



## **This schedule applies to: University of Washington**

### **Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the University of Washington relating to the unique functions of the university. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)*, which authorizes the destruction/transfer of public records common to all state agencies.

### **Disposition of public records**

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designated as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation and must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW and must be managed in accordance with the agency’s policies and procedures for public records requests.

### **Revocation of previously issued records retention schedules**

All previously issued records retention schedules to the University of Washington (excluding U.W. Medicine) are revoked. The University of Washington must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

### **Authority**

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on June 1, 2022.

*Signature on File*

**For the State Auditor:**  
**Al Rose**

-

**For the Attorney General:**  
**Suzanne Becker**

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**Terry Badger**



## REVISION HISTORY

| Version | Date of Approval  | Extent of Revision  |
|---------|-------------------|---|
| 1.0     | June 6, 2012      | Consolidation of all existing disposition authorities (with some minor revisions).                              |
| 1.1     | September 5, 2012 | Minor revisions.  |
| 1.2     | December 5, 2012  | Minor revisions (especially to Grant and Contract Accounting, Intercollegiate Athletics, and Payroll sections). |
| 1.3     | March 6, 2013     | Minor revisions.  |
| 1.4     | June 5, 2013      | Minor revisions.  |
| 1.5     | September 4, 2013 | Minor revisions.  |
| 1.6     | March 5, 2014     | Minor revisions.  |
| 1.7     | June 4, 2014      | Minor revisions.  |
| 1.8     | September 3, 2014 | Minor revisions.  |
| 1.9     | December 3, 2014  | Minor revisions.  |
| 1.10    | March 12, 2015    | Minor revisions.  |
| 1.11    | September 2, 2015 | Minor revisions.  |
| 1.12    | December 2, 2015  | Minor revisions.  |
| 1.13    | March 2, 2016     | Minor revisions.  |
| 1.14    | June 29, 2016     | Minor revisions.  |
| 1.15    | September 7, 2016 | Minor revisions.  |
| 1.16    | December 7, 2016  | Minor revisions.  |
| 1.17    | March 1, 2017     | Minor revisions.  |
| 1.18    | June 14, 2017     | Minor revisions.  |



|      |                   |                  |
|------|-------------------|------------------|
| 2.0  | September 6, 2017 | Minor revisions. |
| 2.1  | April 4, 2018     | Minor revisions. |
| 2.2  | August 1, 2018    | Minor revisions. |
| 2.3  | October 3, 2018   | Minor revisions. |
| 2.4  | December 5, 2018  | Minor revisions. |
| 2.5  | February 6, 2019  | Minor revisions. |
| 2.6  | April 3, 2019     | Minor revisions. |
| 2.7  | June 5, 2019      | Minor revisions. |
| 2.8  | August 7, 2019    | Minor revisions. |
| 2.9  | October 2, 2019   | Minor revisions. |
| 2.10 | December 4, 2019  | Minor revisions. |
| 2.11 | February 5, 2020  | Minor revisions. |
| 2.12 | June 3, 2020      | Minor revisions. |
| 2.13 | August 5, 2020    | Minor revisions. |
| 2.14 | December 2, 2020  | Minor revisions. |
| 2.15 | February 3, 2021  | Minor revisions. |
| 2.16 | June 2, 2021      | Minor revisions. |
| 2.17 | February 2, 2022  | Minor revisions. |
| 2.18 | April 6, 2022     | Minor revisions. |
| 2.19 | June 1, 2022      | Minor revisions. |



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## UW General Schedule Dentistry Clinic

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 91 12 49574<br><br>Rev. 0                | <b>Gold Slips and Logs</b><br>Provides record of gold inventory and amount of gold used in dental procedures. May include Gold Log, which includes student name, patient name, date and amount of gold used in procedure.  | <b>Retain</b> for 6 Years after End of Fiscal Year<br><br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 19 12 69414<br><br>Rev. 0                | <b>Graduate Program Patient Charts</b><br>Provides complete documentation of examination, diagnosis and treatment for each patient receiving dental care including: periodontal, orthodontal, oral surgery, endodontic treatment, or procedures such as dental implants which require long term tracking. Charts may include: Chart Routing Record, X-Rays logs, Admitting Record, Dental Insurance Questionnaire, Problem and Treatment Lists and Plans, Progress Notes/Treatment Record (UW-D-3), Health History Questionnaire, Fees Statement, Request for Radiographic Examination, etc. | <b>Retain</b> until Deceased<br><br><i>then</i><br><b>Destroy.</b>                        | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 91 3 47534<br><br>Rev. 1                 | <b>Patient Charts</b><br>Provides complete documentation of examination, diagnosis and treatment for each patient receiving dental care including: periodontal, orthodontal, oral surgery, endodontic treatment, or procedures such as dental implants which require long term tracking. Charts may include: Chart Routing Record, X-Rays logs, Admitting Record, Dental Insurance Questionnaire, Problem and Treatment Lists and Plans, Progress Notes/Treatment Record (UW-D-3), Health History Questionnaire, Fees Statement, Request for Radiographic Examination, etc.                  | <b>Retain</b> for 10 Years after Last Treatment<br><br><i>then</i><br><b>Destroy.</b>     | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 95 07 55759<br><br>Rev. 0                | <b>Patient Screening Records -- Not Accepted</b><br>Provides a record of questionnaires or preliminary screening examinations of patients not accepted for admittance to a clinic. May include Admitting Report, Health History Questionnaire, and Progress Notes.<br><br>Screening records of accepted patients become part of Patient Chart.   | <b>Retain</b> for 1 Year after Patient Not Accepted<br><br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## UW General Schedule Dentistry Clinic

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 98 10 58844<br><br>Rev. 0                | <b><i>Prescription Records</i></b><br>Provides record of each dispensed x-ray, prescription drug, set of dentures, etc. Includes Daily Script Journal. Maintained as per RCW 69.41.042. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

## UW General Schedule Section 2 Environmental Health & Safety/Facilities Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|--|--|--|
| 12 06 68264<br><br>Rev. 0                | <b><i>Agency Reporting-Statute, Regulation, or Rule</i></b><br>A record of reporting to outside agencies on both the state and federal level as required by statute, regulation or rule. Includes USDA, L&I, OSHA etc.   | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 10 11 62305<br><br>Rev. 0                | <b><i>Building Use Permits</i></b><br>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 permanent staff accessing sensitive research areas. A record of the names of employees authorized to sign Building Use Permits is retained by the UW Police and Building Coordinators. | <b>Retain</b> for 1 Year after Permit<br>Expires<br><br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| 10 11 62265<br><br>Rev. 0                | <b><i>Chemical Hygiene Plan - Laboratory Specific</i></b><br>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.   | <b>Retain</b> for 6 Years after<br>Superseded<br><br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |



## UW General Schedule Section 2 Environmental Health & Safety/Facilities Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 10 10 62334<br>Rev. 0                    | <b>Chemical Treatment Log</b><br>This series documents the discharge of treated chemicals into the sewer system.  | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 10 04 62136<br>Rev. 0                    | <b>Controlled Substances and Alcohol Misuse-Education and Training Records</b><br>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. As per 49 CFR 382.401.  | <b>Retain</b> for 6 Years after<br>Cessation of Duties<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 10 04 62135<br>Rev. 0                    | <b>Controlled Substances, Program Administration and Alcohol Test Records</b><br>This series provides a record of the administration of the controlled substances/alcohol testing program for Commercial Driver's License employees. It includes positive tests results for controlled substances/alcohol misuse and documents 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. May also include agreements with testing facilities, testing policy and procedures, collection logbooks, documents relating to the random selection process, and decision to administer post-accident tests or reasonable suspicions, etc. Required as per 49 CFR 382.401 | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 10 04 62133<br>Rev. 0                    | <b>Controlled Substances/Alcohol Test Results - Negative Results or Cancelled Tests</b><br>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.   | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



## UW General Schedule Section 2 Environmental Health & Safety/Facilities Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|---|---|--|
| 10 11 62267<br>Rev. 0                    | <b><i>Departmental Health and Safety Manual</i></b><br>Department specific plan regarding to 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 Work plan, Hazardous Assessment for Personal Protective Equipment or Job Safety Analysis.   | <b>Retain</b> for 6 Years after Superseded or Updated<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |
| 12 06 68273<br>Rev. 1                    | <b><i>Inspection/Survey Records</i></b><br>Provides a record of internal and external inspections or surveys of environmental issues to provide a safe and healthful workplace at the UW. Includes inspections of labs and equipment, food handling, water quality, hazardous materials and waste management, and animal facilities to ensure compliance with health and safety policies. Also includes prevention and assessment inspections by the Environmental Health and Safety Assessment team and Washington Department of Ecology inspections. May include inspection reports, test results, worksheets, etc. | <b>Retain</b> for 6 Years after Last Inspection<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |
| 10 11 62281<br>Rev. 0                    | <b><i>Job Safety Analysis</i></b><br>Analysis of job for safety precautions and/or regulations. The analysis identifies the need for Personal Protection Equipment Assessment and Training. This document may be included as part of the Departmental Health and Safety Manual.   | <b>Retain</b> until Superseded<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| 09 09 62091<br>Rev. 0                    | <b><i>Notice of Laboratory Equipment Decontamination (UoW Form 1083)</i></b><br>This form informs Facilities Services personnel that the equipment has been cleaned or decontaminated prior to service or removal for surplus.  | <b>Retain</b> for 6 Years after Service Date or Surplus<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 10 04 62143<br>Rev. 0                    | <b><i>Radioactive Waste Disposal Logs</i></b><br>Internal logs used by labs to assist in the completion of the Form 160. These logs may include Form 150, 159, 170, 176 or others designed by labs and considered an equivalent.<br>See Disposal of Radioactive Waste - Form 160 for retention of Form 160  | <b>Retain</b> for 5 Years after End of Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                            |



## UW General Schedule Section 2 Environmental Health & Safety/Facilities Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 10 11 62293<br>Rev. 0                    | <b>Site Specific Safety Affidavits</b><br>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.                  | <b>Retain</b> for 6 Years after<br>Termination of Employment<br><i>then</i><br><b>Destroy.</b>    | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 10 08 62298<br>Rev. 0                    | <b>Survey Records - Radiation Safety</b><br>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. | <b>Retain</b> for 5 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>         | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 10 09 62316<br>Rev. 0                    | <b>Voluntary Respirator Use Form</b><br>This series provides a record of employees who voluntarily use disposable filtering face-piece respirators.   | <b>Retain</b> for 6 Years after<br>Termination of Voluntary Use<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |

## UW General Schedule Section 3 Curriculum Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 10 11 62236<br>Rev. 0                    | <b>Accreditation Documentation</b><br>Statistical, descriptive and evaluative materials necessary for a program, college or school to maintain accreditation with the professional association which sets the standards for that particular discipline.<br>Materials must have been created specifically for accreditation. | <b>Retain</b> for 6 Years after<br>Accreditation or Until<br>Superseded by New<br>Accreditation<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |



### UW General Schedule Section 3 Curriculum Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|--|--|---|
| 10 11 62239<br>Rev. 0                    | <b>Course Comment Sheets</b><br>A record of the evaluative comments written by students regarding the content and presentation of a course. After comments are compiled by the Office of Educational Assessment, comment sheets are returned to departments.   | <b>Retain</b> for 5 Years after Tenure<br>Approved or Denied<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 11 08 62670<br>Rev. 1                    | <b>Course Materials</b><br>Materials created and used as the basis for the content of a course. May include notes, rubrics, PowerPoint slides, podcasts and other recordings such as Panopto, Zoom or other conferencing platform recordings.  | <b>Retain</b> until No Longer Needed<br>for Agency Business Plus One<br>Academic Quarter<br><i>then</i><br><b>Destroy.</b>                     | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                         |
| 10 11 62248<br>Rev. 0                    | <b>Program Review and Evaluation</b><br>Documents the internal and external evaluation and review of graduate and undergraduate departments, special programs/interdisciplinary centers/institutes within a specific school or college. May include comments from outside sources, students, faculty, administrators, other interested parties, and institutional comparisons. Includes 10 year departmental self-evaluation and review. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 10 11 62253<br>Rev. 0                    | <b>Textbook Desk Copy Request to Publishers</b><br>Requests from faculty or staff to publishers for a free desk copy of a textbook being used in the classroom. May include correspondence.  | <b>Retain</b> for 6 Years after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 10 11 62251<br>Rev. 1                    | <b>Textbook Orders</b><br>Requests for course textbooks.   | <b>Retain</b> for 1 Year after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |



### UW General Schedule Section 3 Curriculum Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 86 6 36961<br>Rev. 0                     | <b><i>Time Schedule Changes (Requests for Change in the Quarterly Time Schedule)</i></b><br>Requests from academic departments to list a new course or to change the listing for a course in the forthcoming Time Schedule. Changes formerly submitted via form UW 20-506 now transmitted via email. | <b>Retain</b> for 1 Year after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

### UW General Schedule Section 4 Materials That May Be Disposed of Without a Specific Retention Period

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 12 09 68323<br>Rev. 0                    | <b><i>Lists/Logs</i></b><br>Lists/logs containing information tracked by a department from which elements are superseded as new data/information is received, where not covered by a more specific records series | <b>Retain</b> until Reference Purpose<br>Served<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

### UW General Schedule Section 6 Financial Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|---|---|--|
| 11 02 62375<br>Rev. 1                    | <b><i>Budget Requests -- Final</i></b><br>Record of a budget request to the Provost by Deans, Vice Provosts, Vice Presidents or Chancellors.                  | <b>Retain</b> for 4 Years after End of<br>Biennium<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |
| 12 06 68279<br>Rev. 1                    | <b><i>Petitions and Waivers</i></b><br>Provides a record of petitions and waivers which grant exemptions for faculty, staff or visitors from a fee or a fine. | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |



## UW General Schedule Section 7 Research and Grant/Contract Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 09 09 62092<br>Rev. 0                    | <b>Export Control Records for Grants/Contracts</b><br>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.  | <b>Retain</b> for 5 Years after<br>Termination of Funding Period<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 11 08 62693<br>Rev. 1                    | <b>Human Subject Research: Consent Forms for Research -- Adults</b><br>Records relating to the permission granted by adult subjects to participate in a human subject research program, or clinical studies/trials.   | <b>Retain</b> for 8 Years after Close of<br>Study<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 22 06 69659<br>Rev. 0                    | <b>Personal Identifiers</b><br>Personally identifiable information (such as name, birth date, SSN, DOB, contact info, medical record number) that can connect records/data back to an individual enrolled in a study and is collected as part of research activities, including human subjects research, human subject research that has "exempt" status, and clinical trials or studies (all phases). Note: Applies to personal identifiers associated with non-FDA regulated research. For personal identifiers associated with FDA regulated research see: Research Data--New Drug/Device Development. Note: Longer retention periods may be required by study sponsors or federal agencies. | <b>Retain</b> until Close of Study<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 22 06 69660<br>Rev. 0                    | <b>Research Data -- Device Development</b><br>Research documentation and raw data (including personal identifiers) obtained in the course of a FDA-regulated study to develop a device. May include Investigators' Notebooks (laboratory notes documenting the results of experiments), patient files, case files, and other records of the dates, quantity and use of a device on subjects. Also includes all correspondence with other investigators, the IRB, the sponsor, a monitor, or FDA, including required reports. (As per 21 CFR 312.62 and 21 CFR 812.140)  | <b>Retain</b> for 30 Years after the<br>close of the study if FDA status is<br>unknown; or, 2 years after the<br>latter of the following two dates:<br>The date on which the<br>investigation is terminated or<br>completed, or the date that the<br>records are no longer required<br>for purposes of supporting a<br>premarket approval application,<br>a notice of completion of a | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



|                       |   |   |                                      |
|-----------------------|---|---|--------------------------------------|
|                       |   | product development protocol, a humanitarian device exemption application, a premarket notification submission, or a request for De Novo classification<br><i>then</i><br><b>Destroy.</b>   |                                      |
| 22 06 69661<br>Rev. 0 | <b>Research Data – Drug Development</b><br>Research documentation and raw data (including personal identifiers) obtained in the course of a FDA-regulated study to develop a drug. May include Investigators' Notebooks (laboratory notes documenting the results of experiments), patient files, case files, and other records of the dates, quantity and use of a drug on subjects. Also includes all correspondence with other investigators, the IRB, the sponsor, a monitor, or FDA, including required reports. (As per 21 CFR 312.62 and 21 CFR 812.140) | <b>Retain</b> for 30 Years after close of study if FDA status is unknown; or 2 years following the date a marketing application is approved by the FDA; or, for drug studies where no application is to be filed or if the application is not approved for such indication, retain all records for 2 years after the investigation is discontinued and FDA is notified.<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 11 08 62657<br>Rev. 0 | <b>Visa Travel Records</b><br>This series documents the process of applying for and receiving Visas for foreign travel. Records may contain Visa application, travel itinerary, Customs Letters, immunizations letters, and other correspondence between the receiving country and the University of Washington as needed.  | <b>Retain</b> for 6 Years after Return from Trip<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## UW General Schedule Section 8 Personnel & Payroll Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND<br>DISPOSITION ACTION | DESIGNATION |
|--|------------------------|-------------------------------------|-------------|
|--|------------------------|-------------------------------------|-------------|



|                       |   |   |                                      |
|-----------------------|---|---|--------------------------------------|
| 11 08 62727<br>Rev. 0 | <b><i>Applications for Hourly and Student Employment -- Hired</i></b><br>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. | <b>Retain</b> for 3 Years after<br>Termination of Employment with<br>Department<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
|-----------------------|---|---|--------------------------------------|



## UW General Schedule Section 8 Personnel & Payroll Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 11 08 62739<br>Rev. 0                    | <b>Faculty Reviews</b><br>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.  | <b>Retain</b> for 3 Years after<br>Completion of Review<br><i>then</i><br><b>Destroy.</b>                         | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 07 08 61593<br>Rev. 1                    | <b>IACUC Letters of Commendation, Acknowledgement, Counsel and/or Reprimand and/or Suspension to Primary Investigators (or other UW employees)</b><br>Letters that document noncompliance with policy, deviation from the provisions of the Guide for the Care and Use of Laboratory Animals, or suspensions of an activity by the Institutional Animal Care and Use Committee. Letters are kept to ensure that any patterns of noncompliance by an individual can be monitored and dealt with appropriately by the University.  | <b>Retain</b> for 6 Years after<br>Termination of Employment<br><i>then</i><br><b>Destroy.</b>                    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 11 08 62750<br>Rev. 1                    | <b>Personnel Records for Hourly, Per Diem, Temporary, and Student Employees</b><br>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.  | <b>Retain</b> for 3 Years after<br>Termination of Employment with<br>Department<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 95 MF 5559<br>Rev. 0                     | <b>Payroll Folders for Individual Employees</b><br>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. May include Personnel Action Form (PAF), Stipend Appointment Form, Request for Extension of Appointment, Employment Eligibility Verification (I-9 form required by US Government to verify citizenship), Work and Leave Record for Classified and Professional Staff Employees, Request for Payment of Year-end Unused Sick Leave form, Request for Payment of Award or Prize to UW Student or Employee form etc. | <b>Retain</b> for 3 Years after<br>Termination of Employment with<br>Department<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## UW General Schedule Section 8 Personnel & Payroll Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 86 1 35853<br>Rev. 1                     | <b><i>Personnel Records-Official Copy</i></b><br>Comprehensive record of all personnel actions affecting a faculty/academic, or classified non-union, professional, and contract covered staff. Includes chairs, deans, directors, and temporary faculty (visiting scholars or scientists, clinical faculty, post-doctoral scholars, etc.). 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 results of background checks and education verification, hire confirmation letter and offer acceptance letter, request for crediting of previous state employment, Employment Security Department Determination Notices, outside work approval form, formal corrective action documentation, layoff packet, position and salary review documentation, application materials and references for hired staff, faculty appointment packet, request for appointment or reappointment, stipend appointment, degree verification, honoraria payment records, request for extension of appointment, report of change in status/reappointment, reclassification and salary adjustment documentation, Personal Action Forms, promotion and salary adjustment, application for leave of absence, biography, summary of outside professional and public activities, documentation supporting excess compensation and excess compensation payment authorization, birth date card, letters of resignation or termination, correspondence related to personnel actions, etc. | <b>Retain</b> for 50 Years after Termination of Employment<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 11 08 62717<br>Rev. 1                    | <b><i>Personnel Records for Academic Student Employees (ASE)</i></b><br>Comprehensive record of all personnel actions affecting a UW Academic 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.  | <b>Retain</b> for 6 Years after Termination of Employment<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 11 08 62756<br>Rev. 0                    | <b><i>Salary Increase Worksheet</i></b><br>Used to calculate salary increases for faculty and professional staff. May include income spreadsheets and working papers.   | <b>Retain</b> for 3 Years after Salary Increase<br><i>then</i><br><b>Destroy.</b>            | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## UW General Schedule Section 8 Personnel & Payroll Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 20 12 69605<br>Rev. 0                    | <p><b><i>Selection for Classified Non-Union, Professional, and Contract Covered Staff Employment—Hired and Not Hired</i></b></p> <p>Records relating to the process of recruitment and selection of classified non-union, professional and contract covered staff. Includes applicants who were hired as well as those applicants who were considered but not hired. May include, but are not limited to: applications, resumes, correspondence, evaluations of candidates, notes on employment selection, video or other conferencing platform recordings of interviews, sexual misconduct disclosure in accordance with RCW 28B.112.080, reference check results, etc.</p> <p>Excludes records covered by Personnel Records-Official Copy (DAN 86-1-35853)--hire confirmation letter, offer acceptance letter, results of background checks, and education verification.</p> | <p><b>Retain</b> for 3 Years after Conclusion of Recruitment<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 11 08 62757<br>Rev. 0                    | <p><b><i>Summaries of Outside Professional and Public Activities</i></b></p> <p>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.</p>   | <p><b>Retain</b> for 3 Years after End of Calendar Year<br/><i>then</i><br/><b>Destroy.</b></p>      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 11 08 62762<br>Rev. 0                    | <p><b><i>Time Records for Classified &amp; Professional Staff</i></b></p> <p>Submitted by Classified and Professional Staff to request/report leave and overtime hours.</p>  | <p><b>Retain</b> for 1 Year after Annual Audit<br/><i>then</i><br/><b>Destroy.</b></p>               | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 93 8 52741<br>Rev. 0                     | <p><b><i>Training Records</i></b></p> <p>A record of presentation or course material developed, gathered and used in training. May include reference material, outlines, handouts, notes, evaluations, and actual presentations. May include employee registration and rosters. Includes both required and non-required training. Training may be provided by POD, UW Information Technology, eProcurement, etc.</p>   | <p><b>Retain</b> for 6 Years after End of Calendar Year<br/><i>then</i><br/><b>Destroy.</b></p>      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



## UW General Schedule Section 9 Student Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 86 1 35847<br>Rev. 1                     | <b>Admission Applications -- Applicants Not Accepted, Not Entered, or Application Incomplete</b><br>A record of applicants for UW admission into an undergraduate, graduate, fellowship, or residency program, residence hall, or student classification who were either denied; who were accepted but not entered; or who never completed the application process.   | <b>Retain</b> for 1 Year after Last Contact<br><i>then</i><br><b>Destroy.</b>                  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 11 10 62786<br>Rev. 1                    | <b>Advisor's Files</b><br>Records used to monitor student academic progress. May include transcripts from transfer institutions, learning contracts for independent study, research or internship credits, grade reports, Advisor's Worksheets, study abroad files, etc. Advisors files may include substantive material received through email, or created or maintained as a Digital File. Note: Paper records which are printouts or duplicates of a digital file may be shredded at any time. | <b>Retain</b> for 1 Year after Student Inactive or Graduated<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 11 10 62790<br>Rev. 1                    | <b>Award Files</b><br>Provides a record of awards/special recognition and achievements for a particular student. May include Zoom or other conferencing platform recordings of event. Does not include scholarships.  | <b>Retain</b> for 6 Years after Award presented<br><i>then</i><br><b>Destroy.</b>              | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 86 6 36935<br>Rev. 0                     | <b>Change of College/School and/or Major Forms</b><br>A record of authorization from the appropriate Dean(s) for a student to change to a different college/school and/or major.  | <b>Retain</b> for 2 Years after End of Quarter<br><i>then</i><br><b>Destroy.</b>               | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 04 11 60792<br>Rev. 0                    | <b>Continuing Education Course Records</b><br>Provides a record of continuing education courses. May provide proof of attendance for professionals taking course for continuing education credit, financial records, registrant list, credits awarded, advertisements for course, course evaluation, contract with instructor, etc.   | <b>Retain</b> for 7 Years after Course Completion<br><i>then</i><br><b>Destroy.</b>            | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## UW General Schedule Section 9 Student Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 04 11 60793<br>Rev. 0                    | <b>Continuing Education Credit Course Planning Materials</b><br>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.   | <b>Retain</b> for 7 Years after Course<br>No Longer Offered<br><i>then</i><br><b>Destroy.</b>                  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 86 6 36952<br>Rev. 1                     | <b>Degree Applications</b><br>Graduation applications received by either the Office of the University Registrar (for 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.   | <b>Retain</b> for 1 Year after Date of<br>Graduation/End of Quarter<br><i>then</i><br><b>Destroy.</b>          | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 11 10 62800<br>Rev. 0                    | <b>Exams and Answer Sheets -- Proficiency/Placement &amp; Credit by Exam</b><br>A record of student responses to placement exams administered by college/school or department to determine level of subject proficiency, or to authorize students for possible exemption from taking a course.   | <b>Retain</b> for 1 Year after End of<br>Academic Year<br><i>then</i><br><b>Destroy.</b>                       | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 11 10 62808<br>Rev. 1                    | <b>Exams, Papers, Projects and Other Assignments by Students</b><br>A record of answers to examinations, as well as papers, projects and other assignments submitted by students in fulfillment of course or degree requirements. Includes Zoom or other conferencing platform recordings.<br><br>NOTE: This retention period applies to those exams and assignments not retrieved by the student after they are graded. | <b>Retain</b> for 3 Months after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b>                           | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 11 10 62801<br>Rev. 0                    | <b>Grade Appeals and Grievance Files</b><br>A comprehensive record of a student's appeal of a grade, or other student grievance mediated within the department, school or college.   | <b>Retain</b> for 5 Years after End of<br>quarter in which issue is resolved<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |



## UW General Schedule Section 9 Student Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 11 10 62802<br>Rev. 1                    | <b>Grade Books</b><br>Listing of student grades for exams, papers, projects, class participation for a particular course. Provides the basis upon which the final grade is assigned.   | <b>Retain</b> for 5 Years after End of Academic Year<br><i>Then</i><br><b>Destroy.</b>                    | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 11 10 62806<br>Rev. 0                    | <b>Major Application -- Undergraduate</b><br>A record of an applicant's petition for major standing within an academic program.  | <b>Retain</b> for 1 Year after Quarter of Denial<br><i>then</i><br><b>Destroy.</b>                        | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 12 06 68269<br>Rev. 1                    | <b>Petitions and Waivers: Student</b><br>Provides a record of a petitions and waivers for a change to the status of a student, or for exemption from a fee, fine or requirement. Also includes release from liability.   | <b>Retain</b> for 6 Years after Graduation or Last Contact with Student<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 11 10 62810<br>Rev. 0                    | <b>Reference Letters</b><br>Letters of reference prepared by UW faculty and staff regarding UW students or former UW students with whom they are acquainted.   | <b>Retain</b> for 1 Year after End of Calendar Year<br><i>then</i><br><b>Destroy.</b>                     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 88 12 49458<br>Rev. 0                    | <b>Student Employment Recruitment Files</b><br>Provides a record of prospective employers recruiting for full, part-time, or work study employees at UW sponsored events or using UW sponsored resources including Career Fairs, Husky Employer Partnership Program, Featured Employers Night, virtual Resume Books, etc. May include registration forms, recruiting information, publicity documents, data sheets, lists of interviewees, etc. May also include Job Location and Development Program job listings; maintained as per 34 CFR 675.36, 34 CFR 375.19, and 34 CFR 668.24. | <b>Retain</b> for 6 Years after End of Academic Year<br><i>then</i><br><b>Destroy.</b>                    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



## UW General Schedule Section 9 Student Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 11 10 62819<br>Rev. 0                    | <b>Student Folders</b><br>A record of the academic history of degree (undergraduate, graduate, professional) and non-degree (certificate, fellowship, professional) students who have taken university courses, including internships/externships. Includes admissions applications, student classification, and evaluative/progress report documentation.   | <b>Retain</b> for 6 Years after Degree<br>Awarded/ Last Activity<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 14 09 68533<br>Rev. 1                    | <b>Student Folders -- Non-Academic</b><br>A record of students who have received services provided by University resources. Includes but is not limited to writing center and other tutoring programs, tracking and monitoring success rates of participants in pre-enrollment programs, accommodations requested, offered and provided, tracking of student health information including immunization history, tracking of student compliance with non-UW rules and regulations, etc. | <b>Retain</b> for 6 Years after Last<br>Contact<br><i>then</i><br><b>Destroy.</b>                  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 11 10 62822<br>Rev. 0                    | <b>Student Folders -- Non-Matriculated and Visiting Students</b><br>A record of students who have taken classes at the UW but have not been admitted to a degree program. Transcripts may be used to document completion of course requirements.   | <b>Retain</b> for 3 Years after Last<br>Quarter of Activity<br><i>then</i><br><b>Destroy.</b>      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## UW General Schedule Section 10 General Office Administration Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 12 03 68237<br>Rev. 1                    | <b>Authorization to Apply for a Banquet Permit to Serve Alcohol</b><br>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. | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## UW General Schedule Section 10 General Office Administration Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 10 11 62254<br>Rev. 0                    | <b>Ballots</b><br>A record of the votes cast to decide on a policy/procedure change or to determine the outcome of a departmental choice, or to select members of a committee or representative for a specific position including the Health and Safety Committee. Does not include ballots relating to Tenure.  | <b>Retain</b> for 1 Year after Votes Counted<br><i>then</i><br><b>Destroy.</b>               | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 12 03 68243<br>Rev. 0                    | <b>Donor Files</b><br>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. | <b>Retain</b> until Superseded<br><i>then</i><br><b>Destroy.</b>                             | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 16 12 69026<br>Rev. 0                    | <b>Expert Witness</b><br>Records related to expert witness testimony or opinion provided by a UW employee.   | <b>Retain</b> for 6 Years after Testimony/Opinion Provided<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 12 03 68238<br>Rev. 0                    | <b>Incident Reports</b><br>Internal departmental reports of facility damage, theft of UW property, etc., when no claim has been filed.<br>NOTE: This is not the official UW Police "Incident Report" or "Accident/Incident Report" (injuries).   | <b>Retain</b> for 1 Year after End of Calendar Year<br><i>then</i><br><b>Destroy.</b>        | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 93 05 52329<br>Rev. 0                    | <b>Volunteer Applications - Not Accepted/Withdrew</b><br>Provides record of individuals denied volunteer status at the University.   | <b>Retain</b> for 1 Year after End of Calendar Year<br><i>then</i><br><b>Destroy.</b>        | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## UW General Schedule Section 11 Publication Records

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|---|--|--|
| 09 09 62099<br>Rev. 0                    | <b><i>Permission Request Letter</i></b><br>Provides a record of requests from individuals or publishers who want to use an article from a journal.<br>May include a copy of the text sent to the individual or publisher. | <b>Retain</b> for 6 Years after Approval<br>Granted or Denied<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |



## /02/ Executive Office

### /02/ Executive Office

#### Executive Office

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|--|--|--|
| 19 12 69413<br>Rev. 0                    | <b>Appointment Letters - Executive Office</b><br>Documents a position of leadership appointed by the President or Provost. Includes appointments for vice provost faculty, vice provost professional staff, chair, dean and executive directors. | <b>Retain</b> for 5 Years after Reappointment/End of Appointment<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |

### /02/02/ Provost

#### Executive Office

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION   |
|--|--|---|---|
| 18 10 69314<br>Rev. 0                    | <b>Academic Program Changes</b><br>Proposals and supporting documentation recommending/approving the reorganization, consolidation, elimination, creation, transfer to another school, college or department of any academic program. Includes RCEP (Reorganization, Consolidation and Elimination Procedure) files. | <b>Retain</b> for 5 Years after Proposal Approved<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |



## /02/04/ Rules Coordination Office

The UW's Rules Coordination Office oversees the University's rule-making process.

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|--|--|---|
| 03 12 60625<br>Rev. 0                    | <b>Final Orders/Declaratory Orders Index</b><br>Creates an index of final orders for adjudicative proceedings and Declaratory Orders. Includes correspondence. Actual Declaratory Orders are included in Board of Regents Meeting Minutes. Final Orders for adjudicative proceedings are included in Faculty Adjudication Files on the UW General Records Retention Schedule. Index required as per RCW 42.56.070. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |
| 11 12 62901<br>Rev. 0                    | <b>Joint Administrative Rules Review Committee (JARRC) Actions</b><br>UW record of actions taken by the Joint Administrative Rules Review Committee who can choose to investigate the procedures used in an agency's rule making process. Includes correspondence.   | <b>Retain</b> for 6 Years after End of<br>Biennium<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| 11 12 62904<br>Rev. 0                    | <b>Notification by Outside Agency of WAC Changes</b><br>Provides a record of notification by state agencies who would like to include the UW in their WAC rule making. Distributed to appropriate University offices who have the choice of following-up with the outside agency.  | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 11 12 62902<br>Rev. 0                    | <b>Outside Agency WAC Changes</b><br>UW involvement commenting and monitoring other agency rule making.  | <b>Retain</b> for 6 Years after Rule<br>Making Process Closed or<br>Withdrawn<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 03 12 60624<br>Rev. 0                    | <b>Petitions For Adoption, Amendment, or Repeal of a Title 478 WAC Rule</b><br>State Office of Financial Management (OFM) forms received from members of the public and directed to the Board of Regents for adoption, amendment, or repeal of a Title 478 WAC rule. Includes correspondence and incompletes. (Required as per RCW 34.05.330)  | <b>Retain</b> for 6 Years after Approval<br>or Denial of Petition<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |



## /02/04/ Rules Coordination Office

The UW's Rules Coordination Office oversees the University's rule-making process.

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION   |
|--|---|---|---|
| 03 12 60622<br>Rev. 0                    | <b><i>Policy and Interpretative Statement Indexes</i></b><br>An index which documents statements of policy and interpretations of policy and WAC rules which have been adopted by the University. Required as per RCW 42.56.070.  | <b>Retain</b> for 6 Years after<br>Superseded<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |
| 03 12 60621<br>Rev. 0                    | <b><i>Rule Review</i></b><br>Promulgated by executive order 97-02 Regulatory Improvement, provides a record of the University's efforts to review rules for potential rule making revision. Includes ongoing Agency Plan.   | <b>Retain</b> for 6 Years after<br>Administrative Purpose Served<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 11 12 62903<br>Rev. 0                    | <b><i>Rules Coordinator Registration and Washington State Register (WSR) Notices</i></b><br>Documents the appointment of the Director of Rules Coordination as the central contact for the UW for WSR notices and for electronic access to the WSR.   | <b>Retain</b> until Superseded<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 03 12 60626<br>Rev. 0                    | <b><i>Washington State Register (WSR) Filings for Semi-Annual Agenda</i></b><br>Required as per RCW 34.05.314, provides a record of WAC rules which the UW is considering adopting in some form over the next 6 months. Filed with the State Office of the Code Reviser for publication in the Washington State Register. Also posted to Rules Coordination Office's online WAC Rules Docket. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |



## /02/05/ Office of Faculty Senate and Governance

### Faculty Senate

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 14 12 68711<br>Rev. 0                    | <b>Adjudication Decisions</b><br>Documents decisions and outcomes of adjudicative proceedings. Includes petitions, responses, decisions of the adjudicative panel chair, decisions of the hearing panel, decisions of the president, and details of the closure.  | <b>Retain</b> for 6 Years after Case Closed<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention          | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 91 09 48181<br>Rev. 0                    | <b>Adjudication Files</b><br>Provides record of the adjudicative proceedings of the faculty committee empowered to act in a judicial capacity for the resolution of differences. Includes all correspondence, reports, audio tapes, and other non-decision documents not included in "Adjudication Decisions".  | <b>Retain</b> for 6 Years after Case Closed<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| 91 09 48183<br>Rev. 0                    | <b>Senate Bulletins</b><br>Includes Class A Senate Bulletins which provide an explanation of proposed legislative actions to amend the Faculty Code, Class B Senate Bulletins which provide a record of general legislative actions other than those which amend the Faculty Code, and Class C Senate bulletins which provide a record of non-legislative Senate actions which include passage of resolutions, appointment of committees, approval or disapproval of committee reports, reception of reports or information, and determination of Senate By-laws. | <b>Retain</b> for 6 Years after End of Academic Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |



**/02/08/ UW Privacy Office**

*UW Privacy Office*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 19 10 69410<br>Rev. 0                    | <b>Data Subject Request - Complete</b><br>In compliance with data protection or privacy related laws and regulations, forms or records relating to a data subject's request to access, erase, correct, or transfer their own personal data, when such a request is fulfilled by the UW Privacy Office.  | <b>Retain</b> for 6 Years after End of Academic Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 19 10 69411<br>Rev. 0                    | <b>Data Subject Request - Complete, Referred to Another Office</b><br>In compliance with data protection or privacy related laws and regulations, forms or records relating to a data subject's request to access, erase, correct, or transfer their own personal data, when such a request is received by the UW Privacy Office and referred to another UW department to be fulfilled. | <b>Retain</b> for 2 Years after Request Closed<br><i>then</i><br><b>Destroy.</b>       | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 19 10 69412<br>Rev. 0                    | <b>Data Subject Request - Incomplete</b><br>In compliance with data protection or privacy related laws and regulations, forms or records relating to a data subject's request to access, erase, correct, or transfer their own personal data, when such a request is fulfilled by the UW Privacy Office.  | <b>Retain</b> for 6 Months after Request Closed<br><i>then</i><br><b>Destroy.</b>      | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |



## /03/ National Primate Research Center

### /03/01/02/ National Primate Research Center: Animal Records

#### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|---|--|--|
| 20 12 69604<br>Rev. 0                    | <b>Animal Monitoring and Consultation</b><br>Records relating to animal monitoring and consultations used as the basis for actions and decisions, especially in whether to escalate a situation. Includes, but is not limited to, informal transmissions regardless of format (such as emails, text messages, etc.).  | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 87 9 40700<br>Rev. 1                     | <b>Animal Record - Electronic</b><br>Record of animal husbandry, animal genetics, clinical, and research history, including lab reports, assignments to research projects, etc. Maintained as per 9 CFR 103.2 and 9 CFR 2.75. Includes partial information extracted from Pathology/Necropsy Reports. Includes information on daily moves, surgeries, and medications.  | <b>Retain</b> for 25 Years after Death<br>or Transfer of Animal<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 87 9 40705<br>Rev. 1                     | <b>Animal Shipment Records</b><br>Provides a record by shipment of animals to and from the Primate Center. Includes all records required by the USDA, including APHIS Form 7020 "Record of Acquisition, Disposition or Transport of Animals," which accompanies each shipment. Also includes Permits for Exportation and Small Animal Health certificate AGR 3008 as per WAC 16-54-030 and 9 CFR 2.78. Includes shipments to and from an off-site UW colony. Includes animals transferred externally to non-UW research sites, born in a UW colony or acquired from a vendor. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention         | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 97 12 58177<br>Rev. 1                    | <b>Animal Technician Weekly Checklist</b><br>Provides a record by room of specific items of animal husbandry (e.g., bedding changes, cage changes, daily feedings) and of environmental conditions within each room of the facility in which animals are maintained (e.g., temperature range, room cleaning). Must remain in animal area.   | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                            |



/03/01/02/ National Primate Research Center: Animal Records

Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION   |
|--|--|---|---|
| 15 03 68742<br>Rev. 0                    | <b>Controlled Substance Records</b><br>Inventories and records of controlled substances documenting the receipt and disposition of the drugs as per RCW 69.41.042 and 21 CFR 1304.03.  | <b>Retain</b> for 2 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| 12 03 68202<br>Rev. 1                    | <b>Environmental Enhancement Calendars</b><br>This series provides a record of animal technicians disbursing food and foraging enrichment to the animals, where the variety and contents of enrichment items follow the Washington National Primate Research Center Division of Primate Resources SOP#712. Environmental enrichment is required as per 9 CFR 3.81. Must remain in animal area. | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |
| 87 9 40704<br>Rev. 0                     | <b>Importer's Registration</b><br>Authorization letter to the Primate Center for registration as an animal importer. Renewed every two years.  | <b>Retain</b> for 6 Years after Renewal<br>of License or Permit<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| 97 12 58182<br>Rev. 1                    | <b>Pathology/Necropsy Reports</b><br>Provides a record of results of pathological testing or necropsy for each animal death.   | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 19 08 69406<br>Rev. 0                    | <b>Sedation and Anesthesia Monitoring – Adverse Event</b><br>Records reporting the results of sedating animals under anesthesia in which an adverse event occurred. These cases get reported to the USDA.  | <b>Retain</b> for 6 Years after USDA<br>Investigation Complete<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |



**/03/01/02/ National Primate Research Center: Animal Records**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 19 08 69407<br>Rev. 0                    | <b><i>Sedation and Anesthesia Monitoring – No Adverse Event</i></b><br>Records reporting the results of sedating animals under anesthesia in which no adverse event occurred.  | <b>Retain</b> for 6 Months after<br>Sedation Completed<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 87 9 40703<br>Rev. 0                     | <b><i>Tissue Program Users Folders</i></b><br>Provides a record of requests from researchers for primate tissue samples. Includes the Biohazards Safety Statement, signed by the requester, that is maintained as per 29 CFR 1910.145(e)(4). For UW researchers, a copy of their EH&S approval form is included. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /04/ Vice Provost for Academic Personnel

### /04/05/ Equal Opportunity

#### Affirmative Action

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 19 02 69352<br>Rev. 0                    | <b>Affirmative Action Plans</b><br>A record of established policies and procedures. Includes annual reports which may include: employee profiles, workforce displays, analyses, goals, and timetables, as well as reports provided by the Equal Opportunity and Affirmative Action Office to Deans and department Chairs showing affirmative action goals for academic personnel hiring in a particular school or college. See 41 CFR 60-1.12, 60-300.44(f)(4), and 60-741.44(f)(4). | <b>Retain</b> for 3 Years after End of Reporting Period<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

### /04/06/ International Scholars Office

#### Human Resources

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 00 07 59773<br>Rev. 1                    | <b>Application for Permanent Resident Status</b><br>Documents requests for permanent resident status by faculty holding H-1B or O-1 visas. May include Department of Labor forms ETA-9141 (Prevailing Wage Determination) and ETA-9089 (Application for Permanent Labor Certification), US Citizenship and Immigration Services forms I-140 (Immigrant Petition for Alien Worker), I-907 (Request for Premium Processing Service) and I-797 (Notice of Action), Customs and Border Protection form I-94 (Admission/Departure Record), as well as supporting documentation and green card documentation. (Retention required for 5 years, per 20 CFR 656.10(f).) | <b>Retain</b> for 5 Years after Permanent Labor Certification Filed<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /04/06/ International Scholars Office

### Human Resources

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 19 06 69362<br>Rev. 0                    | <b>E-3 Status Folder</b><br>Documents procedures necessary for international academic personnel seeking nonimmigrant status as E-3 temporary workers. May include: DOL forms ETA-9141 and ETA-9035 (Labor Conditions Application), USCIS forms I-129, I-907, I-539, I-824, and I-797; CBP form I-94; UW H Visa Request Form. (Retention required for 1 year per 20 CFR 655.760(c).)  | <b>Retain</b> for 1 Year after Termination of Employment/Application Expired or Withdrawn<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 90 01 45455<br>Rev. 1                    | <b>H-1 Status Folder</b><br>Documents procedures necessary for those international employees for whom the UW is seeking nonimmigrant status as H-1B temporary workers. May include: DOL forms ETA-9141 and ETA-9035 (Labor Conditions Application), USCIS forms I-129 (Petition for Nonimmigrant Worker), I-907, I-539 (Application to Extend/Change Nonimmigrant Status), I-824 (Application for Action on Approved Application or Petition), and I-797; CBP form I-94; UW H Visa Request Form. (Retention required for 1 year, per 20 CFR 655.760(c).) | <b>Retain</b> for 1 Year after Termination of Employment/Application Expired or Withdrawn<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 90 01 45453<br>Rev. 1                    | <b>J-1 Status Folder</b><br>Documents procedures necessary for international academic personnel seeking nonimmigrant status as J-1 exchange visitors. May include: Department of State form DS-2019 (Certificate of Eligibility for Exchange Visitor Status) and DS-7002 (Training and Internship Placement Plan), CBP form I-94 and I-515A (Notice to Student or Exchange Visitor), UW J Visa Request Form. (Retention required for 3 years per 22 CFR 62.10(g).)   | <b>Retain</b> for 3 Years after Termination of Employment /Completion of Program<br><i>then</i><br><b>Destroy.</b>            | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 19 06 69363<br>Rev. 0                    | <b>TN Status Folder</b><br>Documents procedures necessary for international academic personnel or staff seeking nonimmigrant status as TN NAFTA workers. May include: USCIS forms I-129, I-907, I-539, I-824, and I-797; CBP form I-94; UW H Visa Request Form.  | <b>Retain</b> for 6 Years after Termination of Employment /Application Expired or Withdrawn<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |



## /05/ University Libraries

### /05/03/02/ Information Resources, Collections and Scholarly Communications: Gifts Program

#### Library

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 06 05 61185<br>Rev. 0                    | <b>Non-Cash Gift Records</b><br>Provides a record of non-cash gifts, including both non-appraised and appraised items, received by the UW Libraries. May include gift transmittal, gift report form, correspondence, etc. which document the donation to the UW Libraries. | <b>Retain</b> for 10 Years after Last Gift From Donor<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |

### /05/03/05/ Libraries: Preservation Services Division

#### Library

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 11 02 62424<br>Rev. 0                    | <b>Preservation Reformatting Log</b><br>This series, also known as the shipment list, provides a record of the monographs or serials sent to vendors for scanning, microfilming or preservation photocopy/facsimile. Contains call no., title, date, and cost information.  | <b>Retain</b> for 6 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 11 02 62425<br>Rev. 0                    | <b>Preservation/Replacement Decision Form</b><br>This form initiates the actions taken to manage fragile/damaged monographs and serials. Input is received from selectors who provide their preference on an action to be taken. Monographs may be reprinted, a facsimile may be created, they may be discarded, or a phase box may be created. | <b>Retain</b> for 1 Year after Action Completed<br><i>then</i><br><b>Destroy.</b>    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



**/05/03/05/ Libraries: Preservation Services Division**

*Library*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 16 06 68991<br>Rev. 0                    | <b><i>Treatment Report</i></b><br>Reports which document actions taken to preserve and conserve fragile/damaged library materials.<br>Details condition before and after treatment and the repairs/treatments completed. | <b>Retain</b> for 1 Year after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /06/ Undergraduate Academic Affairs

### /06/05/ Office of Educational Assessment

#### Education Assessment

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 06 04 61134<br>Rev. 1                    | <b>Service Request Forms - Off-Campus</b><br>Report of the number of forms produced, ordered, scanned, and processed for non-UW educational institutions teaching evaluations. Report also includes information about the class including instructor's name and class size. Used for statistical tracking. | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

### /06/11/02/ Undergraduate Academic Affairs: Jumpstart

#### Academic Affairs

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 09 02 61935<br>Rev. 0                    | <b>Program Partner Agreements</b><br>This series provides a record of agreement between the University and preschools where students are volunteering. | <b>Retain</b> for 7 Years after End of<br>Funding Cycle<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /07/ Vice Provost for Research

### /07/01/ Office of Sponsored Programs

#### Research Administration

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 86 6 36967<br>Rev. 0                     | <b>Grant and Contract Proposal - Not Confirmed</b><br>Provides record of University grant and contract proposals with no award decision by funding agencies. May include: Proposal for grant or contract, Proposal control sheet, Request for Approval of Application for Grant or Contract (EGC-1), correspondence, notes, etc. | <b>Retain</b> for 2 Years after EGC-1<br>Approved<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

### /07/02/ Office of Research: Administration

#### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 06 09 61264<br>Rev. 1                    | <b>Conflict of Interest Files</b><br>Provides a record of University efforts to manage, reduce, or eliminate Financial Conflicts of Interest between Investigators and Innovators and Companies, or other external organizations who fund research, collaborate on research, or for which Investigators have a Significant Financial Interest which may include providing outside professional services. Records for sponsored research are initiated at time of proposal, records for internal research and technology transfer are initiated by first disclosure or request to review by researcher or other administrative unit. Files are established when an employee with the designated role of Investigator involved in University research, or Innovator for technology transfer has a Financial Conflict of Interest between outside interests or activities and research, sponsored program, or technology transfer occurring at the University. | <b>Retain</b> for 6 Years after Close of<br>Study<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



**/07/02/ Office of Research: Administration**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 06 09 61550<br>Rev. 1                    | <b><i>Conflict of Interest Files --Not Funded</i></b><br>Provides a record of University efforts to ensure there is no Financial Conflict of Interest between Investigators and the companies, or other external organizations who fund research, collaborate on research, or for which Investigators have a Significant Financial Interest which may include providing outside professional services. Digital records are created at time of proposal and are retained in the Financial Interest Disclosure System (FIDS).   | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 08 10 61883<br>Rev. 1                    | <b><i>Embryonic Stem Cell Research Oversight Research Application Files – Approved</i></b><br>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 documentation, 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. | <b>Retain</b> for 6 Years after<br>Termination of Study<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 08 12 61904<br>Rev. 0                    | <b><i>Embryonic Stem Cell Research Database</i></b><br>This database serves as a finding aid and does not include any original information. It tracks all applications received by Embryonic Stem Cell Research Oversight Office. Application information includes title, name of principal investigator, date received, date of review, information about grants related to the application, status of application, period of approval, modification requests, information about type of stem cells, etc.  | <b>Retain</b> until Administrative<br>Purpose Served<br><i>then</i><br><b>Destroy.</b>    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 86 1 35873<br>Rev. 2                     | <b><i>Request for Approval of Outside Prof. Services for Compensation During Period of Regular and Emeritus Appointment</i></b><br>Requests from regular and emeritus faculty engaged in University research and technology transfer to perform outside professional work for compensation.   | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



**/07/03/ Office of Research: Human Subjects Division**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|--|--|--|
| 98 04 58340<br>Rev. 0                    | <b><i>Certificate of Exemption</i></b><br>Form completed, in lieu of a formal application, for low-risk research using human subjects. Approved and signed by the chair of the Department, forms include information such as the project title, grant title, category under which the research qualifies for exemptions, abstract of the project, and human subject information (checklist). Reviewed by Human Subjects Division and, if does not meet exemptions, form is denied and researcher must submit formal application for human subject research approval. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                                |
| 04 11 60822<br>Rev. 0                    | <b><i>Complaints</i></b><br>Human Subjects protections related concerns and complaints which cannot be linked to a specific approved Human Subjects application.   | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |
| 98 MM 58342<br>Rev. 0                    | <b><i>Human Subjects Database</i></b><br>Database tracks all applications received by Human Subjects Division. Application information includes title, name of principal investigator, date received, date of review, information about grants related to the application, status of application, period of approval, receipt date of adverse effect reports, modification requests, information about number of and type of human subjects enrolled/to be enrolled, etc.  | <b>Retain</b> for 10 Years after<br>Administrative Purpose Served<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                                |



**/07/03/ Office of Research: Human Subjects Division**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 89 1 43543<br>Rev. 0                     | <b><i>Human Subjects Review Committee Applications - Denied</i></b><br>Applications for research using Human Subjects that were denied by the Review Committee. May include, but not limited to, the following: application, sample consent forms, Review Committee's disposition documentation, the investigator's responses to the Committee, sponsor protocols, copy of Radiation Safety Committee review, correspondence and supporting documentation, modifications to applications, application annual reviews, annual and final status reports, Adverse Event Reports, non-compliance documentation, records requests, safety reports, confidentiality agreements, subject complaints. | <b>Retain</b> for 10 Years after End of Academic Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 04 11 60823<br>Rev. 0                    | <b><i>Human Subjects Review Committee Applications--Withdrawn</i></b><br>Applications for research using Human Subjects that were withdrawn from consideration. May include, but not limited to: application, consent forms, Review Committee's disposition documentation, the investigator's responses to the Committee, sample sponsor protocols, copy of Radiation Safety Committee review, and documentation of withdrawal.   | <b>Retain</b> for 1 Year after Withdrawn<br><i>then</i><br><b>Destroy.</b>              | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 89 1 43542<br>Rev. 0                     | <b><i>Institutional Review Board Application Files - Approved</i></b><br>Applications submitted to Institutional Review Board Committee for approval to use human subjects in research projects. Files may include, but are not limited to, the following: master copy of applications, Review Committee's disposition documentation, investigator's responses to the Committee, consent forms, sponsor research protocols, correspondence and supporting papers, modifications to applications, annual status reports, adverse effect reports, safety reports, confidentiality agreements, copy of Radiation Safety Committee review, subject complaints and final status report.            | <b>Retain</b> for 10 Years after Termination of Study<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /07/06/ Office of Research Misconduct Proceedings (ORMP)

### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 09 09 62095<br>Rev. 0                    | <b>Research, Scientific or Scholarly Misconduct Allegations- Concluded at Inquiry Stage</b><br>Provides a record of handling of research, scientific or scholarly misconduct allegations against University faculty, students or staff under Executive Order No. 61 where inquiry concludes that investigation not warranted. Includes notification to respondent of allegation, any sequestered research materials relevant to allegation, and final inquiry record and report. (See 42 CFR § 93.317 for 7-year retention requirement.)   | <b>Retain</b> for 7 Years after UW<br>Closes Case<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 09 09 62094<br>Rev. 1                    | <b>Research, Scientific or Scholarly Misconduct Allegations- Declined or Resolved Prior to Inquiry</b><br>Provides a record of handling of research, scientific or scholarly misconduct allegations against University faculty, students or staff under University Executive Order No. 61 where matter declined (e.g., because not within purview of Office of Research Misconduct Proceedings) or resolved (e.g., because allegation withdrawn) prior to initiation of an inquiry.  | <b>Retain</b> for 3 Years after<br>Allegation declined or resolved<br>by Office of Research Misconduct<br>Proceedings<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 09 09 62096<br>Rev. 0                    | <b>Research, Scientific or Scholarly Misconduct Allegations- Investigation Warranted</b><br>Provides a record of handling of research, scientific or scholarly misconduct allegations against University faculty, students or staff under Executive Order No. 61 where investigation warranted. Includes notification to respondent of allegation, any sequestered research materials relevant to allegation, final inquiry record and report, and final investigation record and report (including witness interviews). (See 42 CFR § 93.317 for 7-year retention requirement.) | <b>Retain</b> for 7 Years after UW or<br>Federal Government Closes Case,<br>Whichever is Later<br><i>then</i><br><b>Destroy.</b>                        | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /08/ Vice President of Facilities

### /08/03/ Facilities: Partner Resources

#### Facilities Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 99 MF 59143<br>Rev. 0                    | <b><i>Request of Leave Taken - 1999 and prior</i></b><br>Provides record of leave taken by Facilities Services employees. Posted to Work & Leave Record (Form 220). Prior to the year 2000, the Request of Leave taken replaced the 220s in FSO and were the only signed documentation of leave, therefore replacing the 220s. All records prior to 2000 will need to be microfiched after 6 years and Retained in that format for the remainder of the retention.<br>- In 2006, the project is now complete. - | <b>Retain</b> for 50 Years after End of<br>Month<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /08/09/03/ Facilities: Facility Information Library - Facility Records

### Facilities Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 15 12 68846<br>Rev. 0                    | <b>Campus Drawing Records</b><br>Drawings or plans of sections of campus, including architectural drawings and background drawings.<br>Does not include operational utility drawings. | <b>Retain</b> for 6 Years after Until<br>Superseded<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |

## /08/11/01/ Transportation Services: Accounting

### Transportation Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 90 4 46129<br>Rev. 0                     | <b>Voided Permits</b><br>Provides record of permits returned to Permit Issuance Office for refund; specifically annual, quarterly, U-Passes, or short term permits. | <b>Retain</b> for 1 Year after Fiscal<br>Year + Audit<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /08/11/02/ Transportation Services: Commute Options & Planning

### Transportation Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 96 01 56402<br>Rev. 0                    | <b>Transit Comment File</b><br>Provide a record of complaints, suggestions or problems offered by UW patrons of contracted transit agencies. A copy is forwarded to the contracted transit agencies for response. The Transportation Systems office then forwards any response to the person commenting. All correspondence is completed via email. | <b>Retain</b> for 6 Months after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## /08/11/07/ Transportation Services: Sales and Administration

### Transportation Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 07 08 61598<br>Rev. 0                    | <b>Citation Dismissal Requests</b><br>This series provides a record of formal requests from Commuter Services to Parking Violations, requesting the dismissal or fine reduction of parking citations. May include correspondence with Parking Violations. | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 03 12 60632<br>Rev. 0                    | <b>Credit Card Request Forms</b><br>Forms filled out by university departments/offices requesting special credit cards that can be used for parking on campus and charged to departmental budgets.  | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



**/08/11/07/ Transportation Services: Sales and Administration**

*Transportation Services*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 00 05 59689<br>Rev. 0                    | <b>Default Notice</b><br>This series provides a record of copies of letters sent to individuals who have not responded to tickets by default response date, Provides the individual with notification of the date the ticket will default and be turned over to a collection agency. Also informs individual that once ticket defaults their car will be subject to impound. Includes list of tickets incurred by individual as well as the default date for each ticket. Also known as Default Judgment. As of August 2009, copies are no longer being generated. | <b>Retain</b> for 6 Years after End of<br>Month<br><i>then</i><br><b>Destroy.</b>         | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 07 08 61599<br>Rev. 0                    | <b>Excessive Citation Notice/Reports</b><br>This series provides a record of letters generated to warn permit holders about possible revocation of permit rights due to excessive parking citations. Also includes letters generated to revoke permit rights and supporting citation history records (produced and provided by Parking Violations) that serve as back-up documentation.  | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 00 05 59699<br>Rev. 0                    | <b>Impound Packet</b><br>This series provides a record of impounds. These packets may include release from the towing company vendor, citation issues, registered owner printout, internal correspondence, etc.  | <b>Retain</b> for 6 Years after Case<br>Closed<br><i>then</i><br><b>Destroy.</b>          | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 89 4 44158<br>Rev. 0                     | <b>Parking Permits, Approval and Distribution</b><br>Documents requests for permits to park at the UW, regardless of campus. Includes parking permits for construction, parking, disability parking, all game parking, carpool parking, President's Club parking, short term and special permit parking, departmental out of area permits, etc. Also contains Allocation Authorization Letters.  | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



**/08/11/07/ Transportation Services: Sales and Administration**

*Transportation Services*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 00 MM 59707<br>Rev. 1                    | <b><i>Parking Violations Database</i></b><br>Database record of parking citations issued, appeals, and fines. Citations may be uploaded directly into the database or may be handwritten and data entered. This series also includes older citations which have not been entered into the database. Includes ticket number, time, location, officer, etc. Can be used to reproduce citations. | <b>Retain</b> for 6 Years after Citation Issued<br><i>then</i><br><b>Destroy.</b>    | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 89 4 44162<br>Rev. 0                     | <b><i>Payroll Deduction Approvals</i></b><br>Authorizes monthly payroll deductions and/or termination of deductions for employee's annual parking permit, carpool parking permit, commuter ticket and/or UPASS. Also includes a record of reported lost or stolen permits.  | <b>Retain</b> for 6 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 93 10 53195<br>Rev. 0                    | <b><i>U-Pass Application</i></b><br>Provides an application record to receive a U-Pass on a quarterly/annual basis.   | <b>Retain</b> for 6 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 93 10 53191<br>Rev. 0                    | <b><i>Waiting List Files</i></b><br>Computer-generated list providing a record of applicants offered a space in a specific parking lot. Includes name, social security number, and lot title. Also includes the initial application and confirmation letters sent to employees upon parking lot assignment.   | <b>Retain</b> for 6 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /08/12/01/ Transportation Services: Fleet Services & Maintenance

### Transportation Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|--|--|--|
| 10 03 62118<br>Rev. 0                    | <b>Underground Storage Tank Files</b><br>This series provides a record of UW's compliance with regulations regarding the installation, maintenance and use of underground tanks for storing hazardous materials. May include inspection logs, tank registration forms, training, repair records, etc. These records are not duplicates of what is held by EH&S: Environmental Programs Office, 34.05.03. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 10 04 62145<br>Rev. 1                    | <b>Vehicle Utilization Records</b><br>Electronic source documentation used to generate the Vehicle Utilization Report which is sent to Washington State Office of Financial Management quarterly. Includes Vehicle Utilization Response forms, Utilization Review Response tracking spreadsheet and Waiver Request Letters, etc.   | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |

## /08/12/02/ Transportation Services: Operations

### Transportation Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 89 4 44179<br>Rev. 0                     | <b>Daily Lot Count</b><br>Daily tracking device to determine empty spaces in each parking lot. Used for parking needs' projections. This information is now electronic. | <b>Retain</b> for 3 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /08/21/ Facilities: Project Delivery Group

### Facilities Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 10 06 62226<br>Rev. 0                    | <b>Preservation, Renovation, and Modernization (PRAM) Files</b><br>This series provides a record of documents used as a resource in the planning and budgeting process for the preservation, renovation, and maintenance of UW Buildings for facilities management. May include Facman Reports, renewal programs, building audit information, biennium budgets - actual and projected, major renovation planning, cost estimates, etc. | <b>Retain</b> for 10 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |

## /08/23/01/ Facilities: Campus Utilities

### Facilities Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 03 03 60510<br>Rev. 1                    | <b>Confined Space Entry Permit (1219)</b><br>Provides a record of approval to safely enter a confined space while being monitored. Per WAC 296-809-50006, Confined Space Entry Permits should be kept for one year in order to facilitate the review of the permit-required confined space program. | <b>Retain</b> for 1 Year after End of<br>Calendar Year in which Permit<br>Expires<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 98 07 58565<br>Rev. 0                    | <b>Lock Out/Tag Out Report</b><br>A maintenance file which provides a record of valves and switches involved in repair work.  | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>                           | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /08/24/ Facilities: Regulated Materials

### Facilities Services

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|---|---|--|
| 11 04 62450<br>Rev. 1              | <b><i>Air and Bulk Sample Lab Reports</i></b><br>This series provides a record of lab reports for asbestos, lead testing, PCBs, and heavy metal compositions etc. This documents that the work in renovated buildings was completed correctly and that the building is ready for occupation. Includes a record of lab reports received prior to July 2010 when the UW contracted out the air sampling and evaluation to consultants. Required as per OSHA, specifically 29CFR1926.1101(n)(2)(iii) and tied to demolition of building. Archival status ensures records will be preserved for the lifetime of the agency and therefore its buildings. | <b>Retain</b> for 30 Years after End of Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 11 04 62452<br>Rev. 1              | <b><i>Air Samples</i></b><br>This series provides a record of the physical sample taken during an abatement. The samples are used to generate the Air and Bulk Sample Lab Reports as required per 29CFR1926.1101(n)(2)(iii).  | <b>Retain</b> for 1 Year after Final Report Completed<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |
| 11 04 62453<br>Rev. 1              | <b><i>Asbestos and Hazardous Materials Surveys</i></b><br>This series provides a record of surveys conducted at the University relating to asbestos, PCBs, lead, and heavy metals. They are completed prior to an abatement in order to determine the scope of the work. Retention as per 29CFR1926.1101(n)(6) and tied to demolition of building. Archival status ensures records will be preserved for the lifetime of the agency and therefore its buildings.  | <b>Retain</b> for 30 Years after End of Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 96 02 56498<br>Rev. 1              | <b><i>Close Out Documents</i></b><br>Required for major asbestos projects, provides a summary of events and activities followed during the course of an asbestos abatement. Includes final project report, photographs, contractor/consultant daily work observation, waste/landfill receipts, PSAPCA notifications, representative area air monitoring, personnel air monitoring, worker training, contractor insurance certificates, pay applications, releases/waivers, as-builts from contractor, etc.  | <b>Retain</b> for 30 Years after Building Demolished<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention  | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |



## /09/ Vice President of Finance

### /09/01/ Procurement Services

#### Procurement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 01 08 60135<br>Rev. 0                    | <b>Account Reconciliation Reports</b><br>Provides a record of reports extracted from FAS (database) for use in reconciliation of various accounts. Used internally for tracing problems and for research. Includes Accounts Payable Details Reports. (See DAN 90-7-46417 for source documents.)  | <b>Retain</b> for 2 Years after End of<br>Biennium<br><i>then</i><br><b>Destroy.</b>      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 13 09 68451<br>Rev. 0                    | <b>Cancelled Bids</b><br>Bid documentation received through a solicitation that was cancelled before the response due date. Includes vendor correspondence received prior to the cancellation as well as correspondence describing the cause of the cancellation. Does not include unopened bids. (Unopened bids are returned to the vendor.)  | <b>Retain</b> for 1 Year after Bid<br>Process Cancelled<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 93 05 52286<br>Rev. 0                    | <b>Daily Input Control Logs (IA, IB, IC, ID, etc.)</b><br>Provides record of batches of transactions processed. Includes for each batch: date processed, batch number, number of transactions, and remarks or discount amount, use tax amount, net invoice amount, warrant register number, etc. Includes for each batch: total dollar amount for the batch, accepted dollar amount for the batch, and rejected dollar amount for the batch. Used to reconcile batch amount totals with FAS Batch Control Reports (AM11409-001.) | <b>Retain</b> for 2 Years after End of<br>Biennium<br><i>then</i><br><b>Destroy.</b>      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 01 08 60146<br>Rev. 0                    | <b>Vendor Control Correspondence</b><br>Provides a record of vendor status at the University. Includes payment information and tax identification number.  | <b>Retain</b> for 1 Year after<br>Superseded<br><i>then</i><br><b>Destroy.</b>            | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /09/01/ Procurement Services

### Procurement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 22 02 69647<br>Rev. 0                    | <b>Vendor COVID-19 Vaccination Status Verification Records</b><br>Declaration records submitted by vendors documenting employee COVID-19 vaccination status. Includes all employers of any suppliers, vendors, or contractors who may be working at a University of Washington location. Includes but is not limited to: declarations relating to vaccination status, lists/logs of employees documenting the verification of their vaccination status, evidence of COVID-19 vaccinations. | <b>Retain</b> for 6 Years after End of Fiscal Year in Which the Vaccine Attestation Was Submitted<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## /09/07/ ISC: Payroll

### Payroll

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 10 06 62233<br>Rev. 1                    | <b>PreWD: OPUS (Online Payroll Updating System)</b><br>Provides a record of the UW online payroll system which allows a department to create/update payroll information on a new or existing employee. OPUS allows a department to make updates instantaneously and eliminates the need for a central office (Payroll) to enter payroll changes. These updates and payroll changes include initial hires/rehires, distribution, budget number changes, leave of absences and separations. The system houses an employee's Payroll records; current and historical including pay history and funding history. This covers records before the Workday implementation in June 2017. OPUS data is now stored by UW-IT, it is accessible through the UW IT BI Portal & EDW. | <b>Retain</b> for 50 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 95 07 55565<br>Rev. 0                    | <b>W2 Forms (Annual Earnings Statement)</b><br>This record, available electronically, summarizes annual earnings for all employees, and is created for tax purposes. Arranged by payroll distribution codes.   | <b>Retain</b> for 6 Years after End of Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## /09/10/ Management Accounting and Analysis

### Accounting

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|--|--|---|
| 88 4 42079<br>Rev. 1                     | <b>Faculty Effort Certification</b><br>Documents certification by research faculty that their payroll distributions are a reasonable reflection of their actual effort. Also provides a record of mandatory, committed, and capped cost sharing actually provided by research principle investigators on their grants and contracts. Includes Interim Cost Share Reports created when an FEC is not yet available for certifying the cost shared effort.   | <b>Retain</b> for 12 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |
| 87 7 40435<br>Rev. 0                     | <b>Indirect Cost Study and Proposal</b><br>A summary of information compiled according to guidelines set by the Federal Office of Management and Budget. Used to determine indirect cost rates charged to Grant and Contract budgets to cover depreciation, maintenance, administrative, and library costs.  | <b>Retain</b> for 10 Years after Last Year of Current Rate<br><i>then</i><br><b>Transfer</b> to Archives for permanent retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 87 7 40437<br>Rev. 0                     | <b>Indirect Cost Study Supporting Documentation</b><br>Provides background data which will be synthesized into and used to prepare the Indirect Cost Study Proposal. May include surveys--library, space, staff; library studies; grant and contract payroll reports; space inventories; expense reports (AM40720-492 to AM40920-492); the 02 index (AM17349-S01); student guarantees; cost sharing reports; equipment inventories; FTE and payroll statistics; title and account code indices; restricted fund expenditure reports. | <b>Retain</b> for 10 Years after Last Year of Current Rate<br><i>then</i><br><b>Destroy.</b>                                     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 07 04 61454<br>Rev. 0                    | <b>Initial Approval of Cost Center Rates</b><br>Application material submitted by UW Offices seeking approval to become UW Cost Centers.   | <b>Retain</b> for 6 Years after Approval Granted or Denied<br><i>then</i><br><b>Destroy.</b>                                     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |



## /09/10/ Management Accounting and Analysis

### Accounting

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|---|--|--|
| 87 7 40434<br>Rev. 0                     | <b>Rate Agreement/Colleges and Universities</b><br>Provides a record of indirect cost rates for Grant and Contract budgets. Established by negotiation between the University and the Department of Human and Health Services, Division of Cost Allocation. | <b>Retain</b> for 10 Years after Last<br>Year of Current Rate<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |

## /09/11/ Student Fiscal Services

### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 88 11 43121<br>Rev. 0                    | <b>Bankruptcy Files</b><br>Provides record of debtors to the university who have declared bankruptcy. Used to determine collectability of debt. May include correspondence, worksheets, First Meeting of Creditors Notice (Schedule of Debt), memos, discharge orders, etc.  | <b>Retain</b> for 6 Years after<br>Dismissed or Discharged<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 96 02 56481<br>Rev. 0                    | <b>Borrower's File- Direct Loan Program</b><br>Provides record of legal documents supporting individual student loans funded by the Direct Loan Program. Once loan disbursement is authorized, promissory notes are transferred to the custody of a central national servicer who becomes responsible for loan collection and maintenance. | <b>Retain</b> until Accepted By<br>Servicer<br><i>then</i><br><b>Destroy.</b>                | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /09/11/ Student Fiscal Services

### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 90 01 45496<br>Rev. 0                    | <b>Scholarship Files</b><br>Includes Donor/Source of Funds, documentation of sponsor liability, sponsor correspondence, remittance copies of checks, and correspondence with students. Either physical checks or images on CD-ROM received from the bank are maintained.   | <b>Retain</b> for 6 Years after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                                |
| 96 MM 57108<br>Rev. 0                    | <b>Tuition Account Record--Student Database</b><br>The database which provides a comprehensive daily record, by student number, of tuition and fee charges, tuition related charges, payments, credits and refunds. Includes Teaching Assistant/Research Assistant Fee Waiver Report (SA80110-R-01, SA80110-R-02). | <b>Retain</b> for 6 Years after Last<br>Quarter of Enrollment<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |
| 89 10 45081<br>Rev. 0                    | <b>UW Initiated Loans- Legal Files</b><br>Documents the establishment and maintenance of institutional loan programs. Files provide the legal basis and justification for the establishment of the student loans initiated by the UW.  | <b>Retain</b> for 6 Years after Funds<br>Dispersed<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |



## /09/13/ Financial Accounting

### Accounting

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|---|--|--|
| 10 03 62205<br>Rev. 0                    | <b>Agency Budget Files</b><br>Provides a record of the establishment of certain types of Agency Accounts. May include correspondence, request, copies of BARs/BSRs. Agency Accounts are established for non UW entities who have an agreement to use the UW accounting system.  | <b>Retain</b> for 6 Years after End of Biennium<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |
| 86 3 36135<br>Rev. 0                     | <b>Allotment and Expenditure Reports</b><br>Provides a monthly summary received from CAFR & AFR reporting transmittal and allotment status. Uses for review and reconciliation purposes.  | <b>Retain</b> for 6 Years after End of Month<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |
| 86 3 36136<br>Rev. 0                     | <b>Annual Financial Reports (AFRs) Cash Receipts Journal Summary</b><br>Lists offices that send revenue to the State Treasurer's office in Olympia.   | <b>Retain</b> for 6 Years after End of Month<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |
| 10 03 62207<br>Rev. 0                    | <b>Annual Financial Statement Workpapers</b><br>This series provides a record of various spreadsheets, worksheets, and reports extracted from FAS and received from other University offices which are combined with information from the Development office to prepare the University of Washington Audited Annual Report.   | <b>Retain</b> for 6 Years after End of Fiscal Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |
| 10 03 62206<br>Rev. 0                    | <b>Biennium Close Records</b><br>Extracted from Financial Accounting System, provides a summary of how the system looked at the close of each biennium. Used to reconcile accounts, to trace closure problems, and to review individual accounts. Includes adjusting and closing entries, adjusted trial balance report, etc. | <b>Retain</b> for 6 Years after End of Biennium<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |



## /09/13/ Financial Accounting

### Accounting

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 10 03 62209<br>Rev. 0                    | <b>Integrated Post-Secondary Educational Data System Reports (IPEDS)</b><br>Comprised of reports submitted annually to the Dept. of Education through the Integrated Post-Secondary Educational Data System. Includes Financial Information statement and supporting workpapers. | <b>Retain</b> for 6 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 10 03 62208<br>Rev. 0                    | <b>Interest Allocation</b><br>Provides a record of allocation of interest earned through non-endowed gifts, etc. Includes supporting workpapers.   | <b>Retain</b> for 6 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 10 03 62210<br>Rev. 0                    | <b>Payroll Load</b><br>Spreadsheets, backup documents and reports used to calculate annual payroll benefit rates by employee classification. Part of indirect cost allocation.   | <b>Retain</b> for 6 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 87 4 39822<br>Rev. 0                     | <b>Report of Revenue Transfers and Receipts (AM29500-230, 231)</b><br>Summaries of funds received by current month and by revenue code. Filed with University Annual Report.   | <b>Retain</b> for 6 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 86 3 36134<br>Rev. 0                     | <b>Summary of Allotment Status Report (AM28650-276----260)</b><br>Provides a monthly summary of allotment and expenditures of budgets. Used in preparing financial reports and in reconciling fiscal statements from the State Treasurer's Office in Olympia.                    | <b>Retain</b> for 6 Years after End of Month<br><i>then</i><br><b>Destroy.</b>       | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



## /09/15/01/ Risk Management

### Risk Management

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 89 8 44614<br>Rev. 0                     | <b>Accident Reports (green label)</b><br>Provides record of miscellaneous reports and correspondence on accidents involving the UW.   | <b>Retain</b> for 4 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 89 8 44605<br>Rev. 0                     | <b>Closed Claims Filed Against State Fidelity Bond</b><br>Provides record of claims filed by the UW to recover losses due to theft.   | <b>Retain</b> for 6 Years after Action<br>on Claim Resolved<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 89 8 44603<br>Rev. 0                     | <b>Closed Equipment Loss Claims (orange label)</b><br>Provides record of claims covered by the UW equipment insurance program.  | <b>Retain</b> for 6 Years after Action<br>on Claim Resolved<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 98 11 58957<br>Rev. 0                    | <b>Employment Liability Claims Files (Purple Files)</b><br>Provides a record of third party claims filed against the University. May include eye injuries.<br>(RCW51.32.160)  | <b>Retain</b> for 10 Years after Claim<br>Resolved<br><i>then</i><br><b>Destroy.</b>          | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 89 8 44601<br>Rev. 0                     | <b>General Liability and Auto Liability Claim Files (Red Label)</b><br>Provide record of third party injury claims filed against the University of Washington (UW) or<br>University and Harborview Medical Centers. May include eye injuries. (RCW 51.32.160) | <b>Retain</b> for 10 Years after Claim<br>Resolved<br><i>then</i><br><b>Destroy.</b>          | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /09/15/01/ Risk Management

### Risk Management

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 08 12 61946<br>Rev. 0                    | <b>Incident/Complaint Report</b><br>This series provides a record of complaints submitted by students, faculty, staff, or the public regarding incidents witnessed or experienced involving the mistreatment of people with disabilities. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 89 8 44612<br>Rev. 0                     | <b>Insurance Carrier Payment Files (red label)</b><br>Provides record of UW insurance payments by carrier (Aetna Tec, Washington State Physicians Insurance Association, etc.).   | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 89 8 44608<br>Rev. 0                     | <b>Insurance Policy/Subject Files (blue label)</b><br>Provides record of insurance policy information and provisions of various types (property, equipment, etc.).  | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 89 8 44616<br>Rev. 0                     | <b>Internal Claims Management System (Riskmaster) Open Claims Report</b><br>Provides computer-run reports of data using the Risk Management Office's internal claims management software on open claims against the UW.                   | <b>Retain</b> for 1 Month after End of<br>Month<br><i>then</i><br><b>Destroy.</b>         | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 89 8 44617<br>Rev. 0                     | <b>Internal Claims Management Systems (Riskmaster) Closed Claims Report</b><br>Provides computer-run reports of data for closed claims against the UW.  | <b>Retain</b> for 1 Month after End of<br>Month<br><i>then</i><br><b>Destroy.</b>         | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /09/15/01/ Risk Management

### Risk Management

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|--|--|--|
| 93 05 52288<br>Rev. 0                    | <b>Marine Claim Files (Yellow Label)</b><br>Provide records of claims filed against the University of Washington regarding protective and indemnity benefits and marine liability claims.  | <b>Retain</b> for 6 Years after Claim Resolved<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 89 8 44604<br>Rev. 0                     | <b>Medical and Legal Closed Claim Papers</b><br>Provides duplicate information regarding confidential medical and legal documents for closed claims. This material is shredded monthly.  | <b>Retain</b> for 1 Month after Action on Claim Resolved<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| 97 MM 57457<br>Rev. 0                    | <b>OSHA Supplementary Record Database</b><br>Required by the Occupational Safety and Health Administration, provides a supplementary record of occupational injuries and illnesses. Created and maintained on Riskmaster, this information corresponds to Form OSHA No. 101. (Required as per 29 CFR 1904.04.) | <b>Retain</b> for 10 Years after First L&I Claim Closure<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |
| 09 05 62018<br>Rev. 0                    | <b>Portage Bay Insurance</b><br>Provides a record of the establishment of this 501 C3 University insurance corporation. Includes records documenting the establishment of the corporation, legal advice and issues, Articles and By-laws, regulatory filings, and Certificates.                                | <b>Retain</b> for 6 Years after Dissolution of Corporation<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |



## /09/15/01/ Risk Management

### Risk Management

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|---|---|--|
| 09 05 62019<br>Rev. 0                    | <b>Portage Bay Insurance Documentation</b><br>Provides a record of the operation of this 501C3. Includes subsections on finance including audits and tax returns, committee records, contracts, and reports to the Board of Regents.  | <b>Retain</b> for 6 Years after<br>Termination of Contract<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 89 8 44602<br>Rev. 0                     | <b>Potential Claims/Incident Reports/Accident Reports</b><br>Provides a record of incidents that may not evolve into claims.  | <b>Retain</b> for 1 Year after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| 93 05 52289<br>Rev. 0                    | <b>Professional Claim Files (Blue Label)</b><br>Provide record of malpractice claims filed against University or Harborview Medical Centers. (As per RCW 04.16.350.)  | <b>Retain</b> for 8 Years after Claim<br>Resolved<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 97 02 57454<br>Rev. 0                    | <b>UCIRO: Inquiries and Administrative Contacts</b><br>Documents inquiries to, and administrative contacts with, UCIRO. May include documentation of receipt of inquiry or administrative contact, notes, information on area handling, and correspondence.   | <b>Retain</b> for 6 Years after Inquiry<br>Concluded<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 93 05 52287<br>Rev. 0                    | <b>Worker's Compensation Claim Files</b><br>Internal University claim files relating to worker's compensation claims filed by UW employees with the Department of Labor and Industries. May include correspondence with L&I, notes, UW copies of L&I's original forms. Original claims are on file at L&I. (Retained for 10 years to cover claims involving loss of vision or function of the eyes as per RCW 51.32.160.) | <b>Retain</b> for 10 Years after First<br>L&I Claim Closure<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |



## /10/ Office of Vice President for Human Resources

### /10/02/ Compensation Office

#### Human Resources

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|---|--|--|
| 05 11 61019<br>Rev. 0                    | <b>Compensation Plan</b><br>Record of the job specifications and pay scales for classified staff at the University of Washington.   | <b>Retain</b> for 6 Years after<br>Authorized Adjustments<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 05 11 61023<br>Rev. 0                    | <b>Legislative Salary Adjustments</b><br>Background files regarding the allocation of salary funds from the state. Files document how salary adjustments are to be distributed among a departments' staff. Includes costing, estimating, legislative background, HEPPS database printouts, staff listings, salary surveys, etc. | <b>Retain</b> for 2 Years after End of<br>Biennium<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |



## /10/03/ Human Resources Operations

### Human Resources

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 01 02 60023<br>Rev. 1                    | <b>Official Employee Medical File</b><br>Provide record of information obtained regarding the current, on-going, or previous history of an employee's medical condition as needed to provide an accommodation. May also include information regarding accidents/incidents or exposure to hazardous chemicals. Medical condition or history of an employee considered to have a medical disability. May also include information regarding accidents/incidents or exposure to hazardous chemicals. Per 29 CFR 1630.14 (Americans with Disabilities Act), this information must be retained separately from the employee's personnel folder and maintained in a locked file cabinet with restricted access. Note: Not all employees have a Medical File. | <b>Retain</b> for 50 Years after<br>Termination of Employment<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |

## /10/05/ Labor Relations Office

### Human Resources

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 09 07 62081<br>Rev. 1                    | <b>Public Employment Relations Commission Files</b><br>Provides a record of work with the Public Employment Relations Commission (PERC) to resolve unfair labor practices, unit classifications, and representation rights. May include: correspondence, reports, etc. | <b>Retain</b> for 6 Years after Case<br>Decided<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /10/07/ Benefits

### Human Resources

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|--|--|---|
| 95 10 56097<br>Rev. 0                    | <b><i>Trial Balance--General Ledger</i></b><br>Provides a monthly summary and balance of financial activity for Retirement and Insurance.<br>Indicates liability for payments to retirement and insurance systems. | <b>Retain</b> until End of Biennium<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |

## /10/08/ HRIS (Human Resource Information Systems)

### Human Resources

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 06 06 61213<br>Rev. 0                    | <b><i>OWLS</i></b><br>Provides a record of information contained in the UW Online Work and Leave System. OWLS is a computer based tracking system that departmental timekeepers use to track leave accrual for classified and professional staff. OWLS was developed through the HR and Payroll USER Project. | <b>Retain</b> for 50 Years after<br>Termination of Employment<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /10/09/ Disability Services Office

### Human Resources

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 00 03 59580<br>Rev. 0                    | <b><i>Accommodation Case Files and Consultations (After 11/10/97)</i></b><br>Provides a record of equipment purchased, modifications made to work spaces, and/or special measures taken for faculty, staff or the general public who need special accommodation or disability parking/ transportation. May include job analysis, correspondence, notes, memoranda, etc. | <b>Retain</b> for 6 Years after File<br>Closed<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## /10/10/ UW Work/Life Office

### Human Resources

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 09 07 62071<br>Rev. 0                    | <b><i>Parent Standing Verification</i></b><br>This series provides a verification of parents who are students at the University of Washington and are eligible for child care benefits at participating child care centers. | <b>Retain</b> for 1 Year after End of<br>Academic Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## **/10/11/ Violence Prevention Response Program**

### *Human Resources*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 10 04 62132<br>Rev. 0                    | <b><i>Violence Prevention Response Program Case Files</i></b><br>This series provides a record of cases being managed by the Violence Prevention Response Program. May include action plans, reports, and supporting documentation, both electronic and hard copy, regarding the issue, such as stalking, harassment, etc. | <b>Retain</b> for 6 Years after Case<br>Closed<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /11/ Vice President for Development and Alumni Relations

### /11/05/ Development & Alumni Relations: Information Management

#### Development

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 05 11 61112<br>Rev. 0                    | <b>ADVANCE Database</b><br>ADVANCE is used to record information about University relationships with alumni and donors and make the information available to University staff. Includes biographical information on University graduates and donors. Also includes donation information that is used only for solicitation purposes. This office is not responsible for any accounting functions. Gift Processing (record group 11.05.01) Retains auditable records surrounding donations. The department on the receiving-end of the gift is responsible for managing any stipulations on how each donation to the University is used. | <b>Retain</b> until Superseded<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                         |
| 05 11 61029<br>Rev. 0                    | <b>Campaign Reports</b><br>Summarizes giving to the University during the campaign period based on campaign counting standards. These reports are included in the monthly Report of Contributions that is sent to and approved by the Board of Regents who is responsible for receiving all gifts to the University.  | <b>Retain</b> for 6 Years after End of Campaign<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention      | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 93 03 52076<br>Rev. 0                    | <b>Report of Contributions (ROC)</b><br>Provides a summary of the total number of gifts (both cash and non-cash) received by the University during the year. The report is submitted to the Board of Regents who must approve the receipt of all gifts to the University.   | <b>Retain</b> for 6 Years after End of Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |



## /12/ UW Technology Administration/Associate VP

### /12/00/01/ UW Technology: Business Continuity: URC (Unit Response Centers)

#### Technology Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 16 06 68992<br>Rev. 0                    | <b>Responder Incident/Event Packet</b><br>Provides a record of responses to incidents/events by UW-IT URC responders. Applied to partial or full activations. Documentation is used for internal reference, training new responders, and (if needed) for FEMA documentation. Includes the Common Operating Picture and correspondence relating to the incident or event. Depending on the size and scope of the incident or event, other documents, such as an Incident Action Plan, may be added to the response records as deemed necessary by the UW-IT URC Manager. | <b>Retain</b> for 6 Years after End of Fiscal Year Incident/Event Was Resolved<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |

### /12/09/ Office of the CISO

#### Technology Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 05 03 60828<br>Rev. 1                    | <b>Incidents</b><br>Records related to information security or privacy incidents that do not include a breach of confidential information, notification to affected individuals, and/or reporting to a third party etc. as required by federal or state laws and regulations. Includes incidents spanning multiple UW jurisdictions. Based on the type of information security or privacy incident and the organizational area in which it occurred (see APS 2.5 Incident Management Policy for additional information), the official copy resides in one of the following offices:<br>UW Office of the Chief Information Security Officer<br>UW Medicine Compliance<br>Office of Research<br>UW Medicine IT Services<br>Health Sciences Administration<br>UW Privacy Office | <b>Retain</b> for 2 Years after UW Investigation Complete<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /12/11/ UW-IT: Identity and Access Management

### Technology Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 20 02 69490<br>Rev. 0                    | <b>Access Control – Audit Logs</b><br>Records produced by access control systems and processes that enforce technical authentication and authorization controls for access to institutional information and systems. Includes system and audit logs that capture changes to permission settings and configuration to enforce access controls; system and audit logs for authentication events, authorization events, and other events related to access to institutional information and system. | <b>Retain</b> for 30 Days after End of<br>Month<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 20 02069491<br>Rev. 0                    | <b>Audit of Systems Access</b><br>Provides a record of the results of activities to reestablish that access to institutional information and systems is appropriate. May include audits of system access, access reviews, and re-certifications and attestations of appropriate access.  | <b>Retain</b> for 1 Year after Close of<br>Audit<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /13/ Vice Provost for Continuum College

### /13/08/05/ Continuum College: International Outreach Program

#### Outreach

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 88 12 43437<br>Rev. 1                    | <b>Student Visa Records (F-1)</b><br>Provides proof of acceptance of student to educational program and student financial guarantee.<br>Includes Visa Eligibility Form (I-20) verified by United States Embassy. | <b>Retain</b> for 6 Years after<br>Completion of Program<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

### /13/08/08/ Continuum College: Summer Quarter

#### Program Support

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION   |
|--|---|---|---|
| 88 11 43134<br>Rev. 0                    | <b>Summer Quarter Budget Working Papers</b><br>Assembly, analysis, and approval of budgets for summer quarter at the University for most courses from Bothell, Seattle, and Tacoma campuses. Departments, schools, and colleges enter estimated instructional salaries and related costs into an online budgeting system which is accessed by this office for this process. | <b>Retain</b> for 6 Years after End of<br>Summer Quarter<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |



## /14/ ICA

### /14/01/ ICA: Director

#### Intercollegiate Athletics

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION   |
|--|---|---|---|
| 93 05 52305<br>Rev. 0                    | <b>NCAA</b><br>Provides a record of the department's relationship with the NCAA. Includes Compliance Certification for Staff Members, NCAA Legislation, NCAA Revenue Distribution Plan, NCAA Self Studies, NCAA Penalty Structure Committee, NCAA Honors Committee, etc. Contains reports, correspondence, memoranda, minutes, etc. | <b>Retain</b> for 10 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 93 05 52307<br>Rev. 0                    | <b>Ticket Files</b><br>Provides a record of ticket allotment received from the ICA Ticket Office which may be distributed as appropriate.   | <b>Retain</b> for 5 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |

### /14/04/ ICA: Ticket Office

#### Intercollegiate Athletics

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 93 09 53040<br>Rev. 1                    | <b>Husky Season Ticket Renewal Applications</b><br>Provides a record of renewal applications for Husky sporting events (basketball, football, etc.). | <b>Retain</b> for 1 Year after End of<br>Season<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /14/04/ ICA: Ticket Office

### Intercollegiate Athletics

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION                                      | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 93 09 53038<br>Rev. 1                    | <b><i>Tickets: Year End Stock</i></b><br>Paper stock used for the printing of football and basketball tickets. May include printed or voided tickets. For example, this could include tickets that were unclaimed at will call. | <b>Retain</b> for 6 Months after Audit<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## /14/06/ ICA: Training Room

### Intercollegiate Athletics

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 90 02 45858<br>Rev. 0                    | <b><i>Athlete Medical Files (Expired)</i></b><br>Provides record of medical history for each UW athlete. May include medical history, HIPAA form, injury report forms, notes, registration forms, correspondence, therapy records, progress notes, doctor visits, physical examinations, consent forms for medical procedures and acknowledgement of potential injury forms.   | <b>Retain</b> for 7 Years after End of Eligibility<br><i>then</i><br><b>Destroy.</b>                              | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 90 02 45859<br>Rev. 1                    | <b><i>Presagia Monitoring System</i></b><br>Tracks athletes by sport and status. Includes medical summary, diagnosis, medical arrangements, insurance, referrals to doctor, medication logs, injuries (resolved and unresolved), medical tests and procedures, surgeries, and inoculations. Also includes: personal information (such as address) and parent contact information. Includes athletic summary, concussion and baselines, daily summary for each sport of athletes' status for practice (i.e. full activity, limited activity or no activity for each participant). | <b>Retain</b> for 7 Years after End of Academic Year In Which Eligibility Ended<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



## /14/08/ ICA: Head Football Coach

### Intercollegiate Athletics

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|--|--|---|
| 93 03 52066<br>Rev. 0                    | <b>Bowl Notebooks</b><br>Provides a record of specific strategies used in response to opponents at bowl games. Also documents arrangements made for bowl games. Includes game plans, practice plans, meeting notes, itineraries, plane lists, team rosters, etc. | <b>Retain</b> for 2 Years after End of Game<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 93 03 52067<br>Rev. 0                    | <b>Fall Notebooks</b><br>Provides a record of planning for the upcoming season. Includes practice plans, notes of meetings with coaches, notes of meetings with the football team, notes of meetings with seniors, etc.  | <b>Retain</b> for 1 Year after End of Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 93 03 52065<br>Rev. 0                    | <b>Game Plans</b><br>Provides a record of individual game strategies in direct response to a specific opposing team. Also documents arrangements made for each game. Includes dressing, itinerary, plane lists, team rosters, etc.                               | <b>Retain</b> for 2 Years after Season<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention       | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 93 03 52064<br>Rev. 0                    | <b>Playbooks</b><br>Provides a record of play strategies for each position. Playbooks are updated on a yearly basis.   | <b>Retain</b> for 2 Years after Season<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention       | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 93 03 52062<br>Rev. 0                    | <b>Players Files</b><br>Provides a record of the current football team and of individual students who have associated themselves with the team. May include: student questionnaire, correspondence, notes, letters of recommendation, etc.                       | <b>Retain</b> for 5 Years after Last Contact<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                         |



## /14/08/ ICA: Head Football Coach

### Intercollegiate Athletics

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 93 03 52063<br>Rev. 0                    | <b>Players Files--Completed Eligibility</b><br>Provides a record of individual members of the football team who have completed their eligibility. May include: correspondence, notes, student questionnaire, etc.          | <b>Retain</b> for 5 Years after Last<br>Contact<br><i>then</i><br><b>Destroy.</b>        | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 93 03 52068<br>Rev. 0                    | <b>Spring Notebooks</b><br>Provides a record of continued planning for the season. Includes practice plans, notes of meetings with coaches, notes of meetings with the football team, notes of meetings with seniors, etc. | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |

## /14/10/ ICA: Compliance Office

### Intercollegiate Athletics

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 12 12 68378<br>Rev. 0                    | <b>ICA: Investigations</b><br>This record documents investigations regarding a coach, student, or program. If findings result in a violation, the record becomes a Violation record. | <b>Retain</b> for 10 Years after<br>Investigation Completed /Final<br>Action Taken<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /14/10/ ICA: Compliance Office

### Intercollegiate Athletics

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 93 03 52099<br>Rev. 0                    | <b>ICA: Squad Lists</b><br>Updated on a monthly basis, this series documents student athletic careers and team participation at the University of Washington.   | <b>Retain</b> for 10 Years after<br>Superseded<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention        | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 12 12 68379<br>Rev. 0                    | <b>ICA: Student Compliance File-APR Points</b><br>Created when student received an aid package but left the University without graduating. These students may return anytime in the future to complete their degree which positively affects the APR points awarded the University. | <b>Retain</b> for 10 Years after<br>Graduation or Last Contact<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| 12 12 68380<br>Rev. 0                    | <b>ICA: Violations</b><br>This record documents investigations which resulted in a NCAA and/or PAC 12 violation and its resolution  | <b>Retain</b> for 10 Years after<br>Sanction Received<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 12 12 68381<br>Rev. 0                    | <b>ICA: Waivers</b><br>These record documents any type of waiver requested but not necessarily granted by the University for a coach, staff member, player or program.  | <b>Retain</b> for 10 Years after End of<br>Academic Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |



## /15/ Vice President for Student Life

### /15/01/ Office of the University Registrar: Administration

#### Registrar

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 93 09 53036<br>Rev. 0                    | <b>Fraud Files</b><br>Provide record of cases of fraud related to student records such as fraudulent diplomas, grades, transcripts, etc. Includes correspondence, background/support documentation, copies of materials, etc. | <b>Retain</b> for 6 Years after Case<br>Resolved<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

### /15/01/03/ Office of the University Registrar: Residence Classification Office

#### Registrar

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 93 09 53060<br>Rev. 1                    | <b>Immigration/Citizenship Status Change</b><br>Provides a record of the reclassification of a student's immigration/citizenship status. | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



**/15/01/04/ Office of the University Registrar: Graduation and Academic Records**

Registrar

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 86 6 36955<br>Rev. 0                     | <b>Application for Credit by Exam</b><br>Provides record of student application and eligibility to take exams for credit without enrolling in a course. | <b>Retain</b> for 1 Year after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b>        | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 93 09 53001<br>Rev. 1                    | <b>Diploma Replacement Order</b><br>Provides record of request for a replacement diploma. Form includes payment amount received.                        | <b>Retain</b> for 6 Years after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b>       | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 93 09 53002<br>Rev. 0                    | <b>Diplomas -- Not Received</b><br>Provides record of diplomas not retrieved by the students who earned them.   | <b>Retain</b> for 2 Years after End of<br>Academic Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

**/15/01/06/ Office of the University Registrar: Registration and Transcripts Office**

Registrar

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION                               | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 93 09 52990<br>Rev. 0                    | <b>Late Add Registration Authorization</b><br>Provides record of courses approved for adding after tenth class day. | <b>Retain</b> for 5 Months after End of<br>Quarter<br><i>then</i> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



|  |  |          |  |
|--|--|----------|--|
|  |  | Destroy. |  |
|--|--|----------|--|



**/15/01/06/ Office of the University Registrar: Registration and Transcripts Office**

Registrar

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 09 07 62070<br>Rev. 0                    | <b>Permit to Register for Out of Quarter Course (Out-of-Quarter Card)</b><br>Provides record of authorization from a department for a student to register in a course that is approved for a quarter but not offered in the Time Schedule. | <b>Retain</b> for 1 Year after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 86 6 36946<br>Rev. 0                     | <b>Transcript Order Form</b><br>Provides authority by student to issue transcript.   | <b>Retain</b> for 1 Year after End of<br>Month<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

**/15/01/09/ Office of the University Registrar: Degree Audit Reporting System (DARS)**

Registrar

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 99 11 59376<br>Rev. 1                    | <b>DARS Batch Report - Online</b><br>Report identifies which classes fit into particular requirements for a student's major or area of studies and which areas require additional classes. Reports can be printed into hardcopy format when requested. | <b>Retain</b> for 1 Month after Report<br>Run<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



**/15/01/10/ Office of the University Registrar: General Catalog and Curriculum**

*Registrar*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 01 03 60056<br>Rev. 1                    | <b>Curriculum Program Proposals -- Approved</b><br>Provides documentation of the planning and development of an approved academic program. Includes departmental proposals and supporting papers (program descriptions, faculty data, etc.) as well as UoW 1503, Creating and Changing Academic Programs Form. Kuali Student Curriculum Management module will be the system of record for these proposals. This series includes approved, denied, and withdrawn proposals. | <b>Retain</b> for 2 Years after Program<br>Dropped<br><i>then</i><br><b>Transfer</b> to Archives for<br>permanent retention              | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 93 09 52982<br>Rev. 0                    | <b>Curriculum Report (Quarterly)</b><br>Provides comprehensive computer listing (by department and course number) of all approved courses currently offered by academic departments. Kuali Student Curriculum Management module will be the system of record for this information.  | <b>Retain</b> for 3 Years after End of<br>Quarter<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |

**/15/01/11/ Office of the University Registrar: Registrar's Processing Center**

*Registrar*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 06 03 61122<br>Rev. 1                    | <b>U.S. National Security Position Authorization for Release of Information</b><br>Form used by federal investigators to obtain information for security checks. | <b>Retain</b> for 1 Year after End of<br>Month<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /15/02/ Vice President for Student Life: Administration

### Student Life Administration

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 96 09 57045<br>Rev. 1                    | <b>Disciplinary Cases</b><br>A record of investigations and disciplinary actions taken pursuant to the Student Conduct Code.   | <b>Retain</b> for 6 Years after<br>Disciplinary Action Taken<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 98 06 58531<br>Rev. 1                    | <b>Student Incident Reports</b><br>Provides a record of an incident(s) or information that has been reported to this office involving one or more students, and which may or may not have concluded with a formal investigation. | <b>Retain</b> for 6 Years after Incident<br>Resolved<br><i>then</i><br><b>Destroy.</b>         | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

## /15/05/ Office of Student Financial Aid

### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 88 1 41413<br>Rev. 0                     | <b>Award Administration Files</b><br>Provides record of UW applications for state and federal financial aid funds. Includes applications, award notifications, correspondence, program reports, etc. | <b>Retain</b> for 3 Years after End of<br>Award Year in Which Aid was<br>Granted<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /15/05/ Office of Student Financial Aid

### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 88 1 41402<br>Rev. 0                     | <b>Federal and State Reconciliation File</b><br>Provides a record of the request for federal and state funds as well as the record of the expenditures from those funds. May include reconciliation working papers, electronic transmissions to federal and state agencies, Common Origination and Disbursement system reports, and statement of accounts, student adjustment records. | <b>Retain</b> for 3 Years after End of Award Year in Which Report was Submitted<br><i>then</i><br><b>Destroy.</b>       | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 89 1 43561<br>Rev. 1                     | <b>Financial Aid Applications -- Enrolled</b><br>Provides information to determine eligibility for student financial aid. .  | <b>Retain</b> for 6 Years after End of Last Award Year in Which Student Last Attended<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 88 1 41383<br>Rev. 0                     | <b>Financial Aid Applications -- Not Enrolled</b><br>Provides information required to determine eligibility for receipt of financial aid for applicants who were not enrolled as students to the UW during the award year.   | <b>Retain</b> for 1 Year after End of Award Year in Which Not Admitted<br><i>then</i><br><b>Destroy.</b>                | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 88 1 41395<br>Rev. 0                     | <b>Job Referral Forms</b><br>Provides record of federal and state Work-Study positions offered by employers, and the student employees hired into those positions.   | <b>Retain</b> for 3 Years after End of Academic Year<br><i>then</i><br><b>Destroy.</b>                                  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



## /15/05/ Office of Student Financial Aid

### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 88 1 41397<br>Rev. 0                     | <b>Off-Campus Employer File</b><br>Provides record of employers off-campus who employ financial aid students through state or federal programs. May include Work-Study contracts, correspondence, job announcements and descriptions, and notations of students hired. | <b>Retain</b> for 3 Years after End of Award Year in Which Report was Submitted<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 88 1 41400<br>Rev. 0                     | <b>Off-Campus Payroll Vouchers</b><br>Provides record of a Work-Study student's hours worked, supervisor and student certification, and reimbursement request for federal and state agreement employers.   | <b>Retain</b> for 3 Years after End of Award Year in Which Report was Submitted<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 88 1 41396<br>Rev. 0                     | <b>On-Campus Job Descriptions</b><br>Provides description of state or federal Work-Study job within a UW department. Includes supervisor's name and payroll contact.   | <b>Retain</b> for 3 Years after End of Award Year in Which Report was Submitted<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 88 1 41398<br>Rev. 0                     | <b>On-Campus Time Sheets</b><br>Provides record of student hours worked, and both supervisor and student verification of those hours, for students awarded either state or federal Work-Study aid.   | <b>Retain</b> for 3 Years after End of Award Year in Which Report was Submitted<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 88 1 41393<br>Rev. 0                     | <b>Packaging Aid Reports</b><br>Provides record of awards made to financial aid students through the automated fund awarding system. May include reports and student rosters.  | <b>Retain</b> for 3 Years after End of Fiscal Year<br><i>then</i><br><b>Destroy.</b>                              | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## /15/05/ Office of Student Financial Aid

### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|---|---|--|
| 88 1 41405<br>Rev. 0                     | <b>Scholarship Applications</b><br>Documents students' eligibility for and compliance with program requirements for scholarships.   | <b>Retain</b> for 3 Years after End of<br>Award Year for Which Aid was<br>Awarded<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |
| 88 1 41404<br>Rev. 0                     | <b>Scholarship Files (Donor)</b><br>Provides record of scholarships administered by the Financial Aid Office. May include administrative requirements, notations of donations received, copies of wills, correspondence, etc. | <b>Retain</b> for 5 Years after End of<br>Award Year in which Aid was<br>Awarded<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |



## /15/05/02/ Enrollment Management: Veterans Education Benefits

### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 93 03 52108<br>Rev. 0                    | <b><i>English as a Second Language (ESL) Program Files</i></b><br>Provides a record used to evaluate a student for placement in the Academic English ESL program. Files track and monitor the fulfillment of ESL admission requirements by students whose native language is not English. This program is for ESL students who are pursuing an academic degree from the University. The actual classes are taught by Educational Outreach, but all administration and student information is maintained by Special Services. Files include Delay Requests, diagnostic results, copy of TOEFL Test results, copy of Michigan Lang. Test results, in-class pretests (to waive the requirement), SPEAK Test results, etc. | <b>Retain</b> for 2 Years after<br>Graduation or Last Activity<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 93 03 52110<br>Rev. 0                    | <b><i>Financial Aid Authorization &amp; Disbursement Lists -- Year End List</i></b><br>Provides a cumulative year-end listing generated by Student Accounts & Scholarships (RG# 09.06.00) of students receiving scholarships. Includes amount of tuition exemptions and reductions.  | <b>Retain</b> for 2 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>          | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 93 03 52115<br>Rev. 0                    | <b><i>National Merit Scholarship and UW Undergraduate Scholar Award Files</i></b><br>Provides a record of student applications for the National Merit Scholarship and UW Undergraduate Scholars. Includes applications, award letters, and other routine correspondence.   | <b>Retain</b> for 6 Years after End of<br>Academic Year<br><i>then</i><br><b>Destroy.</b>        | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



**/15/06/01/ Health and Wellness: SARIS (Sexual Assault and Relationship Violence Information Service)**

*Student Services*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 10 09 62319<br>Rev. 1                    | <b>Intake Checklist</b><br>This series provides a record of individuals seeking support or resources for issues surrounding sexual assault, stalking, or relationship violence that is collected on a checklist. May include name, purpose of visit, plan of action, etc. | <b>Retain</b> for 7 Years after Intake<br>Session Concluded<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

**/15/07/ Counseling Center**

*Student Services*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 88 3 41748<br>Rev. 1                     | <b>Client Information Database</b><br>This EHR database tracks and monitors client contact, consultation progress, and billing. May include appointments, test results, release of information sheets, etc. Retention is established per WAC 246-924-354 and based on age of client and insurance billing requirements. | <b>Retain</b> for 10 Years after Last<br>Contact<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /15/09/ Recreational Sports Programs: Administration

### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 92 12 51591<br>Rev. 1                    | <b>Game Sheets</b><br>Provide record of teams participating, statistics for each player, and the score for each intramural contest. | <b>Retain</b> for 5 Years after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## /15/10/05/ Housing and Food Services: Residential Life

### Housing and Food Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 99 01 58988<br>Rev. 0                    | <b>Priority Documentation (Residential Hall Events)</b><br>Documentation, in electronic format, concerning incidents in the residential halls (i.e. fire alarm notices, accidents, personal accidents, or emergency maintenance work). Includes incident, report of activities causing incident, response and corrective actions. May include incident reports from UW Police, if applicable. | <b>Retain</b> for 6 Years after End of<br>Academic Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /15/13/02/ Student Activities Office

### Student Programs

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 90 01 45532<br>Rev. 0                    | <b>Affordable Tuition Now (ATN)</b><br>Provides a quarterly list of optional fee contributions.                                    | <b>Retain</b> for 1 Year after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 90 01 45533<br>Rev. 0                    | <b>Washington Public Interest Research Group (WASHPIRG) (SA70110-R-02)</b><br>Provides a quarterly list of WASHPIRG contributions. | <b>Retain</b> for 1 Year after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## /15/13/07/ Student Legal Services

### Student Programs

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 18 08 69222<br>Rev. 0                    | <b>Client Case Files Involving Estate Planning</b><br>Information collected during initial contact with potential clients and at consultation used to identify client, nature of inquiry, referrals made, advice given, etc. where the nature of the matter revolves around end of life, estate planning, and/or power of attorney. Additionally, in the event consultation evolves into ongoing representation, the case file will also provide documentation of a client's legal representation by Student Legal Services in civil or criminal matters. May include court pleadings, evidence information, subpoenas, notes regarding legal research, correspondence with client or other attorneys, etc. All information and materials will reside in LegalServer CMS. | <b>Retain</b> for 10 Years after Close of<br>Estate<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /15/17/ University Police Department

### Law Enforcement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION   |
|--|--|---|---|
| 11 12 62911<br>Rev. 0                    | <b>ACCESS, WACIC, and NCIC Validations</b><br>Records from A Centralized Computer Enforcement System (ACCESS), Washington Crime Information Center (WACIC), and National Crime Information Center (NCIC) relating to validation notices received from the Washington State Patrol verifying the receipt and database entry of criminal history information transferred in accordance with RCW 10.98.050. | <b>Retain</b> for 3 Years after Date of Validation or until WSP Audit<br><i>then</i><br><b>Destroy.</b>                                 | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| 11 12 62922<br>Rev. 1                    | <b>Agency Property Inventories</b><br>Any log or inventory concerning agency owned and issued property. Including officer gear, ammunition and weapons.  | <b>Retain</b> for 3 Years after Disposal of Asset<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                         |
| 06 07 61245<br>Rev. 0                    | <b>Banning Letters</b><br>Provides a record of restrictions placed on an individual's access to all or part of the University.   | <b>Retain</b> for 6 Years after Expired<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| 88 4 42063<br>Rev. 0                     | <b>Building Survey Reports</b><br>Provides record of security measure surveys done of campus buildings. Used by departments to update/enhance their security measures.   | <b>Retain</b> for 1 Year after End of Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 11 12 62910<br>Rev. 1                    | <b>Bulletins</b><br>Daily, weekly, or monthly reports or bulletins created to disseminate pertinent information to various departments or individuals of the agency.   | <b>Retain</b> until after end of calendar year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |



## /15/17/ University Police Department

### Law Enforcement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 11 12 62913<br>Rev. 0                    | <b>Case Files - Juvenile Offenders</b><br>Case reports and files assembled by law enforcement staff pertaining to offenses allegedly committed by juveniles.<br><br>Note: RCW 13.50.050(22)(a) allows for the routine destruction of records relating to juvenile offenses only when the subject has attained 23 years of age or older. Local law enforcement records relating to juvenile offenses may also be destroyed pursuant to RCW 13.50.505(17)(a) upon notification from the juvenile court that such records are eligible for destruction. | <b>Retain</b> until Juvenile attains 23 years of age or notification from juvenile court<br><br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 11 12 62914<br>Rev. 1                    | <b>Citations/Notices of Infractions Issue Log</b><br>Records documenting the issuance of blank, pre-numbered citations/notices of infraction to officers in accordance with RCW 46.64.010. Includes, but is not limited to voided citations/tickets, receipts for books and/or devices issued.   | <b>Retain</b> for 4 Years after End of Calendar Year<br><br><i>then</i><br><b>Destroy.</b>                                     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 11 12 62925<br>Rev. 0                    | <b>Citations/Notices of Infraction Issued - Driving Under the Influence</b><br>Records relating to citations issued to alleged violators for driving while under the influence which must be retained in accordance with RCW 46.61.502(6).<br><br>Excludes citations/notices of infraction generated using Washington State Patrol's Statewide Electronic Collision and Ticket Online Records (SECTOR) transmitted to Washington State Patrol.   | <b>Retain</b> for 10 Years after Date of Issuance<br><br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 00 05 59684<br>Rev. 0                    | <b>Citizen Complaint Files</b><br>Provides a record of written complaints against the department received from members of the public. Includes response.   | <b>Retain</b> for 1 Year after End of Calendar Year<br><br><i>then</i><br><b>Destroy.</b>                                      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 88 4 42069<br>Rev. 0                     | <b>Communications Center Recordings</b><br>Provides a taped daily record of E911 calls, calls to UWPD Communications Center, and radio communications between UWPD Communications Center and UW radio units. Also includes telephone call data.  | <b>Retain</b> for 3 Months after Media Full<br><br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## /15/17/ University Police Department

### Law Enforcement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 11 12 62916<br>Rev. 0                    | <b>Computer - Aided Dispatch (CAD) Backup Data</b><br>Backup data entered by dispatchers pertaining to calls received and/or processed by a Public Safety Answering Point.  | <b>Retain</b> for 3 Years after<br>Conclusion of Dispatch Action<br><i>then</i><br><b>Destroy.</b>                   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 88 4 42053<br>Rev. 0                     | <b>Computer Aided Dispatch System (CADS)</b><br>Provides a record of dispatched calls for police service and an event record of police activity.  | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>                            | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 11 12 62921<br>Rev. 1                    | <b>Confidential Informant (CI) Records</b><br>Records relating to individuals with confidential informant status who provide information to the agency on a confidential basis.   | <b>Retain</b> for 3 Years after<br>Termination of Confidential<br>Informant Status<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 11 12 62926<br>Rev. 1                    | <b>Court Orders - Filed with UWPD</b><br>Orders issued by a court and filed with the agency.<br>Includes, but is not limited to anti-harassment orders, no-contact orders protection orders, restrictive area orders, and Stay Out of Drug Area (SODA)/Stay Out of Area - Prostitution (SOAP) orders. | <b>Retain</b> until Expired, Vacated,<br>Terminated, or Superseded<br><i>then</i><br><b>Destroy.</b>                 | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 11 12 62915<br>Rev. 1                    | <b>Court Orders - Fulfilled by UWPD</b><br>Records relating to the tracking and delivery of official documents requiring a process to be served by the UWPD.  | <b>Retain</b> for 6 Years after End of<br>Action<br><i>then</i><br><b>Destroy.</b>                                   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |



## /15/17/ University Police Department

### Law Enforcement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|---|--|--|
| 11 12 62909<br>Rev. 0                    | <b>Crime Analysis Files</b><br>Records relating to analyses used to anticipate, prevent, or monitor potential criminal activity.  | <b>Retain</b> for 1 Year after<br>Completion of Analysis<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| 11 12 62919<br>Rev. 0                    | <b>Crime Prevention Programs</b><br>Records relating to the management of crime prevention programs.<br>Includes, but is not limited to Crime Stoppers, block watch; business watch and house watch.  | <b>Retain</b> for 1 Year after Obsolete<br>or Superseded<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention                          | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR    |
| 00 05 59685<br>Rev. 0                    | <b>Crime Prevention Publications/60 Day Log</b><br>Provides a record of publications and notifications on crime produced by UWPD as part of the Crime Prevention Program. Includes crime analysis reports. Required by CFR 20 USC 1092 (f), Cleary Act. | <b>Retain</b> for 7 Years after Annual<br>Report Complete<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention                         | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 11 12 62912<br>Rev. 0                    | <b>Criminal History Audit Reports</b><br>Final reports of Washington State Patrol audit findings.   | <b>Retain</b> for 6 Years after<br>Completion of Washington State<br>Patrol audit<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR    |
| 11 12 62923<br>Rev. 1                    | <b>Evidence Records</b><br>Records documenting the intake, management, and disposition of property acquired by the agency as evidence attached to a case number.  | <b>Retain</b> for 6 Years after<br>Disposition of Case<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |



## /15/17/ University Police Department

### Law Enforcement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 18 12 69340<br>Rev. 0                    | <b>Expungement/Sealing/Vacation of Records</b><br>Records relating to requests and orders for the expungement, sealing or vacation of criminal information or records in accordance with WAC 446-16-025. This record replaces the original record and demonstrates why the original record is no longer retained. | <b>Retain</b> until Current Approved Retention Period for the Records Expunged/Sealed/Vacated<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 12 06 68267<br>Rev. 0                    | <b>Field Interview Reports (FIR's)</b><br>Provides records of officers' field contacts with the community that do not result in the need for an Incident Report.  | <b>Retain</b> for 6 Years after End of Contact<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 06 09 61363<br>Rev. 0                    | <b>Firearms Exemption</b><br>This series provides a record of individuals requesting an exemption to WAC 478-124-020. Includes both approved and denied permits.  | <b>Retain</b> for 6 Years after Expired or Denied<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 12 06 68270<br>Rev. 1                    | <b>In-Car Video</b><br>Recordings created by mobile units that have not captured a unique or unusual incident or action from which litigation or criminal prosecution is expected or likely to result.  | <b>Retain</b> for 3 Months after Date of Recording<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 88 4 42061<br>Rev. 0                     | <b>Incident Report</b><br>A record of the initial report on arrests, accidents, crimes and incidents. May include statements, property sheets, criminal or infraction citations, etc. needed to document the incident. May include WACIC or NCIC printed data and DOL information.                                | <b>Retain</b> for 6 Years after End of Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /15/17/ University Police Department

### Law Enforcement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 88 4 42068<br>Rev. 1                     | <b>Investigation Case Files</b><br>Contains a detailed record of information collected in investigations of reported crime or incidents. Including: Caseworker records, supplemental reports, Witness/Victim statements, photos, property and evidence worksheets, WACIC/NCIC/DOL printed data, etc. (After retention period ends, sexual assault and assault case files are turned over to WASPC (Washington Association of Sheriffs and Police Chiefs.")) | <b>Retain</b> for 6 Years after Case Closed/ Inactive<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |
| 11 12 62918<br>Rev. 0                    | <b>Investigative Funds</b><br>Records relating to agency funds expended during criminal investigation evidence buys, investigative expenses, and informant expenses and/or payments. Includes, but is not limited to expense vouchers, receipt books for funds spent ledgers, and receipts for purchases.   | <b>Retain</b> for 10 Years after Last Expenditure<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| 11 12 62917<br>Rev. 0                    | <b>K9 Unit Records-Agency Owned Animals</b><br>Records relating to horses, dogs, or other animals owned by the agency and retained in accordance with WAC 139-05-915(7). Includes, but is not limited to training and canine team certification, animal acquisition and microchip information and records showing purpose, use, or assignment of animal.  | <b>Retain</b> for 6 Years after Removal from Active Service<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |
| 88 4 42067<br>Rev. 1                     | <b>National Incident Based Reporting System (NIBRS)</b><br>Provides statistical data on selected major crimes. As per RCW 28B.10.569 (1) reported to WASPC on a monthly basis. Includes reporting of child abuse, hate/bias crimes, and domestic violence.  | <b>Retain</b> for 3 Years after End of Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 88 4 42076<br>Rev. 0                     | <b>Notification of Court Appearance</b><br>Summarizes subpoena data and directs officers to appear in court.  | <b>Retain</b> until End of Month<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |



## /15/17/ University Police Department

### Law Enforcement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 00 05 59703<br>Rev. 0                    | <b>Property Activity Request (Form 1024)</b><br>Provides a record of disposition of equipment or property either through surplus transfer or sale. Also includes property or money that has been diverted to police use. (Maintained as per RCW 63.32.010.)  | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>             | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 11 12 62924<br>Rev. 0                    | <b>Property Forfeited</b><br>Records relating to personal and/or real property forfeited to the agency in accordance with RCW 69.50.505. Includes, but is not limited to documentation of auction and/or proceeds realized from disposition, property retained for agency use, and forfeiture hearing tapes. Excludes records relating to property retained for law enforcement use in accordance with Chapters 63.32, 63.40, and 63.42 RCW. Note: RCW 69.50.505(8) (b) requires agencies to retain records relating to forfeited property for at least 7 years. | <b>Retain</b> for 7 Years after Date of<br>Forfeiture<br><i>then</i><br><b>Destroy.</b>               | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 11 12 62920<br>Rev. 1                    | <b>Property Registration</b><br>Records relating to personal property registered with the agency for recovery if lost or stolen.   | <b>Retain</b> for 1 Year after No<br>Longer Needed<br><i>then</i><br><b>Destroy.</b>                  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 12 06 68271<br>Rev. 0                    | <b>Security Surveys and Assessments</b><br>An assessment of risks or potential crime performed by Crime Prevention. Record includes security evaluations and reports for persons or property under UWPD jurisdiction for crime prevention, in planning for a special event or at the request of another security agency.   | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>              | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 07 08 61597<br>Rev. 1                    | <b>Sex Offender Files</b><br>Provides a record of registered sex offenders who have become a part of the UW campus population. The printed bulletins are used as part of the identification verification process.  | <b>Retain</b> for 6 Years after No<br>Longer Affiliated with Campus<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /15/17/ University Police Department

### Law Enforcement

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 88 4 42054<br>Rev. 0                     | <b>Special Orders</b><br>Provides a record of internal office memos containing information of a temporary nature.             | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 12 06 68274<br>Rev. 1                    | <b>Victim Advocate (CVA) Records</b><br>All confidential records used and maintained by the UWPD Crime Victim Advocate (CVA). | <b>Retain</b> for 7 Years after Last<br>Contact<br><i>then</i><br><b>Destroy.</b>         | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

## /15/20/ UW Career Center

### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 88 12 43452<br>Rev. 0                    | <b>Letters of Evaluation</b><br>This series provides a record of Academic Employment and Graduate/Professional School Placement files. Files may contain cover sheet with contact information, educational history, letters of recommendation, etc. | <b>Retain</b> for 20 Years after Last<br>Activity<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



**/15/22/01/ Enrollment Management: Enrollment Information Services**

*Registrar*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|---|---|--|
| 86 6 36940<br>Rev. 1                     | <b><i>Permanent Student Records/Transcripts (Student Database)</i></b><br>Records documenting the official academic performance of individual students at the University. Includes, but is not limited to courses taken, final grades and honors received (including any grade changes), transfer and total credits, major and minor degrees received, and official name changes.<br><br>Note: In the event of the University ceasing to exist, the permanent student records are to be transferred to Student Achievement Council for permanent retention in accordance with RCW 28B.85.130. | <b>Retain</b> for Life of the Agency<br><i>then</i><br><b>Transfer</b> to Student Achievement Council for permanent retention       | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 97 08 57908<br>Rev. 0                    | <b><i>Special Data Studies, Permanent</i></b><br>Special statistical studies prepared with data from the Student Database that may contribute to the study and analysis of the effectiveness of University programs. Includes comparative longitudinal studies.   | <b>Retain</b> for 10 Years after End of Quarter<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM    |



## /16/ Office of External Affairs

### /16/03/ State Relations

#### External Affairs

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|---|--|--|
| 04 10 60816<br>Rev. 0                    | <b>Issues Files</b><br>Provides record of current issues that may affect or may be of interest to the University of Washington. May include House and Senate Legislative bills, newspaper articles, testimony, correspondence, fiscal notes, checklists, etc. | <b>Retain</b> for 5 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |

### /16/05/ Trademarks and Licensing

#### Promotes and protects the use of UW licensed marks

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 93 12 53398<br>Rev. 0                    | <b>Infringers</b><br>Documents cease and desist letters sent to manufacturers illegally producing merchandise.  | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 85 5 35348<br>Rev. 0                     | <b>Insurance Certificates</b><br>Provides proof that all licensed companies have product liability insurance and that this University is named as one of the insured parties. Policies are renewed on a yearly basis. A new insurance certificate is issued at time of renewal of policy. | <b>Retain</b> until Superseded<br><i>then</i><br><b>Destroy.</b>                        | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |



**/16/07/ Broadcast Services: KUOW Radio Station**

*Radio Station*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 99 11 59352<br>Rev. 1                    | <b>KUOW Equipment Performance Measurements</b><br>Records performance measurements for each station transmitter. May include Frequency Measurement Logs. Maintained as per 47 CFR 73.1590.   | <b>Retain</b> for 2 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |
| 99 11 59364<br>Rev. 1                    | <b>KUOW Public File</b><br>Contains all content maintained as part of the station's Public File required as per 47 CFR 73.3527(e) (1-11). Includes: Annual Employment Reports, Contour Maps, Donor Lists, FCC Applications, FCC Authorization, FCC Investigation or Complaint Notices, Issues/Program List, Local Public Notice Announcements, Ownership Reports, Political File, "The Public and Broadcasting". | <b>Retain</b> for 6 Years after Final<br>action on next license renewal<br>application<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |
| 93 11 53256<br>Rev. 1                    | <b>KUOW: Station Operation Log</b><br>Documents the technical operation of station equipment, including equipment status, equipment calibration, the Emergency Alert System, tower lighting outages, etc. Maintained as per 47 CFR 73.1225.  | <b>Retain</b> for 2 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |



## /16/09/ Office of News and Information

Works with journalists who need information about the University of Washington.

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|--|--|---|
| 88 7 42641<br>Rev. 0                     | <b>News and Information Personnel Files</b><br>Provides information source on UW faculty and staff (current or former). Used to provide background for University Week stories and articles or press releases. Information from files is feed into the Experts database, an on-line contact source for outside media needing experts in certain fields. May include bibliographies, biographies, photographs, news clips, speeches, obituaries, etc. | <b>Retain</b> for 6 Years after<br>Deceased<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention                                   | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 88 7 42638<br>Rev. 0                     | <b>Past Presidents' Files</b><br>Provides information source on past UW presidents. May include bibliographies, biographies, photographs, news clips, speeches, etc. Used as background source for articles or press releases.   | <b>Retain</b> for 6 Years after<br>Deceased<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention                                   | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 88 7 42636<br>Rev. 0                     | <b>Regents Files</b><br>Provides information sources on current and past Board of Regents members. May include bibliographies, biographies, photographs, news clips, speeches, etc.  | <b>Retain</b> for 6 Years after<br>Completion of Term or Period of<br>Service<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |



**/16/13/ UWTV**

*Television Station*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 13 03 68434<br>Rev. 0                    | <b><i>UWTV Daily Logs</i></b><br>Printed from the Traffic System Log, documents the schedule for the day including all programming and spots. Used by operators to note changes and discrepancies with explanations in the day's schedule.  | <b>Retain</b> for 2 Years after End of<br>Month<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 13 03 68436<br>Rev. 0                    | <b><i>UWTV Traffic System Logs</i></b><br>Part of the Traffic System Database, this is the schedule for all programming and spots. Lists content of planned programming and spots and time they will be aired. The Traffic System Database tracks what actually ran on each day. Reconciled against the Daily Log. Affidavits are produced from the reconciled logs to document spots that did or did not run as per their contracted schedule. | <b>Retain</b> for 6 Years after End of<br>Month<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |



## /19/ College of Arts and Sciences

### /19/06/ A&S: Henry Art Gallery

#### Art Gallery

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 00 12 60001<br>Rev. 1                    | <b>Accession Register</b><br>This record documents the intake of each object in the permanent collection, in which each object is documented, including using a unique Accession Number. They are ledgers containing basic information that is used to confirm ownership of an object, including the artist, title, medium, classification, and credit line.   | <b>Retain</b> for 5 Years after Last<br>Object Deaccessioned<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM     |
| 90 09 46709<br>Rev. 1                    | <b>Collection Accession Records</b><br>Various types of information about each object in the Gallery's permanent collection. Includes: accession receipt and object receipts, deed of gift or purchase record, correspondence, donor information, and Director's acknowledgement of gift letter, Invoice (purchases only), Transfer of Ownership (purchases). May also include: UW Gift Transmittal form, research material, bibliographies, insurance appraisals, IRS form 8283, exhibition history, provenance, a record of who owns the copyright use agreement, shipping information, or artist cards (with photos and description of object). | <b>Retain</b> for 10 Years after Object<br>Deaccessioned<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention     | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR     |
| 90 09 46712<br>Rev. 1                    | <b>Exhibition Files</b><br>Provides record of all aspects of planning and presenting an exhibition. May include: exhibition checklist, incoming loan agreements, any other agreements relating to the exhibition, planning files, correspondence, incoming loan agreements, object receipts, exhibit guides, shipping information, insurance documentations, and condition reports. Includes conservation contracts for loaned artworks when applicable.   | <b>Retain</b> for 10 Years after Close of<br>Exhibit<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention         | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>NON-ESSENTIAL</b><br>OPR |



**/19/08/05/ A&S: Burke Museum: Registrar**

*Academic Office*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 06 11 61392<br>Rev. 0                    | <b>Donor Cards</b><br>Various types of information on donors of collections in the museum's permanent collection. May include: contact information, description of gift, and list of tasks associated with the gift. This information is used as a cross reference to the Accession/Deaccession Records. | <b>Retain</b> for 10 Years after<br>Collection Deaccessioned<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |

**/19/45/02/ A&S: Psychology: Fast Track**

*Academic Office*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 07 12 61670<br>Rev. 0                    | <b>Suspected Child Abuse Reports</b><br>This series provides a record of reports submitted to Child Protective Services regarding suspected child abuse identified during the course of the research study. | <b>Retain</b> for 6 Years after Date of<br>Interview<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



**/19/45/06/ A&S: Psychology: Clinic Coordinator: Psychological Services and Training Center**

*Academic Office*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 09 03 61950<br>Rev. 0                    | <b>Client Case Files - 10 And Younger</b><br>Provides comprehensive record of client agreements, testing, assessment and/or therapy. May include: Consent Forms, Personal Data Questionnaire, Intake Summary, Consent Form for Mutual Exchange of Information, Administrative Closure, Supervisor Contract, Client Fee Worksheet, Assessment Report, Case Progress Notes, Quarterly Client Checklists, Closing Summary, Tests and Batteries, Case Checklist, Post Follow-up Questionnaire, etc.   | <b>Retain</b> for 19 Years after Last Contact<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 09 03 61949<br>Rev. 0                    | <b>Client Case Files - 11 And Older</b><br>Provides comprehensive record of client agreements, testing, assessment and/or therapy. May include: Consent Forms, Personal Data Questionnaire, Intake Summary, Consent Form for Mutual Exchange of Information, Administrative Closure, Supervisor Contract, Client Fee Worksheet, Assessment Report, Case Progress Notes, Quarterly Client Checklists, Closing Summary, Tests and Batteries, Case Checklist, Post Follow-up Questionnaire, etc.   | <b>Retain</b> for 11 Years after Last Contact<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 89 10 45101<br>Rev. 0                    | <b>Client Case Files - pre 2009</b><br>Provides comprehensive record of client agreements, testing, assessment and/or therapy. May include: Client Statement of Understanding, Evaluation of Effectiveness of Services (consent form), Personal Data Questionnaire, Intake Summary, Consent Form for Mutual Exchange of Information, Administrative Closure, Supervisor Contract, Client Fee Worksheet, Assessment Report, Case Progress Notes, Quarterly Client Checklists, Closing Summary, Tests and Batteries, Case Checklist, Post Follow-up Questionnaire, etc. | <b>Retain</b> for 16 Years after Last Contact<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



**/19/58/01/ A&S: Speech and Hearing Sciences: Speech and Hearing Clinic (Speech Pathology and Audiology)**

*Academic Office*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 91 08 48042<br>Rev. 0                    | <b>Client Case Files - Adults</b><br>Provides comprehensive record of client contact, testing, evaluations and/or therapy. May include: correspondence, test and examination results, assessments, progress reports, notes, consent form, etc. Includes screening files, no show/hold files and bypass/waiting for therapy files.   | <b>Retain</b> for 6 Years after Last Activity<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 91 08 48041<br>Rev. 0                    | <b>Client Case Files - Minors</b><br>Provides comprehensive record of client contact, testing, evaluations and/or therapy. May include: correspondence, test and examination results, assessments, progress reports, notes, consent form, etc. Includes screening files, no show/hold files and bypass/waiting for therapy files.<br><br>Note: Retention represents how office will calculate the date of destruction of Case files for Minors. Minor clients range in age from 3-18 years. Actual retention is 3 years after age 18 or 10 years after last contact; whichever is longer. | <b>Retain</b> for 28 Years after Date of Birth<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /21/ College of Education

### /21/05/ Education: Teacher Education Program

#### Academic Office

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 86 10 37876<br>Rev. 0                    | <b>Certificate Program Candidate - Inactive</b><br>Provides a record of candidates formerly enrolled in a teacher certificate program who have not completed the requirements and received a Residency Initial or Professional certificate.   | <b>Retain</b> for 10 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 86 10 37882<br>Rev. 0                    | <b>Educational Staff Associate - Residency Initial and Professional Certificate</b><br>Provides a record of candidates who have complete credential and received a residency initial or professional certificate for Social Worker, Psychologist/School Counselor, etc. Includes certificate application (which includes criminal background information), fee payment information, copy of previous certificates, correspondence, etc. These files are used by the Office of Superintendent of Public Instruction: Office of Professional Practice for investigations. | <b>Retain</b> for 45 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 86 10 37877<br>Rev. 1                    | <b>Granted Certificates</b><br>Provides record of candidates who have completed the requirements for a masters in teaching and have received a Residency Initial Certificate. May include advisors report, correspondence, field practicum, evaluations, certification application (which includes criminal background information), student teaching evaluation working files, etc. These files are used by the Office of Superintendent of Public Instruction: Office of Professional Practice for investigations.  | <b>Retain</b> for 45 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



## /22/ College of Engineering

### /22/15/01/ Eng: Aeronautics and Astronautics: F.K. Kirsten Wind Tunnel (Aeronautical Laboratory)

#### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION   |
|--|---|---|---|
| 97 07 57837<br>Rev. 0                    | <b>Academic Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report</b><br>This series contains the records relating to various phases of a wind tunnel test for an Academic project. Raw and Reduced data are created during the testing of the model; the Data Reduction Notebook includes the calculations used to extrapolate the final report from the raw data gathered during the various tests. The Final report contains a summary of the information found in the Data Reduction Notebook. Also included is the Test letter from the client.  | <b>Retain</b> for 6 Years after<br>Completion of Project<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 19 10 69409<br>Rev. 0                    | <b>Commercial Projects - Wind Tunnel Test Data and Photograph – ITAR Regulated</b><br>Provides a record of force, moment, wind speed, and other assorted sensor data, along with photographs from many viewpoints, routinely collected for most wind tunnel tests. These data are typically collated, annotated, processed, and time synchronized as needed by Kirsten Wind Tunnel staff prior to delivery to the customer. There are occasions, however, when the customer desires to take the data directly from the experiment, and requests that all data, including photographs, be completely erased from the KWT network for extra security purposes. These customers are typically government contractors testing an aeronautical system subject to ITAR (International Trade and Arms Regulated) restrictions, which mandate zero exposure of test articles, data, fabrication techniques, and technology know-how to non-US citizens. | <b>Retain</b> until Completion of<br>Project<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                         |
| 97 07 57843<br>Rev. 0                    | <b>Commercial Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report</b><br>This series contains the records relating to various phases of a wind tunnel test for a Commercial project which contains proprietary information. Raw and Reduced data are created during the testing of the model; the Data Reduction Notebook includes the calculations used to extrapolate the final report from the raw data gathered during the various tests. The Final report contains a summary of the information found in the Data Reduction Notebook. Also included is the Test letter from the client. The Work Agreement between the Wind Tunnel and the client is found in the Accounting office. Retention is per RCW 42.56.270.   | <b>Retain</b> for 5 Years after<br>Completion of Project<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                         |



**/22/15/01/ Eng: Aeronautics and Astronautics: F.K. Kirsten Wind Tunnel (Aeronautical Laboratory)**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 97 07 57839<br>Rev. 0                    | <b>Equipment and Occupancy Log Books</b><br>The Equipment Log book provides a chronological daily record of events at the wind tunnel testing facility. May include: power usage readings, hours of occupancy, required repairs, etc. The Occupancy Log books records which customers visited the facility, what was tested, who performed the tests, what tests were performed, etc. | <b>Retain</b> for 6 Years after Life of Equipment<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 05 09 60963<br>Rev. 0                    | <b>Operational Security Checklist</b><br>Documents which staff performed the nightly shutdown procedures of the wind tunnel equipment and building security.  | <b>Retain</b> for 1 Month after End of Month<br><i>then</i><br><b>Destroy.</b>      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## /26/ School of Law

### /26/06/04/ Law: Academic Services

#### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 04 11 60791<br>Rev. 0                    | <b>Information Release Authorization</b><br>This series provides a record of students authorizing the Law School to release their transcript or issue a letter of good standing, etc.  | <b>Retain</b> for 1 Year after End of<br>Quarter<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 04 11 60790<br>Rev. 0                    | <b>Rule 9 Intern Practice Certification</b><br>Confirms that an individual is a student at the UW Law School, has completed a certain number of credits and is eligible to apply for legal intern status. Form is completed by the student, confirmed and approved by the Law School and filed with the State Bar Association. | <b>Retain</b> for 1 Year after Date of<br>Filing<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /27/ School of Medicine

### /27/01/11/ Med: Continuing Medical Education

#### Academic

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 92 05 50410<br>Rev. 0                    | <b>Course Files</b><br>Provides record of policy/non-routine correspondence relating to content, instructors, promotion and advertisement of courses, lectures, symposia or other events accredited by the CME Office. Includes syllabi, brochures and other publications, evaluation summaries, and all enduring materials (multimedia materials) created for CME courses. | <b>Retain</b> for 1 Year after<br>Superseded by New<br>Accreditation<br><br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

### /27/05/01/ Med: Biological Structure: Willd Body Program

#### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 01 02 60043<br>Rev. 0                    | <b>Product of Conceptus Files/Log</b><br>Documents the cremation of products of conceptus. Include copy of release, date of cremation, urnment, burial, etc. Retention requirements based on WAC 98-80-070 since UW acts as place of cremation.   | <b>Retain</b> for 99 Years after Burial/<br>Return of Ashes<br><br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 01 02 60041<br>Rev. 0                    | <b>WBP - Donor Files</b><br>Files trace contact with donors and/or donor family when individual wills their remains to the UW. Files contain legal documentation and contract between the donor (or donor family) and UW. Files include donor form, information sheet on remains, correspondence, telephone notes, disposition form (where buried or where ashes sent), embalmers records, body storage information, shipping information, cremation information, etc. Retention requirements are based on WAC 98-80-070 since UW acts as place of cremation. | <b>Retain</b> for 99 Years after Burial/<br>Return of Ashes<br><br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /27/05/01/ Med: Biological Structure: Willed Body Program

Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 01 02 60042<br>Rev. 0                    | <b>WBP Donor Files - No Contact/Withdrawal</b><br>Donor forms for individuals registered with program for which no contact can be made (moved) or person has decided to withdraw from program. Includes donor form, notes regarding contact, correspondence, etc. | <b>Retain</b> for 50 Years after<br>Withdraw or Last Contact<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## /27/06/ Med: Comparative Med: Administration/Vet. Services

Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 93 MM 52788<br>Rev. 0                    | <b>Animal Health Record</b><br>Provides record of base data regarding the health of a research animal, physical exam results, lab evaluations, etc. Includes animal identification number, USDA number, lab work requests & reports, Dead or Sick Animal Report/Treatment Orders, Post-Surgical Care Reports, X-Rays, etc. | <b>Retain</b> for 6 Years after Animal<br>Death or Disposition<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



**/27/06/01/ Med: Comparative Med: Diagnostic Lab**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 92 12 51549<br>Rev. 0                    | <b>Diagnostic Animal Specimens</b><br>Provides record of animal tissue samples, serum, etc., filed according to lab request number. Also used for teaching purposes after being utilized in diagnosis.   | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 15 03 68743<br>Rev. 0                    | <b>VADDS Database (Vetstar Animal Disease Diagnostic System)</b><br>Provides a record of requests from other units or departments for services of the Comparative Medicine Diagnostic Lab. Notes results of lab services and produces reports to requester. Also includes data regarding sentinel rodents gathered per the Quality Assurance Schedule. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |

**/27/06/02/ Med: Comparative Med: Animal Facilities**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 93 8 52787<br>Rev. 0                     | <b>Animal Care Logs</b><br>Provides record of daily and weekly care of research animals. May include feeding times, health issues, etc. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



**/27/06/02/ Med: Comparative Med: Animal Facilities**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 07 12 61668<br>Rev. 0                    | <b>Monitoring System Records</b><br>This series provides a record of measurements of air, humidity, light, etc. in the animal rooms. May be in electronic or hard copy form. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 07 12 61667<br>Rev. 0                    | <b>Sterilization and Maintenance Logs</b><br>This series provides a record of the maintenance of equipment used for sterilization in the Animal Facilities                   | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |

**/27/06/03/ Med: Comparative Med: Transgenic Resource Program/Colony Management**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 07 12 61673<br>Rev. 0                    | <b>Cryopreservation Log</b><br>This series provides a record of the location of frozen embryos. Includes date, principal investigator, strain, location, comments, etc. Includes billing information. | <b>Retain</b> for 6 Years after<br>Administrative Purpose Served<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



**/27/06/03/ Med: Comparative Med: Transgenic Resource Program/Colony Management**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 07 12 61674<br>Rev. 0                    | <b><i>Experimental Procedures or Protocols</i></b><br>This series provides a record of new procedures or protocols developed for embryo manipulation.   | <b>Retain</b> for 6 Years after<br>Superseded<br><i>then</i><br><b>Destroy.</b>                    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 07 12 61672<br>Rev. 0                    | <b><i>Injection Summary</i></b><br>This series provides a record of embryo manipulation. Includes the name of Principal Investigator, construct injected, individual injection number, embryos implanted, budget number, etc. Includes billing information.                   | <b>Retain</b> for 6 Years after<br>Administrative Purpose Served<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 07 12 61676<br>Rev. 0                    | <b><i>Request for Services</i></b><br>This series provides a record of requests for services. May include Request for Generation of Transgenic and Knockout Mice and Request for Embryo Cryopreservation.   | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>          | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 07 12 61675<br>Rev. 0                    | <b><i>Tail Sheets</i></b><br>This series provides a record of the genetic history of a mouse. Includes strain, dame, sire, number of pups born, generation, birth date, line, tag number, phenotype, sex, genotype, principal investigator's name, and date tails taken, etc. | <b>Retain</b> for 1 Year after<br>Administrative Purpose Served<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |



## /27/10/ Med: Medical Education and Biomedical Informatics

### Academic

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 82 9 20210<br>Rev. 0                     | <b>Examination Score Summaries</b><br>Summarizes the examination scores from all tests administered or proctored by Medical Education. Each examination score can be found in the individual's student folder.   | <b>Retain</b> for 1 Year after Test Scored<br><i>then</i><br><b>Destroy.</b>            | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 99 06 59153<br>Rev. 0                    | <b>Teaching Scholars Program Certificate Files</b><br>Files of individuals participating in the Teaching Scholars Program. Files include program information, applications, correspondence, letters, research papers, etc. This program is for a certificate only, it does not earn the individual any type of academic credits or degree. | <b>Retain</b> for 5 Years after Completion of Program<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## /27/11/04/ Med: Rehab Med: Resident Training Program

### Academic

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 96 02 56477<br>Rev. 0                    | <b>Medical Resident Evaluation of Residency/Fellowship Training Program/Faculty-Summary</b><br>Annual summary of medical resident/fellow evaluation of clinical training and instructor. Compiled per teaching site and per faculty member. May be used in connection with faculty promotion issues.                        | <b>Retain</b> for 5 Years after Summary Complete<br><i>then</i><br><b>Destroy.</b>    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 96 02 56476<br>Rev. 0                    | <b>Medical Resident/Fellow Evaluation of Residency Training Program/Faculty</b><br>Provides a record of medical resident/fellow evaluation of clinical training and opportunities for patient contact as well as evaluation of instructor effectiveness and skill. May be used in connection with faculty promotion issues. | <b>Retain</b> for 1 Year after End of Academic Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



**/27/11/07/ Med: Rehab Med: UW Employment Program (UWEP)**

*Academic*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 98 07 58553<br>Rev. 0                    | <b>Program Client Files</b><br>Provides a detailed record of employment specialist contact with each DD/DVR/Private Pay client accepted into the program including notes, evaluations, progress/outcome reports, and action plans. Also includes an accounting of all aspects of employment specialist work time.<br>Required per King County Developmental Disabilities Division Contract (KCDDD), Division of Vocational Rehabilitation contract (DVR) and criteria established by the Center on Accreditation of Rehabilitation Facilities (CARF). | <b>Retain</b> for 6 Years after Termination of Program Participation<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

**/27/13/01/ Med: Allergy and Infectious Diseases: Allergy**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 04 11 60826<br>Rev. 0                    | <b>Student Evaluation Source Documents</b><br>Documents used to compile an evaluation of Fourth Year Medical Student performance while working at the Allergy Clinic. Final evaluation created from these source documents is maintained in the student folder. | <b>Retain</b> for 3 Months after End of Quarter<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



**/27/19/01/ Med: Northwest Lipid Research Laboratories**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 93 11 53277<br>Rev. 0                    | <b>Orders</b><br>Provides a record of requests submitted by labs seeking certification in lipid testing. Includes samples, lab ID number, lab name, ID number assigned to each sample. (Certification is effective for a period of two years.)   | <b>Retain</b> for 2 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| 93 11 53258<br>Rev. 1                    | <b>Protocol Development</b><br>Provides a record of the development of procedures and standards by which assays are run. Includes, protocols, correspondence, memoranda, notes, data, analyses.  | <b>Retain</b> for 15 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 08 12 61975<br>Rev. 0                    | <b>Specimen Management Work Orders and Documentation</b><br>This series provides a record, in chronological order, of work orders related to specimen management, including return to investigator shipments, sample destruction requests, sample pull requests, sample storage requests, etc. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 93 11 53259<br>Rev. 1                    | <b>Standardization</b><br>Provides a record of the efforts to standardize lipoprotein test results on an international level. Assays are monitored by CDC who signs off on analysis results. Includes correspondence, data, results, analyses, reports.  | <b>Retain</b> for 5 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention  | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM    |



## /28/ School of Dentistry

### /28/01/02/ Dentistry: Student Services and Admissions

#### Student Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|---|---|--|
| 90 12 47101<br>Rev. 0                    | <b><i>Class Ranking List -- Year End</i></b><br>Compilation of quarterly class ranking lists to identify the class by GPA at the end of the academic year. This report lists the GPA to the exact point and is used to identify awards for class members.                             | <b>Retain</b> for 6 Years after End of<br>Academic Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                                   |
| 06 10 61350<br>Rev. 0                    | <b><i>Degree Verification</i></b><br>This series provides a record of requests from former students or credential services requesting verification of a student's graduation from the University of Washington School of Dentistry. Includes a copy of what is sent to the requestor. | <b>Retain</b> for 2 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                                   |
| 90 12 46958<br>Rev. 0                    | <b><i>Regional and National Board Results</i></b><br>Provides record of pass/fail rate for dental students taking the State and National Dental Board Exam. Includes lists of students who pass, those who fail, and summary reports.   | <b>Retain</b> for 10 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OFM |



**/28/05/02/ Dentistry: Office of Clinic Services: Clinic Operations**

*Support Services*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 07 04 61451<br>Rev. 0                    | <b>Log of Spore Tests</b><br>This series provides a record of spore tests performed on the sterilization equipment. Contains dates, person(s) conducting the tests. Retention period as per WAC 246-812-520. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

**/28/16/01/ Oral Medicine: Dental Education in Care of Persons with Disabilities**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 90 12 46962<br>Rev. 0                    | <b>Evaluations -- Post Graduates</b><br>Provides record of evaluations and pre/post test results of Dentists and Hygienists who have taken advanced training courses from DECOD. | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



**/28/17/02/ Dentistry: Oral and Maxillofacial Surgery: Oral Pathology**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 90 12 46988<br>Rev. 0                    | <b><i>Biopsy Reports (Pathology)</i></b><br>Provides a medical record of examination made of patient tissue. Also used for research purposes. | <b>Retain</b> for 30 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

**/28/18/ Dentistry: Orthodontics: Faculty and Graduate Clinic**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 91 1 47315<br>Rev. 0                     | <b><i>Status/Examination Cards for Accepted Patients</i></b><br>Provides screening information used to determine whether a patient will be accepted for treatment, based on financial ability of patient to pay and teaching value to the School. Provides record of untreated condition. | <b>Retain</b> for 5 Years after Original<br>Screening<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /28/19/ Dentistry: Pediatric Dentistry: Administration

### Administration

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 90 12 47016<br>Rev. 0                    | <b>Student Progress Records</b><br>Provides record of professional pre-doctoral (undergrad) student clinical work in treating patients. For each student includes the number of hours worked in the clinic, grades and faculty comments. | <b>Retain</b> for 2 Years after Degree<br>Granted<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## /28/19/01/ Dentistry: Pediatric Dentistry: Pediatric Clinic

### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 90 12 47019<br>Rev. 0                    | <b>Diagnostic Plaster Study Models</b><br>Provides plaster record of patient condition in untreated state and after treatment. | <b>Retain</b> for 8 Years after Last<br>Patient Contact or Age 18<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /29/ School of Nursing

### /29/03/08/ Nursing: Family and Child Nursing: Center on Infant Health and Development

#### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 11 12 62906<br>Rev. 0                    | <b>Client Case Files (Newborns - 5 yrs old)</b><br>This series provides comprehensive record of client agreements, testing, assessment and/or therapy. May include: Client Statement of Understanding, Evaluation of Effectiveness of Services (consent form), Personal Data Questionnaire, Intake Summary, Consent Form for Mutual Exchange of Information, Administrative Closure, Supervisor Contract and Notes, Consent for Clinical Research, Client Contact Sheet, Assessment Report and related instruments, Case Student Training Progress Notes, Quarterly Client Checklists, Closing Summary, Tests and Batteries, Post Follow-up Questionnaire, process notes, audio/visual recordings, etc. Retention as per WAC 246-924-354 (2). | <b>Retain</b> for 22 Years after Last Contact with Client<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



## /34/ Warren G. Magnuson Health Sciences Center

### /34/04/ Office of Animal Welfare

#### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 93 8 52749<br>Rev. 1                     | <b>Project Review Requests</b><br>Provides record of requests by researchers to use animals in their research. Approved protocols are valid for no more than 3 years. Includes project description, procedures that will be performed on animals, signed certification by the Principal Investigator, changes (amendments), dates of approvals, and monitoring reports. Maintained within HoverBoard. (Required by 9 CFR 2.35) | <b>Retain</b> for 6 Years after Approval<br>Expires or is Superseded by New Approval<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

### /34/05/ EH&S: Department of Administration & Finance Office (DAFO)

#### Environmental Health and Safety

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 94 04 53715<br>Rev. 0                    | <b>Staff on Call Log</b><br>Provides a record of EH&S Staff-On-Call (SOC) response to emergency calls that develop during evenings, weekends, and holidays. The SOC logs are used to create reports to identify trends, future policy changes or projects and other reporting needs. | <b>Retain</b> for 5 Years after End of Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /34/05/01/ EH&S: Radiation Safety

### Environmental Health and Safety

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 10 12 62359<br>Rev. 0                    | <b>Air Emissions Documentation</b><br>Records and documents related to, and which may help establish compliance with, the requirements of WAC 246-247 regarding radioactive air emissions. May include reports of air sampling, surveys, annual reports, etc. Required as per WAC 246-247-080(8)   | <b>Retain</b> for 5 Years after DOH License Inspection<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |
| 10 09 62328<br>Rev. 1                    | <b>Application for Unescorted Access to a Security Zone</b><br>This series provides a record of individual employees working in labs and departments at the UW who have unescorted access to radioactive materials in large quantities. This record series tracks an individual employee's access to these materials. The cut-off is triggered when the individual employee is no longer using these materials. May include copies of fingerprints, background check results, 10 year investigation results, etc. Retention requirement found in WAC 246-237-023(8)(c) | <b>Retain</b> for 3 Years after Termination of Access<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 90 5 46230<br>Rev. 0                     | <b>Authorization to Use Radioactive Material Files</b><br>Provides authorization for radioactive materials, possession of sealed sources, clinical practice of nuclear medicine, and use with human subjects. Required by WAC 246-221-005 and 246-235-075(6). Considered provision of radiation safety program - WAC 246-221-230 (8) (c).  | <b>Retain</b> until Termination of UW Radioactive Materials License<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 90 5 46242<br>Rev. 0                     | <b>Bioassay Tests</b><br>Provides a record of internal dose assessment of thyroid for employees working with radioiodine to determine if individual had an intake of radioiodine. WAC 246-221-230 (7)(f).  | <b>Retain</b> until Termination of UW Radioactive Materials License<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |



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|--|---|---|---|
| 22 06 69656<br>Rev. 0                    | <b>Building Decommissioning</b><br>Records associated with releasing a building from radioactive material use (decommissioning). Examples include Final Status Surveys and other documentation submitted to Washington Department of Health, office of Radiation Protection (DOH) for the building release. Also includes correspondence received from DOH releasing the building for unrestricted use. These records provide a historical account of radioactive material use at the University and are considered a provision of the radiation safety program as per WAC 246-221-230(8)(c). | <b>Retain</b> until Termination of UW<br>Radioactive Materials License<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 22 06 69657<br>Rev. 0                    | <b>Decay-in-storage Disposal Records</b><br>Records of radioactive waste that was stored on-site for decay. Records retention requirement found in WAC 246-221-230(9)(f).   | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| 22 06 69658<br>Rev. 0                    | <b>Decommissioning Funding Plan</b><br>Plan required by WAC 246-235-075 that estimates the cost of terminating the university's radioactive material license. The plan is required to be updated every 3 years. The plans provide a historical account of radioactive material use at the University and are considered a provision of the radiation safety program as per WAC 246-221-230(8)(c).   | <b>Retain</b> until Termination of UW<br>Radioactive Materials License<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 90 5 46240<br>Rev. 1                     | <b>Dosimetry Data/Records</b><br>Dosimetry data provided by the UW dosimetry vendor and uploaded to a database. The data is used to track radiation exposure and provided reports to individuals. This data supplements the information contained in the Radiation Worker Personnel Files, which contains the legal records of personnel exposure.  | <b>Retain</b> for 5 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |



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*Environmental Health and Safety*

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|--|--|---|---|
| 90 5 46248<br>Rev. 0                     | <b><i>Incidents and Accidents</i></b><br>Documents reports and correspondence related to incidents and accidents involving radiation.  | <b>Retain</b> until Termination of UW<br>Radioactive Materials License<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR    |
| 90 5 46236<br>Rev. 1                     | <b><i>Instrument Calibration Records</i></b><br>Provides a record of instrument calibration. Current process is to store records in database.<br>Retention required by WAC 246-221-230 (9)(d) and 246-240-566.   | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                                      |
| 17 03 69035<br>Rev. 0                    | <b><i>Liquid Scintillation Counter QA Program</i></b><br>Records of the Quality Assurance program to assure the reliability and accuracy of Liquid Scintillation<br>Counters used by Radiation Safety for analyzing wipe samples. Retention required by terms of UW<br>Radioactive Material License Condition 43.  | <b>Retain</b> for 5 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                      |
| 90 5 46254<br>Rev. 0                     | <b><i>Nuclear Reactor Dismantlement</i></b><br>Documents operation and dismantlement of UW's nuclear reactor. May include correspondence,<br>minutes of UW Nuclear Reactor Committee, etc.   | <b>Retain</b> for 10 Years after<br>Dismantlement Completed<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention            | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br><b>ESSENTIAL</b><br>OPR |
| 90 5 46253<br>Rev. 1                     | <b><i>Patient Release Records</i></b><br>Provides record of patients containing radioactive material who were released under WAC 246-240-<br>122. Includes the basis for authorizing the release and any instructions provided to the patient prior<br>to release. May also include contamination survey of patient and/or patient's room. Retention<br>requirement provided in WAC 246-240-578. | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention                | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br><b>ESSENTIAL</b><br>OPR |



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|--|--|--|---|
| 90 5 46252<br>Rev. 0                     | <b><i>Radiation Machine Documentation</i></b><br>Provides documentation about radiation machines at facilities under the jurisdiction of the UW. May include registration, application, inspection records, and shielding and calculation correspondence.  | <b>Retain</b> for 30 Years after<br>Machine Inactive or Disposed<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |
| 90 5 46245<br>Rev. 1                     | <b><i>Radiation Worker Personnel Files</i></b><br>Documents personnel radioactive work history at the UW. May include personal data, current/expected use of radiation, previous radiation work and experience, correspondence, high/over exposure letters, worker history, applications for dosimeters, annual dosimetry reports, and bioassay test results which resulted in a burden to the worker's thyroid, etc. (Employee exposure records are required for 30 years following termination of the radioactive material license or x-ray registration as per WAC 246-221-230(7)(a) through (g). | <b>Retain</b> for 30 Years after<br>Termination of UW Radioactive<br>Materials License or X-Ray<br>Registration<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 90 5 46260<br>Rev. 1                     | <b><i>Radioactive Material Inventory Tracking</i></b><br>Database which tracks all radioactive orders, storage and decay and the eventual disposal of the radioactive material. Required by WAC 246-221-230(8)(a) Also includes Dump Files that were created when database inventory records were purged annually, and waste manifests for disposal of radioactive waste.  | <b>Retain</b> until Termination of UW<br>Radioactive Materials License<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention  | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 90 5 46251<br>Rev. 0                     | <b><i>Radioactive Material Licenses</i></b><br>Provides a record of radiation license, application, and correspondence. May include Radioactive Materials License (WN-C00101), Radiation Oncology License, Food Irradiation License, Special Nuclear Material License (WN-C001-2-SNM), etc. Considered provision of radiation safety program as per WAC 246-221-230(8)(c).   | <b>Retain</b> until Termination of UW<br>Radioactive Materials License<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention  | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |



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|--|--|--|--|
| 90 5 46255<br>Rev. 0                     | <b>Sealed Source Leak Tests</b><br>Provides a record of sealed source leak tests and inventory as required by RML license condition 24, WAC 246-221-080 and WAC 246-240-113. Records retention requirement found in WAC 246-240-572.   | <b>Retain</b> for 3 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |
| 22 06 69662<br>Rev. 0                    | <b>Termination Survey Records</b><br>Documents Radiation Safety surveys to terminate a space that was previously used for radioactive material work. Retention required to adequately evaluate a building for actions that must be completed to release the building from radiological control and remove it from the University's Radioactive Material License. | <b>Retain</b> until Building removed<br>from UW Radioactive Materials<br>License<br><i>then</i><br><b>Destroy.</b>                             | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |

### /34/05/02/ EH&S: Building and Fire Safety Office

#### Environmental Health and Safety

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 99 09 59270<br>Rev. 1                    | <b>Capital Safety Files</b><br>This series provides a record of recommendations for the distribution of funds for building safety projects during a biennium. May include capital plans, studies, project summaries, priority lists, funding requests, budget reports, estimates, and related documents associate with minor renewal funding allocation specific to safety. | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



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*Environmental Health and Safety*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 90 01 45406<br>Rev. 1                    | <b>Hazard Assessment</b><br>EH&S assessments performed in response to an accident, incident, report of concern, or staff observation that is specific to a particular topic and location. Some assessments (e.g., eyewash and safety showers) may be filed in other directories including the T:IHShared directory.  | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>        | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 99 09 59272<br>Rev. 1                    | <b>Incident Investigations</b><br>Record of investigation of fires, hazardous material spills and other incidents in UW buildings. Includes photos, inspection reports, interviews, details regarding alarm systems, etc. Records may also be located in the T:/1Incidents directory.                                | <b>Retain</b> for 6 Years after<br>Completion of Investigation<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 12 06 68268<br>Rev. 0                    | <b>Lab Closeout Documentation</b><br>This series provides a record of correspondence, between the EH&S Survey Team and the Principal Investigator of a lab, regarding failure to correct problems that were found during an inspection. Includes the initial letter and report, second notice, and close out letter. | <b>Retain</b> for 6 Years after Lab<br>Closed<br><i>then</i><br><b>Destroy.</b>                  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

**/34/05/03/ EH&S: Environmental Programs Office**

*Environmental Health and Safety*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 00 MM 59594<br>Rev. 0                    | <b>Chemical Inventory</b><br>This series provides a record of the locations of toxic chemicals as required by WAC 296-802-20010. May include records from the retired Lab Safety System, which MyChem replaced. | <b>Retain</b> for 70 Years after End of<br>Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



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|--|--|--|--|
| 11 08 62661<br>Rev. 0                    | <b>Chemical Security Assessment</b><br>This series includes records for the Homeland Security Act requirement for a Top Screen Report and Site Vulnerability Assessment. May include training, drills and exercises, incidents, breaches of security, maintenance, calibration and equipment testing records, etc. Required as per 6 CFR 27.255.   | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 89 11 45196<br>Rev. 0                    | <b>Chemical Waste Collection Request Forms</b><br>Forms used by University labs and departments to request routine pick-up and disposal of hazardous waste. Includes information on waste composition, quantity and number, types of containers, date collected, and department collected from. May also include the Request New Chemical Waste Routine Form, One-Time Request Forms, and Waste Evaluation Request. (See Hazardous Waste Disposal Records that document actual disposal of waste.) | <b>Retain</b> for 1 Year after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                            |
| 89 11 45198<br>Rev. 0                    | <b>Contaminated Site Files</b><br>Provides a record of the clean-up of contaminated sites which the University owned or owns. May include correspondence, reports, surveys, contract records, etc.   | <b>Retain</b> for 10 Years after<br>Completion of Clean-up or Sale<br>of Land<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 93 03 52031<br>Rev. 0                    | <b>Contingency Plans</b><br>This series provides a record of the contingency plans for the management of hazardous waste for Large Quantity Generator sites as required by the Department of Ecology.  | <b>Retain</b> for 6 Years after<br>Superseded<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention                                 | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |



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|--|---|--|--|
| 93 03 52146<br>Rev. 0                    | <b><i>Dangerous Waste Annual Reports</i></b><br>This series contains Dangerous Waste Annual Reports as reported to the Washington State Department of Ecology. Also used for long term studies.   | <b>Retain</b> for 6 Years after Final Report Completed/Submitted<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 93 03 52148<br>Rev. 0                    | <b><i>Dangerous Waste Regulatory Inspections</i></b><br>This series includes facility inspections and reports from Department of Ecology visits regarding dangerous waste rules.  | <b>Retain</b> for 10 Years after Date of Inspection Report<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR    |
| 11 08 62664<br>Rev. 0                    | <b><i>Department of Transportation Files</i></b><br>This series provides a record of documentation relating to the transportation of hazardous materials. May include shipping advice questions and regulatory inspections reports.         | <b>Retain</b> for 6 Years after End of Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |
| 93 03 52135<br>Rev. 0                    | <b><i>Generator Site Files</i></b><br>This series provides a record of Notification of Dangerous Waste Activities to the Washington State Department of Ecology for every UW site that generates hazardous waste.                           | <b>Retain</b> for 6 Years after Superseded or Generator no longer produces waste<br><i>then</i><br><b>Destroy.</b>                             | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 93 03 52136<br>Rev. 0                    | <b><i>Hazardous Waste Determinations</i></b><br>This series provides documentation of the determining to consider whether waste is hazardous. Includes "Chemical Master List" and one-time wastes, such as those from remediation projects. | <b>Retain</b> for 6 Years after End of Waste Production<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention    | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |



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|--|---|---|--|
| 89 11 45208<br>Rev. 0                    | <b>Hazardous Waste Disposal Records</b><br>This series includes facility signed manifests, land disposal restrictions, and certificates of disposal for hazardous waste.  | <b>Retain</b> for 30 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention                 | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 93 03 52143<br>Rev. 0                    | <b>Hazardous Waste Training</b><br>Record of training provided to technologists and staff regarding procedures when dealing with hazardous waste. Training includes regulations and policies for handling, storing and entering/cleaning areas with hazardous waste spills. Retention required as per WAC 173-303-330.  | <b>Retain</b> for 3 Years after<br>Termination of Employment<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |
| 11 12 62908<br>Rev. 0                    | <b>Industrial Waste Discharge Files</b><br>This series provides a record of authority received from the appropriate state or local agency approving discharges into Public Owned Treatment Work systems. May include monitoring data, monthly reports, and permit correspondence.   | <b>Retain</b> for 6 Years after Permit<br>Renewed<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 93 03 52138<br>Rev. 0                    | <b>Internal Spills Documentation</b><br>Documents the spills of hazardous waste at central accumulation facilities for large quantity generators. Includes details of incident, response, correspondence, type of waste spilled, persons affected, final results/reports, etc. Information is contained within a database, and also includes information entered from the Spill Advice Forms. | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |
| 11 08 62658<br>Rev. 0                    | <b>Participating Responsible Party for Waste Disposal Sites</b><br>This series provides a record of sites where the University either paid for clean-up, retrieved its hazardous materials, or pays ongoing di minimus use remediation costs.   | <b>Retain</b> for 30 Years after<br>Completion of Clean-Up or<br>Removal<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |



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| 99 09 59273<br>Rev. 0                    | <b>PCB Program Files</b><br>This series includes records of the UW PCB program. May include inspection reports, annual reports, etc. for PCB-contaminated oil filled transformers and other PCB containing materials.  | <b>Retain</b> for 30 Years after<br>Transformer Removed or<br>Cleanup Achieved<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 11 08 62662<br>Rev. 0                    | <b>Pollution Prevention Reports</b><br>This series provides a record of annual reports detailing the amounts of hazardous wastes reused, recycled, and treated at the UW.  | <b>Retain</b> for 6 Years after Final<br>Report Completed/Submitted<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention            | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR    |
| 93 03 52144<br>Rev. 0                    | <b>Vehicle Inspections</b><br>Provides a record of daily inspections of UW vehicles used to transport hazardous waste. Includes inspection reports, problems found, corrective action to be taken and any maintenance work completed. Retention as per 49 CFR 396.11. See also Department of Transportation Files. | <b>Retain</b> for 3 Months after Date<br>of Inspection<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |



## /34/05/04/ EH&S: Occupational Safety & Health

### Environmental Health and Safety

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|--|---|---|
| 90 03 46028<br>Rev. 1                    | <b>Accident/Incident Reports</b><br>Provides documentation of any accidents or incidents incurred by UW employees, visitors and staff captured in OARS (database). Includes any attachments if needed for documentation; some medical information and statistical summaries are included as part of this series. Used in root cause analysis of incident as part of risk assessment to identify deficiencies. Includes final RCA report and corrective action tracking tool. | <b>Retain</b> for 10 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>    | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 18 10 69315<br>Rev. 0                    | <b>Hearing Conservation Program</b><br>Documents University efforts to minimize the risk of noise-induced hearing loss to employees, researchers, students and visitors from work related activities. Includes noise surveys, exposure monitoring, calibration, reports, investigations, etc.  | <b>Retain</b> for 30 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 99 06 59167<br>Rev. 1                    | <b>Indoor Air Quality Investigations</b><br>Files track OSH industrial actions and ambient air quality exposure occurring within University buildings. May include a duplicate copy of any or all of the following: sample results, monitoring results, correspondence, historical data, etc. Originals are either in General/Industrial Hygiene Sampling or OSH Occupational Exposure Monitoring.   | <b>Retain</b> for 6 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 99 MM 59170<br>Rev. 1                    | <b>OSH Activity Log</b><br>Project Tracker Database tracks and monitors issues sent to OSH. Includes information on contact info (requestor and location), possible monitoring schedule and results, investigation, follow-up, possible corrective action taken and resolution. Entry is from OSH Office Activity Form or will be received from a "report of concern: form on the section website. Database is used to identify patterns for future projects and planning.   | <b>Retain</b> for 10 Years after<br>Corrective Action Taken<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |



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| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 90 01 45407<br>Rev. 1                    | <b><i>OSH Occupational Exposure Monitoring</i></b><br>Provides a record of air sampling and evaluation for the presence of air contaminants to identify if employee(s) has been exposed to toxic substances. Field testing and sampling documents the issues and concerns regarding air contaminants which include, but are not limited to: asbestos, formaldehyde, lead, nitrous oxide, silica, ethylene oxide, methylene chlorine and others having an established PEL. Files may include reports, correspondence, lab analysis report, and request for sampling and corrective action taken or suggested. | <b>Retain</b> for 30 Years after End of<br>Calendar Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| 94 04 53270<br>Rev. 1                    | <b><i>OSH Program Files</i></b><br>Arranged by specific program, provides an administrative record of the written safety programs of the OSH office (ergonomics, indoor air quality, confined space, LOTO, electrical safety, cranes/hoists, scaffolding, fall protection, accident prevention, etc. Includes WISHA compliance plans for individual programs, policies and procedures, permits, audits, risk assessments, inspection forms, blank templates, etc.  | <b>Retain</b> for 6 Years after<br>Superseded<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention            | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR    |
| 90 01 45414<br>Rev. 1                    | <b><i>Regulated Building Materials Management</i></b><br>Documents UW policies and activities regarding the handling of asbestos, lead, PCBs, Silica, etc. Includes: bulk sampling; air sampling and exposure monitoring results/reports; Restricted Access Location Log; notification/correspondence with regulatory agencies; project management; copies of AHERA (Asbestos Hazard Emergency Response Act) management plans.   | <b>Retain</b> for 30 Years after<br>Superseded<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention           | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR    |



### /34/05/05/ EH&S: Research and Occupational Safety (Biological)

#### Environmental Health and Safety

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 89 11 45191<br>Rev. 1                    | <b>Principal Investigator (PI) Files</b><br>IBC approval for each PI to work with biohazardous materials. File can include: Biological Use Authorization (BUA) Letter with specific agents, biosafety levels, and room locations listed, Peer Review Checklist of BUA Letter, BUA application, Abstract, Lab Inspection Sheets/Checklists, Lab Schematics, Bloodborne Pathogen Exposure Control Plan, Additional SOPs provided by lab as appropriate: research information, MSDS sheets, biological agent used, etc. Note: as of February 2020 all records originate and are managed electronically. Lab Inspection Sheets/Checklists are entered into a database and maintained as electronic reports. | <b>Retain</b> for 30 Years after Creation of Exposure Record<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

### /34/05/07/ EH&S: Research and Occ Safety: Diving Safety Program

#### Environmental Health and Safety

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 12 09 68322<br>Rev. 0                    | <b>Diving Incident Reports</b><br>Report on diving accident in compliance with America Academy of Underwater Science (AAUS). Includes summary of diver experience, location of dive, description of symptoms, description and results of treatment, disposition of case, recommendations to avoid repetition of incident, etc.   | <b>Retain</b> for 5 Years after Date of Report<br><i>then</i><br><b>Destroy.</b>                 | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 94 04 53716<br>Rev. 1                    | <b>Diving Information Files</b><br>Provides information on divers, active and inactive, diving under the auspices of the UW. Includes registration, consent, written diving exams, first aid certification, diving certifications (recreational and scientific diver certifications), reports of disciplinary actions by the DCB, equipment testing, diver database, diving reports, diving variances, diving work plans and reviews, diving medical exam overview for the examining physician, etc. as required by the American Academy of Underwater Science (AAUS). | <b>Retain</b> for 5 Years after Completion of Final Dive at UW<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



### /34/05/09/ EH&S: ROS: Research Occupational Health

#### Environmental Health and Safety

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|--|--|---|
| 12 09 68320<br>Rev. 1                    | <b>Bloodborne Pathogens Control Plan</b><br>A site specific exposure bloodborne pathogens control plan (WAC 296-823-11010) identifying risks of blood borne pathogens. Includes job titles, names with potential for exposures, hazards and exposure controls in the lab.                | <b>Retain</b> for 30 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b>       | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |
| 12 09 68324<br>Rev. 0                    | <b>Occupational Health Recommendations (OHRs)</b><br>Occupational health recommendation letters consist of safety measures for the use of hazardous chemicals, drugs or agents. The OHR letters are created in response to the animal protocols and changes that occur within the study. | <b>Retain</b> for 3 Years after Creation<br>of Exposure Record<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |

### /34/05/10/ EH&S: Occ Safety and Health: Respiratory Program

#### Environmental Health and Safety

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 19 04 69361<br>Rev. 0                    | <b>Respirator Requests</b><br>Individual respirator requests, which define a respirator user group under a responsible supervisor within a rolling year. Each year's respirator request is given a unique respirator request number. The respirator request includes the following elements:<br><ul style="list-style-type: none"><li>- Hazard identification and assessment</li><li>- Designation of individual respirator users</li><li>- Respirator type assignment</li><li>- Respirator authorizations for individual users when completed. Authorization records include date of medical clearance, date of training, date of fit test, and make/model/size of respirator(s) authorized for use for that individual.</li></ul> | <b>Retain</b> for 30 Years after<br>Termination of Employment<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |



**/34/05/11/ EH&S: Campus Preventive Health: AUMS Program**

*Environmental Health and Safety*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 12 09 68319<br>Rev. 0                    | <b>AUMS Form (Animal Use Medical Screening)</b><br>A medical screening program used to identify possible health risks for employees working with or around animals in accordance with WAC 296-802, Employee Medical and Exposure Records. | <b>Retain</b> for 30 Years after<br>Termination of Employment<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR |

**/34/06/01/ Health Sciences Administration: Health Sciences AS&F: UW Poster and Photo**

*Program Support*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 19 12 69415<br>Rev. 1                    | <b>Client Photographs</b><br>Photographs of clients which are provided directly to the client once created. (See Financial Records for billing and payment information.) | <b>Retain</b> until Photograph<br>Released<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



**/34/06/03/ Health Sciences Administration: Health Sciences AS&F: Scientific Instruments Division**

*Program Support*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|---|--|--|
| 18 08 69287<br>Rev. 0                    | <b><i>Bone Marrow Transplant Equipment Records</i></b><br>This series provides a record of all the documentation required to be kept on Bone Marrow Transplant Equipment. Includes - documentation on product cost to manufacture, breakdown of labor, parts, reviews of pricing, job number, cover sheet; customer orders, which include invoice number, batch # of product, where shipped, and additional information on the customer; distribution records that track by batch number the date product was produced, to whom it was sold, # of items in batch, initials QA inspection of product, job #, date, current balance. Required to be kept as per 21 CFR 820.180(b) and 21 CFR 821.60. Design documents to be transferred to the University Archives. | <b>Retain</b> for 20 Years after<br>Discontinuation of Production<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |
| 18 08 69289<br>Rev. 0                    | <b><i>Custom Medical Devices</i></b><br>Design documents for custom medical devices used for research or patient care. Required to be kept as per 21 CFR 820.180(b)   | <b>Retain</b> for 10 Years after Useful<br>Life of Equipment<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention      | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |
| 18 08 69290<br>Rev. 0                    | <b><i>Non-Medical Project Files</i></b><br>Design documents for prototypes of equipment or devices for use in scientific research. Not used in patient care or human subjects research.   | <b>Retain</b> for 6 Years after<br>Completion of Project<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention          | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |



**/34/06/06/ Health Sciences Administration: H S AS&F: Clinical Skills and Assessment**

*Assessment*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|---|--|---|
| 09 07 62075<br>Rev. 0                    | <b>Objective Structured Clinical Exam (OSCE) Staff/Standardized Patient (SP) Schedule</b><br>This series provides a record of staff and standardized patients who will be participating in the testing process.                         | <b>Retain</b> for 2 Years after End of Academic Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 09 07 62076<br>Rev. 0                    | <b>Objective Structured Clinical Exam (OSCE) Timer Check Sheet</b><br>This series provides a record of the clinical testing schedule.   | <b>Retain</b> for 1 Year after End of Academic Year<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 09 07 62074<br>Rev. 0                    | <b>Patient Scripts</b><br>This series provides a record of scripts used by the standardized patients during testing, clinical examinations, etc.  | <b>Retain</b> for 6 Years after End of Academic Year<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| 09 07 62072<br>Rev. 0                    | <b>Standardized Patient Applications - Approved</b><br>This series provides a record of individuals who are determined acceptable applicants to the Standardized Patient Program. Includes contact information, personnel history, etc. | <b>Retain</b> for 2 Years after Application Approved<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 09 07 62073<br>Rev. 0                    | <b>Standardized Patient Applications - Denied</b><br>This series provides a record of individuals who applied to the Standardized Patient Program and were determined ineligible.   | <b>Retain</b> until Determined Ineligible<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |



**/34/10/03/ Health Sciences Administration: Center on Health and Disability: Autism Center**

*Assessment*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 17 09 69123<br>Rev. 0                    | <b><i>Psychotherapy Notes</i></b><br>Notes recorded in any medium by a mental health professional analyzing or detailing the explicit contents of conversation during a private counseling session, or a group, joint, or family counselling session; and that are separated from the rest of the individual's medical record. May include documentation of intimate personal content, details of fantasies and dreams, process interactions, sensitive information about other individuals in the patient's life or the author/clinician's personal reactions, hypotheses or speculations. | <b>Retain</b> until No Longer Useful for Treatment and/or After Treatment has been Concluded<br><br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /38/ School of Public Health

### /38/03/03/ PH: Environmental Health Lab

#### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 89 8 44670<br>Rev. 2                     | <b>Sample Analysis Test Results</b><br>Provides a record of preventative or responsive health hazard evaluations in the workplace. May include: raw data, quality control, standards, and calibration information for environmental and biological samples related to compensation, claims, and investigation of industrial hygiene and health problems in Washington covered industries. Maintained as per 29 CFR1910.1020 | <b>Retain</b> for 30 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

### /38/03/06/ PH: Field Research and Consultation Group

#### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                             |
|--|---|--|---|
| 89 9 44838<br>Rev. 1                     | <b>Client Folders/Surveys - Final Report</b><br>Provides a record of the final evaluations of the Field Research lab tests of reported health hazards in the workplace, includes exposure results and recommendations. Summarization of Laboratory Exam Test Results.   | <b>Retain</b> for 30 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 89 9 44837<br>Rev. 1                     | <b>Client Folders/Surveys - Results</b><br>Provides a record of laboratory tests and results of reported health hazards in the workplace. May include: raw data, data forms used to collect information in the field, photos, quality control, standards, calibration information for environmental and biological samples, and investigation of industrial hygiene and health problems in Washington covered industries. | <b>Retain</b> for 30 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



**/38/03/10/ PH: Occupational Epidemiology and Health Outcomes Program**

*Research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|--|--|--------------------------------------|
| 19 04 69360<br><br>Rev. 0                | <b>Protected Research Data</b><br><br>Protected raw data received under contract for use in sponsored research studies. Contracts require all data be destroyed and certified as such at contract expiration. Note: See Research Records and Data for Retention of all other records associated with grant/contract related research activities. | <b>Retain</b> until Termination of<br>Contract<br><br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /40/ Center for Commercialization

### /40/03/ UW CoMotion Invention Licensing

*Facilitates the commercialization of new innovations arising from University of Washington research*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION   |
|--|--|--|---|
| 96 07 56910<br>Rev. 0                    | <b>Project/Disclosure Files</b><br>This series provides a record of all the activities associated with an innovation, technology development, marketing, legal activity and appointments, patent documentation, financial management documents, rights management documents, trademark/copyright documentation, participation agreements, and Memorandums of Understanding. "Note: At the end of the retention period the ribbon copies will be transferred to the University of Washington Archives." | <b>Retain</b> for 6 Years after Closure<br>Date<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |

### /40/04/ UW CoMotion Finance

*Finance*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|--|---|--------------------------------------|
| 93 01 51769<br>Rev. 0                    | <b>Royalty Payment Files</b><br>Provides a record of the distribution of royalty payments made to inventor(s) and/or the University. Includes correspondence regarding revenue allocation and instructions, and memorandums of understanding. Also includes income and receipts received from licensees which are attributable to a University Technology or inventor. | <b>Retain</b> for 6 Years after Closure<br>Date of Technology<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## /41/ Vice Provost for Planning and Budgeting

### /41/02/ Budget Office

*Plans and allocates financial and physical resources, and provides analysis and information services*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION   |
|--|--|---|---|
| 88 5 42291<br>Rev. 0                     | <b>Allotments</b><br>Documents distribution of initial biennial fund allocated to the UW by the State Legislature, amendments to the initial allocation, and local fund allocation which are reported to the state. May include: Office of Financial Management Memoranda; Office of Financial Management Directives; etc.   | <b>Retain</b> for 10 Years after<br>Biennium Close<br><i>then</i><br><b>Transfer</b> to Archives for<br>appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| 97 08 57922<br>Rev. 0                    | <b>Budget Number Requests</b><br>Documents the establishment of new budget numbers for state and self-sustaining budgets. Includes original request.   | <b>Retain</b> for 6 Years after End of<br>Biennium<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                         |
| 88 5 42297<br>Rev. 0                     | <b>Budget Report Files JUNE REPORT (BU11080)</b><br>Computer-tape workfile of State Budget System. May include Biennium Budget Revision Number Range, Budget Type/Class, Month of Biennium. Selectively downloaded to personal computers in the Budget Office and stored on hard disks.  | <b>Retain</b> for 3 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                            |
| 88 5 42289<br>Rev. 0                     | <b>Budget Requests (Working Papers)</b><br>Documents process of establishing UW Operating Budget Requests for GOF, DOF and self-sustaining budgets submitted to the Office of Financial Management. May include: College/School/Division request submittal package; Board of Regents and University Budget Committee briefing documents; State Operating Budget Instructions, etc. | <b>Retain</b> for 4 Years after<br>Biennium Close<br><i>then</i><br><b>Transfer</b> to Archives for<br>appraisal and selective retention  | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |



## /41/02/ Budget Office

*Plans and allocates financial and physical resources, and provides analysis and information services*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                             |
|--|---|---|---|
| 88 5 42293<br>Rev. 0                     | <b>Budget Revisions</b><br>Documents on-line updates in State Budget System which change budgeted level or data elements for salaries and wages, operations, or revenue within individual budgets. May include: Budget Office staff notes and worksheets, correspondence, detail and summary reports generated from the database. | <b>Retain</b> for 4 Years after Biennium<br>Close<br><i>then</i><br><b>Destroy.</b>     | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 00 12 59978<br>Rev. 0                    | <b>Budget Set Up Requests</b><br>Provides a record of requests by department/office to set up GOF/DOF and Self-Sustaining budget numbers. Documents reason to establish account. Includes Budget Set Up Printout which is used to verify establishment of a budget number.  | <b>Retain</b> for 6 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR    |
| 88 5 42322<br>Rev. 0                     | <b>Budget Status Summary Report, JUNE REPORT (AM28670-277-229, 237-239); (COM))</b><br>Provides cumulative monthly summary of financial activity from the beginning of the biennium to the current month by program category, state program, and budget type. The June report is the only one retained.                           | <b>Retain</b> for 6 Years after Biennium<br>Close<br><i>then</i><br><b>Destroy.</b>     | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| 88 5 42294<br>Rev. 0                     | <b>Budget System History Report (BU110116-02)</b><br>A cumulative summary and index of budget revisions by budget number to end of biennium.  | <b>Retain</b> for 4 Years after Biennium<br>Close<br><i>then</i><br><b>Destroy.</b>     | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| 00 07 59762<br>Rev. 0                    | <b>Equipment Allocation</b><br>A special allocation distributed to units for the purchase of equipment. May include: working papers, departmental requests for funds, Equipment Inventory Office Report, etc.   | <b>Retain</b> for 6 Years after End of<br>Biennium<br><i>then</i><br><b>Destroy.</b>    | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## /41/02/ Budget Office

*Plans and allocates financial and physical resources, and provides analysis and information services*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION  |
|--|--|---|--|
| 88 5 42290<br>Rev. 0                     | <b>Operating Budget Request (Final)</b><br>A record of the biennial budget request for the UW which is submitted to the Office of Financial Management for legislative action. May include: General Justification Material (B1); Fund Summary (B2); Summary of Expenditure Levels (B5-1); Schedule of Expenditure Changes (B5-2); etc. | <b>Retain</b> for 10 Years after<br>Biennium Close<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |
| 88 5 42292<br>Rev. 0                     | <b>Request for Amendment of Allotment (B20)</b><br>Documents requests for changes in distribution of initial funds.  | <b>Retain</b> for 10 Years after<br>Biennium Close<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| 97 08 57923<br>Rev. 0                    | <b>Revenue Transfers</b><br>Provides a record of funds which are moved from the operating budget to the capital fund. Also documents the movement of unencumbered funds back into the operating budget.  | <b>Retain</b> for 10 Years after End of<br>Biennium<br><i>then</i><br><b>Destroy.</b>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| 00 08 59861<br>Rev. 0                    | <b>Revision Request Summary Report</b><br>Summarizes the data reported in Salary Revision Worksheets.  | <b>Retain</b> for 4 Years after End of<br>Biennium<br><i>then</i><br><b>Destroy.</b>  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| 88 5 42315<br>Rev. 0                     | <b>Salary Schedules and Tables</b><br>Provides salary information for each staff category and each wage adjustment allotted. May include: Classified Staff Compensation Plan, Monthly Staff Salary Schedule, Classification and Pay Index, UW Faculty Step Schedule for Assistant Professors and Above, etc.                           | <b>Retain</b> for 4 Years after<br>Biennium Close<br><i>then</i><br><b>Transfer</b> to Archives for appraisal<br>and selective retention  | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM    |





## /41/02/ Budget Office

*Plans and allocates financial and physical resources, and provides analysis and information services*

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION                          |
|--|---|--|--------------------------------------|
| 88 5 42317<br>Rev. 0                     | <b>Summary of Expenditure Allotment Status--JUNE REPORT (COM)</b><br>A monthly summary of allotment and expenditures of budgets. June report retained 10 years. Other monthly reports can be disposed of at end of month. | <b>Retain</b> for 10 Years after End of<br>Fiscal Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 88 5 42318<br>Rev. 0                     | <b>Trial Balance--General Ledger (AM28760-226A, 226B); (COM)</b><br>Provides a monthly summary and balance of financial revenue and expenditure by program code and budget number.  | <b>Retain</b> for 4 Years after Biennium<br>Close<br><i>then</i><br><b>Destroy.</b>      | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## /44/ College of the Environment

### /44/15/02/ Oceanography: Marine Operations

#### Research

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND<br>DISPOSITION ACTION  | DESIGNATION  |
|--|--|--|--|
| 90 02 45783<br>Rev. 1                    | <b>Deck Logs</b><br>Provides unedited documentation of all ship transactions: accident/incident reports, arrivals and departures, navigational and meteorological information.   | <b>Retain</b> for 5 Years after End of Charter<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |
| 90 02 45789<br>Rev. 1                    | <b>Sailing Orders</b><br>Provides report of the cruise plan - why the cruise is being undertaken, scientific work to be conducted, cruise trace, clearance process, instructions to Master, etc. Includes the Small Vessel Operating Plan for the research vessel Rachel Carson. | <b>Retain</b> for 5 Years after End of Charter<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM    |
| 90 02 45793<br>Rev. 1                    | <b>Ship Construction Files and Blueprints</b><br>Provides record of ship construction, proposal for operating ship, construction contract, construction events, and design reviews. May also include correspondence, plans, drawings, etc.                                       | <b>Retain</b> for 5 Years after End of Charter<br><i>then</i><br><b>Transfer</b> to Archives for appraisal and selective retention | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |



## /46/ Bothell: Vice Chancellor for Planning and Administration

### /46/09/ Bothell: Facility Services

#### Facilities Services

| DISPOSITION<br>AUTHORITY<br>NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND<br>DISPOSITION ACTION   | DESIGNATION                          |
|--|---|---|--------------------------------------|
| 06 07 61238<br>Rev. 0                    | <b>Wetlands Access Request Form</b><br>Requests for access to the campus wetlands. Includes explanation of need to access and how they intend to minimize the impact of their presence on the wetlands. | <b>Retain</b> for 2 Years after End of<br>Calendar Year<br><i>then</i><br><b>Destroy.</b> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



## Glossary

### ***Appraisal***

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

### ***Archival (Appraisal Required)***

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

*Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.*

### ***Archival (Permanent Retention)***

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

*WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as "Archival (Permanent Retention)" other than the removal of duplicates.*

### ***Disposition***

Actions taken with records when they are no longer required to be retained by the agency.

*Possible disposition actions include transfer to Washington State Archives and destruction.*

### ***Disposition Authority Number (DAN)***

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee

### ***Essential Records***

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

*Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.*



### **Non-Archival**

**Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.**

*Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.*

### **Non-Essential Records**

**Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.**

### **OFM (Office Files and Memoranda)**

**Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.**

*RCW 40.14.010 – Definition and classification of public records.*

*(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”*

### **OPR (Official Public Records)**

**Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.**

*RCW 40.14.010 – Definition and classification of public records.*

*(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records.”*

### **Public Records**

**RCW 40.14.010 – Definition and classification of public records.**

*“... The term “public records” shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and*



*including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business..."*

***Records Series***

**A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.**

***State Records Committee***

**The committee established by RCW 40.14.050 to review and approve disposition of state government records.**

*Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.*



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