB: Facility Services
Retention: 2 years after end of calendar year
Disposition Method: Shred or Delete

Other Copy: Any Office
Retention: until proper disposal of waste
Disposition Method: Shred or Delete

Notice of Laboratory Equipment Decontamination (UoW Form 1083): This form informs Facilities Services personnel that the equipment has been cleaned or decontaminated prior to service or removal for surplus.

Official Copy: Any Lab
Retention: 6 years after Service Date or Surplus
Disposition Method: Recycle or Delete

Radiation Equipment Calibration Records: Record of calibration tests performed on instruments. Can be performed by Environmental Health and Safety Radiation Safety or an outside agency.

Official Copy: Environmental Health and Safety: Radiation Safety Office
Retention: 10 years after end of calendar year
Disposition Method: Shred or Delete

Other Office: Any Office
Retention: 3 years after end of calendar year
Disposition Method: Shred or Delete

Radioactive Waste Disposal Logs: Internal logs used by labs to assist in the completion of Form 160. These logs may include Form 150, 159, 170, 176, or others designed by labs and considered an equivalent. *See Disposal of Radioactive Waste - Form 160 for retention of Form 160.*

Official Copy: Any Lab
Retention: 3 years after end of the quarter
Disposition Method: Shred or Delete

Rental Agreements (for Fleet Services Vehicles): Rental agreements for short-term departmental use of a Fleet Services vehicles. *For long-term rentals -- see [Long-Term Rental Request Form \(for Fleet Services vehicles\)](#)*

Official Copy: Property and Transport Services: Fleet Services
Retention: 6 years after termination of rental agreement
Disposition Method: Recycle or Delete

Official Copy: UWB: Facility Services
Retention: 6 years after termination of rental agreement
Disposition Method: Recycle or Delete

Official Copy: UWT: Facility Services: Motor Pool
Retention: 6 years after termination of rental agreement
Disposition Method: Recycle or Delete

Other Copy: Any Office
Retention: 3 years after termination of rental agreement
Disposition Method: Recycle or Delete

Seattle Fire Department Notice of Violation: Notice of violation of fire codes based on Seattle Fire Department inspection. May include documentation on corrective actions.

Official Copy: Environmental Health and Safety: Building and Fire Safety Office
Retention: 6 years after last inspection or calendar year
Disposition Method: Shred or Delete

Other Copy: Any Office/Lab
Retention: 2 years after last inspection or corrective action taken, whichever is longer
Disposition Method: Shred or Delete

Security Codes: Listings of confidential codes or passwords assigned to individuals in a department for access to building security systems, copiers, computer systems, the UWATS long distance telephone system, etc.

Official Copy: Issuing and Receiving Departments
Retention: until administrative purpose is served
Disposition Method: Shred or Delete

Site Specific Safety Affidavits: Affidavits signed by teaching assistants or lab instructors verifying that they have been trained on the use of equipment and chemicals specific to the lab in which they are teaching or working.

Official Copy: Any Office/Lab
Retention: 6 years after termination of employment
Disposition Method: Shred or Delete

State of Washington Vehicle Accident/Collision Report: Provides a record of accidents/collisions involving state owned motor vehicles.

Official Copy: UW Police Department
Retention: 6 years after the end of the calendar year
Disposition Method: Shred or Delete

Official Copy: Property and Transport Services: Fleet Services – for vehicles owned by Fleet Services
Retention: 6 years after the end of the fiscal year
Disposition Method: Shred or Delete

Other Copy: Any Office
Retention: 3 years after the end of the calendar year
Disposition Method: Shred or Delete

Survey Records - Radiation Safety: Survey completed by lab staff in regard to radioactive contamination levels in lab. Survey is completed after each use of radioactive material and on a monthly basis as required by Radiation Safety guidelines.

Official Copy: Any Lab
Retention: 2 years after end of calendar year
Disposition Method: Shred or Delete

Temporary Food Event Form: Permit to have food served at a temporary event. Includes form and notification of approval or denial.

Official Copy: Environmental Health and Safety: Occupational Health and Safety
Retention: 6 years after last inspection
Disposition Method: Recycle or Delete

Other Copy: Any Office
Retention: 3 months after event
Disposition Method: Recycle or Delete

Training Reports: Listing of Environmental Health and Safety training in which departmental employees have participated.

Official Copy: Environmental Health and Safety: Program Support Office
Retention: 10 years after recertification, expiration of training certificate, or termination of employment
Disposition Method: Shred or Delete

Other Copy: Any Office
Retention: 3 years after termination of employment
Disposition Method: Shred or Delete

Van Driver Training for 15 and 12-passenger full size Vans: This series provides a record of training for drivers using 15 and 12- passenger full size vans. Includes signed Valid License to Drive and Driving Experience Statement and Safe Driving Practices Acknowledgement Statement. Required to be maintained by departments as per State Administrative & Accounting Manual 12.60.40.e.

Official Copy: Any Office
Retention: 6 years after Training Completed
Disposition Method: Shred or Delete

Vehicle Files, UW: Provides record of vehicle history for vehicles owned by offices or owned by Fleet Services. Most vehicles are maintained by Fleet Services. May include Fleet Services maintenance and repair history, purchase, title and registration, accidents and manuals accompanying vehicles.

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Official Copy: Vehicles Owned by Property and Transport Services: Fleet Services
Retention: 6 years after vehicle disposition
Disposition Method: Recycle or Delete

Official Copy: Vehicles Owned by Any Office
Retention: 6 years after vehicle disposition
Disposition Method: Recycle or Delete

Official Copy: UWB: Facility Services
Retention: 6 years after vehicle disposition
Disposition Method: Recycle or Delete

Official Copy: UWT: Facility Services: Motor Pool
Retention: 6 years after termination of rental agreement
Disposition Method: Recycle or Delete

Other Copy: Any Office (vehicles leased from Property and Transport Services: Fleet Services)
Retention: 3 years after end of lease
Disposition Method: Recycle or Delete

Voluntary Respirator Use Form: This series provides a record of employees who voluntarily use disposable filtering face-piece respirators.

Official Copy: Any Office
Retention: 6 years after termination of voluntary use
Disposition Method: Shred or Delete

UW-GS 3 Curriculum Records

Accreditation Documentation: Statistical, descriptive and evaluative materials necessary to maintain accreditation for a program, college or school with the professional association which sets the standards for that particular discipline. Materials must have been created specifically for accreditation.

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Official Copy: Dean's or Academic Offices

Retention: 6 years after accreditation, or until superseded by new accreditation, whichever is longer

Disposition Method: Transfer to Archives

Agreements for Programs or Curriculum: A record of program agreements between UW offices and outside agencies. May include the following types of agreements: those that provide/obtain a learning experience for students outside the classroom, e.g., internships, clerkships, clinical practicums, traineeships, etc.; that provide/obtain reduced tuition and preference in admission for WWAMI region (Washington, Wyoming, Alaska, Montana and Idaho) students or students from participating schools in other countries.

Official Copy: Any Office Signing the Agreement

Retention: 6 years after termination of agreement

Disposition Method: Transfer to Archives for review

Conferences, Seminars, Short Courses, Conventions, Institutes: A record of special educational forums presented or sponsored by the UW or held in UW facilities. Includes summer institutes.

Official Copy: Any Office

Retention: 3 years after end of event

Disposition Method: Transfer to Archives for review

Course Comment Sheets: A record of the evaluative comments written by students regarding the content and presentation of a course.

NOTE: After comments are compiled by the Office of Educational Assessment, comment sheets are returned to departments.

Official Copy: Faculty/Academic Departments

Retention: 3 years after end of quarter

Disposition Method: Shred or Delete

Course Evaluation Rating Summaries: Compilations of ratings and comments from individual course evaluation forms.

NOTE: Summaries are compiled by the Office of Educational Assessment.

Official Copy: Office of Educational Assessment

Retention: 3 years after end of quarter

Disposition Method: Shred or Delete

Other Copy: Faculty/Academic Departments

Retention: 3 years after end of quarter

Disposition Method: Shred or Delete

Course History Files: A record of the content of approved academic courses. May include course descriptions, syllabi and bibliographies, sample examinations, etc.

Official Copy: Academic Departments
Retention: until course is dropped
Disposition Method: Transfer to Archives for review

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Curriculum Committee Reports: A record of curriculum changes approved during the Curriculum Committee's monthly meeting. May include information on the addition, deletion or renaming of courses or degree programs.

Official Copy: Registrar -- General Catalog and Curriculum Office
Retention: 5 years after end of quarter
Disposition Method: Transfer to Archives

Other Copy: Academic Departments
Retention: 1 year after end of quarter
Disposition Method: Recycle or Delete

Curriculum Database Printouts: Quarterly comprehensive listing of all approved courses currently offered by an academic department.

Official Copy: Registrar -- General Catalog and Curriculum Office
Retention: 3 years after end of quarter
Disposition Method: Recycle or Delete

Other Copy: Academic Departments
Retention: 1 year after end of quarter
Disposition Method: Recycle or Delete

Curriculum Proposals -- Approved: Documentation of the planning and development of academic courses or programs which have been approved. May include Course Change Applications, New Course Applications, departmental proposals and supporting papers (course or program descriptions, faculty data, etc.).

Official Copy: Registrar -- General Catalog and Curriculum Office
Retention: 2 years after course is dropped
Disposition Method: Transfer to Archives

Other Copy: Academic Departments
Retention: 5 years after proposal approved
Disposition Method: Transfer to Archives for review

Curriculum Proposals -- Denied: Documentation of the planning and development of academic courses or programs that have not been approved. May include Course Change Applications, New Course

Applications, departmental proposals and supporting papers (course or program descriptions, faculty data, etc.).

Official Copy: Registrar -- General Catalog and Curriculum Office

Retention: 2 years after end of academic year

Disposition Method: Recycle or Delete

Other Copy: Academic Departments

Retention: 1 year after proposal denied

Disposition Method: Recycle or Delete

Lecture Series: Provides a record of planning for lectureships. May include correspondence, notes, memoranda, copies of financial records, publicity materials, and A-V materials.

Official Copy: Any Office

Retention: 5 years after end of calendar year

Disposition Method: Transfer to Archives for review

Outreach Programs: Documents department or program outreach efforts to the University as well as to specific audiences outside the University community.

Official Copy: Any Office

Retention: 5 years after end of calendar year

Disposition Method: Transfer to Archives for review

Program Evaluations: Documents the internal evaluation of special programs/interdisciplinary centers/institutes within a specific school or college. May include comments from outside sources, students, faculty, administrators and other interested parties.

Official Copy: Any Office

Retention: 6 years after the end of calendar year

Disposition Method: Transfer to Archives for review

Program Reviews -- Graduate: A record of 10 year cycle departmental self-evaluation and review by the Graduate School Office.

Official Copy: Graduate School Dean's Office

Retention: 10 years after end of calendar year

Disposition Method: Transfer to Archives

Other Copy: Academic Departments

Retention: 10 years after end of calendar year

Disposition Method: Transfer to Archives

Program Reviews -- Undergraduate: A record of 10 year cycle departmental self-evaluation and review by the Provost's Office for programs which offer only undergraduate degrees.

Official Copy: Provost's Office
Retention: 10 years after end of calendar year
Disposition Method: Transfer to Archives

Other Copy: Academic Departments
Retention: 10 years after end of calendar year
Disposition Method: Transfer to Archives

Textbook Desk Copy Requests to Publishers: Requests from faculty or staff to publishers for a free desk copy of a textbook being used in the classroom. May include correspondence.

Official Copy: Any Office
Retention: 6 years after end of the quarter
Disposition Method: Recycle or Delete

Textbook Orders (Faculty Information Sheet for Textbooks): Requests for course textbooks.

Official Copy: Any Office
Retention: 1 year after end of quarter
Disposition Method: Recycle or Delete

Time Schedule Changes (Requests for Change in the Quarterly Time Schedule): Requests from academic departments to list a new course or to change the listing for a course in the forthcoming Time Schedule.

NOTE: Changes formerly submitted via form UW 20-506 are now transmitted via e-mail.

Official Copy: Registrar -- Time Schedule and Room Assignment Office
Retention: 1 year after end of quarter
Disposition Method: Recycle or Delete

Official Copy: UWB: Student Affairs: Registrar
Retention: 1 year after end of quarter
Disposition Method: Recycle or Delete

Other Copy: Academic Departments
Retention: 1 year after end of quarter
Disposition Method: Recycle or Delete

UW-GS 4 Materials That May Be Disposed of Without A Specific Retention Period

The following materials are considered to have no administrative, legal, fiscal or archival requirements for their retention. They may be disposed of as soon as they have served their reference purpose.

- **Duplicates:** Extra copies of correspondence, completed forms, bulletins, statistics, reports, hardcopy printouts from a database (including e-procurement purchase orders and reports), electronic files extracted from a master file or database, mailing lists, etc., used only for reference or informational distribution.

- **Document Errors:** Incorrect versions of documents, forms or reports that had to be regenerated in order to correct errors in typing, data entry, spelling, grammar, or format.

- **Miscellaneous Notices or Memoranda:** Memos and postings that do **not** relate to the functional responsibility of the department (i.e., announcements of meetings, reservations, confirmations, itineraries, acknowledgements, form-letter thank you notes, etc.).

- **Preliminary Drafts**

- **Published Reference Materials:** Printed materials received from other UW offices, vendors or other non-UW institutions, which require no action and are not needed for documentary purposes. May include technical reports/studies, magazines, catalogs, periodicals, flyers, announcements, newsletters and other widely distributed printed materials received by a UW office.

- **Requests for Information:** Routine memos or forms used to request, or respond to requests for, information, forms, mailing lists, database printouts, publications, requests for computer printouts, etc. Retain until after the information has been sent or received.

- **Routing Slips:** Memos used to direct the distribution of documents.

- **Stocks of Publications:** Supplies (multiple copies) of departmentally-produced printed documents which are superseded, obsolete or otherwise valueless. May include program brochures, booklets, flyers, forms, catalogs, directories, manuals, posters and other informational materials produced by a department for wide distribution.
NOTE: One copy of all UW publications should be sent to Archives at Box 352900.

- **Transmittal Memos:** Letters and FAX cover sheets which accompany a document, report, form, etc., that do not add any substantive information to the transmitted material.

UNIVERSITY OF WASHINGTON EMAIL BEST PRACTICES

Each employee is individually responsible for handling and maintaining records (including University email and other electronic records) in accordance with University policy and requirements.

Section 1: How long do I keep email messages I have received and sent?

Emails are records (information regardless of physical form or characteristics) which may contain evidence of official University actions, decisions, approvals, or transactions.

Email is subject to Washington State law, RCW 40.14, which applies to the preservation and destruction of records.

Most received and sent emails have a very transitory value. They have no administrative, legal, fiscal, or archival retention requirements and can therefore be deleted as soon as they have fulfilled their reference purpose. Examples of such email messages include:

- preliminary drafts
- routine replies/requests for information
- emails sent as reference or for informational distribution
- emails used to set-up or accept meetings
- announcements
- acknowledgements

For a full list of content that does not have to be retained see:

<http://f2.washington.edu/fm/recmgt/retentionschedules/gs/general/uwgs4>

All other email messages, both those that you send and those that you receive must be retained for a designated amount of time. This designated amount of time, called a *retention period*, is listed on a Records Retention Schedule. The retention period is based on the content of each individual email.

There are two types of Records Retention Schedules created for the UW. General Records Retention Schedules list records that most offices, programs, and departments have in common. Departmental Records Retention Schedules are customized for offices, programs, or departments having records that are unique and not commonly found anywhere else on the 3 campuses of the UW.

General Records Retention Schedules are found at:

<http://f2.washington.edu/fm/recmgt/retentionschedules/gs/general>

Departmental Records Retention Schedules are found at:

<http://f2.washington.edu/fm/recmgt/retention/search>

Messages that convey the following types of information are examples of categories of email which have specific retention periods:

- Policy and procedure directives
- Substantive decisions regarding matters of University business

- Instruction regarding the implementation of substantive decisions regarding matters of University business.
- Legal or audit issues
- Approvals for purchases or other actions to be taken
- Final reports or recommendations
- Documentation of departmental/office actions, decisions, operations and responsibilities
- Confirmations of items ordered online with a procard or CTA
- Receipts for purchases made electronically

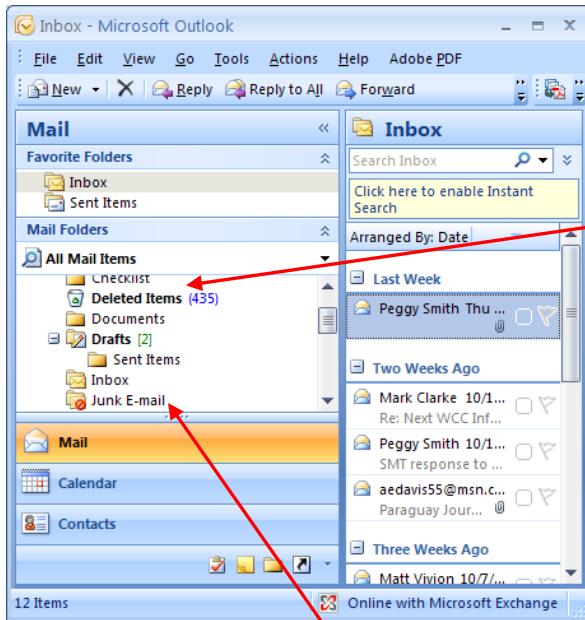
Email that has a specific retention period can be printed and filed in the paper filing system, or it can be retained electronically. If messages are retained electronically, employees are responsible for making sure that their email remains accessible and readable for the full retention period.

Section 2: How do I delete my email messages?

Deleting an email is the first step toward eliminating information that does not require further retention. Each email system has its unique way of storing email. You need to know how your system works to ensure all email messages that should be deleted actually are deleted. Below are examples of how to delete email messages in common email systems.

In Pine or PC Pine, you can mark the messages you want to delete. Before you exit you will be asked if you want to delete (expunge) all the messages you marked for deletion. If you answer 'yes', the email will be gone. If you answer 'no', the emails will not be deleted. It is possible to configure Pine to "expunge" messages when they are originally marked for deletion. If Pine is configured this way, emails will be deleted without this extra step.

In Microsoft Outlook, the 'Deleted items' folder stores the messages you have "deleted" from another folder. To completely delete these messages you must empty the deleted items folder. There are a number of ways to do this. One simple way is to right click on the **deleted items folder** then click on 'Empty Deleted Items'. Your emails will be permanently deleted.



You may also set Outlook to automatically empty deleted items each time you exit. If you do, like Pine, you will be asked if you want to delete all the email you marked for deletion. Once you confirm, your emails will be deleted.

Outlook also has an easy to find **'Junk E-Mail'** folder. This folder contains all the junk mail that you never see because it has been diverted from your inbox. Right click on it and click on 'Empty Junk E-Mail' folder to permanently delete everything in this folder. Sometimes email that you would not consider "junk" is also sent to this folder. Before you empty it, it is advisable to double check for emails that should be retained.

Remember to delete emails that are either not required to be retained or have passed their retention periods in your inbox, sent mail box, and in individual folders.

Finally, remember that if you save a message that is the last in a string of communications, you may be inadvertently saving content that you do not want or need as part of the previous messages in the string. Try to save only the information that is pertinent to a subject and not parts of a string that are unrelated to it.

Section 3: When I create an email message, what can I do to help ensure it will be properly managed?

When creating an email message, consider its purpose. Can other modes of communication be used more efficiently or effectively? Is it necessary to create and send "information only" emails? Is it necessary to distribute this information to all of the listed recipients? Limit your ccs to those people who need the information. Avoid replying to email messages you receive unless a reply is actually required.

Be professional and objective when composing email messages. Remember that email is subject to public information requests and may be accessed during litigation or audits. Create each email as if it were being published on the front page of the Seattle Times.

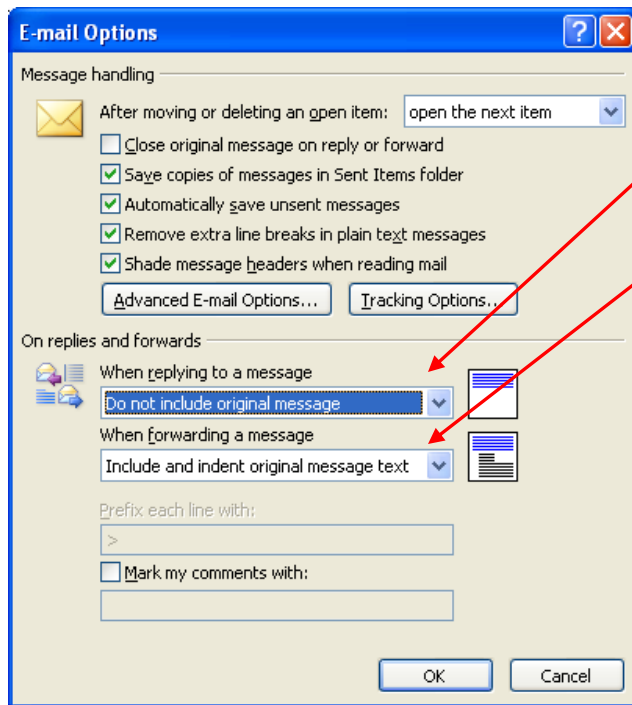
Try to limit the content in each email message to one subject. If there are several unrelated subjects to discuss, send individual emails for each subject. The messages will be easier to track, find, use, and eventually delete.

The information you include in the email subject line is the first step to creating order out of a potentially chaotic email account. It is important to be objective and accurate in choosing the subject heading. It should be clear, concise, and closely articulate the purpose or action requested in your email. When replying to email, try to avoid including a long email “thread” in your response.

When forwarding email, review the original subject headings and make sure it applies to the response that you are sending. Too often, people continue to use a string of email messages with the same subject line, even though the topic of the messages has changed. This makes it difficult to properly categorize email messages for deletion.

Outlook can be set to not include the original message in your reply.

At the top of your email inbox click Tools>Options>Email options. You can choose to change the automatic response to “Do not include original message” when replying or forwarding messages.



Section 4: What do I do with all my email?

Once you open an email message, decide what you are going to do with it before you close it.

Email management options include:

Delete it
Do it
Delegate it
Defer it

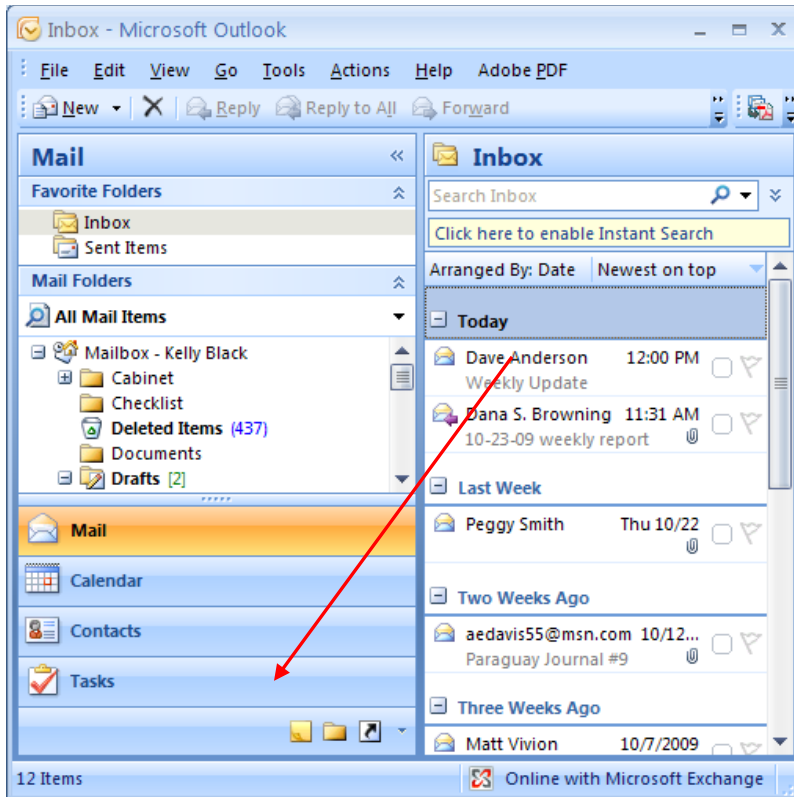
File it

Delete it: Can information be found elsewhere (for example, on an internal or external Web site or another network resource)? If so, delete it. Delete email messages after information is distributed. Consider whether you will refer to the information again. Are you required to keep it? For most UW employees, approximately 70-80% of email messages can be deleted because the information can be found in other places or because the information is transitory.

Do it: Try to handle each email message only once before taking action. If you can respond or take specific action in two minutes or less – do it. (File, respond, make a call, etc.). About 30% of your email can probably be addressed in this manner.

Delegate it: Email messages requesting information or an action are not always directed to the appropriate person. After reading a message determine whether you need to respond to it, or whether it you should delegate it to someone who is better placed to respond to it.

Defer it: If a response or specific action will take more than two minutes of dedicated time – defer it. If you are working in Outlook take advantage of the ability to flag messages that you chose to defer. Using the proper tools to flag or label email messages can help you find them later so that you can determine whether action is still required. You can also add email messages to your “To Do” list by dragging the message to your Tasks list.



File it: Create folders that are logically aligned with the way in which business is conducted for your office such as projects, transactions, standing meetings, budgets, and employees. Place all email requiring retention that is related to a project, transaction, or meeting in the appropriate folder. Try to parallel or associate your paper based filing system with the email folder system.

Section 5: How do I manage the email I have to keep?

If you currently sort your stored email messages, you might find some of the following suggestions helpful:

Managing by Folders

- Make a folder for each project (that will require retention of some records for a specified period of time). Put all email related to this project into this single folder. (Use your email client's search function to help you find messages within it.) Remember to check both your inbox and sent mail folder for these emails. When the project is complete, note the date of the termination of the records retention period and retain the entire folder until that time.
- Email folder titles should be clear, concise, and relate directly to the emails that will reside in the folder. Many times, the title can be taken directly from the email subject line. It might help if once the project or function is completed; the retention period is noted in the folder title.

(Note: All records pertaining to that project may be kept with the folder, even if some of them have a shorter retention period.)

- Make a folder for each type of transaction record. That is, if you collect time sheet information through email, you might have a time-sheet folder. At the end of each year, you can dispose of records within the folder that are older than the required retention period. Or you could choose to start a new folder for each year, and then dispose of the oldest folder at the appropriate time.
- Make a folder for each standing meeting and store the minutes in that folder. At the end of each year, dispose of the records that are beyond their records retention period. (Your email client allows you to sort on date and hence have the oldest records all together.)
- Maintain function-specific folders. Creating a folder for statistics can be a helpful resource when making a budget request, compiling reports, or during Accreditation. Folders could be created to house monthly or annual statistics.
- Creating subfolders is a very useful way to easily find information. A folder could be called ‘Budget Files’ and subfolders could be named for each budget with which you work. A folder could be called ‘Time Sheets’ and the title of each subfolder could be comprised of the name of each employee whose timesheet you collect or approve.
- Email that is transitory and is only being kept for reference purposes can be placed in one or two folders and sorted at the end of each year by topic or date to make it easier to delete.
- To help manage sent mail, cc: yourself on messages which must be kept to meet their retention periods and manage them with your other incoming mail. Your sent mail folder will then contain only duplicates and messages of transitory value, and can be purged regularly.
- Archive folders can be created for groups of emails related to the same topic or function that have been designated archival in the General Records Retention Schedule. (Archival records are retained permanently and sent to the University Archives for permanent preservation. The Archives collects not only the historical records of the University, but also records or email that have permanent legal, financial, or administrative value. The University Archivist decides what is Archival and what is not.)

Search and Sort Functions

If you don’t like to use folders, the odds are that your email client will allow you to search, sort and tag the emails in your inbox and sent mail box.

Search and sort functions are useful for locating and grouping specific messages that have characteristics in common. They may be to or from a single individual/group, or they may relate to a specific type of action or event (budget approvals/transactions or meeting minutes).

In Outlook:

- To search in Outlook click on the folder you would like to search (all the files in the folder will be listed), enter the search term in the “search box” and press the return key.
- Outlook’s search “options” also allow you to search all folders and include the deleted items folder in your search. You can access “search options” by clicking on the “search pane menu” down arrow next to the search box. Be prepared to wait if you have a large number of emails in your mail box. You can refine the criteria of your search (dates,

to/from, etc.) by opening the search box “query builder” clicking on the set of double arrows at the far right of the search box.

In Web Pine:

- To search in Web Pine, when you are viewing the inbox index, click on the "Search" button not too far to the right of the "current folder" notation in the upper left. If you do not see a search box there, look for the very small little black arrow just to the right of the upper-left Web Pine logo (There might be two little arrows there, this would be the upper one), click on the arrow and a search box will open. Click on the search box. It will provide criteria you can choose from to limit the search to only the email headers or the body of the text, or only the sent to or from line, recipient, participant, cc, date, and so on.

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In PC Pine:

- To search in PC Pine you use the ; command from the inbox index. Once you type ; you can choose from the list at the bottom of the screen. The most common choice is Text ->All -> and then add your search term. PC Pine will search for this term anywhere in the message including both the header and the body.

Regardless of whether you use folders or keep your emails in your inbox, when trying to organize your email there are some built-in tools that can help you.

In Outlook:

- Customized virtual search folders may be useful for locating specific and/or un-organized emails, particularly in response to public records requests and e-discovery.
- Flagging messages may be useful for organizing messages for filing, retrieving, keeping or deleting.
- Color coding messages may be useful for organizing messages for filing, retrieving, keeping, or deleting. Outlook allows you to tag individual emails in a single category with a specific color or your choice.
- Messages containing information that must be kept for a specific retention period might be color coded based on their retention period (for example: green for delete after admin use, yellow for six months, blue for 2 years, red for archival, etc.)

In WebPine:

- Flag messages in Web Pine by “in message status”. Choices include: new, read, important, unimportant, answered, and unanswered. Once you chose a status, click in the box on the left side of your inbox.
- You can assign a different status to each message as well as search by these status choices.

Finally, consider setting up a wiki or SharePoint site for a project or standing meeting rather than using email. A wiki or SharePoint site gathers all the information, written and received,

by its users in one location. It allows all users to comment directly on drafts, see all drafts in one place, and communicate with each other. Create all drafts, notes, plans, meeting minutes, etc on the wiki or SharePoint site. Retain the site for the required number of years and then either delete it or transfer it to the University Archives (as directed by a UW retention schedule). Remember though that such sites are also subject to Public Records Requests, and litigation.

Section 6: If you are a manager

If you are a manager you might want to:

- Schedule a quarterly or yearly records cleanup time for your office.
- Maintain in your new employee checklist a reminder to orient them to records responsibilities.
- Establish an office procedure for setting up email accounts that allows access to email by other(s) in the office in case of absence.
- Establish general email protocols which ensure that everyone in the office is managing their email in the same way.

When an employee separates from employment:

- Supervisors or administrators are responsible for managing records that are associated with a separated employee in accordance with UW policies and procedures.
 - The employee's manager, supervisor, or unit administrator should work with an employee to develop a plan for determining which email messages should be preserved for business reasons or in accordance with University Records Retention Schedules and which records may be deleted.
 - Arrangements should be made to either transfer the email that must be retained to another employee or to print and incorporate these emails into the paper filing system.

Note: To allow time for the department to appropriately transfer ownership or dispose of the records, systems administrators must establish procedures to assure that email and other electronic records associated with a separated employee are not automatically deleted before the end of one year after the employee's separation.

UW-GS 6 Financial Records (For non-grant/contract funded budgets)

Accounts Receivable: Documentation of charges and billing process for goods and/or services rendered. Documents adjustments to accounts. May include (determination of fees) documentation, work orders or service requests (may be in the form of field orders or invoice vouchers) logs of goods and/or services provided, receipts, billing statements and related documents.

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Official Copy: Any Office

Retention: 6 years after date of document

Disposition Method: Shred or Delete

Airbills for Expedited Mail Service Carrier: Acts as receipt for use of express mailing services such as Federal Express, Airborne Express, etc.

Official Copy: Mailing Services

Retention: 6 years after end of month

Disposition Method: Recycle or Delete

Other Copy: Any Office

Retention: 2 years after end of biennium

Disposition Method: Recycle or Delete

Animal Request/Order Forms: Requests for the purchase of animals to be used in research.

Official Copy: Department of Comparative Medicine

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Other Copy: Any Ordering Department

Retention: 2 years after end of biennium

Disposition Method: Shred or Delete

Audit Reports -- Internal Auditor: Documentation of findings reported as a result of an audit by UW Internal Audit.

Official Copy: UW Internal Auditor

Retention: 6 years after administrative purpose served

Disposition Method: Transfer to Archives

Other Copy: Any Audited Office

Retention: 3 years after resolution of audit issues

Disposition Method: Shred or Delete

Audit Reports -- State or Independent Auditor: Documentation of findings reported as a result of an audit by the State Auditor or by an independent auditing firm.

Official Copy: Any Audited Office

Retention: 6 years after resolution of audit issues

Disposition Method: Transfer to Archives

Bank Records: A record of transactions with a bank. May include deposit slips, cash register or adding machine tapes attached to bank-validated deposit tickets, monthly statements, etc.

Official Copy: Procurement Services, or Departments with Direct Deposit

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Official Copy: UWT: Finance Department: Cashier

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Official Copy: UWB: Finance and Administration

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Bid Documents: A record of proposals from vendors or consultants for services or supplies, in response to a Request for Proposal (RFP), Request for Quote (RFQ) or Request for Information (RFI). May include RFP's, RFQ's, RFI's, awarded or denied bids, bid evaluation forms, correspondence, etc.

Official Copy: Purchasing

Retention: 6 years after file closed

Disposition Method: Recycle or Delete

Other Copy: College/School or Department

Retention: 1 year after award of bid

Disposition Method: Recycle or Delete

Billing Source Documents: Documentation used by UW Recharge/Cost/Service Centers (e.g., Mailing Services, Fleet Services, Facilities Services, Creative+Communications, University Temporary Services, Telecommunications, etc.) to prepare Cost Transfer Invoices (CTIs), Internal Sales Documents (ISDs), recharge documents, journal vouchers, or invoices for the purpose of charging other budgets or non-UW entities for services or supplies. May describe, in greater detail than billing document, the service or supplies provided. May include work orders, service requests, logs of goods/services provided, etc.

Official Copy: Any Issuing Office

Retention: 6 years after end of month

Disposition Method: Recycle or Delete

Other Copy: Any Receiving Office

Retention: 2 years after end of biennium

Disposition Method: Recycle or Delete

Budget Activity Reports (BARs): Report budget revenue and expenditures for a single month.

Official Copy: Procurement Services

Retention: 6 years after end of biennium

Disposition Method: Recycle or Delete

Other Copy: College/School or Department

Retention: Considered a duplicate; may be disposed of as soon as they have served their reference purpose if not used for oversight or reconciliation activity

Disposition Method: Recycle or Delete

Budget Number Requests: Provides a record of requests by an office to establish a new budget number.

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Official Copy: Budget Office

Retention: 6 years after end of biennium

Disposition Method: Recycle or Delete

Other Copy: College/School or Department

Retention: 1 year after budget closed

Disposition Method: Recycle or Delete

Budget Preparation Files/Working Papers: Document departmental budget planning process for a biennial budget proposal. May include correspondence, reports, statistics, etc.

Official Copy: Any Office

Retention: 2 years after end of biennium

Disposition Method: Transfer to Archives for review

Budget Requests -- Final: A record of the final biennial budget request from Deans, Vice Provosts or Vice Presidents.

Official Copy: Budget Office

Retention: 4 years after end of biennium

Disposition Method: Transfer to Archives

Other Copy: Deans' or Vice Presidents' Offices

Retention: 2 years after end of biennium

Disposition Method: Transfer to Archives

Budget Revision Documentation: A record of requests for adjustments in the final budget proposal. May include Request for Budget Revision, correspondence and related supporting papers.

Official Copy: Budget Office

Retention: 4 years after end of biennium

Disposition Method: Recycle or Delete

Other Copy: Deans' or Vice Presidents' Offices

Retention: 2 years after end of biennium

Disposition Method: Recycle or Delete

Budget Signature Cards: A record of individuals authorized to make purchases on a specific budget.

Official Copy: Any Office
Retention: 6 years after termination of authorization
Disposition Method: Shred or Delete

Official Copy: UWB: Finance and Administration
Retention: 6 years after termination of authorization
Disposition Method: Shred or Delete

Budget Status Report (BSRs): Summarize budget revenue and expenditures cumulatively from biennium beginning to current month.

Official Copy: Procurement Services
Retention: 6 years after end of biennium
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: Considered a duplicate; may be disposed of as soon as they have served their reference purpose
Disposition Method: Recycle or Delete

Budget Status Summary Reports (BSSRs): Cumulative monthly summaries of financial activity from the beginning of a biennium to the current month at the subsidiary ledger level.

Official Copy: Procurement Services
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: Considered a duplicate; may be disposed of as soon as they have served their reference purpose
Disposition Method: Recycle or Delete

Cash Register Tapes: Chronological record of cash/credit card transactions at each register.

Official Copy: Cost Centers
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Official Copy: UWB: Finance and Administration
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Cash Transmittals: Report currency and checks transferred from a UW department to Student Accounts: Cashier's Office, or directly to the bank (Direct Deposit), and credited to UW budgets.

Official Copy: Procurement Services
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Official Copy: Student Fiscal Services
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Official Copy: UWB: Finance and Administration
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

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

Check Requests: Requests for a check to be written by Financial Services. Includes name of recipient, reason for payment, amount, approval signature, check number, date account charged, etc.

Official Copy: Procurement Services
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Official Copy: UWB: Finance and Administration
Retention: 6 years after end of month
Disposition Method: Shred or Delete

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

Collections Files: A record of efforts to collect payment on outstanding invoices or on checks returned because of insufficient funds (NSF). May include collection letters, correspondence with collection agency, logs of collections actions, lists of uncollectable accounts, Aging Reports, etc.

Official Copy: Housing & Food Services: Accounting Services, or any office authorized to maintain its own billing/collection system
Retention: 6 years after debt paid or determined uncollectable
Disposition Method: Shred or Delete

Official Copy: UWB: Finance and Administration
Retention: 6 years after debt paid or determined uncollectable
Disposition Method: Shred or Delete

Consolidated Budget Status Report: Monthly report which consolidates department state-funded budget information. Provides a cumulative summary of financial status. Includes budget name, budget number, funding agency, budget period, etc. Generated for reference purposes from Financial Accounting System database.

Other Copy: College/School or Department
Retention: until superseded
Disposition Method: Recycle or Delete

Contracts -- Purchase, Lease or Rental: Agreements for the purchase of goods or services, or the lease/rental of equipment or vehicles. May include local purchase contracts for a group of products or services to be purchased locally over a period of time, equipment maintenance/service agreements and warranties, memorandums of understanding, personal service contracts with individuals or firms for specialized services and State purchase agreements for items or services contracted through the State Division of Purchasing.

Official Copy: Procurement Services
Retention: 6 years after termination of contract
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: 6 years after termination of contract
Disposition Method: Recycle or Delete

Copy Services Order Forms: Orders from departments for copy services involving large photocopy orders or special jobs.

Official Copy: Creative+Communications
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

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

Corporate Travel Account Approvals: Provides a record of Corporate Travel Account transaction approval and reconciliation. Includes reviewed and signed UW Transaction Detail with Notes & Account Codes Report, invoices and receipts.

Official Copy: Any Office
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Cost Transfer Invoices (CTIs): A billing record for services or supplies charged by a UW department to another UW budget.

Official Copy: Any Issuing Office
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Official Copy: Procurement Services
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Other Copy: Any Receiving Office
Retention: 2 years after end of biennium
Disposition Method: Recycle or Delete

Credit Card Charge Records: A record of amounts charged to a credit card in payment for goods or services. May include statements, charge slips, and related invoices. Does not include ProCard records.

Official Copy: Student Fiscal Services (*for payment received*)
Retention: 6 years after date paid or determined uncollectable
Disposition Method: Shred or Delete

Official Copy: Procurement Services (*for payment made*)
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Official Copy: UWB: Finance and Administration
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Other Copy: Any Office
Retention: 2 years after end of biennium
Disposition Method: Shred or Delete

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

Financial Statements/Reports -- Annual or Biennial: A record of costs, expenditures and revenues.

Official Copy: Any Office
Retention: 6 years after end of reporting period
Disposition Method: Transfer to Archives for review

Financial Statements/Reports -- Quarterly/Monthly: A record of quarterly and/or monthly financial statements and budget reconciliations.

Official Copy: Any Office
Retention: 2 years after end of biennium
Disposition Method: Recycle or Delete

General Ledgers: An itemization and summary of all income and expenditure transactions for each month in a biennium. Reconciled to Budget Activity Reports (BAR) and Budget Status Reports (BSR).

Official Copy: Procurement Services or Auxiliary Enterprises
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Other Copy: Any Office
Retention: 2 years after end of biennium
Disposition Method: Recycle or Delete

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 or Delete

Official Copy: Treasurer's Office (endowed funds)
Retention: 6 years after endowment liquidated; transfer to Archives for review
Disposition Method: Shred or Delete

Official Copy: UWT: Office of Advancement (non-endowed funds)
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Official Copy: UWB: Development and Alumni Relations (non-endowed funds)
Retention: 6 years after end of month
Disposition Method: Shred or Delete

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

Honoraria, Requests for: Departmental requests for payment of an honorarium to visiting faculty and speakers.

Official Copy: Procurement Services
Retention: 6 years after file closed
Disposition Method: Shred or Delete

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

Internal Sales Documents (ISDs): A record of sales of services or supplies by service centers and auxiliary enterprises to other UW entities.

Official Copy: Any Issuing Office
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Official Copy: Procurement Services
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Other Copy: Any Receiving Office
Retention: 2 years after end of biennium
Disposition Method: Recycle or Delete

Interview Expense, Requests for: Requests for authorization from a Dean and from the Provost to pay travel expenses for an individual traveling to the UW for a position interview.

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Official Copy: Procurement Services
Retention: 6 years after file closed
Disposition Method: Shred or Delete

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

Invoice Vouchers, State of Washington: A billing record in lieu of a vendor invoice for goods or services purchased by UW offices. Details items, amount and purpose of purchase.

Official Copy: Procurement Services
Retention: 6 years after end of the month
Disposition Method: Recycle or Delete

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

Invoices, Vendor: A records of goods or services purchased from a vendor. May include eProcurement invoices, UPS forms, and Bills of Lading.

Official Copy: Procurement Services
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Official Copy: Any office who makes direct payments to a vendor
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

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

Journal Vouchers (JVs): A record of budget entries and transfers of funds between UW budgets. Also used for Field Advance Expense Requests and Reverse Expenditures.

Official Copy: Procurement Services
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Official Copy: Any Issuing Office
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

Other Copy: Any Receiving Office
Retention: 2 years after end of biennium
Disposition Method: Recycle or Delete

Mail Preparation Services Forms: Departmental requests for mail preparation, which also itemize charges for mailing services provided. Includes "Requests for Mail Preparation Services" and "Mail Preparation Service Order Forms".

Official Copy: Mailing Services
Retention: 6 years after end of month
Disposition Method: Recycle or Delete

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

Media Services Requests: Departmental requests for services from Classroom Support Services.

Official Copy: Classroom Support Services
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

Official Copy: UWB: Information Technologies
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

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

Moving Expenses, Requests for: Requests for reimbursement of moving expenses for eligible new employees.

Official Copy: Procurement Services
Retention: 6 years after file closed
Disposition Method: Shred or Delete

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

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 or Delete

Operating Budget Detail: Monthly record detailing current status of all budget allocations at position or major object level.

Official Copy: Budget Office
Retention: 2 years after end of biennium
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: May be disposed of as soon as they have served their reference purpose
Disposition Method: Recycle or Delete

Packing Slips from Outside Vendors: A record of departmental receipt of goods or equipment from outside vendors. Includes ProCard transaction receipts.

NOTE: Audit procedures require that Packing Slips be initialed and dated upon receipt by the person receiving the goods.

Official Copy: Any Receiving Department
Retention: 6 years after receipt of merchandise/equipment
Disposition Method: Recycle or Delete

Official Copy: UWB: Finance and Administration (unless item was purchased with a ProCard otherwise Receiving Office has the official copy)
Retention: 6 years after receipt of merchandise/equipment
Disposition Method: Recycle or Delete

Parking Validation Log: Provides a record of parking stickers issued to individuals visiting an University of Washington office. The log may contain the parking number, individual it is assigned to, and date.

Official Copy: Any Office
Retention: 6 years after the end of the calendar year
Disposition Method: Recycle or Delete

Per Diem Advance Requests: A record of anticipated reimbursable travel funds.

Official Copy: Procurement Services
Retention: 6 years after end of the month
Disposition Method: Shred or Delete

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

Petty Cash (Revolving Fund) Records: Records of expenditures from a departmental revolving fund. May include Application for Revolving Fund; Petty Cash Vouchers with supporting documents such as sales slips; cash register receipts; paid invoices; Receipt for Petty Cash Advance; bank records such as deposit tickets, statements, reconciliations, cancelled checks, etc.; Departmental Revolving Fund Invoice Vouchers or State of Washington Invoice Vouchers and Petty Cash Reconciliations used to request reimbursement from Procurement Services; etc.

Official Copy: Any Office with a Petty Cash Revolving Fund

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Official Copy: Procurement Services -- supporting documents for issuance of fund reimbursement check as opposed to individual reimbursement.

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Petty Cash Vouchers: A record of reimbursements from the Petty Cash Office for out-of-pocket or cash expenditures.

Official Copy: Student Fiscal Services

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Official Copy: UWT: Finance and Administration

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Official Copy: UWB: Finance and Administration

Retention: 2 years after end of biennium

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 2 years after end of biennium

Disposition Method: Shred or Delete

ProCard Approvals: Provides a record of Procurement Card (ProCard) transaction approval, reconciliation, and receipt of goods or equipment. Includes reviewed and signed Transaction Detail with Notes and Account Codes Report, invoices received, and confirmation of receipt of goods, such as packing slips.

Official Copy: Any Office

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Official Copy: UWT: Finance and Administration

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Official Copy: UWB: Finance and Administration

Retention: 6 years after end of month

Disposition Method: Shred or Delete

ProCard Cardholder Statement: Reports which provide a record of Procurement Card (ProCard) usage. Includes credit card statement printed or exported from Web posting.

Official Copy: Procurement Services
Retention: 6 years after end of month
Disposition Method: Shred or Delete

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

Other Copy: UWT: Finance and Administration
Retention: 2 years after end of biennium
Disposition Method: Shred or Delete

Other Copy: UWB: Finance and Administration
Retention: 2 years after end of biennium
Disposition Method: Shred or Delete

Purchase Orders -- Blanket: Requests for repeat purchase of the same item or service over a specified length of time.

Official Copy: Procurement
Retention: 6 years after file closed
Disposition Method: Recycle or Delete

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

Purchase Requests -- Internal: Requests routed within a department for internal approval of purchases or travel prior to Procard purchase, eProcurement purchase, or generation of a Purchase Requisition. May include correspondence or departmental forms. Includes Delegation of Authority.

Official Copy: Any Office
Retention: 6 years after month of request
Disposition Method: Recycle or Delete

Official Copy: UWB: Finance and Administration
Retention: 6 years after month of request
Disposition Method: Recycle or Delete

Purchase Requisitions: Documents requests for purchases. Includes documentation received from Purchasing.

Official Copy: Procurement Services
Retention: 6 years after file closed
Disposition Method: Recycle or Delete

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

Receipts (For Money Received): Provide verification of payments received for goods or services.

Official Copy: Any Office Receiving Payment
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Other Copy: Any Office Making Payment
Retention: 2 years after end of biennium
Disposition Method: Shred or Delete

Recharge/Cost Center Amortization Schedules: A record of approved schedules which calculate equipment depreciation or use allowance that can be included in the recharge/cost center rates.

Official Copy: Management Accounting and Analysis
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

Other Copy: Recharge/Cost Centers
Retention: 3 years after end of fiscal year
Disposition Method: Recycle or Delete

Recharge/Cost Center Fee Rate Analysis and Schedules: A record of fee schedules and documentation supporting the determination of fees charged by recharge and cost centers to users of their services.

Official Copy: Management Accounting and Analysis
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

Other Copy: Recharge/Cost Centers
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

Recharge Center Quarterly Reports: Quarterly summaries of revenue and expenses from a recharge center budget.

Official Copy: Budget Office
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

Other Copy: Recharge Centers
Retention: 3 years after end of fiscal year
Disposition Method: Recycle or Delete

Reconciliations of Cash and Receipts: A record of cash/check reconciliation against receipts.

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Official Copy: Any Receiving Office
Retention: 6 years after end of month
Disposition Method: Shred or Delete

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 or Delete

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

Salary Saving Reports: Monthly reports (cumulative for biennium) detailing and summarizing budget amounts recaptured from vacant positions.

Official Copy: Budget Office
Retention: end of month
Disposition Method: Recycle or Delete

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

Travel Expense Vouchers: Documentation of travel-related expenses incurred on UW-related business or projects.

Official Copy: Travel Office
Retention: 6 years after end of month
Disposition Method: Shred or Delete

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

Other Copy: UWB: Finance and Administration
Retention: 2 years after end of biennium
Disposition Method: Shred or Delete

UW-GS 7 Research and Grant/Contract Records

Accounts Receivable: Documentation of charges and billing process for goods and/or services rendered. Documents adjustments to accounts. May include (determination of fees) documentation, work orders or service requests (may be in the form of field orders or invoice vouchers) logs of goods and/or services provided, receipts, billing statements and related documents.

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Official Copy: Any Office

Retention: 6 years after date of document

Disposition Method: Shred or Delete

Administration Records for Grants/Contracts -- Awarded: A record of awarded grant or contract. May include Request for Approval of Application for Grant or Contract, Proposal for Grant or Contract, award letter/notice, agreements (including supplements or amendments), Notice to Establish Account, correspondence, final equipment inventory, project/planning files, etc.

Official Copy: Office of Sponsored Programs

Retention: 6 years after final termination of grant/contract

Disposition Method: Transfer to Archives for review

Official Copy: Equipment Inventory Office -- final equipment inventory

Retention: 3 years after Final Disposition of Equipment

Disposition Method: Recycle or Delete

Other Copy: College/School or Department

Retention: 3 years after final termination of grant/contract

Disposition Method: Shred or Delete

Applications for Grants/Contracts -- Denied: A record of proposals that have been denied funding. May include Proposal for Grant or Contract, Request for Approval of Application for Grant or Contract, correspondence, notes, project/planning files, etc.

Official Copy: Office of Sponsored Programs

Retention: 1 year after end of month in which denial letter is received

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 1 year after end of month in which denial letter is received

Disposition Method: Shred or Delete

Applications for Grants/Contracts -- Not Confirmed: A record of grant and contract proposals for which no award decision has been made by a funding agency. May include Proposal for Grant or Contract, Request for Approval of Application for Grant or Contract, correspondence, notes, etc.

Official Copy: Office of Sponsored Programs

Retention: 3 years after date of GC-1/eGC-1 receipt

Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 2 years after submittal
Disposition Method: Shred or Delete

Applications for Internal (UW) Research Support Funds -- Awarded: A record of proposals for faculty and student research support awarded from funds established within a School or department. May include applications for funding from the Graduate School Research Fund, Royalty Research Fund, departmental research funds, etc. Funds may support research, interdisciplinary programs, honoraria, faculty and student travel, equipment, recruitment of graduate students, co-sponsorship of conferences, publication subsidies, etc. May include applications, proposals, correspondence, project/planning files, etc.

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Official Copy: College/School or Department Distributing Internal Research Funds
Retention: 6 years after termination of project funded by award
Disposition Method: Transfer to Archives for review

Other Copy: Principal Investigator or Applicant
Retention: 3 years after termination of project funded by award
Disposition Method: Transfer to Archives for review

Applications for Internal (UW) Research Support Funds -- Denied: A record of unawarded applications for faculty and student research support funds established within a School or department. May include applications for funding from the Graduate School Research Fund, Royalty Research Fund, departmental research funds, etc. May include applications, proposals, correspondence, project/planning files, etc.

Official Copy: College/School or Department Distributing Internal Research Funds
Retention: 1 year after notification of denial
Disposition Method: Shred or Delete

Other Copy: Principal Investigator or Applicant
Retention: 1 year after notification of denial
Disposition Method: Shred or Delete

Billing Source Documents for Grants/Contracts: Documentation used by UW Recharge/Cost/Service Centers to prepare Cost Transfer Invoices (CTIs), Internal Sales Documents (ISDs), recharge documents, journal vouchers, or invoices for the purpose of charging other budgets or non-UW entities for services or supplies. May describe in greater detail than billing document the service or supplies provided. May include work orders, service requests, logs of goods/services provided, etc.

Official Copy: Any Issuing Office
Retention: 6 years after submission of financial status report
Disposition Method: Recycle or Delete

Other Copy: Any Receiving Office
Retention: 3 years after submission of financial status report
Disposition Method: Recycle or Delete

Certificate of Exemption for Human Subjects Research: Form completed, in lieu of formal application, for low-risk research using human subjects. Approved and signed by chair of department, forms include

information such as project title, grant title, category under which research qualifies for exemption, abstract of project and human subject information (checklist).

Official Copy: Principal Investigator
Retention: 6 years after termination of grant
Disposition Method: Shred or Delete

Other Copy: Human Subjects Division
Retention: 5 years after end of calendar year
Disposition Method: Shred or Delete

Certification Report: Signed report which provides a means of payroll verification for Principal Investigator of a grant or contract.

Official Copy: College/School or Department
Retention: 6 years after submission of financial status report
Disposition Method: Shred or Delete

Clinical Trials Phase I-IV Research Data -- Investigator: Research data and documentation gathered or created in the course of Phases I, II, III, or IV of a clinical trial sponsored by an agency outside the University or by the University, which is reviewed by the full IRB (Institutional Review Board). May include case history records, case reports, study protocol and amendments, patient care data, objectives and purpose of the study, selection criteria, clinical procedures, FDA forms, serious adverse events reports, study design and other documentation relating to study protocols. Does not include material also maintained in the official patient medical record.

Official Copy: Principal Investigator
Retention: 30 years after close of study
Disposition Method: Shred or Delete

Conference, Seminar, Workshop Files -- Sponsored: Documentation of the planning for, and products of, conferences, seminars or workshops conducted with grant or contract funding. Includes Administrative Service Fee (ASF) courses.

Official Copy: Principal Investigator or Department
Retention: 6 years after final termination of grant/contract
Disposition Method: Transfer to Archives for review

Consent Forms for Research -- Adults: A record of permission supplied by adult subjects to participate in a research program which falls under the category of Non-Biomedical Treatment or Intervention.

Official Copy: Principal Investigator
Retention: 6 years after the close of study
Disposition Method: Shred or Delete

Consent Forms for Research-- Biomedical Treatment or Intervention: A record of permission supplied by adult subjects or by the parent or guardian of minor subjects to participate in a research program which includes Biomedical Treatment or Intervention.

Official Copy: Principal Investigator
Retention: 30 years after close of study
Disposition Method: Shred or Delete

Consent Forms for Research -- Minors: A record of permission granted by parent or guardian for children to participate in a research program which falls under the category of Non-Biomedical Treatment or Intervention.

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Official Copy: Principal Investigator
Retention: 10 years after last contact with subject, or 3 years after subject reaches age 18; whichever is longer
Disposition Method: Shred or Delete

Consolidated Budget Status Report: Monthly report which consolidates department grant/contract funded budget information. Provides a cumulative summary of financial status. Includes budget name, budget number, funding agency, budget period, etc. Generated for reference purposes from Financial Accounting System database.

Official Copy: Grant and Contract Accounting
Retention: 2 years after fiscal year
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: until superseded
Disposition Method: Recycle or Delete

Corporate Travel Account Approvals: Provides a record of Corporate Travel Account transaction approval and reconciliation. Includes reviewed and signed UW Transaction Detail with Notes & Account Codes Report, invoices and receipts.

Official Copy: Any Office
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Embryonic Stem Cell Research Oversight Application Files - Approved: Applications submitted to Embryonic Stem Cell Research Review Oversight (ESCRO) Committee and/or the Embryonic Stem Cell Research Chair for approval to use stem cells in research projects. Files may include, but are not limited to, the following: master copy of applications, Review Committee's disposition documents, investigator's responses to the Committee, consent forms, sponsor research protocols, correspondence and supporting papers, modifications to applications, annual status reports, copy of Environmental Health & Safety (EH&S) approvals, and other relevant Compliance Office approvals.

Official Copy: Embryonic Stem Cell Research Oversight Office
Retention: 6 years after study termination
Disposition Method: Shred or Delete

Other Copy: Principal Investigator
Retention: 3 years after final termination of grant/contract, or 3 years after study termination if research is

not grant/contract funded
Disposition Method: Shred or Delete

Embryonic Stem Cell Research Oversight Research Application Files - Denied: Applications for research using stem cells that were denied by the ESCRO Committee and/or the ESCRO Chair. May include, but not limited to, the following: application, sample consent forms, ESCRO's disposition documentation, the investigator's responses to the Committee, sponsor protocols, copy of EH&S's approval, correspondence and supporting documentation, modifications to applications, application annual reviews, non-compliance documentation, records requests.

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Official Copy: Embryonic Stem Cell Research Oversight Office
Retention: 6 years after end of academic year
Disposition Method: Shred or Delete

Other Copy: Principal Investigator
Retention: 3 years after denial
Disposition Method: Shred or Delete

Embryonic Stem Cell Research Oversight Research Application Files - Withdrawn: Applications for research using stem cells that were withdrawn from consideration. May include, but not limited to: application, consent forms, ESCRO's disposition documentation, the investigator's responses to the Committee, sample sponsor protocols, copy of EH&S's approval, documentation of withdrawal.

Official Copy: Embryonic Stem Cell Research Oversight Office
Retention: 1 year after application withdrawn
Disposition Method: Shred or Delete

Other Copy: Principal Investigator
Retention: 1 year after application withdrawn
Disposition Method: Shred or Delete

Exception Time Reports (ETR) for Grants/Contracts: A record certifying changes from the normal number of hours worked by each permanent employee paid on a particular budget for a particular pay period. Includes leave without pay, overtime, shift differentials, etc.

Official Copy: Payroll
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after submission of financial status report
Disposition Method: Shred or Delete

Export Control Records for Grants/Contracts: This series provides a record of the documentation required to be retained on the exports of commodities, software, or technology from the United States. It also includes a record of any known re-exports, trans-shipment, or diversions of items exported from the United States as per Export Administration Regulation 762.6. Documentation includes export control documents, memoranda, invitations to bid, financial records, etc.

Official Copy: Any office
Retention: 5 years after termination of funding period

Disposition Method: Shred or Delete

Faculty Effort Certification (FEC): Forms documenting faculty salary expenses charged to federal grants and contracts, and cost-sharing activities related to federally sponsored projects.

Official Copy: Management Accounting and Analysis

Retention: 6 years after end of fiscal year

Disposition Method: Recycle or Delete

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Other Copy: College/School or Department

Retention: 1 year after end of fiscal year

Disposition Method: Recycle or Delete

Financial Records for Grants/Contracts: Records of financial transactions on grants and contracts including non-FEC (Faculty Effort Certification) cost share documentation. May include Budget Activity Reports (BARs), Budget Status Reports (BSRs), Cash Transmittals, Cost Transfer Invoices (CTIs), Journal Vouchers (JVs), vendor invoices, Purchase Requisitions, travel records, packing slips from Office Depot, financial statements and reports of expenditures to sponsoring agencies, Requests for Authorized Recharges, Requests to Transfer Expenditures, Requests for Reverse Expenditures, TRANSPASU form, Memo to Request an Advance Notice, non-ProCard credit card slips, eProcurement invoices, or ProCard credit card statements.

Official Copy: Procurement Services -- Paper CTIs/ISDs, Cash Transmittals, eCommerce invoices Vendor Invoices, Invoice Vouchers, Per Diem Advance Requests, Travel Expense Vouchers, Purchasing records, ProCard

Retention: Variable, depending upon departmental retention schedule

Disposition Method: Recycle or Delete or Shred or Delete

Official Copy: Grant and Contract Accounting -- Journal Vouchers, Expenditure Reports to sponsoring agencies, Requests for Authorized Recharges, Requests for Reverse Expenditures, Requests to Transfer Expenditures, BARs/BSRs, Cash Transmittals, Memo to Request Advance Notice

Retention: 6 years plus 90 days after submission of final expenditure report

Disposition Method: Recycle or Delete

Other Copy: College/School or Department

Retention: BAR/BSR/BSSR considered a duplicate; may be disposed of once they have served their reference purpose if not used for oversight or reconciliation activity

Retention: All other records; 3 years after submission of financial status report

Disposition Method: Recycle or Delete

Human Subjects Review Committee Applications -- Approved: A record of requests for the use of human subjects in research. May include application, sample consent forms for subjects, Review Committee's disposition documentation, investigator's responses to the committee, application modifications, application annual reviews, final report, sponsor protocols, Adverse Event Reports, non-compliance documents, subject complaints, records requests, copies of Radiation Safety Committee Review, Certification of Review or documentation that certification was sent to funding agency, other supporting documentation, etc.

Official Copy: Human Subjects Division
Retention: 10 years after study termination
Disposition Method: Shred or Delete

Other Copy: Principal Investigator
Retention: 3 years after final termination of grant/contract, or 3 years after study termination if research is not grant/contract funded
Disposition Method: Shred or Delete

Human Subjects Review Committee Applications -- Denied: A record of denied requests for the use of human subjects in research. May include application, sample consent forms, Review Committee's disposition documentation, investigator's responses to the Committee, sponsor protocols, copies of Radiation Safety Committee Review, supporting documentation, modifications of applications, Adverse Event Reports, correspondence and non-compliance documentation, record requests, safety reports, complaints, etc.

Official Copy: Human Subjects Division
Retention: 10 years after end of academic year
Disposition Method: Shred or Delete

Other Copy: Principal Investigator
Retention: 3 years after denial
Disposition Method: Shred or Delete

Human Subjects Review Committee Applications- Withdrawn: Applications for research, using human subjects, that were withdrawn from consideration. Includes application, consent forms, investigator's response to the Committee, sample sponsor protocols, copy of Radiation Safety Committee review, and documentation of withdrawal.

Official Copy: Human Subjects Division
Retention: 1 year after application withdrawn
Disposition Method: Shred or Delete

Other Copy: Principal Investigator
Retention: 1 year after application withdrawn
Disposition Method: Shred or Delete

Indirect Cost -- Allowable Expense Reports: Data gathered from departments regarding expenses from a particular budget that cannot be included on an indirect cost proposal. Used to develop the UW's indirect cost study.

Official Copy: Management Accounting and Analysis
Retention: 10 years after last year of current rate
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: 3 years after end of quarter
Disposition Method: Recycle or Delete

Indirect Cost -- Staff Activity Surveys: Data gathered from departments about the allocation of staff time for various activities -- research, instruction, administration, etc. Used to develop the UW's annual indirect cost study.

Official Copy: Management Accounting and Analysis
Retention: 10 years after last year of current rate
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: 3 years after end of quarter
Disposition Method: Recycle or Delete

Packing Slips from Outside Vendors for Grants/Contracts: A record of departmental receipt of goods or equipment.

NOTE: Audit procedures require that packing slips be initialed and dated upon receipt by the person receiving the goods

Official Copy: Any Receiving Department
Retention: 6 years after submission of financial status report
Disposition Method: Recycle or Delete

Petty Cash (Revolving Fund) Records: Records of expenditure from a grant or contract revolving fund. May include Application for Revolving Fund; Petty Cash Vouchers with supporting documents such as sales slips, cash register receipts, paid invoices; Receipt for Petty Cash Advance; bank records such as deposit tickets, cancelled checks, statements, reconciliations; Study subject compensation records, etc.

Official Copy: Any Office
Retention: 6 years after submission of final expenditure report
Disposition Method: Shred or Delete

Positive Time Reports (PTR) for Grants/Contracts: A record certifying the number of hours worked by each hourly and student employee on a particular budget during a particular pay period.

Official Copy: Payroll
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after submission of financial status report
Disposition Method: Shred or Delete

ProCard Approvals: Provides a record of Procurement Card (ProCard) transaction approval, reconciliation, and receipt of goods or equipment. Includes reviewed and signed Transaction Detail with Notes and Account Codes Report, invoices received, and confirmation of receipt of goods, such as packing slips.

Official Copy: College/School or Department
Retention: 6 years after submission of financial status report
Disposition Method: Shred or Delete

Project Review Forms (for Use of Animals in Research): Requests by researchers to use animals in their research. Requests, including descriptions of project and procedures which will be performed on animals, are reviewed by the Animal Care Committee. May include "Project Review Forms for New Projects" (PRF) and "Project Review Forms -- Renewal/Update/Change of Animal Use or Protocols" (PRF-Renewal/Change).

Official Copy: Office of Animal Welfare
Retention: 6 years after calendar year of last approval
Disposition Method: Shred or Delete

Other Copy: Principal Investigator
Retention: 3 years after final termination of grant/contract or 3 years after study termination if research is not grant/contract funded
Disposition Method: Shred or Delete

Purchase Orders -- Blanket: Requests for repeat purchase of the same item or service over a specified period of time.

Official Copy: Procurement Services
Retention: 6 years after file closed
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: 3 years after submission of financial status report
Disposition Method: Recycle or Delete

Purchase Records -- Internal: Documents departmental approval and receipt of purchases. Includes memos or forms routed within a department for approval of purchases prior to generation of a Purchase Requisition. Applies to ProCard transactions. Includes Delegation of Authority.

Official Copy: College/School or Department
Retention: 6 years after submission of financial status report
Disposition Method: Recycle or Delete

Report of Project Status: A record of project summaries or evaluations prepared during the course of a study or at the end of a funding period.

Official Copy: Principal Investigator
Retention: 6 years after final termination of grant/contract or 3 years after study termination if research is not grant/contract funded
Disposition Method: Transfer to Archives for review

Research Data -- Biomedical Treatment or Intervention (Drug, Device or Surgical Procedure/Intervention): Research documentation and data obtained on human subjects during the course of study which includes biomedical treatment or intervention. Reviewed by the full IRB (Institutional Review Board).

Official Copy: Principal Investigator
Retention: 30 years after close of study

Disposition Method: Shred or Delete

Research Data -- Drug Development: Research documentation and raw data obtained in the course of a study to develop a drug. May include Investigators' Notebooks for New Drugs (laboratory notes documenting the results of experiments involving new drugs), patient files, case files, consent forms, and other records of the dates, quantity and use of a new drug on subjects.

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Official Copy: Principal Investigator
Retention: 30 years after close of study
Disposition Method: Shred or Delete

Research Data -- Non-Biomedical Treatment or Intervention (Non Drug, Device or Surgical Procedure/Intervention): Regardless of funding source, comprised of research data generated from studies which do not include biomedical treatment or intervention. Includes surveys, blood draws, interviews, records review. May be reviewed by the full IRB (Institutional Review Board) or subcommittee.

Official Copy: Principal Investigator
Retention: 6 years after close of study
Disposition Method: Shred or Delete

Research Data-- Sponsor Required Contractual Obligation: Regardless of funding source, comprised of research data generated through studies which have NOT been reviewed by the full IRB (Institutional Review Board), but where the sponsor requires a signed contract which obligates a 15 year retention period. Includes consent forms.

Official Copy: Principal Investigator
Retention: 15 years after close of study
Disposition Method: Shred or Delete

Research Data -- Exempt from Human Subjects Review: Research documentation and data obtained during the course of a study, which either does not use humans as study subjects, or which is exempt from review by the Human Subjects Review Committee. May include anonymous surveys or questionnaires, research data from research using animal subjects, etc.

Official Copy: Principal Investigator
Retention: 6 years after close of study
Disposition Method: Shred or Delete

Retroactive Salary Transfer/Request to Transfer Expenditures: Retroactive Salary Transfer is a form submitted to Payroll which requests the transfer of unallowable salary charges/credits to an appropriate budget. Request to Transfer Expenditures is a form submitted to Grant and Contract Accounting which requests the transfer of unallowable charges/credits to an appropriate budget. Also includes Reverse Retroactive Salary Transfer forms.

Official Copy: Payroll
Retention: 6 years end of Month
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after Submission of Financial Status Report
Disposition Method: Shred or Delete

Time Records Grants/Contracts: Provides record of hours worked by grant/contract funded employees.

Other Copy: College/School or Department
Retention: 6 years after end of calendar year
Disposition Method: Shred or Delete

UW-GS 8 Personnel and Payroll Records

Academic Student Employees (ASE) Files: Comprehensive record of all personnel actions affecting a UW Academic Student Employee which includes information that had a reasonable bearing on the efficient and effective management of the UW. May include appointment letter, offer letter, job description, letters of reference, resume, non-academic training records, job posting, commendations, letters of resignation, termination letter.

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Official Copy: Any Office

Retention: 6 years after termination of employment with the department

Disposition Method: Shred or Delete

Affirmative Action Information Requests: A record of the data collected from each applicant for a professional staff or faculty position regarding race/ethnicity, sex, age, disability and veteran status.

Official Copy: Any Office

Retention: 3 years after completion of hiring process

Disposition Method: Shred or Delete

Affirmative Action Plans: Annual reports compiled by the Equal Opportunity Office as required by federal and state agencies. May include workforce reports and utilization analyses for all UW employees, Applicant Flow Report summaries, New Hire Reports, Separation Reports, Training Reports, etc.

Official Copy: Office of Equal Opportunity and Affirmative Action

Retention: 6 years after end of calendar year

Disposition Method: Transfer to Archives

Other Copy: Any Office

Retention: until superseded

Disposition Method: Recycle or Delete

Affirmative Action Updates -- Faculty: Reports provided by the Equal Opportunity Office and sent to Deans and department Chairs showing affirmative action goals for faculty hiring in a particular school or college. Reports are compiled from the Affirmative Action Plan to provide College/School-specific background information regarding faculty workforce, national availability data, historical new hire information, and applicant flow information for the last year.

Official Copy: Office of Equal Opportunity and Affirmative Action

Retention: 6 years after end of calendar year

Disposition Method: Recycle or Delete

Other Copy: Dean or Department Chair

Retention: 3 years after receipt of report

Disposition Method: Recycle or Delete

Applicant Flow Reports: Summaries of data collected on Affirmative Action Information Requests from applicants for faculty or professional staff positions. May include vitae of the highest ranking minority or

woman candidate considered but not appointed, or documentation of measures taken to meet the requirements of the affirmative action program.

Official Copy: Office of Equal Opportunity and Affirmative Action

Retention: 6 years after end of calendar year

Disposition Method: Shred or Delete

Other Copy: Appointing Department or Dean's Office

Retention: 3 years after completion of hiring process

Disposition Method: Shred or Delete

Applications for Classified Staff Employment -- Hired: Materials regarding applicants hired for classified staff positions. May include applications, resumes, correspondence, letters of reference, evaluations of candidates, notes on employment selection, etc.

Official Copy: Human Resources Operations -- as part of Personnel Folder

Retention: 50 years after termination of employment

Disposition Method: Shred or Delete

Official Copy: HRIS (Human Resource Information Systems)

Retention: 3 years after end of calendar year

Disposition Method: Shred or Delete

Other Copy: Hiring Office

Retention: 3 years after termination of employment with department

Disposition Method: Shred or Delete

Applications for Classified Staff Employment -- Not Hired: Materials regarding applicants not hired for classified staff positions. May include applications, resumes, correspondence, letters of reference, evaluations of candidates, notes on employment selection, etc.

Official Copy: HRIS (Human Resource Information Systems)

Retention: 3 years after end of calendar year

Disposition Method: Shred or Delete

Other Copy: Hiring Office

Retention: 3 years after completion of hiring process

Disposition Method: Shred or Delete

Applications for Professional Staff Employment -- Hired: Materials regarding applicants hired for professional staff positions. May include correspondence, resumes, letters of reference, evaluations of candidates, notes on employment selection, etc.

Official Copy: Human Resources Operations -- as part of Personnel Folder

Retention: 50 years after termination of employment

Disposition Method: Shred or Delete

Official Copy: HRIS (Human Resource Information Systems)

Retention: 3 years after end of calendar year

Disposition Method: Shred or Delete

Other Copy: Hiring Office
Retention: 3 years after termination of employment with department
Disposition Method: Shred or Delete

Applications for Professional Staff Employment -- Not Hired: Materials regarding applicants not hired for professional staff positions. May include correspondence, resumes, letters of reference, evaluations of candidates, notes on employment selection, etc.

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Official Copy: HRIS (Human Resource Information Systems)
Retention: 3 years after end of calendar year
Disposition Method: Shred or Delete

Other Copy: Hiring Office
Retention: 3 years after completion of hiring process
Disposition Method: Shred or Delete

Applications for Faculty/Academic Employment -- Not Hired: Materials regarding applicants not hired for academic positions including faculty, Chair, Dean, Director, and temporary positions (visiting scholars or scientists, clinical faculty, post-doctoral scholars, etc.). May include correspondence with rejected applicants, resumes, curricula vita, letters of reference, research proposals, evaluations of candidates, notes on employment selection, etc.

Note: Not-hired application materials for Assistant Professor, Research Assistant Professor level or higher must be managed separately - if - the hired candidate is sponsored by the UW for a green card.

Official Copy: Appointing Department - not hired application materials for Assistant Professor, Research Assistant Professor level or higher - if - the hired candidate is sponsored by the UW for a green card.
Retention: 6 years after date of filing the Application for Permanent Employment Certification
Disposition Method: Shred or Delete

Official Copy: Appointing department for all other applicants
Retention: 3 years after completion of hiring process
Disposition Method: Shred or Delete

Applications for Hourly and Student Employment -- Hired: Materials regarding applicants hired for hourly and student positions. May include applications, resumes, correspondence, letters of reference, evaluations of candidates, notes on employment selection, etc.

Official Copy: Hiring Office
Retention: 3 years after termination of employment with department
Disposition Method: Shred or Delete

Applications for Hourly and Student Employment -- Not Hired: Materials regarding applicants not hired for hourly and student positions. May include applications, resumes, correspondence, letters of reference, evaluations of candidates, notes on employment selection, etc.

Official Copy: Hiring Office
Retention: 3 years after completion of hiring process
Disposition Method: Shred or Delete

Appointment Packets (Faculty): A record of the process used in the selection of a candidate for an academic position. May include letter from the Chair to the Dean recommending appointment, letter from the Dean to the President recommending appointment, letters of recommendation obtained by the search committee, curricula vita, Biography form, documentation of measures taken to seek minority and women applicants, Applicant Flow Report, job advertisement, job description, background check, etc.

Official Copy: Academic Human Resources -- as part of Personnel Folder
Retention: 50 years after termination of employment
Disposition Method: Shred or Delete

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Other Copy: Dean's Office and/or Appointing Department
Retention: 3 years after termination of employment with department
Disposition Method: Shred or Delete

Other Copy: UWT: Finance and Administration
Retention: 3 years after termination of employment
Disposition Method: Shred or Delete

Other Copy: UWB: Academic Services
Retention: 3 years after termination of employment
Disposition Method: Shred or Delete

Ballots for Appointment, Promotion or Tenure: A record of ballots cast by faculty members regarding the appointment, promotion or tenure of another faculty member.

Official Copy: Academic Offices
Retention: for ballot issues that result in denial of tenure: 3 years after ballots counted; for other appointment, promotion, or tenure ballot issues: 1 year after ballots counted
Disposition Method: Shred or Delete

Complaint Files (*Discrimination and Harassment Complaints not filed with or investigated by UCIRO*): Provides a record of complaints investigated locally either by the home department and/or Human Resources, and not by UCIRO. Documents may include, at a minimum, information concerning the complaint and investigation; investigation report; and resolution.

Official Copy: Home Department or Human Resources
Retention: 6 years after file closed
Disposition Method: Shred or Delete

Complaint Files (*includes Discrimination and Sexual Harassment Complaints either filed with or investigated by UCIRO*): Provides a record of complaint investigations and resolutions of complaints. May include information about complaint, correspondence, etc.

Official Copy: Risk Management Office
Retention: 6 years after file closed
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after file closed
Disposition Method: Shred or Delete

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

NOTE: It is highly recommended that these records are maintained separately from other personnel files.

Departmental Action Notices: A notification, from the Payroll computer system, of upcoming payroll action deadlines, e.g., appointment end date, probation period end date, increment date, etc.

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Official Copy: Home Department
Retention: until payroll action is processed
Disposition Method: Recycle or Delete

Disciplinary Actions -- Faculty/Academic Personnel: A record of disciplinary actions taken regarding a member of the faculty, including deans, directors, etc. May include documentation of termination for cause.

Official Copy: Academic Human Resources -- as part of Personnel Folder
Retention: 50 years after termination of employment
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after termination of employment with department
Disposition Method: Shred or Delete

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Disciplinary Actions -- Hourly or Student Employees: A record of disciplinary actions taken regarding a student or hourly employee. Includes background material.

Official Copy: Employing Department
Retention: 3 years after termination of employment with department
Disposition Method: Shred or Delete

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Exception Time Reports (ETR): A record certifying changes from the normal number of hours worked by each permanent employee paid on a particular budget for a particular pay period. Includes leave without pay, overtime, shift differentials, etc. (For reports which include both state and grant/contract personnel see UW-GS 7: ETRs for Grants/Contracts)

Official Copy: Payroll
Retention: 6 years after end of the month
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after end of month
Disposition Method: Shred or Delete

Expense Distribution Reports for State Budgets: Verification of amounts paid to each employee on a particular state budget for a particular month. Reports are considered hard copy printouts from a database.

Official Copy: Any Office

Retention: Dispose of as soon as reference purpose is served

Disposition Method: Recycle or Delete

Faculty Adjudication Files: A record of the judicial proceedings of a faculty committee for the resolution of differences.

Official Copy: University Committees

Retention: 6 years after case closed

Disposition Method: Transfer to Archives for Review

Other Copy: College/School or Department

Retention: 3 years after claim resolved

Disposition Method: Shred or Delete

Other Copy: UWT: Vice Chancellor for Academic Affairs

Retention: 3 years after claim resolved

Disposition Method: Shred or Delete

Other Copy: UWB: Vice Chancellor for Academic Affairs

Retention: 3 years after claim resolved

Disposition Method: Shred or Delete

Faculty Reviews: Evaluations of UW faculty performance. May be used in evaluations for merit pay. May include yearly activity report on professional activities prepared by a faculty member for review by a Chair or Dean; measures of student performance used to evaluate teaching effectiveness; student course evaluations of instructors; etc.

Official Copy: College/School or Department

Retention: 3 years after completion of review

Disposition Method: Shred or Delete

Faculty Workload Summary Report: Allows departments to electronically link all instruction with faculty effort. Documents who is instructing every class and reports number of average weekly class contact hours each faculty member spends in providing direct instruction to students. Used for planning purposes.

Official Copy: College/School or Department

Retention: 1 year after end of academic year

Disposition Method: Shred or Delete

Faculty Workload System Verification Reports: Used to verify information regarding individual faculty that has been entered into Faculty Workload System. Includes mid-quarter Faculty Surveys and End of Quarter Contact Hours.

Official Copy: College/School or Department

Retention: 1 quarter after end of quarter

Disposition Method: Shred or Delete

Grievance Files (Staff Employee Complaint Files): A record of labor-related complaints and grievances.

Official Copy: Labor Relations Office
Retention: 6 years after case resolved or withdrawn
Disposition Method: Shred or Delete

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Other Copy: College/School or Department
Retention: 3 years after case resolved or withdrawn
Disposition Method: Shred or Delete

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Job Descriptions: Documentation of titles and descriptions for classified staff positions, professional staff, faculty or hourly positions. Includes background material and distinguishing characteristics.

Official Copy: Any Office
Retention: until superseded
Disposition Method: Transfer to Archives for review

Orientation and Training Files: A record of materials developed and used in the training of new UW personnel.

Official Copy: Employing Department
Retention: until superseded
Disposition Method: Transfer to Archives for review

Outside Work Approval: Requests to the Dean, Vice President, or Provost from academic personnel to perform consulting work and other professional and public activities outside the UW for compensation. Formerly known as the Request for Approval of Outside Professional Work for Compensation.

Official Copy: Dean, Vice President (or Chair), or Provost
Retention: 3 years after end of calendar year
Disposition Method: Shred or Delete

Official Copy: UWT: Vice Chancellor for Academic Affairs
Retention: 3 years after end of calendar year
Disposition Method: Shred or Delete

Official Copy: UWB: Vice Chancellor for Academic Affairs
Retention: 3 years after end of calendar year
Disposition Method: Shred or Delete

Official Copy: Academic Human Resources -- as part of Personnel Folder

Overpayment Repayment Option Documentation: Documentation of the overpayment repayment process for an employee. Includes the Overpayment Repayment Option Form, Overpayment Notice Letter (PDF), and Overpayment Worksheet.

Official Copy: Payroll Office

Retention: 6 years after Process Date/Final Installment Process Date

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 1 year after Paid in Full

Disposition Method: Shred or Delete

Paycheck Advice Registers (Employee Check Advice Registers): A record of the names and signatures of employees indicating receipt of their paychecks for a particular pay period.

Official Copy: Home Department

Retention: 6 months after end of calendar year

Disposition Method: Shred or Delete

Official Copy: UWT: Finance and Administration

Retention: 6 months after end of calendar year

Disposition Method: Shred or Delete

Official Copy: UWB: Finance and Administration

Retention: 6 months after end of calendar year

Disposition Method: Shred or Delete

Payroll Folders -- for Individual Employees: A record of the forms and documentation submitted to Payroll for an individual employee that has a reasonable bearing on the efficient and effective management of the UW and provides a basis for employment and post-employment benefits.

Official Copy: Payroll

Retention: 50 years after termination of employment

Disposition Method: Shred or Delete

Other Copy: Home Department

Retention: 3 years after termination of employment with department

Disposition Method: Shred or Delete

Other Copy: UWT: Finance and Administration

Retention: 3 years after termination of employment

Disposition Method: Shred or Delete

Other Copy: UWB: Finance and Administration

Retention: 3 years after termination of employment

Disposition Method: Shred or Delete

Performance Evaluations: Evaluations of UW staff job performance and reviews of salary. May include backup documentation such as position questionnaires, performance evaluation criteria, etc.

Official Copy: College/School or Department
Retention: 3 years after completion of review
Disposition Method: Shred or Delete

Personnel Action Forms (PAF): Documents changes in salary and position for UW employees.

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Official Copy: Payroll
Retention: 50 years after termination of employment
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 1 month after receipt (all copies)
Disposition Method: Shred or Delete

Personnel Folders -- Classified and Professional Staff: Comprehensive record of all personnel actions affecting a UW classified or professional staff employee, which includes information which has a reasonable bearing on the efficient and effective management of the UW and provides a basis for employment and post-employment benefits. May include Personnel Request Application for Staff Employment, resumes, letters of reference, Training and Development records, job descriptions, Personal Action Forms, Work and Leave Record for Classified and Professional Staff Employees, letters of commendation or reprimand, letters of resignation, documentation of State Labor & Industries reimbursements for on-the-job injuries, Additional Compensation-Payroll Payment Authorization Form, etc.

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Official Copy: Human Resources Operations
Retention: 50 years after termination of employment
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after termination of employment with department
Disposition Method: Shred or Delete

Personnel Folders -- Faculty/Academic Personnel: Comprehensive record of all personnel actions affecting an academic employee including faculty, Chairs, Deans, Directors, and temporary faculty (visiting scholars or scientists, clinical faculty, post-doctoral scholars, etc.) which includes information that has a reasonable bearing on the efficient and effective management of the UW and provides a basis for employment and post-employment benefits. May include appointment packet, Request for Appointment or Reappointment, Stipend Appointment, Degree Verification, Faculty Bibliography, honoraria payment records, Request for Extension of Appointment, Report of Change in Status/Reappointment, Promotion and Salary Adjustment, Application for Leave of Absence, Request for Approval of Outside Professional Work for Compensation, Biography, Summary of Outside Professional and Public Activities, tenure/promotion documents, Excess Compensation Payment Authorization, Birthdate Card, Report of Resignation or Termination, correspondence related to personnel actions, etc.

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Official Copy: Academic Human Resources
Retention: 50 years after termination of employment -- basic biographical information will be retained by

the Archives

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 3 years after termination of employment with department

Disposition Method: Shred or Delete

Personnel Folders -- Hourly, Per Diem, Temporary, and Student Employees: Comprehensive record of a department's employment of an hourly employee. Includes folders for student hourly, work-study, and temporary employees. May include applications, Notices of Temporary Employment, resumes, letters of reference, commendations/reprimands, job descriptions, copies of payroll forms, etc.

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Official Copy: College/School or Department

Retention: 3 years after termination of employment with department

Disposition Method: Shred or Delete

Official Copy: Work-Study -- work study records only

Retention: 5 years after December 1st of academic year

Disposition Method: Shred or Delete

Positive Time Report (PTR): A record certifying the number of hours worked by each hourly and student employee on a particular budget during a particular pay period.

Official Copy: Payroll

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 3 years after end of month

Disposition Method: Shred or Delete

Reclassification Documents: Requests for, and correspondence related to, the reallocation of an employee's position to a different classification.

Official Copy: Human Resources Operations -- as part of Personnel Folder

Retention: 50 years after termination of employment

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 3 years after termination of employment with department

Disposition Method: Shred or Delete

Reference Letters: Letters of reference prepared by UW employees regarding other current or former UW employees with whom they are acquainted.

Official Copy: Signatory

Retention: 1 year after end of calendar year

Disposition Method: Shred or Delete

Request for Approval for Outside Work – Professional and Classified Staff: This form is used for Professional and Classified staff to obtain advance approval of outside work, whether or not for compensation, whenever the work stems from, could conflict with, or may relate to the employee's job duties or status as a University employee.

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Official Copy: Any Office

Retention: 3 years after Termination of Employment with Department

Disposition Method: Shred or Delete

Resumes -- Unsolicited: A record of inquiries about employment opportunities not specifically related to an open position. May include correspondence, resumes, curriculum vitae, etc.

Official Copy: Receiving Office

Retention: 1 year after date of receipt

Disposition Method: Shred or Delete

Retroactive Salary Transfer Requests: Forms used to request and provide an adjustment to an individual's salary record.

Official Copy: Payroll

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: For state budget requests, included in departmental Payroll Folders or Personnel Folders

Disposition Method: Shred or Delete

Salary Increase Worksheet: Used to calculate salary increases for faculty and professional staff. May include income spreadsheets and working papers.

Official Copy: Any Office

Retention: 3 years after salary increase

Disposition Method: Shred or Delete

Scientific and Scholarly Misconduct Inquiries: Inquiries into scientific or scholarly misconduct which are resolved prior to formal investigation, in which the Office of Scholarly Integrity acts as mediator for the parties involved.

Official Copy: Office of Scholarly Integrity

Retention: 6 years after resolution of case

Disposition Method: Shred or Delete

Official Copy: UWT: Vice Chancellor for Academic Affairs

Retention: 6 years after resolution of case

Disposition Method: Shred or Delete

Official Copy: UWB: Vice Chancellor for Academic Affairs
Retention: 6 years after resolution of case
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 6 years after resolution of case or 3 years after termination of employment, whichever is longer
Disposition Method: Shred or Delete

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Scientific and Scholarly Misconduct Investigation Records -- Unproven: A record of the investigation of unproven allegations against academic personnel regarding plagiarism, falsification of data, intentional misrepresentation of credentials, abuse of confidentiality, or deliberate violation of regulations applicable to research.

Official Copy: Office of Scholarly Integrity
Retention: 6 years after case dismissed
Disposition Method: Shred or Delete

Official Copy: UWT: Vice Chancellor for Academic Affairs
Retention: 6 years after case dismissed
Disposition Method: Shred or Delete

Official Copy: UWB: Vice Chancellor for Academic Affairs
Retention: 6 years after case dismissed
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 6 years after case dismissed or 3 years after termination of employment with department, whichever is longer
Disposition Method: Shred or Delete

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Scientific and Scholarly Misconduct Investigation Records: A record of the investigation of proven allegations against academic personnel regarding plagiarism, falsification of data, intentional misrepresentation of credentials, abuse of confidentiality, or deliberate violation of regulations applicable to research.

Official Copy: Office of Scholarly Integrity
Retention: 6 years after case closed
Disposition Method: Shred or Delete

Official Copy: UWT: Vice Chancellor for Academic Affairs
Retention: 6 years after case closed
Disposition Method: Shred or Delete

Official Copy: UWB: Vice Chancellor for Academic Affairs
Retention: 6 years after case closed
Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 6 years after case closed or 3 years after termination of employment with department, whichever is longer

Disposition Method: Shred or Delete

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Scientific and Scholarly Misconduct Records -- Investigations for External Agencies: Materials provided to the Office of Scholarly Integrity for evidence in misconduct inquiry by an external agency.

Official Copy: Office of Scholarly Integrity

Retention: 3 years after completion of UW investigation

Disposition Method: Shred or Delete

Official Copy: UWT: Vice Chancellor for Academic Affairs

Retention: 3 years after completion of UW investigation

Disposition Method: Shred or Delete

Official Copy: UWB: Vice Chancellor for Academic Affairs

Retention: 3 years after completion of UW investigation

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 1 year after information provided to Office of Scholarly Integrity

Disposition Method: Shred or Delete

NOTE: Information regarding employee misconduct or alleged misconduct shall be destroyed or maintained in accordance with WAC 357-22-040 and RCW 41.06.450.

Summaries of Outside Professional and Public Activities: Annual report submitted by academic personnel to Dean or Vice President listing professional services offered outside the UW, e.g., lectures, appointments to editorial boards, extended professional service in the community, etc. May also include annual evaluative reports from Deans and Vice Presidents to the President.

Official Copy: Dean, Vice President -- summaries

Retention: 3 years after end of calendar year

Disposition Method: Shred or Delete

Official Copy: UWT: Vice Chancellor for Academic Affairs

Retention: 3 years after end of calendar year

Disposition Method: Shred or Delete

Official Copy: UWB: Vice Chancellor for Academic Affairs

Retention: 3 years after end of calendar year

Disposition Method: Shred or Delete

Official Copy: Academic Human Resources -- as part of Personnel Folder

Retention: 50 years after termination of employment

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 3 years after end of calendar year

Disposition Method: Shred or Delete

Tenure Appeals: A record of appeals by faculty who have been denied tenure.

Official Copy: Academic Human Resources -- as part of Personnel Folder

Retention: 50 years after termination of employment

Disposition Method: Shred or Delete

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Official Copy: University Committees -- Adjudication Files

Retention: 6 years after case closed

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 3 years after termination of employment with College/School or Department

Disposition Method: Shred or Delete

Other Copy: UWT: Vice Chancellor for Academic Affairs

Retention: 3 years after termination of employment

Disposition Method: Shred or Delete

Other Copy: UWB: Vice Chancellor for Academic Affairs

Retention: 3 years after termination of employment

Disposition Method: Shred or Delete

Tenure/Promotion/Merit Pay Evaluations: A record of evaluations for faculty members eligible for tenure, promotion or merit pay.

Official Copy: Academic Human Resources -- as part of Personnel Folder

Retention: 50 years after termination of employment

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 3 years after completion of review

Disposition Method: Shred or Delete

Other Copy: UWT: Vice Chancellor for Academic Affairs

Retention: 3 years after completion of review

Disposition Method: Shred or Delete

Other Copy: UWB: Vice Chancellor for Academic Affairs

Retention: 3 years after completion of review

Disposition Method: Shred or Delete

Time Records for Classified & Professional Staff: Submitted by Classified and Professional Staff to request/report leave and overtime hours.

Official Copy: Any Office

Retention: 1 year after annual audit

Disposition Method: Shred or Delete

Time Records for Hourly Staff: Departmental source data supporting the Positive Time Report (PTR) sent to Payroll for payment of hourly wages.

Official Copy: Any Office

Retention: 6 years after end of month

Disposition Method: Shred or Delete

Time Sheets for Classified and Professional Staff, Summary: Departmental form created to provide a detailed summary of all hours worked by an individual employee. Used to track time/overtime/leave time. Supplemental to Form 220.

Official Copy: Any Office

Retention: 6 years after end of calendar year

Disposition Method: Shred or Delete

Time Sheets for Work Study Students(On-Campus Time Sheets): A signed record of hours worked by students employed under a state or federal work-study program.

Official Copy: Financial Aid Office

Retention: 3 years after the academic year, and up to the following December 1 for reporting purposes

Disposition Method: Shred or Delete

Other Copy: Home Department

Retention: 1 year after end of quarter

Disposition Method: Shred or Delete

Training Records: A record of training provided to UW staff and faculty. May include descriptions of training and employee registration. Training may be provided by Training and Development, UW: Information Technology, Environmental Health and Safety, eProcurement, etc.

Official Copy: Professional Organization and Development -- for POD classes only

Retention: 5 years after end of calendar year

Disposition Method: Shred or Delete

Official Copy: Any Office Providing Non-Required Training

Retention: 1 year after administrative purpose served

Disposition Method: Shred or Delete

Official Copy: Any Office Providing Required Training

Retention: 6 years after end of calendar year

Disposition Method: Shred or Delete

Other Copy: Employee

Retention: retain personal training file for 3 years after termination of UW employment

Disposition Method: Shred or Delete

Workers Compensation (L&I) Forms: A record of on-the-job injury reports made to the State Department of Labor & Industries when an employee seeks medical assistance. Includes Report of Industrial Injury or Occupational Disease, correspondence, etc.

Official Copy: Risk Management
Retention: 10 years after first L & I closure
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after termination of employment with department
Disposition Method: Shred or Delete

UW-GS 9 Student Records

Admission Applications -- Enrolled Graduate Students: A record of applicants accepted for admission and enrolled in a UW graduate program.

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Official Copy: Graduate School

Retention: 6 years after last quarter registered

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 6 years after degree awarded, or 6 years after last quarter of activity

Disposition Method: Shred or Delete

Admission Applications -- Enrolled Undergraduate Students: A record of applicants accepted for admission to and enrolled in a UW undergraduate program.

Official Copy: Undergraduate Admissions

Retention: 9 years after beginning of Fall Quarter of admission year

Disposition Method: Shred or Delete

Official Copy: UWB: Student Affairs: Registrar

Retention: 9 years after beginning of Fall Quarter of admission year

Disposition Method: Shred or Delete

Official Copy: UWT: Enrollment Services

Retention: 9 years after beginning of Fall Quarter of admission year

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 6 years after degree awarded, or 6 years after last quarter of activity

Disposition Method: Shred or Delete

Admission Applications -- Undergraduate Applicants Not Accepted, Not Entered, or Application Incomplete: A record of applicants for UW admission into an undergraduate program who were either denied admission; who were accepted, but who did not enroll at the UW; or who never completed the application process.

Official Copy: Undergraduate Admissions

Retention: U.S. Citizen/Permanent Resident Applicants: 1 year after beginning of quarter for which applied; Foreign Applicants: 2 years after beginning of quarter for which applied

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 1 year after completion of admission process

Disposition Method: Shred or Delete

Admission Applications -- Graduate Applicants Not Accepted, Not Entered or Application Incomplete: A record of applicants for UW admission into a graduate program who were not accepted; who were accepted, but who did not enroll at the UW; or who never completed the application process.

Official Copy: College, School or Department -- US citizen/permanent resident applicants
Retention: 1 year after beginning of quarter for which applied
Disposition Method: Shred or Delete

Official Copy: Graduate Admissions -- foreign applicants
Retention: 2 years after beginning of quarter for which applied
Disposition Method: Shred or Delete

Other Copy: College/School or Department -- foreign applicants
Retention: 1 year after beginning of quarter for which applied
Disposition Method: Shred or Delete

Admission Applications-- Residency/Fellowship Applicants Not Matched, Not Accepted, Withdrawn, or Not Interviewed: A record of applicants to a Residency or Fellowship Program who did not match, were not accepted, withdrew from consideration, or were not interviewed.

Official Copy: Any Department with a Residency/Fellowship Program
Retention: 1 year after completion of the admissions process
Disposition Method: Shred or Delete

Advisor's Files: Advisor copies of student records used to monitor academic progress. May include grade reports, Advisor's Worksheets (unofficial transcripts), study abroad files, etc.

Official Copy: Any Advisory Office
Retention: 1 year after student inactive or graduated
Disposition Method: Shred or Delete

Alumni Lists: Mailing lists of departmental alumni obtained from the UW alumni database. Used to solicit contributions, notify alumni of special events, etc.

Official Copy: Development Services
Retention: Until superseded
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: Until superseded
Disposition Method: Shred or Delete

Assistantship/Fellowship/Traineeship/Research Program Applications -- Awarded: A record of applicants awarded grant, contract or state-funded assistantships, fellowships or traineeships. May include applications, recommendations, correspondence, etc.

Official Copy: College/School or Department
Retention: 6 years after termination of award if not filed in student folder
Disposition Method: Shred or Delete

Assistantship/Fellowship/Traineeship/Research Program Applications -- Denied: A record of applicants for grant, contract or state-funded assistantships, fellowships or traineeships who were not awarded the position. May include applications, recommendations, correspondence, etc.

Official Copy: College/School or Department
Retention: 1 year after completion of application process
Disposition Method: Shred or Delete

Audio/Visual and Video Equipment Requests: This series documents the check out and return of audio/visual and video equipment by students, staff and faculty. If the equipment is not returned on time, a late fee is not incurred.

Official Copy: College/School or Department
Retention: 6 months after return of equipment
Disposition Method: Shred or Delete

Award Files: A record of awards/special recognition for particular students. Does not include scholarships.

Official Copy: College/School or Department
Retention: 6 years after award presented
Disposition Method: Shred or Delete

Change of College/School and/or Major Forms: A record of authorization from the appropriate Dean(s) for a student to change to a different college/school and/or major.

Official Copy: Registrar's Office
Retention: 2 years after end of quarter
Disposition Method: Shred or Delete

Official Copy: UWB: Student Affairs: Registrar
Retention: 2 years after end of quarter
Disposition Method: Shred or Delete

Other Copy: Any Advisory Office/Dean's Office
Retention: 2 years after end of quarter
Disposition Method: Shred or Delete

Continuing Education Credit Applications: Provides record of applicants for continuing education courses. May include application materials, payment information, etc.

Official Copy: Any Office
Retention: 6 years after completion of program
Disposition Method: Shred or Delete

Continuing Education Credit Attendance Records: Provides proof of attendance for professionals taking courses for continuing education credit. May include sign in sheets, course evaluations, etc.

Official Copy: Any Office
Retention: 7 years after course completed
Disposition Method: Shred or Delete

Continuing Education Credit Course Planning Materials: Materials generated in the development of a course offered for continuing education credit. May include meeting minutes and agendas; planning teleconferences; emails; memos; correspondence; a copy of the proposal submitted to the credit awarding organization; etc.

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Official Copy: Any Office
Retention: 7 years after course no longer offered
Disposition Method: Shred or Delete

Credit by Exam Applications: A record of a student's eligibility to take an examination in order to obtain credit for a class without enrolling in it.

Official Copy: Registrar's Office -- Graduation and Academic Records
Retention: 1 year after end of quarter
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: Until end of quarter in which exam is given
Disposition Method: Shred or Delete

Degree Applications: Graduation applications received by either the Registrar's Office (for the Bachelor's and Professional degrees) or the Graduate School (for Master's and Doctor's degrees). May include compiled lists of students eligible to graduate.

Official Copy: Registrar's Office -- Graduation and Academic Records (for Bachelor's and Professional degrees)
Retention: 1 year after end of quarter
Disposition Method: Shred or Delete

Official Copy: UW Bothell: Student Affairs: Registrar
Retention: 1 year after end of quarter
Disposition Method: Shred or Delete

Official Copy: UW Tacoma: Enrollment Services
Retention: 1 year after end of quarter
Disposition Method: Shred or Delete

Official Copy: Graduate School (for Master's and Doctor's degrees)
Retention: 6 years after last quarter registered
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 1 year after date of graduation, or for those who do not graduate, 1 year after end of quarter
Disposition Method: Shred or Delete

Degree Audit Reporting System (DARS) Report: Provides a record of student academic progress. Includes a list of courses taken and number of credits still necessary to complete general requirements for graduation and for completion of major/program. Reports may be printed by department or received as batch copy from Registrar's Office.

Official Copy: Registrar's Office -- Degree Audit Reporting System

Retention: 3 months after audit of system, or report ordered

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: Until superseded

Disposition Method: Shred or Delete

Disciplinary Cases: A record of investigations and disciplinary actions taken pursuant to the Student Conduct Code (WAC 478-120).

Official Copy: Office of the Vice Provost for Student Life - academic and non-academic cases

Retention: 7 years after disciplinary action has been taken and/or after the administrative purpose has been served

Disposition Method: Shred or Delete

Official Copy: Dean -- for academic disciplinary actions & non-disciplinary actions

Retention: 7 years after disciplinary action has been taken and/or after the administrative purpose has been served

Disposition Method: Shred or Delete

Official Copy: Housing and Food Services: Residential Life - residence hall cases

Retention: 7 years after disciplinary action has been taken and/or after the administrative purpose has been served

Disposition Method: Shred or Delete

Other Copy: Department

Retention: 7 years after disciplinary action has been taken and/or after the administrative purpose has been served

Disposition Method: Shred or Delete

Disciplinary Investigations for Exonerated Students: A record of investigations into possible violations of the Student Conduct Code (WAC 478-120) for students who were subsequently exonerated. May include case materials and notice of exoneration.

Official Copy: Any Office

Retention: Destroy upon complete exoneration

Disposition Method: Shred or Delete

NOTE: By requirement of WAC 478-120-145, disciplinary records of exonerated students shall not be maintained.

Enrollment Reports – Census : Listing of students enrolled for each academic course and section. This listing is produced on the 10th day of classes.

Official Copy: UW Bothell: Student Affairs: Registrar
Retention: 3 years after end of quarter; transfer to Archives for review
Disposition Method: Shred or Delete

Official Copy: Registrar's Office-- Data Services
Retention: 3 years after end of quarter; transfer to Archives for review
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: Considered a duplicate; may be disposed of as soon as they have served their reference purpose
Disposition Method: Shred or Delete

Entry Code Listings (Course or Add/Drop Entry Codes): A record of computer codes given to a department for use by qualified students to enter, add or drop a course.

Official Copy: Registrar's Office -- Data Management Services
Retention: Until end of quarter
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: Until end of quarter
Disposition Method: Recycle or Delete

Exams and Answer Sheets: A record of student answers to examination questions.
NOTE: This retention period applies to those graded exams not retrieved by the student.

Official Copy: Academic Departments
Retention: 1 quarter after the end of the quarter in which the exam was given
Disposition Method: Shred or Delete

NOTE: A sample of each exam and its answer sheet should be retained with Course History Files.

Exams and Answer Sheets -- Credit by Exam: A record of student responses to qualifying exams provided to authorized students for possible exemption from taking a course.

Official Copy: College/School or Department
Retention: 1 year after end of academic year
Disposition Method: Shred or Delete

NOTE: A sample of each exam and its answer sheet should be retained with Course History Files.

Exams and Answer Sheets -- Proficiency/Placement Exams: A record of student responses to placement exams administered by college/school or department to determine level of subject proficiency.

Official Copy: College/School or Department
Retention: 1 year after end of academic year
Disposition Method: Shred or Delete

Grade Appeals and Grievance Files: A comprehensive record of a student's appeal of a grade, or other student grievance mediated within the department, school or college.

Official Copy: College/School or Department

Retention: 5 years after end of quarter in which issue is resolved

Disposition Method: Shred or Delete

Grade Books: Listing of student grades for exams, papers, projects, class participation for a particular course. Provides the basis on which the final grade is assigned.

Official Copy: College/School or Department

Retention: 2 years after end of quarter

Disposition Method: Shred or Delete

Grade Confirmation Reports: Provides to a department confirmation of grades for all students in a course, as reported to the Registrar by the instructor each quarter.

Official Copy: Registrar's Office -- Data Services

Retention: Sent to department; no paper copy retained

Disposition Method: Shred or Delete

Official Copy: UW Bothell: Student Affairs: Registrar

Retention: Sent to department; no paper copy retained

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 2 years after end of quarter

Disposition Method: Shred or Delete

Grade Reports, Quarterly: A record of a student's grades for all courses taken in a quarter, sent by the Registrar's Office to the student's major department.

Official Copy: Registrar's Office -- Data Services

Retention: 1 month after end of quarter

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: Until transcript is received

Disposition Method: Shred or Delete

Grade Sheets (Instructor's Grade Report Sheet): Listings of the quarterly grade assigned by the instructor to each student in a course, and sent to the Registrar's Office for recording. Includes grade change forms.

Official Copy: Registrar's Office -- Graduation and Academic Records

Retention: 5 years after end of quarter

Disposition Method: Shred or Delete

Official Copy: UW Bothell: Student Affairs: Registrar
Retention: 5 years after end of quarter
Disposition Method: Shred or Delete

Official Copy: UW Tacoma: Enrollment Services
Retention: 5 years after end of quarter
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: Until superseded by verified Grade Confirmation Report
Disposition Method: Shred or Delete

Graduation Petitions: Requests from students to waive a graduation requirement.

Official Copy: Registrar's Office -- Graduation and Academic Records
Retention: 2 years after end of quarter
Disposition Method: Shred or Delete

Official Copy: UW Bothell: Student Affairs: Registrar
Retention: 2 years after end of quarter
Disposition Method: Shred or Delete

Official Copy: UW Tacoma: Enrollment Services
Retention: 2 years after end of quarter
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: Until graduation or withdrawal from the UW
Disposition Method: Shred or Delete

Major Application -- Undergraduate: A record of applicant's petition for major standing within an academic program.

Official Copy: College/School or Department
Retention: If approved - as part of student folder; If not approved - 1 year after quarter of denial
Disposition Method: Shred or Delete

Papers, Projects and Other Assignments by Students: A record of papers, projects and other assignments submitted by students in fulfillment of course or degree requirements.
NOTE: This retention period applies to those assignments not retrieved by the student after they are graded.

Official Copy: College/School or Department
Retention: 1 quarter after the end of the quarter in which the assignment was graded
Disposition Method: Shred or Delete

Permission Slips: A record of signed consent by a student, or legal guardian if the student is a minor, to participate in a field trip.

Official Copy: Any Office
Retention: 6 years from completion of field trip
Disposition Method: Shred or Delete

Reference Letters: Letters of reference prepared by UW faculty and staff regarding UW students or former UW students with whom they are acquainted.

Official Copy: Any Office
Retention: 1 year after end of calendar year
Disposition Method: Shred or Delete

Registered Lists: Listing of courses for which a student is registered during a particular quarter. Previously in card form, now on-line.

Official Copy: Registrar's Office -- Data Services
Retention: 1 year after report is run
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: Until superseded by quarterly grade report
Disposition Method: Shred or Delete

Registrar's Statistical Reports: Compilations of data obtained by the Registrar's Office regarding student enrollment, courses, grade distribution, scholarship, ethnicity of students, etc. May include Class Enrollment Count, Class Size Monitoring Report, Class Standing by College, Course Content Report, Cumulative Registration Enrollment Report, Ethnic Enrollment Survey, Grade Distribution Report, Graduate Students List, Registered List, Scholarship Reports, Variable Credit Class Census, Withdrawn Students List, etc.

Official Copy: UW Bothell: Student Affairs: Registrar
Retention: Variable depending on report, refer to departmental records retention schedule; transfer to Archives for review
Disposition Method: Shred or Delete

Official Copy: Registrar's Office -- Data Services
Retention: Variable depending on report, refer to departmental records retention schedule; transfer to Archives for review
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 1 year after end of quarter
Disposition Method: Shred or Delete

Resident/Fellowship Files: Provides a comprehensive record of accepted applicants to a residency or fellowship program. Used to verify completion of residency or fellowship education requirements. May include evaluations, letters of recommendation, application, correspondence, Certification of Residency, certification of completion, etc.

Official Copy: Any Department with a Residency or Fellowship Program
Retention: 45 years after completion of residency or fellowship or withdrawal from program
Disposition Method: Shred or Delete

Resident Physician/Medical Student Evaluation -- Raw Data: Comprised of questionnaires used to provide an evaluative record of resident physicians or medical students. Evaluation forms are summarized and merged into Departmental Resident Files or Medical Student Folders.

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Official Copy: Any Department
Retention: 5 years after resident/medical student has graduated or until any dispute involving the resident/medical student has been resolved, whichever occurs later
Disposition Method: Shred or Delete

Resident Physician/Medical Student Evaluations -- Summaries: Provides an evaluative record of resident physicians or medical students. Evaluations are completed by attending physicians, peer physicians, supervising physicians, residents, or medical students. Includes evaluative comments regarding clinical knowledge, skills, interpersonal relationships, and personal/professional characteristics. The evaluations are merged into Department Resident Files or Medical Student Folders.

Official Copy: Any Department
Retention: Resident Files- Variable, depending upon departmental retention schedule for Resident Files
Medical Student Folders- 40 years after degree is awarded
Disposition Method: Shred or Delete

Scholarships Awarded by Department -- Program Records: A record of a departmentally-administered scholarship program (not administered by UW Office of Student Financial Aid). May include documentation of the establishment of the fund (administrative requirements for the scholarship, donations received, copies of wills, etc.), correspondence regarding the scholarship program, list of recipients, etc.

Official Copy: College/School or Department
Retention: 6 years after termination of program
Disposition Method: Transfer to Archives for review

Scholarships Awarded by Financial Aid: A record of scholarship funds awarded to students through the Office of Student Financial Aid. May include administrative requirements for the scholarship, correspondence, lists of recipients, etc.

Official Copy: Office of Student Financial Aid
Retention: 5 years after funds are dispersed
Disposition Method: Shred or Delete

Other Copy: College/School or Department
Retention: 3 years after award
Disposition Method: Transfer to Archives for review

Scholarship/Research Award/Student Award Applications -- Not Awarded: A record of students who have applied for departmental scholarships or research awards which have been denied.

Official Copy: College/School or Department
Retention: 1 year after completion of application process
Disposition Method: Shred or Delete

Scholarships/Research Award/Student Award Awarded by Department -- Recipients: A record of recipients of departmentally-administered scholarship funds (not administered by UW Office of Student Financial Aid) or research awards. May include application materials; forms rating the applicants; award notification letters, etc.

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Official Copy: College/School or Department
Retention: 6 years after award
Disposition Method: Shred or Delete: forward record of recipients to Archives

Student Folders -- Graduate Degree Awarded: A record of the academic history of students who have received a graduate degree.

Official Copy: College/School or Department
Retention: 6 years after degree awarded
Disposition Method: Shred or Delete

Official Copy: Graduate School Dean's Office
Retention: 6 years after last quarter registered
Disposition Method: Shred or Delete

Student Folders -- Undergraduate Degree Awarded: A record of the academic history of students who have received a Bachelor's degree.

Official Copy: College/School or Department
Retention: 6 years after degree awarded
Disposition Method: Shred or Delete

Student Folders -- Inactive/On-Leave Graduate Students: A record of the academic history of graduate students who have been admitted but who have not completed a degree program or who are on-leave from a program.

Official Copy: College/School or Department
Retention: 6 years after last quarter of activity
Disposition Method: Shred or Delete

Official Copy: Graduate School Dean's Office
Retention: 6 years after last quarter registered
Disposition Method: Shred or Delete

Student Folders -- Inactive Undergraduate Students: A record of the academic history of undergraduate students who have been admitted but who have not completed a degree program.

Official Copy: College/School or Department
Retention: 6 years after last quarter of activity

Disposition Method: Shred or Delete

Student Folders -- Non-Matriculated: A record of students not admitted to a degree program but who have taken classes. May include continuing education and certificate programs.

Official Copy: College/School or Department
Retention: 6 years after last quarter registered
Disposition Method: Shred or Delete

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Student Folders -- Visiting Students: A record of students who are pursuing a degree from another institution but who take some UW courses or do a clerkship or research studies at the UW.

Official Copy: College/School or Department
Retention: 6 years after last quarter registered
Disposition Method: Shred or Delete

Student Tickler File: Notes and lists used as a memory tickler to help faculty and staff identify former students for the purpose of writing letters of reference for them. Lists may include: names of students, dates degrees awarded, titles of final projects, final grades, grade point averages, etc.

Official Copy: College/School or Department
Retention: Until administrative purpose is served
Disposition Method: Shred or Delete

Theses and Dissertations: A record of student theses and dissertations produced to satisfy degree requirements.

Official Copy: UW Libraries
Retention: Permanent

Other Copy: College/School or Department
Retention: 6 years after degree awarded
Disposition Method: Recycle or Delete

Transcripts (Permanent Student Record): A record of the UW academic history of a student in terms of the courses taken, grades and degrees received. May also be used as Advisor's Worksheets.

Official Copy: Registrar's Office -- Administration
Retention: Permanent

Other Copy: College/School or Department
Retention: While enrolled or until superseded
Disposition Method: Shred or Delete

Undergraduate Admissions Referral Forms: Requests from the Undergraduate Admissions Office for evaluations from a department regarding individual candidate admissibility into a specific major.

Official Copy: Undergraduate Admissions

Retention: If not accepted, or not entered - 1 year after beginning of quarter for which applied. If admitted - as part of student folder

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: If not accepted, or not entered - end of quarter for which applied. If admitted - as part of student folder

Disposition Method: Shred or Delete

Withdrawal Petitions: A record of a student's request to drop all courses for a quarter. May include: Petition for Hardship Withdrawal; Petition for Withdrawal from the University, Withdrawal Petition for Dropping All Courses for the Quarter, etc.

Official Copy: Registrar's Office

Retention: Hardship Withdrawal- 5 years after end of quarter

Non-Hardship Withdrawal- 3 years after end of quarter

Disposition Method: Shred or Delete

Official Copy: UW Bothell: Registrar's Office

Retention: Hardship Withdrawal- 5 years after end of quarter

Non-Hardship Withdrawal- 3 years after end of quarter

Disposition Method: Shred or Delete

Official Copy: UW Tacoma: Enrollment Services

Retention: Hardship Withdrawal- 5 years after end of quarter

Non-Hardship Withdrawal- 3 years after end of quarter

Disposition Method: Shred or Delete

Other Copy: College/School or Department

Retention: 1 quarter after withdrawal

Disposition Method: Shred or Delete

UW-GS 10 General Office Administration Records

Administrative System Access and UWATS (UW Alternative Toll Service) Forms: Provides a record of employees granted access to UW administrative systems or other state agency databases. (Communications, Payroll, Student Database, Financial, Accounting, Purchasing Systems, Data Warehouse, etc.) Forms are approved by the Dean or Director before being submitted to UW Technology: Administrative Applications or Registrar: Data Services. May also include correspondence.

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Official Copy: Any office granting access to database
Retention: 6 months after account deleted.
Disposition Method: Shred or Delete

Other Copy: College, School, or Department
Retention: 1 year after submission of request to office granting access
Disposition Method: Shred or Delete

Annual Reports: Summaries of accomplishments, goals, statistics, awards received, anticipated program needs and plans, supporting documentation, etc.

Official Copy: Any Office
Retention: 5 years after end of reporting period
Disposition Method: Transfer to Archives

Authorization to Apply for a Banquet Permit to Serve Alcohol: Form which provides a record of University offices who have applied for a permit to serve alcoholic beverages on campus. Includes a description of the event; date; location; and estimated attendance.

Official Copy: Chair, Use of University Facilities Committee
Retention: 6 years after end of event
Disposition Method: Recycle or Delete

Official Copy: UWT: Office of the Chancellor
Retention: 6 years after end of event
Disposition Method: Recycle or Delete

Official Copy: UWB: Finance and Administration
Retention: 6 years after end of event
Disposition Method: Recycle or Delete

Other Copy: College/School or Department
Retention: 6 months after end of event
Disposition Method: Recycle or Delete

Award Files: A record of achievements and special recognition for a program, department or individual.

Official Copy: Any Office
Retention: 3 years after date of award
Disposition Method: Transfer to Archives for review

Ballots: A record of the votes cast to decide on a policy/procedure change or to determine the outcome of a departmental choice.

Official Copy: Any Office

Retention: 1 year after count verified

Disposition Method: Shred or Delete

Building Leases: Documents the legal, management and financial actions taken when the UW is the tenant/Grantee for property leases for UW use.

Official Copy: UW Real Estate Office

Retention: 6 years after Termination of Lease

Disposition Method: Transfer to Archives

Other Copy: College/School or Department

Retention: 1 year after Lease expires

Disposition Method: Shred or Delete

Calendars, Appointment Books, Daily Schedules, Telephone Logs: A record of UW-related appointments, schedules, meetings, visitors and routine phone call logs.

Official Copy: Any Office

Retention: 2 year after end of calendar year

Disposition Method: Recycle or Delete

Correspondence: Written communications between/within UW offices/departments and other UW offices/departments or non-UW entities.

Official Copy: Any Office

Retention: 5 years after end of calendar year

Disposition Method: Transfer to Archives for review

Donor Files: Provides information regarding donor prospects gathered for the purpose of soliciting gifts or funds for the University. Documents the relationship between the college/school/department/office and individual donor, corporate donor, or foundation. May include profiles, donation information, correspondence, annual reports, newspaper clippings, etc.

Official Copy: Any Office

Retention: Until Superseded

Disposition Method: Shred or Delete

Equipment Information Cards (Orange Cards) and Asset Control Sheets: A record of equipment added to a department's inventory.

NOTE: Orange cards are completed by a department and sent to the Equipment Inventory Office. Asset Control Sheets are produced by Equipment Inventory with information from Procurement Services

regarding newly purchased equipment for which the Equipment Inventory Office has not received an Orange Card. Information regarding equipment is also entered into OASIS.

Official Copy: Equipment Inventory Office
Retention: Orange Cards - 6 years after card received;
Asset Control Sheets - 6 years after end of fiscal year;
OASIS - 6 years after sale or deletion of equipment
Disposition Method: Recycle or Delete

Other Copy: Any Office
Retention: until Equipment Inventory Report is verified
Disposition Method: Recycle or Delete

Equipment Inventory Database: Provides a record of all equipment owned by an office or department. This information is kept electronically and tracks the location and status of the equipment. The database contains items not found in the Equipment Inventory Office's database.

Official Copy: Any Office
Retention: 6 years after surplus of equipment
Disposition Method: Recycle or Delete

Equipment Inventory Reports (Physical Inventories): A record of UW-owned and federally-owned equipment held or deleted by departments.
NOTE: Inventory is updated annually by a department and recorded by the Equipment Inventory Office.

Official Copy: Equipment Inventory Office
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

Other Copy: Any Office
Retention: until superseded by updated and approved Equipment Inventory Report
Disposition Method: Recycle or Delete

Equipment Maintenance/Service Reports: A record of equipment maintenance and repair. May include work performed by other UW units, work performed by outside companies under a service agreement with a UW department or work performed by outside companies not under a service agreement. Does not include medical equipment.

Official Copy: Any Office
Retention: 6 years after service date
Disposition Method: Recycle or Delete

History Files: Documentation of the history and development of an office, program or event. May include photographs, videotapes, newsletter, etc.

Official Copy: Any Office
Retention: 5 years after end of calendar year
Disposition Method: Transfer to Archives

Incident Reports: Internal departmental reports of facility damage, theft of UW property, etc., when no claim has been filed.

NOTE: This is not the official UW Police "Incident Report" or "Accident/Incident Report" (injuries).

Official Copy: Any Office

Retention: 1 year after end of calendar year

Disposition Method: Shred or Delete

Insurance: A record of insurance policies for property such as scientific instruments, equipment or fine art. May include correspondence, photographs, policies and claims.

Official Copy: Risk Management

Retention: 6 years after termination or renewal of policy

Disposition Method: Transfer to Archives for review

Other Copy: Any Office

Retention: 6 years after termination or renewal of policy

Disposition Method: Transfer to Archives for review

Insurance -- Special Needs: A record of documentation and policies pertaining to special insurance needs.

Official Copy: Risk Management

Retention: 6 years after termination or renewal of policy

Disposition Method: Transfer to Archives for review

Other Copy: Any Office

Retention: 6 years after termination or renewal of policy

Disposition Method: Transfer to Archives for review

Invention Disclosure Package: Confidential material on new patents awarded to UW. Provided by Office of Technology Licensing to Dean/Chair of inventor's College/School or Department. May include copies of disclosure letter, invention power of attorney and assignment of rights, UW patent form, etc.

Official Copy: College/School or Department

Retention: Administrative purpose served

Disposition Method: Transfer to Archives for review

Litigation Evidence Files: Material held for on-going litigation to which an office is a party. Generated as duplicates of materials found in existing record series. May include correspondence, financial records, personnel folders, etc.

Official Copy: Any Office

Retention: 6 years after termination of litigation

Disposition Method: Shred or Delete

Litigation Files: Material created specifically in response to litigation. May be in the form of background material, evidence files, correspondence, meeting minutes, reports, statistics, etc.

Official Copy: Any Office
Retention: 10 years after termination of litigation
Disposition Method: Shred or Delete

Model Release Forms: An agreement between an individual and the University of Washington granting the University rights to photographs, video, or to produce recordings of an individual.

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Official Copy: Any Office
Retention: 6 years after publication or video no longer in use
Disposition Method: Shred or Delete

Monthly Reports: Summaries of monthly activity or project/program status. May include statistics.

Official Copy: Any Office
Retention: 3 years after end of month
Disposition Method: Transfer to Archives for review

Organization Charts and Listings: Records of a department's organizational structure or its relationship to other offices and departments. May delineate lines of responsibility, chain of command, etc.

Official Copy: Any Office
Retention: until superseded
Disposition Method: Transfer to Archives

Photos, Slides, Videotapes, Audiotapes: Multi-media record, including web content and social media content, of events, people, facilities and activities. Used for promotional or instructional purposes, or to document events, etc.

Official Copy: Any Office
Retention: administrative purpose served
Disposition Method: Transfer to Archives for review

Planning/Project Files: Documentation of long-range goal setting and long-range planning for both special projects and general office operations. May include statistics, correspondence, notes, reports, budget information, etc.

Official Copy: Any Office
Retention: 5 years after calendar year
Disposition Method: Transfer to Archives for review

Policies and Procedures: Records of the establishment of policies and procedures. May include background material and drafts, manuals, directives, etc.

Official Copy: Any Office
Retention: until superseded

Disposition Method: Transfer to Archives

Property Activity Requests: A record of the disposition of equipment from a department - either through surplus, transfer, or sale. May include State of Washington documentation.

Official Copy: Equipment Inventory Office
Retention: 6 years after sale, transfer or deletion of equipment
Disposition Method: Recycle or Delete

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Official Copy: Property and Transportation Services: Moving and Surplus
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

Official Copy: UWB: Budget and Planning
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

Official Copy: UWT: Facilities Services
Retention: 6 years after end of fiscal year
Disposition Method: Recycle or Delete

Other Copy: Any Office
Retention: 3 years after end of calendar year
Disposition Method: Recycle or Delete

Public Records Requests: Official notice sent by the Office of Public Records and Open Meetings to a UW department requesting records needed for disclosure.

Official Copy: Office of Public Records and Open Meetings
Retention: 6 years after end of month
Disposition Method: Shred or Delete

Other Copy: Any Office
Retention: 2 years after end of calendar year
Disposition Method: Shred or Delete

Publications Production Records: Documentation of the production of materials for publication by department or program. May include rough drafts and working materials for brochures, flyers, announcements, reports, newsletters, etc.

Official Copy: Any Office
Retention: 3 years after date of publication; transfer one copy of final publication to the University Archives
Disposition Method: Recycle or Delete

NOTE: For all other types of publications, please see section 11 of the General Records Retention Schedule

Quarterly Reports: A quarterly record of departmental activities, achievements, etc. May include statistics.

Official Copy: Any Office
Retention: 3 years after end of quarter
Disposition Method: Transfer to Archives for review

Records Center Storage Documentation: Provides UW offices with information regarding boxes/records stored at the University Records Center. Includes the following: **Storage Request Form** - form used by UW offices to request storage of records at the Records Center; **Accession Confirmation** - listing of records from Storage Request Form with corresponding Records Center box location codes; **Disposition Notification Forms** - form signed by UW offices used to authorize Records Center disposition of boxes which have passed their approved retention period.

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Official Copy: Records Management Services
Retention: 6 years after disposition of last record
Disposition Method: Recycle or Delete

Other Copy: Any Office
Retention: 3 years after disposition of last record on any particular Accession Confirmation
Disposition Method: Recycle or Delete

Records Retention Schedules: Listing of unique records created or received by UW offices and the State-approved retention period for each series.

Official Copy: Records Management Services
Retention: 1 year after disposal of last record
Disposition Method: Recycle or Delete

Other Copy: Any Office
Retention: until superseded
Disposition Method: Recycle or Delete

Request for Use of University Facilities: A record of requests to use UW facilities for events which are open to the general public, or which involve the co-sponsorship of a non-University organization by a University academic or administrative unit.

Official Copy: Use of University Facilities Committee (*for all facilities*)
Retention: 5 years after end of calendar year
Disposition Method: Recycle or Delete

Official Copy: UWT: Chancellor
Retention: 5 years after end of calendar year
Disposition Method: Recycle or Delete

Official Copy: UWB: Facilities Use Committee
Retention: 5 years after end of calendar year
Disposition Method: Recycle or Delete

Other Copy: Any Office, including sponsor
Retention: 1 year after facility used; or 1 year after request denied
Disposition Method: Recycle or Delete

Room Assignment Requests: A record of requests from departments for the assignment of classrooms, meeting or conference rooms.

Official Copy: Registrar: Time Schedule and Room Assignment Office

Retention: 1 year after end of quarter

Disposition Method: Recycle or Delete

Official Copy: UWB: Student Affairs

Retention: 1 year after end of quarter

Disposition Method: Recycle or Delete

Other Copy: Any Office

Retention: 1 year after end of quarter

Disposition Method: Recycle or Delete

Shredding/Recycling Log: Log used to track records which have been disposed of either by shredding or recycling. Includes name of record, authorization, dates of material, and date recycled, shredded, or deleted.

Official Copy: Any Office

Retention: 6 years after end of calendar year

Disposition Method: Recycle or Delete

Space Survey: Annual inventory of space assigned to each department, with functional designations for each room or area.

Official Copy: Capital Resource Planning

Retention: 10 years after end of calendar year

Disposition Method: Transfer to Archives

Official Copy: UWT: Chancellor

Retention: 10 years after end of calendar year

Disposition Method: Transfer to Archives

Official Copy: UWB: Administrative Services

Retention: 10 years after end of calendar year

Disposition Method: Transfer to Archives

Other Copy: Any Office

Retention: until superseded by next completed survey

Disposition Method: Recycle or Delete

Statistics: Compiled information used to document office functions, activities, and accomplishments.

Official Copy: Any Office

Retention: 5 years after end of calendar year

Disposition Method: Transfer to Archives for review

Subject Files: Files arranged alphabetically by topic for subjects of relevance to the work of an office. May include correspondence, memos, reports, statistics, etc.

Official Copy: Any Office

Retention: 5 years after end of calendar year

Disposition Method: Transfer to Archives for review

Subpoenas: Legal document requiring recipient to appear in court to testify, or to produce records to be used in litigation.

Official Copy: Any Office

Retention: 6 years after case closed/records produced

Disposition Method: Shred or Delete

Surveys/Questionnaires: Individual responses to surveys or questionnaires.

Official Copy: Any Office

Retention: 1 year after results compiled

Disposition Method: Shred or Delete

Survey/Questionnaire Reports: A summary record of the compiled responses to surveys or questionnaires. Includes blank sample survey form and report of results.

Official Copy: Any Office

Retention: 3 years after end of calendar year

Disposition Method: Transfer to Archives for review

Technical System Documentation: Documentation of computer systems or databases used by an office, either developed in-house or by a contracted system developer. May include operator's manual, general description of design, system definition, project work plan, design detail, file layout, establishment of programs, reports listing and data dictionary. This series is for unique systems/databases only, and does **not** include or apply to over-the counter software/database packages.

Official Copy: Any Office

Retention: 6 years after system replaced/no longer used

Disposition Method: Shred or Delete

Training Materials: Brochures, slides, videos, overheads, hand-outs and other training materials used by office/departments for employee training sessions.

Official Copy: Any Office

Retention: 2 years after training session no longer presented

Disposition Method: Recycle

University of Washington Award Nomination Files - Recipients: Comprised of material submitted regarding faculty members, graduate students, staff members, etc. who received one of the many awards

bestowed by the University. May include application materials, curriculum material, syllabi, supporting correspondence, etc. This series applies specifically to those awards that have monetary value.

Official Copy: Any Office

Retention: 6 years after Academic Year

Disposition Method: Transfer to Archives

University of Washington Award Nomination Files - Denied: Comprised of material submitted regarding faculty members, graduate students, staff members, etc. nominated for one of the many awards bestowed by the University. May include application materials, curriculum material, syllabi, supporting correspondence, etc. This series applies specifically to those awards that have monetary value.

Official Copy: Any Office

Retention: 2 years after Academic Year

Disposition Method: Shred or Delete

WAC Files: Record of drafts, hearings, justification statement and other documents related to, and documenting, the development and enactment of official rules and regulations for inclusion in the Washington Administrative Code.

Official Copy: Rules Coordination Office

Retention: 6 years after rule is superseded

Disposition Method: Transfer to Archives for review

Other Copy: Any Office

Retention: 6 years after rule is superseded

Disposition Method: Shred or Delete

UW-GS 11 Publication Records

This section provides a listing of records created during the production of a publication published by, or, whose copyright is owned by the University of Washington. For those journals where the copyright is owned by another University or the editorial responsibilities rotate to different Universities, please contact the University of Washington Archivist for questions regarding the management of those records.

Please note if you do not have these records, you are not required to create them. Because the submission and editorial processes of journals differ, you may also have a Departmental Retention Schedule for those records which are unique to your journal. Records may be created in either hardcopy or electronic format. If a record being created by your journal is not found on this retention schedule, please contact Records Management Services at 543-0573 or urc@u.washington.edu.

Editorial Committee/Board Meeting Records: A record of actions and decisions of a journal's editorial board. Typically includes minutes, agendas, notes, reports, etc.

Official Copy: Any Journal

Retention: 6 years after the end of the calendar year

Disposition Method Transfer to Archives for review

Mailing or Distribution List: A record of subscribers to a journal.

Official Copy: Any Journal

Retention: Until Superseded

Disposition Method: Shred or Delete

Permission Request Letter: Provides a record of requests from individuals or publishers who want to use an article from a UW published journal. May include a copy of the text sent to the individual or publisher.

Official Copy: Any Journal

Retention: 6 years after approval granted or denied

Disposition Method: Transfer to Archives for review

Publication History File: Documentation for the history and development of a journal. May include former board or peer reviewers, distribution statistics, etc.

Official Copy: Any Journal

Retention: 5 years after end of calendar year

Disposition Method: Transfer to Archives for review

Publication Working File: Provides a record of the editing phase of the journal. May include the original submissions for an issue, working drafts, correspondence between the editor and author, reviewers' comments, timelines, task lists, article development, etc.

Note- The email or letter from the author granting final approval of the article for publication needs to be filed with the Publishing and/or Copyright Agreement.

Official Copy: Any Journal

Retention: 1 year after issue published

Disposition Method: Shred or Delete

Publishing and/or Copyright Agreement: An agreement between the University of Washington and the author regarding the writing of a journal article. May include copyright agreement or related documents, proof of layout, etc. Also includes the final approval of the article.

Official Copy: Any Journal

Retention: 6 years after termination of contract

Disposition Method: Transfer to Archives for review

Selection Review Process: Provides a record of how submissions are determined to be publishable or unpublishable.

Official Copy: Any Journal

Retention: Varies, see departmental retention schedule

Disposition Method: Shred or Delete

Subscription Records: Provides a record of subscriptions received by a journal. May contain the subscription form and financial records.

Official Copy: Any Journal

Retention: 6 years after end of calendar year

Disposition Method: Shred or Delete

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