

## **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 2, 2021.

*Signature on File*

**For the State Auditor:**  
Al Rose

*Signature on File*

**For the Attorney General:**  
Suzanne Becker

-

**For the Office of Financial Management:**  
Gwen Stamey

*Signature on File*

**The State Archivist:**  
Steve Excell

## 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.

For assistance and advice in applying this records retention schedule, please contact the University of Washington's Records Officer or Washington State Archives at: [recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)

**Contents**

UW General Schedule Dentistry Clinic.....	10
UW General Schedule Section 2 Environmental Health & Safety/Facilities Services .....	11
UW General Schedule Section 3 Curriculum Records .....	14
UW General Schedule Section 4 Materials That May Be Disposed of Without a Specific Retention Period .....	16
UW General Schedule Section 6 Financial Records .....	16
UW General Schedule Section 7 Research and Grant/Contract Records .....	17
UW General Schedule Section 8 Personnel & Payroll Records .....	17
UW General Schedule Section 9 Student Records .....	21
UW General Schedule Section 10 General Office Administration Records .....	24
UW General Schedule Section 11 Publication Records.....	26
/02/ Executive Office .....	27
/02/02/ Provost .....	27
/02/04/ Rules Coordination Office.....	28
/02/05/ Office of Faculty Senate and Governance .....	30
/02/08/ UW Privacy Office .....	31
/03/ National Primate Research Center.....	32
/03/01/02/ National Primate Research Center: Animal Records.....	32
/04/ Vice Provost for Academic Personnel .....	35
/04/05/ Equal Opportunity .....	35
/04/06/ International Scholars Office .....	35
/05/ University Libraries .....	37
/05/03/02/ Information Resources, Collections and Scholarly Communications: Gifts Program .....	37
/05/03/05/ Libraries: Preservation Services Division .....	37
/06/ Undergraduate Academic Affairs.....	39
/06/05/ Office of Educational Assessment .....	39
/06/11/02/ Undergraduate Academic Affairs: Jumpstart.....	39
/07/ Vice Provost for Research .....	40
/07/01/ Office of Sponsored Programs.....	40
/07/02/ Office of Research: Administration .....	40
/07/03/ Office of Research: Human Subjects Division .....	42
/07/06/ Office of Research Misconduct Proceedings (ORMP) .....	44
/08/ Vice President of Facilities .....	45

/08/03/ Facilities: Partner Resources .....	45
/08/04/01/ Facilities: Project/Construction Accounting.....	45
/08/09/03/ Facilities: Facility Information Library - Facility Records.....	46
/08/11/01/ Commuter Services: Accounting.....	46
/08/11/02/ Commuter Services: Commute Options .....	47
/08/11/06/ Commuter Services: Operations .....	47
/08/11/07/ Transportation Services: Sales and Administration .....	48
/08/11/08/ Commuter Services: Special Events .....	50
/08/12/01/ Transportation Services: Fleet Services & Maintenance .....	50
/08/21/ Facilities: Project Delivery Group .....	51
/08/23/01/ Facilities: Campus Utilities .....	51
/08/24/ Facilities: Regulated Materials .....	52
/09/ Vice President of Finance.....	53
/09/01/ Procurement Services.....	53
/09/04/ Records Management Services .....	54
/09/07/ Payroll.....	56
/09/10/ Management Accounting and Analysis .....	61
/09/11/ Student Fiscal Services .....	62
/09/13/ Financial Accounting .....	64
/09/15/01/ Risk Management .....	66
/10/ Office of Vice President for Human Resources .....	70
/10/02/ Compensation Office.....	70
/10/03/ Human Resources Operations .....	71
/10/05/ Labor Relations Office .....	71
/10/07/ Benefits.....	72
/10/08/ HRIS (Human Resource Information Systems) .....	76
/10/09/ Disability Services Office .....	76
/10/10/ UW Work/Life Office .....	77
/10/11/ Violence Prevention Response Program .....	77
/11/ Vice President for Development and Alumni Relations.....	78
/11/04/ Development & Alumni Relations: Annual Giving Programs.....	78
/11/05/ Development & Alumni Relations: Information Management .....	78
/12/ UW Technology Administration/Associate VP .....	80
/12/00/01/ UW Technology: Business Continuity: URC (Unit Response Centers).....	80
/12/09/ Office of the CISO .....	80

/12/11/ UW-IT: Identity and Access Management .....	81
/13/ Vice Provost for Continuum College .....	82
/13/08/05/ Continuum College: International Outreach Program .....	82
/13/08/08/ Continuum College: Summer Quarter .....	82
/14/ ICA .....	83
/14/01/ ICA: Director .....	83
/14/04/ ICA: Ticket Office .....	83
/14/06/ ICA: Training Room .....	84
/14/08/ ICA: Head Football Coach .....	85
/14/10/ ICA: Compliance Office .....	86
/15/ Vice President for Student Life .....	88
/15/01/ Office of the University Registrar: Administration .....	88
/15/01/03/ Office of the University Registrar: Residence Classification Office .....	88
/15/01/04/ Office of the University Registrar: Graduation and Academic Records .....	89
/15/01/06/ Office of the University Registrar: Registration and Transcripts Office .....	89
/15/01/09/ Office of the University Registrar: Degree Audit Reporting System (DARS) .....	91
/15/01/10/ Office of the University Registrar: General Catalog and Curriculum .....	92
/15/01/11/ Office of the University Registrar: Registrar's Processing Center .....	92
/15/02/ Vice President for Student Life: Administration .....	93
/15/05/ Office of Student Financial Aid .....	93
/15/05/02/ Enrollment Management: Veterans Education Benefits .....	97
/15/06/01/ Health and Wellness: SARIS (Sexual Assault and Relationship Violence Information Service) .....	98
/15/07/ Counseling Center .....	98
/15/08/ Disability Resources for Students .....	99
/15/09/ Recreational Sports Programs: Administration .....	99
/15/10/04/ Housing and Food Services: Husky Card Account and ID Center .....	100
/15/10/05/ Housing and Food Services: Residential Life .....	100
/15/13/02/ Student Activities Office .....	101
/15/13/07/ Student Legal Services .....	101
/15/17/ University Police Department .....	102
/15/20/ UW Career Center .....	110
/15/22/01/ Enrollment Management: Enrollment Information Services .....	110
/16/ Office of External Affairs .....	111
/16/03/ State Relations .....	111
/16/05/ Trademarks and Licensing .....	111

/16/07/ Broadcast Services: KUOW Radio Station.....	113
/16/09/ Office of News and Information .....	114
/16/13/ UWTV .....	115
/19/ College of Arts and Sciences .....	116
/19/06/ A&S: Henry Art Gallery .....	116
/19/08/05/ A&S: Burke Museum: Registrar .....	117
/19/45/02/ A&S: Psychology: Fast Track .....	117
/19/45/06/ A&S: Psychology: Clinic Coordinator: Psychological Services and Training Center .....	118
/19/58/01/ A&S: Speech and Hearing Sciences: Speech and Hearing Clinic (Speech Pathology and Audiology) .....	119
/19/62/ A&S: Department of Spanish and Portuguese .....	120
/21/ College of Education .....	121
/21/05/ Education: Teacher Education Program .....	121
/22/ College of Engineering .....	122
/22/15/01/ Eng: Aeronautics and Astronautics: F.K. Kirsten Wind Tunnel (Aeronautical Laboratory) .....	122
/26/ School of Law .....	124
/26/06/04/ Law: Academic Services .....	124
/27/ School of Medicine .....	125
/27/01/11/ Med: Continuing Medical Education .....	125
/27/05/01/ Med: Biological Structure: Willed Body Program .....	125
/27/06/ Med: Comparative Med: Administration/Vet. Services .....	126
/27/06/01/ Med: Comparative Med: Diagnostic Lab .....	127
/27/06/02/ Med: Comparative Med: Animal Facilities.....	127
/27/06/03/ Med: Comparative Med: Transgenic Resource Program/Colony Management.....	128
/27/10/ Med: Medical Education and Biomedical Informatics.....	130
/27/11/04/ Med: Rehab Med: Resident Training Program .....	130
/27/11/07/ Med: Rehab Med: UW Employment Program (UWEP).....	131
/27/13/01/ Med: Allergy and Infectious Diseases: Allergy .....	131
/27/19/01/ Med: Northwest Lipid Research Laboratories .....	132
/28/ School of Dentistry.....	133
/28/01/02/ Dentistry: Student Services and Admissions.....	133
/28/05/02/ Dentistry: Office of Clinic Services: Clinic Operations.....	134
/28/16/01/ Oral Medicine: Dental Education in Care of Persons with Disabilities.....	134
/28/17/02/ Dentistry: Oral and Maxillofacial Surgery: Oral Pathology .....	135
/28/18/ Dentistry: Orthodontics: Faculty and Graduate Clinic.....	135
/28/19/ Dentistry: Pediatric Dentistry: Administration .....	136

/28/19/01/ Dentistry: Pediatric Dentistry: Pediatric Clinic .....	136
/29/ School of Nursing .....	137
/29/03/08/ Nursing: Family and Child Nursing: Center on Infant Health and Development .....	137
/34/ Warren G. Magnuson Health Sciences Center .....	138
/34/04/ Office of Animal Welfare .....	138
/34/05/ EH&S: Department of Administration & Finance Office (DAFO) .....	138
/34/05/01/ EH&S: Radiation Safety .....	139
/34/05/02/ EH&S: Building and Fire Safety Office .....	143
/34/05/03/ EH&S: Environmental Programs Office .....	144
/34/05/04/ EH&S: Occupational Safety & Health .....	148
/34/05/05/ EH&S: Research and Occupational Safety (Biological) .....	150
/34/05/07/ EH&S: Research and Occ Safety: Diving Safety Program .....	150
/34/05/09/ EH&S: ROS: Research Occupational Health .....	151
/34/05/10/ EH&S: Occ Safety and Health: Respiratory Program .....	151
/34/05/11/ EH&S: Campus Preventive Health: AUMS Program .....	152
/34/06/01/ Health Sciences Administration: Health Sciences AS&F: UW Poster and Photo .....	152
/34/06/03/ Health Sciences Administration: Health Sciences AS&F: Scientific Instruments Division .....	153
/34/06/04/ Health Sciences Administration: Health Sciences AS&F: Building Management .....	154
/34/06/06/ Health Sciences Administration: H S AS&F: Clinical Skills and Assessment .....	154
/34/06/07/ Health Sciences Administration: Health Sciences AS&F: Laboratory Services .....	155
/34/10/03/ Health Sciences Administration: Center on Health and Disability: Autism Center .....	157
/38/ School of Public Health .....	158
/38/03/03/ PH: Environmental Health Lab .....	158
/38/03/06/ PH: Field Research and Consultation Group .....	158
/38/03/10/ PH: Occupational Epidemiology and Health Outcomes Program .....	159
/38/03/12/ PH: Env and Occ Health Sciences: Continuing Education .....	159
/40/ Center for Commercialization .....	160
/40/03/ UW CoMotion Invention Licensing .....	160
/40/04/ UW CoMotion Finance .....	160
/41/ Vice Provost for Planning and Budgeting .....	161
/41/02/ Budget Office .....	161
/44/ College of the Environment .....	166
/44/15/02/ Oceanography: Marine Operations .....	166
/46/ Bothell: Vice Chancellor for Planning and Administration .....	167
/46/09/ Bothell: Facility Services .....	167



Index: Archival Records.....170

Index: Essential Records .....172

Index: Disposition Authority .....175

Index: Subjects .....182

## UW General Schedule Dentistry Clinic

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91 12 49574 Rev. 0	<b>Gold Slips and Logs</b> 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  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
19 12 69414 Rev. 0	<b>Graduate Program Patient Charts</b> 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  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
91 3 47534 Rev. 1	<b>Patient Charts</b> 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  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
95 07 55759 Rev. 0	<b>Patient Screening Records -- Not Accepted</b> 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.  Screening records of accepted patients become part of Patient Chart.	<b>Retain</b> for 1 Year after Patient Not Accepted  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## UW General Schedule Dentistry Clinic

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 10 58844  Rev. 0	<b><i>Prescription Records</i></b> 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 Calendar Year  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 06 68264  Rev. 0	<b><i>Agency Reporting-Statute, Regulation, or Rule</i></b> 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 Calendar Year  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
10 11 62305  Rev. 0	<b><i>Building Use Permits</i></b> 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 Expires  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
10 11 62265  Rev. 0	<b><i>Chemical Hygiene Plan - Laboratory Specific</i></b> 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 Superseded  <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 10 62334 Rev. 0	<b><i>Chemical Treatment Log</i></b> This series documents the discharge of treated chemicals into the sewer system.	<b>Retain</b> for 3 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
10 04 62136 Rev. 0	<b><i>Controlled Substances and Alcohol Misuse-Education and Training Records</i></b> 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 Cessation of Duties <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
10 04 62135 Rev. 0	<b><i>Controlled Substances, Program Administration and Alcohol Test Records</i></b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
10 04 62133 Rev. 0	<b><i>Controlled Substances/Alcohol Test Results - Negative Results or Cancelled Tests</i></b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 11 62267 Rev. 0	<b><i>Departmental Health and Safety Manual</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM
12 06 68273 Rev. 1	<b><i>Inspection/Survey Records</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
10 11 62281 Rev. 0	<b><i>Job Safety Analysis</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
09 09 62091 Rev. 0	<b><i>Notice of Laboratory Equipment Decontamination (UoW Form 1083)</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
10 04 62143 Rev. 0	<b><i>Radioactive Waste Disposal Logs</i></b> 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. See Disposal of Radioactive Waste - Form 160 for retention of Form 160	<b>Retain</b> for 5 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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

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

## UW General Schedule Section 3 Curriculum Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 11 62236 Rev. 0	<b>Accreditation Documentation</b> 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. Materials must have been created specifically for accreditation.	<b>Retain</b> for 6 Years after Accreditation or Until Superseded by New Accreditation <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

## UW General Schedule Section 3 Curriculum Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 11 62239 Rev. 0	<b>Course Comment Sheets</b> 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 Approved or Denied <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 08 62670 Rev. 1	<b>Course Materials</b> 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 for Agency Business Plus One Academic Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
10 11 62248 Rev. 0	<b>Program Review and Evaluation</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
10 11 62253 Rev. 0	<b>Textbook Desk Copy Request to Publishers</b> 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 Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
10 11 62251 Rev. 0	<b>Textbook Orders (Faculty Information Sheet for Textbooks)</b> Requests for course textbooks.	<b>Retain</b> for 1 Year after End of Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

### UW General Schedule Section 3 Curriculum Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36961 Rev. 0	<b><i>Time Schedule Changes (Requests for Change in the Quarterly Time Schedule)</i></b> 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 Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 09 68323 Rev. 0	<b><i>Lists/Logs</i></b> 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 Served <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

### UW General Schedule Section 6 Financial Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 02 62375 Rev. 1	<b><i>Budget Requests -- Final</i></b> 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 Biennium <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM
12 06 68279 Rev. 1	<b><i>Petitions and Waivers</i></b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR



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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 09 62092 Rev. 0	<b>Export Control Records for Grants/Contracts</b> 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 Termination of Funding Period <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11 08 62693 Rev. 1	<b>Human Subject Research: Consent Forms for Research -- Adults</b> 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 Study <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
11 08 62657 Rev. 0	<b>Visa Travel Records</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## UW General Schedule Section 8 Personnel & Payroll Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62727 Rev. 0	<b>Applications for Hourly and Student Employment -- Hired</b> 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 Termination of Employment with Department <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## UW General Schedule Section 8 Personnel & Payroll Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62739 Rev. 0	<b>Faculty Reviews</b> 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 Completion of Review <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
07 08 61593 Rev. 1	<b>IACUC Letters of Commendation, Acknowledgement, Counsel and/or Reprimand and/or Suspension to Primary Investigators (or other UW employees)</b> 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 Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
95 MF 5559 Rev. 0	<b>Payroll Folders - for Individual Employees</b> 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 Termination of Employment with Department <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 08 62750 Rev. 0	<b>Personnel Folders -- Hourly, Per Diem, Temporary, and Student Employees</b> 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 Termination of Employment with Department <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## UW General Schedule Section 8 Personnel & Payroll Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 1 35853 Rev. 1	<b><i>Personnel Records-Official Copy</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
11 08 62717 Rev. 1	<b><i>Personnel Records for Academic Student Employees (ASE)</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11 08 62756 Rev. 0	<b><i>Salary Increase Worksheet</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## UW General Schedule Section 8 Personnel & Payroll Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20 12 69605 Rev. 0	<b><i>Selection for Classified Non-Union, Professional, and Contract Covered Staff Employment—Hired and Not Hired</i></b> 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.  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.	<b>Retain</b> for 3 Years after Conclusion of Recruitment  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 08 62757 Rev. 0	<b><i>Summaries of Outside Professional and Public Activities</i></b> 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.	<b>Retain</b> for 3 Years after End of Calendar Year  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 08 62762 Rev. 0	<b><i>Time Records for Classified &amp; Professional Staff</i></b> Submitted by Classified and Professional Staff to request/report leave and overtime hours.	<b>Retain</b> for 1 Year after Annual Audit  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
93 8 52741 Rev. 0	<b><i>Training Records</i></b> 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.	<b>Retain</b> for 6 Years after End of Calendar Year  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## UW General Schedule Section 9 Student Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 1 35847 Rev. 1	<b>Admission Applications -- Applicants Not Accepted, Not Entered, or Application Incomplete</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 10 62786 Rev. 1	<b>Advisor's Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 10 62790 Rev. 1	<b>Award Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
86 6 36935 Rev. 0	<b>Change of College/School and/or Major Forms</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
04 11 60792 Rev. 0	<b>Continuing Education Course Records</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

## UW General Schedule Section 9 Student Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 11 60793 Rev. 0	<b><i>Continuing Education Credit Course Planning Materials</i></b> 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 No Longer Offered <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
86 6 36952 Rev. 1	<b><i>Degree Applications</i></b> 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 Graduation/End of Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 10 62800 Rev. 0	<b><i>Exams and Answer Sheets -- Proficiency/Placement &amp; Credit by Exam</i></b> 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 Academic Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 10 62808 Rev. 1	<b><i>Exams, Papers, Projects and Other Assignments by Students</i></b> 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.  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 Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 10 62801 Rev. 0	<b><i>Grade Appeals and Grievance Files</i></b> 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 quarter in which issue is resolved <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

## UW General Schedule Section 9 Student Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 10 62802 Rev. 1	<b>Grade Books</b> 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 <i>Then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
11 10 62806 Rev. 0	<b>Major Application -- Undergraduate</b> A record of an applicant's petition for major standing within an academic program.	<b>Retain</b> for 1 Year after Quarter of Denial <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
12 06 68269 Rev. 1	<b>Petitions and Waivers: Student</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11 10 62810 Rev. 0	<b>Reference Letters</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
88 12 49458 Rev. 0	<b>Student Employment Recruitment Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## UW General Schedule Section 9 Student Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 10 62819 Rev. 0	<b><i>Student Folders</i></b> 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 Awarded/ Last Activity <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
14 09 68533 Rev. 1	<b><i>Student Folders -- Non-Academic</i></b> 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 Contact <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 10 62822 Rev. 0	<b><i>Student Folders -- Non-Matriculated and Visiting Students</i></b> 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 Quarter of Activity <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## UW General Schedule Section 10 General Office Administration Records

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



## UW General Schedule Section 10 General Office Administration Records

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 11 62254 Rev. 0	<b>Ballots</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
12 03 68243 Rev. 0	<b>Donor Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
16 12 69026 Rev. 0	<b>Expert Witness</b> Records related to expert witness testimony or opinion provided by a UW employee.	<b>Retain</b> for 6 Years after Testimony/Opinion Provided <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
12 03 68238 Rev. 0	<b>Incident Reports</b> Internal departmental reports of facility damage, theft of UW property, etc., when no claim has been filed. NOTE: This is not the official UW Police "Incident Report" or "Accident/Incident Report" (injuries).	<b>Retain</b> for 1 Year after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
93 05 52329 Rev. 0	<b>Volunteer Applications - Not Accepted/Withdrew</b> Provides record of individuals denied volunteer status at the University.	<b>Retain</b> for 1 Year after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## UW General Schedule Section 11 Publication Records

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

## /02/ Executive Office

### /02/ Executive Office

#### Executive Office

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19 12 69413 Rev. 0	<b><i>Appointment Letters - Executive Office</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR

### /02/02/ Provost

#### Executive Office

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18 10 69314 Rev. 0	<b><i>Academic Program Changes</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

## /02/04/ Rules Coordination Office

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03 12 60625 Rev. 0	<b>Final Orders/Declaratory Orders Index</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11 12 62901 Rev. 0	<b>Joint Administrative Rules Review Committee (JARRC) Actions</b> 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 Biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11 12 62904 Rev. 0	<b>Notification by Outside Agency of WAC Changes</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 12 62902 Rev. 0	<b>Outside Agency WAC Changes</b> UW involvement commenting and monitoring other agency rule making.	<b>Retain</b> for 6 Years after Rule Making Process Closed or Withdrawn <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
03 12 60624 Rev. 0	<b>Petitions For Adoption, Amendment, or Repeal of a Title 478 WAC Rule</b> 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 or Denial of Petition <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

## /02/04/ Rules Coordination Office

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03 12 60622 Rev. 0	<b><i>Policy and Interpretative Statement Indexes</i></b> 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 Superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
03 12 60621 Rev. 0	<b><i>Rule Review</i></b> 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 Administrative Purpose Served <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
11 12 62903 Rev. 0	<b><i>Rules Coordinator Registration and Washington State Register (WSR) Notices</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
03 12 60626 Rev. 0	<b><i>Washington State Register (WSR) Filings for Semi-Annual Agenda</i></b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### Faculty Senate

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
14 12 68711 Rev. 0	<b>Adjudication Decisions</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
91 09 48181 Rev. 0	<b>Adjudication Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
91 09 48183 Rev. 0	<b>Senate Bulletins</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

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

*UW Privacy Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19 10 69410 Rev. 0	<b>Data Subject Request - Complete</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
19 10 69411 Rev. 0	<b>Data Subject Request - Complete, Referred to Another Office</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
19 10 69412 Rev. 0	<b>Data Subject Request - Incomplete</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

## /03/ National Primate Research Center

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

#### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20 12 69604 Rev. 0	<b>Animal Monitoring and Consultation</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
87 9 40700 Rev. 1	<b>Animal Record - Electronic</b> 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 or Transfer of Animal <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
87 9 40705 Rev. 1	<b>Animal Shipment Records</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
97 12 58177 Rev. 1	<b>Animal Technician Weekly Checklist</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM



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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
15 03 68742 Rev. 0	<b>Controlled Substance Records</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
12 03 68202 Rev. 1	<b>Environmental Enhancement Calendars</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
87 9 40704 Rev. 0	<b>Importer's Registration</b> Authorization letter to the Primate Center for registration as an animal importer. Renewed every two years.	<b>Retain</b> for 6 Years after Renewal of License or Permit <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
97 12 58182 Rev. 1	<b>Pathology/Necropsy Reports</b> Provides a record of results of pathological testing or necropsy for each animal death.	<b>Retain</b> for 1 Year after End of Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
19 08 69406 Rev. 0	<b>Sedation and Anesthesia Monitoring – Adverse Event</b> 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 Investigation Complete <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19 08 69407 Rev. 0	<b><i>Sedation and Anesthesia Monitoring – No Adverse Event</i></b> Records reporting the results of sedating animals under anesthesia in which no adverse event occurred.	<b>Retain</b> for 6 Months after Sedation Completed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
87 9 40703 Rev. 0	<b><i>Tissue Program Users Folders</i></b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

## /04/ Vice Provost for Academic Personnel

### /04/05/ Equal Opportunity

#### Affirmative Action

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19 02 69352 Rev. 0	<b>Affirmative Action Plans</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

### /04/06/ International Scholars Office

#### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 07 59773 Rev. 1	<b>Application for Permanent Resident Status</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /04/06/ International Scholars Office

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19 06 69362 Rev. 0	<b>E-3 Status Folder</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
90 01 45455 Rev. 1	<b>H-1 Status Folder</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
90 01 45453 Rev. 1	<b>J-1 Status Folder</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
19 06 69363 Rev. 0	<b>TN Status Folder</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

## /05/ University Libraries

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

#### Library

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 05 61185 Rev. 0	<b>Non-Cash Gift Records</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR

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

#### Library

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 02 62424 Rev. 0	<b>Preservation Reformatting Log</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11 02 62425 Rev. 0	<b>Preservation/Replacement Decision Form</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

*Library*

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

## /06/ Undergraduate Academic Affairs

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

#### Education Assessment

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 04 61134 Rev. 1	<b>Service Request Forms - Off-Campus</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

#### Academic Affairs

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 02 61935 Rev. 0	<b>Program Partner Agreements</b> 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 Funding Cycle <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /07/ Vice Provost for Research

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

#### Research Administration

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36967 Rev. 0	<b>Grant and Contract Proposal - Not Confirmed</b> 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 Approved <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

#### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 09 61264 Rev. 1	<b>Conflict of Interest Files</b> 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 Study <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR



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

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 09 61550 Rev. 1	<b><i>Conflict of Interest Files --Not Funded</i></b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
08 10 61883 Rev. 1	<b><i>Embryonic Stem Cell Research Oversight Research Application Files – Approved</i></b> 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 Termination of Study <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
08 12 61904 Rev. 0	<b><i>Embryonic Stem Cell Research Database</i></b> 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 Purpose Served <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
86 1 35873 Rev. 2	<b><i>Request for Approval of Outside Prof. Services for Compensation During Period of Regular and Emeritus Appointment</i></b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 04 58340 Rev. 0	<b><i>Certificate of Exemption</i></b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
04 11 60822 Rev. 0	<b><i>Complaints</i></b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OPR
98 MM 58342 Rev. 0	<b><i>Human Subjects Database</i></b> 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 Administrative Purpose Served <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 1 43543 Rev. 0	<b><i>Human Subjects Review Committee Applications - Denied</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
04 11 60823 Rev. 0	<b><i>Human Subjects Review Committee Applications--Withdrawn</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
89 1 43542 Rev. 0	<b><i>Institutional Review Board Application Files - Approved</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### *Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 09 62095 Rev. 0	<b><i>Research, Scientific or Scholarly Misconduct Allegations- Concluded at Inquiry Stage</i></b> 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 Closes Case <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
09 09 62094 Rev. 1	<b><i>Research, Scientific or Scholarly Misconduct Allegations- Declined or Resolved Prior to Inquiry</i></b> 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 Allegation declined or resolved by Office of Research Misconduct Proceedings <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
09 09 62096 Rev. 0	<b><i>Research, Scientific or Scholarly Misconduct Allegations- Investigation Warranted</i></b> 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 Federal Government Closes Case, Whichever is Later <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

## /08/ Vice President of Facilities

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

#### Facilities Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 MF 59143 Rev. 0	<b>Request of Leave Taken - 1999 and prior</b> 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. - In 2006, the project is now complete. -	<b>Retain</b> for 50 Years after End of Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

### /08/04/01/ Facilities: Project/Construction Accounting

#### Capital Projects

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 9 44873 Rev. 1	<b>Capital Projects Accounting Files</b> Provides financial documentation of construction, renovation, improvements or repairs for new or existing facilities at UW. May include: contracts, change orders, cabinet memos, pay requests, invoice register, authorizations to proceed, purchase and physical plant requisitions, work orders, project control sheets, budget revisions, budget establishments, account verifications, correspondence, modification proposals, Minority and Women's Business Enterprise Quarterly Reports, etc.	<b>Retain</b> for 10 Years after Project Complete/ Acceptance <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Facilities Services

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

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

### Transportation Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 8 44702 Rev. 0	<b>Returned Gate Parking Permits</b> Provides a record of refunded permits. Used primarily for reconciliation.	<b>Retain</b> for 3 Months after Fiscal Year + Audit <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
90 4 46129 Rev. 0	<b>Voided Permits</b> 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 Year + Audit <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /08/11/02/ Commuter Services: Commute Options

### Transportation Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 01 56402 Rev. 0	<b>Transit Comment File</b> 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 Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /08/11/06/ Commuter Services: Operations

### Transportation Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 4 44179 Rev. 0	<b>Daily Lot Count</b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

### Transportation Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 08 61598 Rev. 0	<b>Citation Dismissal Requests</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
03 12 60632 Rev. 0	<b>Credit Card Request Forms</b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
00 05 59689 Rev. 0	<b>Default Notice</b> 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 Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
07 08 61599 Rev. 0	<b>Excessive Citation Notice/Reports</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
00 05 59699 Rev. 0	<b>Impound Packet</b> 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 Closed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR



**/08/11/07/ Commuter Services: Permits**

*Transportation Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 4 44158 Rev. 0	<b><i>Parking Permits, Approval and Distribution</i></b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
00 MM 59707 Rev. 1	<b><i>Parking Violations Database</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
89 4 44162 Rev. 0	<b><i>Payroll Deduction Approvals</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
93 10 53195 Rev. 0	<b><i>U-Pass Application</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
93 10 53191 Rev. 0	<b><i>Waiting List Files</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

## /08/11/08/ Commuter Services: Special Events

### Transportation Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 06 61544 Rev. 0	<b>Special Events and Arranged Parking Request Forms</b> This series provides a record of UW or non-UW customers contacting the Special Events office to arrange parking and/or seek assistance with parking for campus events. Documentation on the campus event will be found in the Recurring or Single Event files.	<b>Retain</b> for 1 Year after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

### Transportation Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 03 62118 Rev. 0	<b>Underground Storage Tank Files</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
10 04 62145 Rev. 1	<b>Vehicle Utilization Records</b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Facilities Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 06 62226 Rev. 0	<b>Preservation, Renovation, and Modernization (PRAM) Files</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR

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

### Facilities Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
03 03 60510 Rev. 1	<b>Confined Space Entry Permit (1219)</b> 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 Calendar Year in which Permit Expires <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
98 07 58565 Rev. 0	<b>Lock Out/Tag Out Report</b> A maintenance file which provides a record of valves and switches involved in repair work.	<b>Retain</b> for 3 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /08/24/ Facilities: Regulated Materials

### Facilities Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 04 62450 Rev. 1	<b><i>Air and Bulk Sample Lab Reports</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
11 04 62452 Rev. 1	<b><i>Air Samples</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11 04 62453 Rev. 1	<b><i>Asbestos and Hazardous Materials Surveys</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
96 02 56498 Rev. 1	<b><i>Close Out Documents</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR

## /09/ Vice President of Finance

### /09/01/ Procurement Services

#### Procurement

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 08 60135 Rev. 0	<b>Account Reconciliation Reports</b> 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 Biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
13 09 68451 Rev. 0	<b>Cancelled Bids</b> 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 Process Cancelled <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
93 05 52286 Rev. 0	<b>Daily Input Control Logs (IA, IB, IC, ID, etc.)</b> 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 Biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
01 08 60146 Rev. 0	<b>Vendor Control Correspondence</b> Provides a record of vendor status at the University. Includes payment information and tax identification number.	<b>Retain</b> for 1 Year after Superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /09/04/ Records Management Services

### Administration

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 8 46563 Rev. 0	<b>Accession and Disposal Register</b> Register is used to assign unique accession and disposal numbers to incoming departmental requests for storage or shredding of records. Also used to track storage and disposal at the UW Records Center. Includes office name, record group number, Accession/Disposal/Uncertified Disposition (UCD) number, and cubic feet. May also include Pickup Log information.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
90 8 46561 Rev. 0	<b>Accession Packets</b> Packets provide inventory of records accessioned into the UW Records Center from UW departments and are used to track records in storage for each office. Includes Records Transfer Inventory Form (RTI) - the official form used to request storage of boxes, and Accession Confirmation Report - a database generated listing of records from RTI with the corresponding UW Records Center box location codes. Once all boxes included on the RTI are disposed of the Accession Packet is merged with the Complete Disposal Packet.	<b>Retain</b> until Disposal of Last Record <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
90 8 46570 Rev. 0	<b>Complete Disposal Packets</b> Provides a record of the disposition of all boxes from an accession. Boxes may be destroyed, transferred to the UW Archives or returned to the originating department, either at their request or if they did not respond to Disposition Control Forms. Files consist of Accession Packet, Disposition Control Forms authorization from UW offices to dispose of boxes which have passed their retention, Disposition Confirmations - consisting of date and control number assigned when boxes were destroyed and Pick-Up/Delivery forms for records being delivered back to the office.	<b>Retain</b> for 6 Years after Last Record Disposed of <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
90 8 46571 Rev. 0	<b>Disposition Notification Log</b> Log of Disposition Notification Forms sent to UW departments for signature(s) authorizing the disposition of boxes at the end of their retention. Indicates number of boxes to be disposed of from each record group, and total number of boxes to be destroyed. Used to track date forms were sent, returned, and which departments have yet to respond.	<b>Retain</b> for 1 Year after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /09/04/ Records Management Services

### Administration

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 8 46569 Rev. 0	<b>Disposition Review Records</b> This series provides a record of the paperwork created during the disposal review process, such as the reviewed pull copies containing notes made by RM staff, and the database printout showing the offices containing records eligible for disposition.	<b>Retain</b> for 1 Year after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
90 8 46577 Rev. 0	<b>File and Box Retrieval Requests</b> This series provides a record of database printouts of files and boxes that are requested on a given day. Includes the name of the person pulling the file and any notes regarding the file.	<b>Retain</b> for 6 Months after Search Complete <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
09 01 61899 Rev. 0	<b>Records Management Database</b> This database tracks all the functions of the Records Management Services office, including retention scheduling, file retrievals, box storage and destruction, department information, such as Records Authority and Coordinator, last contact, etc.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
88 9 42814 Rev. 0	<b>Records Retention Schedules Working Files</b> Working files for retention scheduling projects, either departmental or for the UW General Records Retention Schedule. Reference material which provides background regarding the project or department for future questions or revisions of retention schedules. Files may include, but are not limited to: notes from surveys of offices, correspondence, drafts of schedules (with edits), and legal research information.	<b>Retain</b> for 5 Years after Schedule Revised <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
99 06 59146 Rev. 0	<b>Shredding/Recycling Log Sheets</b> Daily log is used to track boxes which have been disposed of either by shredding or recycling. Includes number of boxes disposed of for each record group, accession number/UCD number assigned to boxes and date recycled or shredded.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /09/04/ Records Management Services

### Administration

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 8 46582 Rev. 0	<b>Van Use Log</b> Tracks trips made by UW Records Center and UW Archives staff using the UW Records Center van. Includes date, unit (UWRC or UW Archives), destination, cubic feet transporting, time in/out, mileage in/out, and total time/mileage.	<b>Retain</b> for 3 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /09/07/ Payroll

### Payroll

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 06 62230 Rev. 0	<b>Annual Attendance Incentive Program</b> This series provides a record of the authorized payment of an employee's eligible sick leave hours for payout at 25% value (if the employee chooses to participate and meets the program requirements). The form includes employee sick leave information, budget(s) and percentage(s) for payout as well as employee and departmental signatures.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
06 07 61228 Rev. 0	<b>Batches (ETR/PTR, RA)</b> This series is comprised of screen prints taken from payroll databases and is used internally as a quick reference for entries made into the payroll system for payment or payroll adjustments. Includes notes regarding changes to database entries.	<b>Retain</b> for 6 Years after Payroll Cycle <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
95 06 55551 Rev. 0	<b>Check and Warrant Transmittal</b> An in-house worksheet which provides a working list of type of check processed, check numbers used, number of checks received by the Payroll Office, and problems in the printing of the checks.	<b>Retain</b> for 1 Year after End of Biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



## /09/07/ Payroll

### Payroll

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 6 42501 Rev. 0	<b>Direct Deposit Authorization (UoW 1376)</b> An authorization form submitted electronically and in hardcopy to Payroll by employees requesting their wage payments be deposited directly to a specified bank account.	<b>Retain</b> for 6 Months after Payroll Cycle <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
10 06 62227 Rev. 0	<b>Employee Separation Payment Authorization Forms</b> This series provides a record of the authorized payment of an employee's unused annual leave and unused compensatory time at the time of separation from the University and also the authorized payment of sick leave at retirement. Includes employee information and departmental signature(s).	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
95 07 55563 Rev. 0	<b>Employment Security Department Charges</b> Provides a record of unemployment compensation benefit charges made to the University by State Employment Security Department. Includes balance, previous payments, and total amount due. Includes the electronic report, issued by the Washington State Employment Security Department of employees who are eligible for unemployment. Used to determine the University's liability. The report includes employee's name, social security number, and base quarterly earnings.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
89 9 44783 Rev. 0	<b>Exception Time Report (ETR)</b> Provides electronic record of changes made in hours worked for staff, faculty, and exempt permanent personnel. Includes leave without pay, overtime, shift differential.	<b>Retain</b> for 6 Years after End of Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
97 09 58087 Rev. 0	<b>I-9 Forms</b> Provides a record of verification of eligibility of employees for work in the United States. Required as per 8 CFR 274a.2.	<b>Retain</b> for 50 Years after Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /09/07/ Payroll

### Payroll

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95 07 55557 Rev. 0	<b>Labor and Industry Report</b> Statistical quarterly report issued to the State Office of Financial Management. Documents total number of hours worked by all University employees and volunteers. Used to determine workmen's compensation insurance premiums. See WAC 296-17-35201 for retention requirements.	<b>Retain</b> for 3 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
10 06 62233 Rev. 0	<b>OPUS (Online Payroll Updating System)</b> 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.	<b>Retain</b> for 50 Years after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
99 01 58991 Rev. 0	<b>Overpayments and Documentation</b> Provides a record of salary overpayments and repayments. Includes authorization forms for overpayments, and supporting documents.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
98 11 58940 Rev. 0	<b>Payroll Input Register</b> Concise summary, by employee, of all data entry per payroll cycle. Used for bank reconciliation. (The same information also appears in more detailed form on the employee's check/advice and on the Payroll Audit Report [50 years].)	<b>Retain</b> for 1 Year after Payroll Cycle <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
89 9 44782 Rev. 0	<b>Positive Time Report (PTR)</b> Provides electronic record of hours worked by hourly staff and student employees.	<b>Retain</b> for 6 Years after End of Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /09/07/ Payroll

### Payroll

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95 07 55560 Rev. 0	<b><i>Retroactive Salary Transfer</i></b> Form which is used to request and provide a record of adjustments to an individual's salary record. Used with both state and grant and contract budgets. May provide the only record of the transfer of funds from one budget to another. Includes transfers from suspense account. As of 12-2008, this activity is processed on My Financial Desktop.	<b>Retain</b> for 6 Years after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
06 07 61224 Rev. 0	<b><i>Returned/Voiced Check Log</i></b> A log that provides a record of issued payroll checks that are returned to the Payroll Office and tracks the returned checks as they are processed. Checks are returned if the employee cannot be found. The official record is the Cancelled Check record series.	<b>Retain</b> for 2 Years after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
10 06 62228 Rev. 0	<b><i>Shared Leave Documentation</i></b> This series provides a record of the transfer of leave between individuals at the UW or other state agencies. Includes approval from the agency's Human Resources office and supporting documentation of the transfer of money between budgets.	<b>Retain</b> for 6 Years after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
98 11 58938 Rev. 0	<b><i>Sick Leave Buy Back</i></b> Documents employee payment to buy back sick leave. (Employees who have used all their sick leave due to injury may buy back sick leave once they have returned to work.)	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
86 5 36533 Rev. 0	<b><i>Sign Out Log -- Payroll Pickup</i></b> Provides a record of authorized personnel who have picked up payroll checks for their departments.	<b>Retain</b> for 6 Months after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /09/07/ Payroll

### Payroll

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 06 62229 Rev. 0	<b>Social Security Audit Documentation</b> This series provides a record of corrections made to an employee's social security number within the Payroll database.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
95 07 55565 Rev. 0	<b>W2 Forms (Annual Earnings Statement)</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
97 09 58086 Rev. 0	<b>W-4 Forms</b> Provides a record of employee withholding and tax status. (Required as per 26 CFR 31.3402 (f) (2)-1) and (Circular E), Employer's Tax Guide).	<b>Retain</b> for 6 Years after Termination of Employment or Superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /09/10/ Management Accounting and Analysis

### Accounting

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 4 42079 Rev. 1	<b>Faculty Effort Certification</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
87 7 40435 Rev. 0	<b>Indirect Cost Study and Proposal</b> 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 <i>then</i> <b>Transfer</b> to Archives for permanent retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
87 7 40437 Rev. 0	<b>Indirect Cost Study Supporting Documentation</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
07 04 61454 Rev. 0	<b>Initial Approval of Cost Center Rates</b> Application material submitted by UW Offices seeking approval to become UW Cost Centers.	<b>Retain</b> for 6 Years after Approval Granted or Denied <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /09/10/ Management Accounting and Analysis

### Accounting

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 7 40434 Rev. 0	<b>Rate Agreement/Colleges and Universities</b> 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 Year of Current Rate <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR

## /09/11/ Student Fiscal Services

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 11 43121 Rev. 0	<b>Bankruptcy Files</b> 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 Dismissed or Discharged <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
96 02 56481 Rev. 0	<b>Borrower's File- Direct Loan Program</b> 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 Servicer <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /09/11/ Student Fiscal Services

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 01 45496 Rev. 0	<b>Scholarship Files</b> 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 Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
96 MM 57108 Rev. 0	<b>Tuition Account Record--Student Database</b> 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 Quarter of Enrollment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
89 10 45081 Rev. 0	<b>UW Initiated Loans- Legal Files</b> 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 Dispersed <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OPR

## /09/13/ Financial Accounting

### Accounting

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 03 62205 Rev. 0	<b>Agency Budget Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
86 3 36135 Rev. 0	<b>Allotment and Expenditure Reports</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
86 3 36136 Rev. 0	<b>Annual Financial Reports (AFRs) Cash Receipts Journal Summary</b> Lists offices that send revenue to the State Treasurer's office in Olympia.	<b>Retain</b> for 6 Years after End of Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
10 03 62207 Rev. 0	<b>Annual Financial Statement Workpapers</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
10 03 62206 Rev. 0	<b>Biennium Close Records</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



## /09/13/ Financial Accounting

### Accounting

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 03 62209 Rev. 0	<b>Integrated Post-Secondary Educational Data System Reports (IPEDS)</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
10 03 62208 Rev. 0	<b>Interest Allocation</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
10 03 62210 Rev. 0	<b>Payroll Load</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
87 4 39822 Rev. 0	<b>Report of Revenue Transfers and Receipts (AM29500-230, 231)</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
86 3 36134 Rev. 0	<b>Summary of Allotment Status Report (AM28650-276----260)</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /09/15/01/ Risk Management

### Risk Management

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

## /09/15/01/ Risk Management

### Risk Management

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08 12 61946 Rev. 0	<b>Incident/Complaint Report</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
89 8 44612 Rev. 0	<b>Insurance Carrier Payment Files (red label)</b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
89 8 44608 Rev. 0	<b>Insurance Policy/Subject Files (blue label)</b> Provides record of insurance policy information and provisions of various types (property, equipment, etc.).	<b>Retain</b> for 6 Years after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
89 8 44616 Rev. 0	<b>Internal Claims Management System (Riskmaster) Open Claims Report</b> 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 Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
89 8 44617 Rev. 0	<b>Internal Claims Management Systems (Riskmaster) Closed Claims Report</b> Provides computer-run reports of data for closed claims against the UW.	<b>Retain</b> for 1 Month after End of Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /09/15/01/ Risk Management

### Risk Management

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 05 52288 Rev. 0	<b>Marine Claim Files (Yellow Label)</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
89 8 44604 Rev. 0	<b>Medical and Legal Closed Claim Papers</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
97 MM 57457 Rev. 0	<b>OSHA Supplementary Record Database</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
09 05 62018 Rev. 0	<b>Portage Bay Insurance</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR

## /09/15/01/ Risk Management

### Risk Management

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 05 62019 Rev. 0	<b>Portage Bay Insurance Documentation</b> 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 Termination of Contract <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
89 8 44602 Rev. 0	<b>Potential Claims/Incident Reports/Accident Reports</b> Provides a record of incidents that may not evolve into claims.	<b>Retain</b> for 1 Year after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
93 05 52289 Rev. 0	<b>Professional Claim Files (Blue Label)</b> 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 Resolved <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
97 02 57454 Rev. 0	<b>UCIRO: Inquiries and Administrative Contacts</b> 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 Concluded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
93 05 52287 Rev. 0	<b>Worker's Compensation Claim Files</b> 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 L&I Claim Closure <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### **/10/02/ Compensation Office**

#### *Human Resources*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 11 61019 Rev. 0	<b><i>Compensation Plan</i></b> Record of the job specifications and pay scales for classified staff at the University of Washington.	<b>Retain</b> for 6 Years after Authorized Adjustments <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> <b>ESSENTIAL</b> OPR
05 11 61023 Rev. 0	<b><i>Legislative Salary Adjustments</i></b> 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 Biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /10/03/ Human Resources Operations

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 02 60023 Rev. 1	<b>Official Employee Medical File</b> 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 Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

## /10/05/ Labor Relations Office

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 07 62081 Rev. 1	<b>Public Employment Relations Commission Files</b> 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 Decided <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /10/07/ Benefits

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 01 62188 Rev. 0	<b>Adjustments Database</b> Documents adjustments to an employee's medical, dental, life and long-term disability payments by the UW or employees to correct discrepancies. Includes PERS reductions processed on a one time basis per employee for a given pay period.	<b>Retain</b> for 6 Years after Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
87 2 39254 Rev. 0	<b>Benefits Files</b> Provides a record of each employee's enrollment in insurance programs. Includes: Medical/Dental Enrollment/Change Form (P-400, copy 1); Life Insurance Enrollment/Change Form (P-402, copy 1); Long Term Disability Insurance Enrollment/Change Form (P404, copy 1); Voluntary Increase in Premium Rates to Annuities (Form R/I 725, copy 1), Voluntary Investment Program Documents.	<b>Retain</b> for 6 Years after Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
88 12 43305 Rev. 0	<b>Court Cases Public Employees Retirement System (PERS)</b> Provides a record of resolved suits brought by UW employees regarding PERS retirement claims.	<b>Retain</b> for 60 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
87 2 39236 Rev. 0	<b>Detailed Deduction Report (Declining Balance Report) PAYR121/49000-006,007, 008,010,013,014,017</b> Provides a monthly alphabetical listing of payroll deductions and reductions per pay period for participants in PERS, TRS and LEOFF. Provides the sole confirmation of deduction and reduction transactions for which the University as employer is responsible.	<b>Retain</b> for 75 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR



## /10/07/ Benefits

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 2 39237 Rev. 0	<b>Detailed Deduction Summary Report</b> Comprised of the last pages of each of the detailed Deduction Reports (PAY121/49000-006 through 019). Provides total amounts for deductions and reductions reported for PERS, TRS and LEOFF per pay period. Used to compute the amount to be paid to the DRS.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
87 2 39262 Rev. 0	<b>Disability Claim Files</b> Provides a record of actions taken to initiate or sustain a disability claim. Includes a record of medical, dental, disability, and life insurance as well as changes in beneficiary.	<b>Retain</b> for 1 Year after Death of Claimant <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
10 01 62189 Rev. 0	<b>Medicare Data Match Secondary Payer Program</b> Documents UW submission of Data File to Medicare as required by US Code title 42. Also includes health care enrollment questionnaires which will be used by Medicare to ensure it has not paid health care claims inappropriately.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
95 10 56098 Rev. 0	<b>Optional Life and Long-term Disability Deduction Reports (PERS 342/PP73100N; PERS 344 /PP73100N)</b> Provides record of amounts of payroll deductions for optional coverage for life and long-term disability insurance.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
87 2 39256 Rev. 0	<b>Package Plan Reports (PERS341/PP73100N)</b> Provides a record of UW contributions to medical, dental, basic life and long-term disability. Includes medical reports, life reports, Ltd reports.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /10/07/ Benefits

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 04 62444 Rev. 0	<b>Retirement Plan Adjustments (Mistake of Fact)</b> This series provides a record of adjustments made to an employee's University of Washington Retirement Plan account. Includes supporting documentation such as notification letters and adjustment calculations.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
95 MM 56091 Rev. 0	<b>Retirement Transmittal Report (PAY131/PP53000)</b> Provides a digital monthly record of actual salaries and contributions for participants in PERS, TRS and LEOFF. Combines information previously reported on the TRANSMITTAL REPORT OF DEDUCTIONS and the REPORT OF EMPLOYEES DEDUCTIONS AND UNIVERSITY CONTRIBUTIONS.	<b>Retain</b> for 75 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
95 10 56095 Rev. 0	<b>Statement of Personal Ineligibility for Membership in PERS (Student Waiver Forms)</b> Provides record of students or spouses of full-time students who waive their eligibility for inclusion in a retirement plan.	<b>Retain</b> for 75 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
95 10 56096 Rev. 0	<b>Student Waiver of Retirement Report (PERS 723/PP72200D)</b> Provides monthly listing of student employees or employee spouses of full-time students who waive their eligibility for inclusion in a retirement plan.	<b>Retain</b> for 4 Years after End of Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
95 10 56097 Rev. 0	<b>Trial Balance--General Ledger</b> Provides a monthly summary and balance of financial activity for Retirement and Insurance. Indicates liability for payments to retirement and insurance systems.	<b>Retain</b> until End of Biennium <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

## /10/07/ Benefits

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 2 39251 Rev. 0	<b><i>UW Retirement Plan-Retiree Files</i></b> Provides a record of retired employees eligible for and presently receiving Retirement Funds in addition to the faculty retirement Basic Plan.	<b>Retain</b> for 1 Year after Death of Final Beneficiary <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
87 2 39253 Rev. 0	<b><i>UW Retirement Plan-Voluntary Investment Program: Information Card File</i></b> Provides a record of all participants in TIAA-CREF and other investment companies. Includes name, Social Security number, contract numbers, options selected, and surrender or repurchase actions. Serves as a backup reference.	<b>Retain</b> for 1 Year after Death of Final Beneficiary <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
87 2 39248 Rev. 0	<b><i>UW Retirement Plan-Voluntary Investment Program (COM)</i></b> Provides a semi-monthly record of adjusted reports of payroll deductions for retirement and tax deferred annuities. Filing of these records began in March 1986.	<b>Retain</b> for 75 Years after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
87 2 39243 Rev. 0	<b><i>UWRP Lump-Sum Withdrawal/Transfer Authorizations</i></b> Provides a record of forms, signed by a UW representative, which authorize a lump-sum withdrawal/transfer of accumulations by a UWRP participant at termination or separation from an eligible position.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
87 2 39239 Rev. 0	<b><i>Verification of Employment (DR5572005, copy 1) Computation of Employer Billing-003 Form</i></b> Provides a record of hours worked and a record of earnings and retirement contributions by employee. Used to verify service credit. Used internally to document information provided to state auditors.	<b>Retain</b> for 60 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 06 61213 Rev. 0	<b>OWLS</b> 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 Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

## /10/09/ Disability Services Office

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 03 59580 Rev. 0	<b>Accommodation Case Files and Consultations (After 11/10/97)</b> 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 Closed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 07 62071 Rev. 0	<b>Parent Standing Verification</b> 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 Academic Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /10/11/ Violence Prevention Response Program

### Human Resources

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 04 62132 Rev. 0	<b>Violence Prevention Response Program Case Files</b> 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 Closed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### /11/04/ Development & Alumni Relations: Annual Giving Programs

#### Development

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94 07 53817 Rev. 0	<b>Event Folders</b> Provides a record of events sponsored by the Office of Annual Giving. May include summary/checklist, planning material, program, guest list, publications, photographs, catering information, invitations, etc.	<b>Retain</b> for 2 Years after End of Fiscal Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

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

#### Development

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 11 61112 Rev. 0	<b>ADVANCE Database</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
05 11 61029 Rev. 0	<b>Campaign Reports</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

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

*Development*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52076 Rev. 0	<b><i>Report of Contributions (ROC)</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OPR

## /12/ UW Technology Administration/Associate VP

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

#### Technology Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16 06 68992 Rev. 0	<b>Responder Incident/Event Packet</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

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

#### Technology Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
05 03 60828 Rev. 1	<b>Incidents</b> 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: UW Office of the Chief Information Security Officer UW Medicine Compliance Office of Research UW Medicine IT Services Health Sciences Administration UW Privacy Office	<b>Retain</b> for 2 Years after UW Investigation Complete <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



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

### Technology Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20 02 69490 Rev. 0	<b>Access Control – Audit Logs</b> 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 Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
20 02069491 Rev. 0	<b>Audit of Systems Access</b> 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 Audit <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /13/ Vice Provost for Continuum College

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

#### *Outreach*

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

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

#### *Program Support*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 11 43134 Rev. 0	<b><i>Summer Quarter Budget Working Papers</i></b> 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 Summer Quarter <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

## /14/ ICA

### /14/01/ ICA: Director

#### Intercollegiate Athletics

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 05 52305 Rev. 0	<b>NCAA</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
93 05 52307 Rev. 0	<b>Ticket Files</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

#### Intercollegiate Athletics

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

## /14/04/ ICA: Ticket Office

### Intercollegiate Athletics

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 09 53038 Rev. 1	<b><i>Tickets: Year End Stock</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /14/06/ ICA: Training Room

### Intercollegiate Athletics

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 02 45858 Rev. 0	<b><i>Athlete Medical Files (Expired)</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
90 02 45859 Rev. 1	<b><i>Presagia Monitoring System</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Intercollegiate Athletics

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52066 Rev. 0	<b>Bowl Notebooks</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
93 03 52067 Rev. 0	<b>Fall Notebooks</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
93 03 52065 Rev. 0	<b>Game Plans</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
93 03 52064 Rev. 0	<b>Playbooks</b> Provides a record of play strategies for each position. Playbooks are updated on a yearly basis.	<b>Retain</b> for 2 Years after Season <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
93 03 52062 Rev. 0	<b>Players Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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

### Intercollegiate Athletics

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52063 Rev. 0	<b>Players Files--Completed Eligibility</b> 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 Contact <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
93 03 52068 Rev. 0	<b>Spring Notebooks</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /14/10/ ICA: Compliance Office

### Intercollegiate Athletics

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 12 68378 Rev. 0	<b>ICA: Investigations</b> 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 Investigation Completed /Final Action Taken <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /14/10/ ICA: Compliance Office

### Intercollegiate Athletics

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52099 Rev. 0	<b>ICA: Squad Lists</b> 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 Superseded <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
12 12 68379 Rev. 0	<b>ICA: Student Compliance File-APR Points</b> 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 Graduation or Last Contact <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
12 12 68380 Rev. 0	<b>ICA: Violations</b> This record documents investigations which resulted in a NCAA and/or PAC 12 violation and its resolution	<b>Retain</b> for 10 Years after Sanction Received <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
12 12 68381 Rev. 0	<b>ICA: Waivers</b> 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 Academic Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /15/ Vice President for Student Life

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

#### Registrar

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 09 53036 Rev. 0	<b><i>Fraud Files</i></b> 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 Resolved <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

#### Registrar

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



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

Registrar

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36955 Rev. 0	<b>Application for Credit by Exam</b> 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 Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
93 09 53001 Rev. 1	<b>Diploma Replacement Order</b> Provides record of request for a replacement diploma. Form includes payment amount received.	<b>Retain</b> for 6 Years after End of Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
93 09 53002 Rev. 0	<b>Diplomas -- Not Received</b> Provides record of diplomas not retrieved by the students who earned them.	<b>Retain</b> for 2 Years after End of Academic Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

Registrar

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

		Destroy.	
--	--	----------	--

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

Registrar

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 07 62070 Rev. 0	<b>Permit to Register for Out of Quarter Course (Out-of-Quarter Card)</b> 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 Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
86 6 36946 Rev. 0	<b>Transcript Order Form</b> Provides authority by student to issue transcript.	<b>Retain</b> for 1 Year after End of Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

Registrar

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 11 59376 Rev. 1	<b>DARS Batch Report - Online</b> 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 Run <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

*Registrar*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 03 60056 Rev. 1	<b>Curriculum Program Proposals -- Approved</b> 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 Dropped <i>then</i> <b>Transfer</b> to Archives for permanent retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
93 09 52982 Rev. 0	<b>Curriculum Report (Quarterly)</b> 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 Quarter <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

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

*Registrar*

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

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

### *Student Life Administration*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 09 57045 Rev. 1	<b><i>Disciplinary Cases</i></b> A record of investigations and disciplinary actions taken pursuant to the Student Conduct Code.	<b>Retain</b> for 6 Years after Disciplinary Action Taken <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
98 06 58531 Rev. 1	<b><i>Student Incident Reports</i></b> 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 Resolved <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### *Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41413 Rev. 0	<b><i>Award Administration Files</i></b> 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 Award Year in Which Aid was Granted <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41402 Rev. 0	<b>Federal and State Reconciliation File</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
89 1 43561 Rev. 1	<b>Financial Aid Applications -- Enrolled</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
88 1 41383 Rev. 0	<b>Financial Aid Applications -- Not Enrolled</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
88 1 41395 Rev. 0	<b>Job Referral Forms</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41397 Rev. 0	<b>Off-Campus Employer File</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
88 1 41400 Rev. 0	<b>Off-Campus Payroll Vouchers</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
88 1 41396 Rev. 0	<b>On-Campus Job Descriptions</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
88 1 41398 Rev. 0	<b>On-Campus Time Sheets</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
88 1 41393 Rev. 0	<b>Packaging Aid Reports</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 1 41405 Rev. 0	<b>Scholarship Applications</b> Documents students' eligibility for and compliance with program requirements for scholarships.	<b>Retain</b> for 3 Years after End of Award Year for Which Aid was Awarded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
88 1 41404 Rev. 0	<b>Scholarship Files (Donor)</b> 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 Award Year in which Aid was Awarded <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OPR



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

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52108 Rev. 0	<b><i>English as a Second Language (ESL) Program Files</i></b> 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 Graduation or Last Activity <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
93 03 52110 Rev. 0	<b><i>Financial Aid Authorization &amp; Disbursement Lists -- Year End List</i></b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
93 03 52115 Rev. 0	<b><i>National Merit Scholarship and UW Undergraduate Scholar Award Files</i></b> 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 Academic Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 09 62319 Rev. 1	<b>Intake Checklist</b> 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 Session Concluded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

## /15/07/ Counseling Center

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 3 41748 Rev. 0	<b>Client Information Database</b> This database tracks and monitors client contact and consultation progress. May include appointments, test results, release of information sheets, etc. In September 2008, the Client Folders became electronic. (As per WAC 246-924-354)	<b>Retain</b> for 8 Years after Last Contact <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /15/08/ Disability Resources for Students

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 11 45165 Rev. 0	<b>Student Services and Program Files</b> This series provides a record of the services, such as interpreting, note taking, etc, utilized by a student during the quarter. May include request from student for service, planning files, etc. Also included are the program files which contain testing logs, room assignment requests, supplemental notes, and information specific to each type of service/accommodation program, etc.	<b>Retain</b> for 6 Years after End of Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51591 Rev. 1	<b>Game Sheets</b> 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 Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /15/10/04/ Housing and Food Services: Husky Card Account and ID Center

### Housing and Food Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
87 7 40324 Rev. 0	<b>Conference and Guest Accounts</b> Provides record of amounts credited and used by conference attendees.	<b>Retain</b> for 6 Years after Account Closed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### Housing and Food Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 01 58988 Rev. 0	<b>Priority Documentation (Residential Hall Events)</b> 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 Academic Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### Student Programs

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

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

### Student Programs

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18 08 69222 Rev. 0	<b>Client Case Files Involving Estate Planning</b> 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 Estate <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /15/17/ University Police Department

### Law Enforcement

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62911 Rev. 0	<b>ACCESS, WACIC, and NCIC Validations</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11 12 62922 Rev. 1	<b>Agency Property Inventories</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
12 06 68266 Rev. 0	<b>Applicant Testing, Hired</b> Provides a record of testing during the hiring process for police officers. May include all documentation from applicant testing: PAT (physical ability test) cards, test forms and sheets and oral board exams.	<b>Retain</b> for 6 Years after Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
06 07 61245 Rev. 0	<b>Banning Letters</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
88 4 42063 Rev. 0	<b>Building Survey Reports</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

## /15/17/ University Police Department

### Law Enforcement

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62910 Rev. 1	<b>Bulletins</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 12 62913 Rev. 0	<b>Case Files - Juvenile Offenders</b> Case reports and files assembled by law enforcement staff pertaining to offenses allegedly committed by juveniles.  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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11 12 62914 Rev. 1	<b>Citations/Notices of Infractions Issue Log</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11 12 62925 Rev. 0	<b>Citations/Notices of Infraction Issued - Driving Under the Influence</b> 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).  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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
00 05 59684 Rev. 0	<b>Citizen Complaint Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /15/17/ University Police Department

### Law Enforcement

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 4 42069 Rev. 0	<b>Communications Center Recordings</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 12 62916 Rev. 0	<b>Computer - Aided Dispatch (CAD) Backup Data</b> 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 Conclusion of Dispatch Action <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
88 4 42053 Rev. 0	<b>Computer Aided Dispatch System (CADS)</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11 12 62921 Rev. 1	<b>Confidential Informant (CI) Records</b> 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 Termination of Confidential Informant Status <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
11 12 62926 Rev. 1	<b>Court Orders - Filed with UWPD</b> Orders issued by a court and filed with the agency. 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, Terminated, or Superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR



## /15/17/ University Police Department

### Law Enforcement

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62915 Rev. 1	<b>Court Orders - Fulfilled by UWPD</b> 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 Action <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
11 12 62909 Rev. 0	<b>Crime Analysis Files</b> Records relating to analyses used to anticipate, prevent, or monitor potential criminal activity.	<b>Retain</b> for 1 Year after Completion of Analysis <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11 12 62919 Rev. 0	<b>Crime Prevention Programs</b> Records relating to the management of crime prevention programs. Includes, but is not limited to Crime Stoppers, block watch; business watch and house watch.	<b>Retain</b> for 1 Year after Obsolete or Superseded <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
00 05 59685 Rev. 0	<b>Crime Prevention Publications/60 Day Log</b> 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 Report Complete <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
11 12 62912 Rev. 0	<b>Criminal History Audit Reports</b> Final reports of Washington State Patrol audit findings.	<b>Retain</b> for 6 Years after Completion of Washington State Patrol audit <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

## /15/17/ University Police Department

### Law Enforcement

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62923 Rev. 1	<b>Evidence Records</b> 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 Disposition of Case <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
18 12 69340 Rev. 0	<b>Expungement/Sealing/Vacation of Records</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
12 06 68267 Rev. 0	<b>Field Interview Reports (FIR's)</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
06 09 61363 Rev. 0	<b>Firearms Exemption</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
88 4 42060 Rev. 0	<b>FTO Files (Field Training Officer Files)</b> Provides a record of officer field training. Includes individual officer training manual and DORs (Daily Observation Reports). (Field training records are maintained per RCW 43.101.200.)	<b>Retain</b> for 6 Years after Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /15/17/ University Police Department

### Law Enforcement

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 06 68270 Rev. 1	<b><i>In-Car Video</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
88 4 42061 Rev. 0	<b><i>Incident Report</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
88 4 42068 Rev. 1	<b><i>Investigation Case Files</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11 12 62918 Rev. 0	<b><i>Investigative Funds</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11 12 62917 Rev. 0	<b><i>K9 Unit Records-Agency Owned Animals</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

## /15/17/ University Police Department

### Law Enforcement

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 4 42067 Rev. 1	<b>National Incident Based Reporting System (NIBRS)</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
88 4 42076 Rev. 0	<b>Notification of Court Appearance</b> Summarizes subpoena data and directs officers to appear in court.	<b>Retain</b> until End of Month <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
00 05 59703 Rev. 0	<b>Property Activity Request (Form 1024)</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11 12 62924 Rev. 0	<b>Property Forfeited</b> 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 Forfeiture <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11 12 62920 Rev. 1	<b>Property Registration</b> Records relating to personal property registered with the agency for recovery if lost or stolen.	<b>Retain</b> for 1 Year after No Longer Needed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /15/17/ University Police Department

### Law Enforcement

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 06 68271 Rev. 0	<b>Security Surveys and Assessments</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
07 08 61597 Rev. 1	<b>Sex Offender Files</b> 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 Longer Affiliated with Campus <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
88 4 42054 Rev. 0	<b>Special Orders</b> Provides a record of internal office memos containing information of a temporary nature.	<b>Retain</b> for 3 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
12 06 68274 Rev. 1	<b>Victim Advocate (CVA) Records</b> All confidential records used and maintained by the UWPD Crime Victim Advocate (CVA).	<b>Retain</b> for 7 Years after Last Contact <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

## /15/20/ UW Career Center

### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 12 43452 Rev. 0	<b>Letters of Evaluation</b> 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 Activity <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Registrar

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 6 36940 Rev. 1	<b>Permanent Student Records/Transcripts (Student Database)</b> 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. 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 <i>then</i> <b>Transfer</b> to Student Achievement Council for permanent retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
97 08 57908 Rev. 0	<b>Special Data Studies, Permanent</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

## /16/ Office of External Affairs

### /16/03/ State Relations

#### External Affairs

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 10 60816 Rev. 0	<b>Issues Files</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM

### /16/05/ Trademarks and Licensing

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 12 53398 Rev. 0	<b>Infringers</b> Documents cease and desist letters sent to manufacturers illegally producing merchandise.	<b>Retain</b> for 6 Years after End of Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
85 5 35348 Rev. 0	<b>Insurance Certificates</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

## /16/05/ Trademarks and Licensing

*Promotes and protects the use of UW licensed marks*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 09 59911 Rev. 0	<b>Licensee Files - Supporting Documentation</b> Supporting documentation for licensee contract/agreement to use University of Washington trademark on a product. May include artwork, correspondence, etc.	<b>Retain</b> for 5 Years after End of Fiscal Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
85 5 35352 Rev. 0	<b>Trademark Registrations</b> Certificates of Trademark Registrations on both the national and state levels. Proof that this University has legal ownership of its trademarks.	<b>Retain</b> for 99 Years after End of Fiscal Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
00 09 59913 Rev. 0	<b>Trademarks &amp; Licensing - Legal Correspondence</b> Legal correspondence between Trademarks and Licensing and private attorney representation regarding new registration, reviews of registration, registration searches or legal opinions in relations to trademark infringements.	<b>Retain</b> for 6 Years after End of Fiscal Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR



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

### Radio Station

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 11 59352 Rev. 1	<b>KUOW Equipment Performance Measurements</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
99 11 59364 Rev. 1	<b>KUOW Public File</b> 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 action on next license renewal application <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
93 11 53256 Rev. 1	<b>KUOW: Station Operation Log</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 7 42641 Rev. 0	<b><i>News and Information Personnel Files</i></b> 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 Deceased <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OFM
88 7 42638 Rev. 0	<b><i>Past Presidents' Files</i></b> 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 Deceased <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OFM
88 7 42636 Rev. 0	<b><i>Regents Files</i></b> 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 Completion of Term or Period of Service <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OFM

## /16/13/ UWTV

### Television Station

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
13 03 68434 Rev. 0	<b>UWTV Daily Logs</b> 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 Month <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
13 03 68436 Rev. 0	<b>UWTV Traffic System Logs</b> 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 Month <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

## /19/ College of Arts and Sciences

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

#### Art Gallery

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 12 60001 Rev. 1	<b>Accession Register</b> 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 Object Deaccessioned <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM
90 09 46709 Rev. 1	<b>Collection Accession Records</b> 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 Deaccessioned <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
90 09 46712 Rev. 1	<b>Exhibition Files</b> 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 Exhibit <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>NON-ESSENTIAL</b> OPR

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

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 11 61392 Rev. 0	<b>Donor Cards</b> 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 Collection Deaccessioned <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR

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

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 12 61670 Rev. 0	<b>Suspected Child Abuse Reports</b> 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 Interview <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 03 61950 Rev. 0	<b>Client Case Files - 10 And Younger</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
09 03 61949 Rev. 0	<b>Client Case Files - 11 And Older</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
89 10 45101 Rev. 0	<b>Client Case Files - pre 2009</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91 08 48042 Rev. 0	<b>Client Case Files - Adults</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
91 08 48041 Rev. 0	<b>Client Case Files - Minors</b> 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.  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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
91 08 48044 Rev. 0	<b>Occupational Health and Safety Records</b> Provides record of UW employee hearing loss tests performed by this department and in conjunction with the Occupational Health and Safety Office. May include: audiograms, diagnostic evaluations, etc.	<b>Retain</b> for 30 Years after Last Contact <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

**/19/62/ A&S: Department of Spanish and Portuguese**

*Academic Office*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 8 52771 Rev. 0	<b><i>Foreign Study: Student and Institutional Evaluations</i></b> Provides a record of the evaluation of undergraduate student foreign study transcripts and of courses taught in foreign educational institutions and their assigned UW equivalents.	<b>Retain</b> for 2 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM



## /21/ College of Education

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

#### Academic Office

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86 10 37876 Rev. 0	<b>Certificate Program Candidate - Inactive</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
86 10 37882 Rev. 0	<b>Educational Staff Associate - Residency Initial and Professional Certificate</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
86 10 37877 Rev. 1	<b>Granted Certificates</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

## /22/ College of Engineering

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

#### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 07 57837 Rev. 0	<b>Academic Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report</b> 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 Completion of Project <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
19 10 69409 Rev. 0	<b>Commercial Projects - Wind Tunnel Test Data and Photograph – ITAR Regulated</b> 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 Project <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
97 07 57843 Rev. 0	<b>Commercial Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report</b> 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 Completion of Project <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97 07 57839 Rev. 0	<b><i>Equipment and Occupancy Log Books</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
05 09 60963 Rev. 0	<b><i>Operational Security Checklist</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /26/ School of Law

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

#### *Student Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 11 60791 Rev. 0	<b><i>Information Release Authorization</i></b> 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 Quarter <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
04 11 60790 Rev. 0	<b><i>Rule 9 Intern Practice Certification</i></b> 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 Filing <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /27/ School of Medicine

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

#### Academic

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 05 50410 Rev. 0	<b>Course Files</b> 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 Superseded by New Accreditation  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

#### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 02 60043 Rev. 0	<b>Product of Conceptus Files/Log</b> 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/ Return of Ashes  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
01 02 60041 Rev. 0	<b>WBP - Donor Files</b> 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/ Return of Ashes  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
01 02 60042 Rev. 0	<b>WBP Donor Files - No Contact/Withdrawal</b> 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 Withdraw or Last Contact <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 MM 52788 Rev. 0	<b>Animal Health Record</b> 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 Death or Disposition <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92 12 51549 Rev. 0	<b>Diagnostic Animal Specimens</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
15 03 68743 Rev. 0	<b>VADDS Database (Vetstar Animal Disease Diagnostic System)</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 8 52787 Rev. 0	<b>Animal Care Logs</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 12 61668 Rev. 0	<b>Monitoring System Records</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
07 12 61667 Rev. 0	<b>Sterilization and Maintenance Logs</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 12 61673 Rev. 0	<b>Cryopreservation Log</b> 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 Administrative Purpose Served <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR



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

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 12 61674 Rev. 0	<b><i>Experimental Procedures or Protocols</i></b> This series provides a record of new procedures or protocols developed for embryo manipulation.	<b>Retain</b> for 6 Years after Superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
07 12 61672 Rev. 0	<b><i>Injection Summary</i></b> 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 Administrative Purpose Served <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
07 12 61676 Rev. 0	<b><i>Request for Services</i></b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
07 12 61675 Rev. 0	<b><i>Tail Sheets</i></b> 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 Administrative Purpose Served <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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

### Academic

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
82 9 20210 Rev. 0	<b>Examination Score Summaries</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
99 06 59153 Rev. 0	<b>Teaching Scholars Program Certificate Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

### Academic

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 02 56477 Rev. 0	<b>Medical Resident Evaluation of Residency/Fellowship Training Program/Faculty-Summary</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
96 02 56476 Rev. 0	<b>Medical Resident/Fellow Evaluation of Residency Training Program/Faculty</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

*Academic*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98 07 58553 Rev. 0	<b>Program Client Files</b> 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.  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  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04 11 60826 Rev. 0	<b>Student Evaluation Source Documents</b> 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  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 11 53277 Rev. 0	<b>Orders</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
93 11 53258 Rev. 1	<b>Protocol Development</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
08 12 61975 Rev. 0	<b>Specimen Management Work Orders and Documentation</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
93 11 53259 Rev. 1	<b>Standardization</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

## /28/ School of Dentistry

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

#### Student Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 47101 Rev. 0	<b><i>Class Ranking List -- Year End</i></b> 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 Academic Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
06 10 61350 Rev. 0	<b><i>Degree Verification</i></b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
90 12 46958 Rev. 0	<b><i>Regional and National Board Results</i></b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OFM

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

### Support Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 04 61451 Rev. 0	<b>Log of Spore Tests</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 46962 Rev. 0	<b>Evaluations -- Post Graduates</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

### Research

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

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

### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91 1 47315 Rev. 0	<b>Status/Examination Cards for Accepted Patients</b> 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 Screening <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

### Administration

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 12 47016 Rev. 0	<b>Student Progress Records</b> 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 Granted <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

### Research

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



## /29/ School of Nursing

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

#### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 12 62906 Rev. 0	<b><i>Client Case Files (Newborns - 5 yrs old)</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

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

#### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 8 52749 Rev. 1	<b>Project Review Requests</b> 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 Expires or is Superseded by New Approval <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

#### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94 04 53715 Rev. 0	<b>Staff on Call Log</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10 12 62359 Rev. 0	<b>Air Emissions Documentation</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
10 09 62328 Rev. 1	<b>Application for Unescorted Access to a Security Zone</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
90 5 46230 Rev. 0	<b>Authorization to Use Radioactive Material Files</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
90 5 46242 Rev. 0	<b>Bioassay Tests</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 5 46248 Rev. 0	<b>Incidents and Accidents</b> Documents reports and correspondence related to incidents and accidents involving radiation.	<b>Retain</b> until Termination of UW Radioactive Materials License <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
90 5 46236 Rev. 0	<b>Instrument Calibration Reports</b> Provides a record of instrument calibration. Retention required by WAC 246-221-230 (9)(d) and 246-240-566.	<b>Retain</b> for 3 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
17 03 69035 Rev. 0	<b>Liquid Scintillation Counter QA Program</b> Records of the Quality Assurance program to assure the reliability and accuracy of Liquid Scintillation Counters used by Radiation Safety for analyzing wipe samples. Retention required by terms of UW Radioactive Material License Condition 43.	<b>Retain</b> for 5 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
90 5 46240 Rev. 0	<b>Monthly Dosimeter Reports</b> Provides a record of the monthly processing of dosimetry badges which measure & record radiation exposure to personnel. Includes Report by Series Codes; the monthly reading of badges processed in a single monthly batch. Results are also included in an annual report which is prepared for each individual who is monitored for internal &/or external radiation exposure. Annual reports are filed in the individual's personnel file. Monthly reports provide detailed information on each months reading and are used to supplement the Personnel Files.	<b>Retain</b> for 5 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

*Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 5 46254 Rev. 0	<b><i>Nuclear Reactor Dismantlement</i></b> Documents operation and dismantlement of UW's nuclear reactor. May include correspondence, minutes of UW Nuclear Reactor Committee, etc.	<b>Retain</b> for 10 Years after Dismantlement Completed <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
90 5 46253 Rev. 0	<b><i>Patient Survey Records</i></b> Provides record of contamination survey done of patient's room during and after radiation therapy. May also include contamination survey of patient.	<b>Retain</b> for 30 Years after End of Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
90 5 46252 Rev. 0	<b><i>Radiation Machine Documentation</i></b> 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 Machine Inactive or Disposed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
90 5 46245 Rev. 0	<b><i>Radiation Worker Personnel Files</i></b> Documents personnel radioactive work history at the UW. May include 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 Termination of UW Radioactive Materials License or X-Ray Registration <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

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

*Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 5 46251 Rev. 0	<b>Radioactive Material Licenses</b> 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 Radioactive Materials License <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
90 5 46260 Rev. 0	<b>Radioactive Material Life Cycle Tracking</b> 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.	<b>Retain</b> until Termination of UW Radioactive Materials License <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
90 5 46255 Rev. 0	<b>Sealed Source Leak Tests</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM
90 5 46246 Rev. 0	<b>Training and Experience in Radiation (Form 20)</b> Provides record of employee's personal data and current/expected use of radiation. May also document previous radiation work and experience.	<b>Retain</b> for 30 Years after Termination of UW Radioactive Materials License or X-Ray Registration <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

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

### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99 09 59270 Rev. 1	<b>Capital Safety Files</b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
90 01 45406 Rev. 1	<b>Hazard Assessment</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
99 09 59272 Rev. 1	<b>Incident Investigations</b> 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 Completion of Investigation <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
12 06 68268 Rev. 0	<b>Lab Closeout Documentation</b> 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 Closed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
00 MM 59594 Rev. 0	<b>Chemical Inventory</b> 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 Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11 08 62661 Rev. 0	<b>Chemical Security Assessment</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
89 11 45196 Rev. 0	<b>Chemical Waste Collection Request Forms</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
89 11 45198 Rev. 0	<b>Contaminated Site Files</b> 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 Completion of Clean-up or Sale of Land <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR



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

*Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52031 Rev. 0	<b>Contingency Plans</b> 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 Superseded <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
93 03 52146 Rev. 0	<b>Dangerous Waste Annual Reports</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
93 03 52148 Rev. 0	<b>Dangerous Waste Regulatory Inspections</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
11 08 62664 Rev. 0	<b>Department of Transportation Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
93 03 52135 Rev. 0	<b>Generator Site Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

*Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 03 52136 Rev. 0	<b>Hazardous Waste Determinations</b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
89 11 45208 Rev. 0	<b>Hazardous Waste Disposal Records</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
93 03 52143 Rev. 0	<b>Hazardous Waste Training</b> 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 Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
11 12 62908 Rev. 0	<b>Industrial Waste Discharge Files</b> 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 Renewed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
93 03 52138 Rev. 0	<b>Internal Spills Documentation</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

*Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11 08 62658 Rev. 0	<b><i>Participating Responsible Party for Waste Disposal Sites</i></b> This series provides a record of sites where the University either paid for clean-up, retrieved its hazardous materials, or pays ongoing de minimus use remediation costs.	<b>Retain</b> for 30 Years after Completion of Clean-Up or Removal <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
99 09 59273 Rev. 0	<b><i>PCB Program Files</i></b> 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 Transformer Removed or Cleanup Achieved <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
11 08 62662 Rev. 0	<b><i>Pollution Prevention Reports</i></b> 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 Report Completed/Submitted <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
93 03 52144 Rev. 0	<b><i>Vehicle Inspections</i></b> 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 of Inspection <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 03 46028 Rev. 1	<b>Accident/Incident Reports</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
18 10 69315 Rev. 0	<b>Hearing Conservation Program</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
99 06 59167 Rev. 1	<b>Indoor Air Quality Investigations</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
99 MM 59170 Rev. 1	<b>OSH Activity Log</b> 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 Corrective Action Taken <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 01 45407 Rev. 1	<b>OSH Occupational Exposure Monitoring</b> 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 Calendar Year <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
94 04 53270 Rev. 1	<b>OSH Program Files</b> 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 Superseded <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
90 01 45414 Rev. 1	<b>Regulated Building Materials Management</b> 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 Superseded <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

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

#### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 11 45191 Rev. 1	<b>Principal Investigator (PI) Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

#### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 09 68322 Rev. 0	<b>Diving Incident Reports</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
94 04 53716 Rev. 1	<b>Diving Information Files</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

#### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 09 68320 Rev. 1	<b>Bloodborne Pathogens Control Plan</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
12 09 68324 Rev. 0	<b>Occupational Health Recommendations (OHRs)</b> 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 of Exposure Record <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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

#### Environmental Health and Safety

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19 04 69361 Rev. 0	<b>Respirator Requests</b> 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: - Hazard identification and assessment - Designation of individual respirator users - Respirator type assignment - 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.	<b>Retain</b> for 30 Years after Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

*Environmental Health and Safety*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12 09 68319 Rev. 0	<b>AUMS Form (Animal Use Medical Screening)</b> 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 Termination of Employment <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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

*Program Support*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19 12 69415 Rev. 1	<b>Client Photographs</b> 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 Released <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



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

*Program Support*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18 08 69287 Rev. 0	<b><i>Bone Marrow Transplant Equipment Records</i></b> 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 Discontinuation of Production <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OPR
18 08 69289 Rev. 0	<b><i>Custom Medical Devices</i></b> 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 Life of Equipment <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OPR
18 08 69290 Rev. 0	<b><i>Non-Medical Project Files</i></b> 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 Completion of Project <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OPR

## /34/06/04/ Health Sciences Administration: Health Sciences AS&F: Building Management

### Facilities Services

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 11 61382 Rev. 0	<b>Access Card/Photo ID Application</b> This series provides a record of Access Card or Photo ID requests.	<b>Retain</b> for 1 Year after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
06 11 61386 Rev. 0	<b>Security Logs</b> This series provides a record of security inspections throughout Health Sciences. Includes reports of incidents, open doors, and windows, etc. From this log, summary reports are created which end up in the monthly report.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

### Assessment

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 07 62075 Rev. 0	<b>Objective Structured Clinical Exam (OSCE) Staff/Standardized Patient (SP) Schedule</b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
09 07 62076 Rev. 0	<b>Objective Structured Clinical Exam (OSCE) Timer Check Sheet</b> This series provides a record of the clinical testing schedule.	<b>Retain</b> for 1 Year after End of Academic Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 07 62074 Rev. 0	<b><i>Patient Scripts</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
09 07 62072 Rev. 0	<b><i>Standardized Patient Applications - Approved</i></b> 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 <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
09 07 62073 Rev. 0	<b><i>Standardized Patient Applications - Denied</i></b> This series provides a record of individuals who applied to the Standardized Patient Program and were determined ineligible.	<b>Retain</b> until Determined Ineligible <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

**/34/06/07/ Health Sciences Administration: Health Sciences AS&F: Laboratory Services**

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09 07 62078 Rev. 0	<b><i>Sterilization Records</i></b> This series provides a record of equipment operation and the proper disposal of waste. Includes the Chemical Integrator Daily Test Results form.	<b>Retain</b> for 6 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR



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

*Assessment*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
17 09 69123 Rev. 0	<b><i>Psychotherapy Notes</i></b> 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  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /38/ School of Public Health

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

#### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 8 44670 Rev. 1	<b>Sample Analysis Results</b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

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

#### Research

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89 9 44838 Rev. 0	<b>Client Folders/Surveys - Final Report</b> Provides a record of the final evaluations of the Field Research lab tests of reported health hazards in the workplace. Summarization of Laboratory Exam Test Results. Paper copy is kept in Records Series 01, Client Folders/Surveys - Results.	<b>Retain</b> for 30 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
89 9 44837 Rev. 0	<b>Client Folders/Surveys - Results</b> Provides a record of laboratory tests and results of reported health hazards in the workplace. May include: raw data, quality control, standards, calibration information for environmental and biological samples, final report, etc., related to compensation, claims, and investigation of industrial hygiene and health problems in Washington covered industries.	<b>Retain</b> for 30 Years after End of Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

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

*Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19 04 69360  Rev. 0	<b>Protected Research Data</b>  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 Contract  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR

**/38/03/12/ PH: Env and Occ Health Sciences: Continuing Education**

*Continuing Education*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07 09 61626  Rev. 0	<b>Inactive Certificate Folders</b>  This series provides a record of individuals who are pursuing OSHA certification but fail to complete the coursework within the three year required period. File may include course check list, application, etc.	<b>Retain</b> for 3 Years after Date of Application  <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /40/ Center for Commercialization

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

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
96 07 56910 Rev. 0	<b>Project/Disclosure Files</b> 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 Date <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

### /40/04/ UW CoMotion Finance

*Finance*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93 01 51769 Rev. 0	<b>Royalty Payment Files</b> 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 Date of Technology <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL 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 AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 5 42291 Rev. 0	<b>Allotments</b> 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 Biennium Close <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
97 08 57922 Rev. 0	<b>Budget Number Requests</b> 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 Biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
88 5 42297 Rev. 0	<b>Budget Report Files JUNE REPORT (BU11080)</b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
88 5 42289 Rev. 0	<b>Budget Requests (Working Papers)</b> 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 Biennium Close <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

## /41/02/ Budget Office

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 5 42293 Rev. 0	<b>Budget Revisions</b> 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 Close <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
00 12 59978 Rev. 0	<b>Budget Set Up Requests</b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
88 5 42322 Rev. 0	<b>Budget Status Summary Report, JUNE REPORT (AM28670-277-229, 237-239); (COM))</b> 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 Close <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
88 5 42294 Rev. 0	<b>Budget System History Report (BU110116-02)</b> A cumulative summary and index of budget revisions by budget number to end of biennium.	<b>Retain</b> for 4 Years after Biennium Close <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
00 07 59762 Rev. 0	<b>Equipment Allocation</b> 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 Biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## /41/02/ Budget Office

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 5 42290 Rev. 0	<b>Operating Budget Request (Final)</b> 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 Biennium Close <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM
88 5 42292 Rev. 0	<b>Request for Amendment of Allotment (B20)</b> Documents requests for changes in distribution of initial funds.	<b>Retain</b> for 10 Years after Biennium Close <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
97 08 57923 Rev. 0	<b>Revenue Transfers</b> 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 Biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
00 08 59861 Rev. 0	<b>Revision Request Summary Report</b> Summarizes the data reported in Salary Revision Worksheets.	<b>Retain</b> for 4 Years after End of Biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
88 5 42315 Rev. 0	<b>Salary Schedules and Tables</b> 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 Biennium Close <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM



## /41/02/ Budget Office

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88 5 42317 Rev. 0	<b>Summary of Expenditure Allotment Status--JUNE REPORT (COM)</b> 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 Fiscal Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
88 5 42318 Rev. 0	<b>Trial Balance--General Ledger (AM28760-226A, 226B); (COM)</b> 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 Close <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## **/44/ College of the Environment**

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

#### *Research*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90 02 45783 Rev. 1	<b><i>Deck Logs</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM
90 02 45789 Rev. 1	<b><i>Sailing Orders</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
90 02 45793 Rev. 1	<b><i>Ship Construction Files and Blueprints</i></b> 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 <i>then</i> <b>Transfer</b> to Archives for appraisal and selective retention	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM

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

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

#### *Facilities Services*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06 07 61238 Rev. 0	<b><i>Wetlands Access Request Form</i></b> 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 Calendar Year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM

## Glossary

### ***Appraisal***

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

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

Designation for public records that may possess enduring legal and/or historical value and must be appraised by the Archives. Such records are to be evaluated, sampled, and weeded according to archival principles by Archives staff. Records appraised as non-archival may be destroyed after their retention has been met.

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

Designation for public records that possess enduring legal and/or historical value and must not be destroyed. State government agencies must transfer these records to the Archives at the end of their minimum retention period. Local government agencies must either transfer these records to the Archives or retain and preserve them according to archival best practice until transferred to the Archives. Other than removing and disposing of duplicates, the Archives will not sample, weed, or otherwise dispose of records with this designation.

### ***Disposition***

Actions taken with records when they are no longer required to be retained by an agency. Possible disposition actions include transfer to the Archives and destruction.

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

Control number for a specific records series in a retention schedule that authorizes a retention period and disposition action for records belonging to that series.

### ***Essential Records***

Public records that agencies must have in order to maintain or resume business continuity or to document the legal standing and rights of individuals and organizations. 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 the Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases, and other finding aids should also be transferred with the records.



### **Local Records Committee**

Committee established by RCW 40.14.070 to review and approve disposition of local government records through records retention schedules. The Committee's three members include the State Archivist and one representative each from the Office of the Attorney General and the State Auditor.

### **Non-Archival**

Designation given to public records that do not possess sufficient historical 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 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 not defined and classified as official public records in RCW 40.14.010 and other documents or records as determined by the records committee to be office files and memoranda.

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

Public records necessary to document transactions relating to public property, public finances, and other agency business, or records determined by the records committee to be official public records.

### **Public Records**

Records that have been created or received by any government agency in Washington State in connection with the transaction of public business regardless of physical form or characteristics.

### **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 or a number of different types of documents that are filed together to document a specific function.

### **State Records Committee**

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.

## Index: Archival Records

### A

Academic Program Changes .....	27
Academic Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report .....	121
Accession Register.....	115
Accreditation Documentation.....	14
Adjudication Decisions .....	30
Air and Bulk Sample Lab Reports .....	52
Allotments.....	159
Animal Record - Electronic.....	32
Animal Shipment Records .....	32
Annual Financial Statement Workpapers .....	64
Appointment Letters - Executive Office.....	27
Asbestos and Hazardous Materials Surveys.....	52
Authorization to Use Radioactive Material Files.....	138

### B

Bone Marrow Equipment.....	152
Bowl Notebooks.....	85
Budget Requests -- Final .....	16
Budget Requests (Working Papers).....	159
Building Survey Reports .....	101

### C

Campaign Reports.....	78
Campus Drawing Records .....	46
Chemical Hygiene Plan - Laboratory Specific .....	11
Close Out Documents.....	52
Collection Accession Records .....	115
Compensation Plan .....	70

Complaints .....	42
Contaminated Site Files.....	143
Contingency Plans .....	144
Crime Prevention Programs .....	104
Crime Prevention Publications/60 Day Log .....	104
Criminal History Audit Reports .....	104
Curriculum Program Proposals -- Approved .....	91
Curriculum Report (Quarterly).....	91
Custom Medical Devices.....	152

### D

Dangerous Waste Regulatory Inspections.....	144
Deck Logs .....	163
Departmental Health and Safety Manual .....	13
Donor Cards .....	116

### E

Event Folders.....	78
Exhibition Files.....	115

### G

Game Plans .....	85
------------------	----

### H

Hazardous Waste Determinations .....	145
Hazardous Waste Disposal Records .....	145

### I

ICA: Squad Lists .....	87
ICA: Violations .....	87
Incidents and Accidents.....	139
Indirect Cost Study and Proposal.....	61
Issues Files.....	110

### K

KUOW Public File .....	112
------------------------	-----

### L

Licensee Files - Supporting Documentation .....	111
---	-----

### N

National Incident Based Reporting System (NIBRS).....	107
NCAA .....	83
News and Information Personnel Files .....	113
Non-Cash Gift Records.....	37
Non-Medical Project Files .....	152
Nuclear Reactor Dismantlement .....	140

### O

Operating Budget Request (Final) .....	161
OSH Occupational Exposure Monitoring .....	148
OSH Program Files.....	148

### P

Participating Responsible Party for Waste Disposal Sites. ....	146
Past Presidents' Files .....	113
Pathology/Necropsy Reports.....	33
Patient Scripts.....	154
Patient Survey Records .....	140
PCB Program Files .....	146
Permanent Student Records/Transcripts (Student Database) .....	109
Permission Request Letter .....	26
Petitions For Adoption, Amendment, or Repeal of a Title .....	478
WAC Rule.....	28
Playbooks .....	85
Pollution Prevention Reports.....	146

Portage Bay Insurance .....	68
Portage Bay Insurance Documentation .....	69
Preservation, Renovation, and Modernization (PRAM) Files .....	51
Program Review and Evaluation .....	15
Project/Disclosure Files .....	158
Protocol Development .....	131

## **R**

Radiation Worker Personnel Files .....	140
Radioactive Material Licenses.....	141
Radioactive Material Life Cycle Tracking .....	141
Rate Agreement/Colleges and Universities.....	62
Records Retention Schedules Working Files.....	55
Regents Files .....	113
Regional and National Board Results.....	132
Regulated Building Materials Management .....	148
Report of Contributions (ROC).....	79
Responder Incident/Event Packet .....	80
Rule Review.....	29

## **S**

Sailing Orders.....	163
Salary Schedules and Tables .....	161
Scholarship Files (Donor).....	95
Sealed Source Leak Tests .....	141
Senate Bulletins .....	30
Ship Construction Files and Blueprints .....	163
Special Data Studies, Permanent .....	109
Standardization.....	131
Summer Quarter Budget Working Papers .....	82

## **T**

Trademark Registrations.....	111
Trademarks & Licensing - Legal Correspondence.....	111
Training and Experience in Radiation (Form 20) .....	141
Trial Balance--General Ledger.....	74

## **U**

Underground Storage Tank Files .....	50
UW Initiated Loans- Legal Files .....	63
UWTV Daily Logs.....	114
UWTV Traffic System Logs .....	114

## Index: Essential Records

### A

Accession Register.....	115
Accident/Incident Reports.....	147
ADVANCE Database.....	78
Agency Property Inventories.....	101
Air and Bulk Sample Lab Reports.....	52
Air Emissions Documentation.....	138
Air Samples.....	52
Animal Care Logs.....	126
Animal Health Record.....	125
Animal Record - Electronic.....	32
Animal Shipment Records.....	32
Animal Technician Weekly Checklist.....	32
Appointment Letters - Executive Office.....	27
Asbestos and Hazardous Materials Surveys.....	52
Athlete Medical Files (Expired).....	84
AUMS Form (Animal Use Medical Screening).....	151
Authorization to Use Radioactive Material Files.....	138

### B

Bioassay Tests.....	138
Biopsy reports (Pathology).....	134
Bloodborne Pathogens Control Plan.....	150
Budget Number Requests.....	159
Budget Requests -- Final.....	16
Budget Revisions.....	160
Budget Status Summary Report, JUNE REPORT (AM28670-277-229, 237-239);(COM).....	160

### C

Case Files - Juvenile Offenders.....	102
--------------------------------------	-----

Certificate of Exemption.....	42
Change of College/School and/or Major Forms.....	21
Chemical Hygiene Plan - Laboratory Specific.....	11
Chemical Inventory.....	143
Chemical Waste Collection Request Forms.....	143
Citations/Notices of Infraction Issued - Driving Under the Influence.....	102
Client Case Files - 10 And Younger.....	117
Client Case Files - 11 And Older.....	117
Client Case Files - Adults.....	118
Client Case Files - Minors.....	118
Client Case Files - pre 2009.....	117
Client Case Files (Newborns - 5 yrs old).....	136
Client Folders/Surveys - Final Report.....	156
Close Out Documents.....	52
Collection Accession Records.....	115
Commercial Projects - Wind Tunnel Test Data and Photograph -- ITAR Regulated.....	121
Commercial Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report.....	121
Compensation Plan.....	70
Conference and Guest Accounts.....	99
Confidential Informant (CI) Records.....	103
Conflict of Interest Files.....	40
Contaminated Site Files.....	143
Contingency Plans.....	144
Continuing Education Course Records.....	21
Controlled Substances, Program Administration and Alcohol Test Records.....	12
Course Materials.....	15
Court Cases Public Employees Retirement System (PERS)...	72
Court Orders - Filed with UWPD.....	103

Court Orders - Fulfilled by UWPD.....	104
Crime Prevention Publications/60 Day Log.....	104
Cryopreservation Log.....	127

### D

Data Subject Request - Complete.....	31
Data Subject Request - Complete, Referred to Another Office.....	31
Data Subject Request - Incomplete.....	31
Deck Logs.....	163
Default Notice.....	48
Department of Transportation Files.....	144
Departmental Health and Safety Manual.....	13
Detailed Deduction Report (Declining Balance Report).....	72
Diagnostic Animal Specimens.....	126
Disciplinary Cases.....	92
Diving Information Files.....	149
Donor Cards.....	116
Donor Files.....	25

### E

E-3 Status Folder.....	36
Educational Staff Associate - Residency Initial and Professional Certificate.....	120
Embryonic Stem Cell Research Oversight Research Application Files -- Approved.....	41
Environmental Enhancement Calendars.....	33
Equipment and Occupancy Log Books.....	122
Evidence Records.....	105
Export Control Records for Grants/Contracts.....	17

### F

Faculty Effort Certification.....	61
-----------------------------------	----

Faculty Reviews.....	18
Final Orders/Declaratory Orders Index .....	28
Financial Aid Applications -- Enrolled.....	93
Foreign Study: Student and Institutional Evaluations .....	119
Fraud Files.....	88

## G

Gold Slips and Logs .....	10
Grade Appeals and Grievance Files.....	22
Grade Books.....	23
Graduate Program Patient Charts .....	10

## H

H-1 Status Folder .....	36
Hazard Assessment.....	142
Hazardous Waste Determinations .....	145
Hazardous Waste Disposal Records .....	145
Hazardous Waste Training.....	145
Human Subject Research: Consent Forms for Research -- Adults.....	17
Human Subjects Database .....	42

## I

Impound Packet .....	48
Incident Report .....	106
Incident Reports.....	25
Infringers.....	110
Injection Summary .....	128
Inspection/Survey Records.....	13
Insurance Certificates .....	110
Intake Checklist.....	97
Internal Spills Documentation.....	145
Investigation Case Files.....	106

Issues Files.....	110
-------------------	-----

## J

J-1 Status Folder .....	36
-------------------------	----

## K

K9 Unit Records-Agency Owned Animals .....	106
--	-----

## L

Lab Closeout Documentation .....	142
----------------------------------	-----

## M

Monitoring System Records .....	127
Monthly Dosimeter Reports .....	139

## N

Non-Cash Gift Records .....	37
Nuclear Reactor Dismantlement .....	140

## O

Occupational Health and Safety Records .....	118
Occupational Health Recommendations (OHRs).....	150
Official Employee Medical File .....	71
On-Campus Job Descriptions.....	94
On-Campus Time Sheets.....	94
Operating Budget Request (Final).....	161
OPUS (Online Payroll Updating System).....	58
OSH Occupational Exposure Monitoring .....	148
OSHA Supplementary Record Database.....	68
Overpayments and Documentation .....	58
OWLS.....	76

## P

Parking Violations Database.....	49
Participating Responsible Party for Waste Disposal Sites .....	146

Patient Charts.....	10
Patient Survey Records .....	140
Payroll Load.....	65
PCB Program Files .....	146
Permanent Student Records/Transcripts (Student Database) .....	109
Personnel Records for Academic Student Employees (ASE) .....	19
Personnel Records-Official Copy.....	19
Petitions and Waivers, Student .....	23
Petitions and Waivers.....	16
Players Files .....	85
Players Files--Completed Eligibility .....	86
Policy and Interpretative Statement Indexes.....	29
Portage Bay Insurance.....	68
Portage Bay Insurance Documentation .....	69
Prescription Records.....	11
Preservation, Renovation, and Modernization (PRAM) Files .....	51
Principal Investigator (PI) Files .....	149
Priority Documentation .....	99
Program Client Files.....	130
Protocol Development .....	131

## R

Radiation Machine Documentation.....	140
Radioactive Waste Disposal Logs .....	13
Records Management Database .....	55
Request of Leave Taken - 1999 and prior .....	45
Research, Scientific or Scholarly Misconduct Allegations- Concluded at Inquiry Stage.....	44
Research, Scientific or Scholarly Misconduct Allegations- Declined or Resolved Prior to Inquiry.....	44

Research, Scientific or Scholarly Misconduct Allegations- Investigation Warranted.....	44
Respirator Requests .....	150
Retirement Transmittal Report (PAY131/PP53000).....	74
Returned Gate Parking Permits.....	46

## S

Scholarship Files.....	63
Sealed Source Leak Tests .....	141
Ship Construction Files and Blueprints .....	163
Sick Leave Buy Back .....	59
Site Specific Safety Affidavits .....	14
Statement of Personal Ineligibility for Membership in PERS (Student Waiver Forms) .....	74
Sterilization Records.....	154
Student Incident Reports.....	92
Survey Records - Radiation Safety.....	14

## T

Tail Sheets.....	128
Time Records for Classified & Professional Staff.....	20
Tissue Program Users Folders .....	34
TN Status Folder.....	36
Trademark Registrations.....	111

## U

Underground Storage Tank Files.....	50
UW Retirement Plan-Retiree Files.....	75
UW Retirement Plan-Voluntary Investment Program: Information Card File .....	75

## V

Verification of Employment (DRS572005, copy 1)	
Computation of Employer Billing-003 Form.....	75

Victim Advocate (CVA) Records.....	108
Violence Prevention Response Program Case Files .....	77

## W

Waiting List Files .....	49
Washington State Register (WSR) Filings for Semi-Annual Agenda .....	29
WBP - Donor Files.....	124
Worker's Compensation Claim Files .....	69

## Index: Disposition Authority

### 00

00 03 59580 .....	76
00 05 59684 .....	102
00 05 59685 .....	104
00 05 59689 .....	48
00 05 59699 .....	48
00 05 59703 .....	107
00 07 59762 .....	160
00 07 59773 .....	35
00 08 59861 .....	161
00 09 59911 .....	111
00 09 59913 .....	111
00 12 59978 .....	160
00 12 60001 .....	115
00 MM 59594 .....	143
00 MM 59707 .....	49

### 01

01 02 60023 .....	71
01 02 60041 .....	124
01 02 60042 .....	125
01 02 60043 .....	124
01 03 60056 .....	91
01 08 60135 .....	53
01 08 60146 .....	53

### 03

03 03 60510 .....	51
03 12 60621 .....	29
03 12 60622 .....	29

03 12 60624 .....	28
03 12 60625 .....	28
03 12 60626 .....	29
03 12 60632 .....	48

### 04

04 10 60816 .....	110
04 11 60790 .....	123
04 11 60791 .....	123
04 11 60792 .....	21
04 11 60793 .....	22
04 11 60822 .....	42
04 11 60823 .....	43
04 11 60826 .....	130

### 05

05 03 60828 .....	80
05 09 60963 .....	122
05 11 61019 .....	70
05 11 61023 .....	70
05 11 61029 .....	78
05 11 61112 .....	78

### 06

06 03 61122 .....	91
06 04 61134 .....	39
06 05 61185 .....	37
06 06 61213 .....	76
06 07 61224 .....	59
06 07 61228 .....	56
06 07 61238 .....	164
06 07 61245 .....	101
06 09 61264 .....	40

06 09 61363 .....	105
06 09 61550 .....	41
06 10 61350 .....	132
06 11 61382 .....	153
06 11 61386 .....	153
06 11 61392 .....	116

### 07

07 04 61451 .....	133
07 04 61454 .....	61
07 06 61544 .....	50
07 08 61593 .....	18
07 08 61597 .....	108
07 08 61598 .....	48
07 08 61599 .....	48
07 09 61626 .....	157
07 12 61667 .....	127
07 12 61668 .....	127
07 12 61670 .....	116
07 12 61672 .....	128
07 12 61673 .....	127
07 12 61674 .....	128
07 12 61675 .....	128
07 12 61676 .....	128

### 08

08 10 61883 .....	41
08 12 61904 .....	41
08 12 61946 .....	67
08 12 61975 .....	131

### 09

09 01 61899 .....	55
-------------------	----

09 02 61935 .....	39	10 04 62133 .....	12	11 02 62425.....	37
09 03 61949 .....	117	10 04 62135 .....	12	11 04 62444.....	74
09 03 61950 .....	117	10 04 62136 .....	12	11 04 62450.....	52
09 05 62018 .....	68	10 04 62143 .....	13	11 04 62452.....	52
09 05 62019 .....	69	10 04 62145 .....	50	11 04 62453.....	52
09 07 62070 .....	90	10 06 62226 .....	51	11 08 62657.....	17
09 07 62071 .....	77	10 06 62227 .....	57	11 08 62658.....	146
09 07 62072 .....	154	10 06 62228 .....	59	11 08 62661.....	143
09 07 62073 .....	154	10 06 62229 .....	60	11 08 62662.....	146
09 07 62074 .....	154	10 06 62230 .....	56	11 08 62664.....	144
09 07 62075 .....	153	10 06 62233 .....	58	11 08 62670.....	15
09 07 62076 .....	153	10 08 62298 .....	14	11 08 62693.....	17
09 07 62078 .....	154	10 09 62316 .....	14	11 08 62717.....	19
09 07 62081 .....	71	10 09 62319 .....	97	11 08 62727.....	17
09 09 62091 .....	13	10 09 62328 .....	138	11 08 62739.....	18
09 09 62092 .....	17	10 10 62334 .....	12	11 08 62750.....	18
09 09 62094 .....	44	10 11 62236 .....	14	11 08 62756.....	19
09 09 62095 .....	44	10 11 62239 .....	15	11 08 62757.....	20
09 09 62096 .....	44	10 11 62248 .....	15	11 08 62762.....	20
09 09 62099 .....	26	10 11 62251 .....	15	11 10 62786.....	21
<b>10</b>		10 11 62253 .....	15	11 10 62790.....	21
10 01 62188 .....	72	10 11 62254 .....	25	11 10 62800.....	22
10 01 62189 .....	73	10 11 62265 .....	11	11 10 62801.....	22
10 03 62118 .....	50	10 11 62267 .....	13	11 10 62802.....	23
10 03 62205 .....	64	10 11 62281 .....	13	11 10 62806.....	23
10 03 62206 .....	64	10 11 62293 .....	14	11 10 62808.....	22
10 03 62207 .....	64	10 11 62305 .....	11	11 10 62810.....	23
10 03 62208 .....	65	10 12 62359 .....	138	11 10 62819.....	24
10 03 62209 .....	65	<b>11</b>		11 10 62822.....	24
10 03 62210 .....	65	11 02 62375 .....	16	11 12 62901.....	28
10 04 62132 .....	77	11 02 62424 .....	37	11 12 62902.....	28



11 12 62903 .....	29
11 12 62904 .....	28
11 12 62906 .....	136
11 12 62908 .....	145
11 12 62909 .....	104
11 12 62910 .....	102
11 12 62911 .....	101
11 12 62912 .....	104
11 12 62913 .....	102
11 12 62914 .....	102
11 12 62915 .....	104
11 12 62916 .....	103
11 12 62917 .....	106
11 12 62918 .....	106
11 12 62919 .....	104
11 12 62920 .....	107
11 12 62921 .....	103
11 12 62922 .....	101
11 12 62923 .....	105
11 12 62924 .....	107
11 12 62925 .....	102
11 12 62926 .....	103

## 12

12 03 68202 .....	33
12 03 68237 .....	24
12 03 68238 .....	25
12 03 68243 .....	25
12 06 68264 .....	11
12 06 68266 .....	101
12 06 68267 .....	105
12 06 68268 .....	142

12 06 68269 .....	23
12 06 68270 .....	106
12 06 68271 .....	108
12 06 68273 .....	13
12 06 68274 .....	108
12 06 68279 .....	16
12 09 68319 .....	151
12 09 68320 .....	150
12 09 68322 .....	149
12 09 68323 .....	16
12 09 68324 .....	150
12 12 68378 .....	86
12 12 68379 .....	87
12 12 68380 .....	87
12 12 68381 .....	87

## 13

13 03 68434 .....	114
13 03 68436 .....	114
13 09 68451 .....	53

## 14

14 09 68533 .....	24
14 12 68711 .....	30

## 15

15 03 68742 .....	33
15 03 68743 .....	126
15 12 68846 .....	46

## 16

16 06 68991 .....	38
16 06 68992 .....	80

16 12 69026 .....	25
-------------------	----

## 17

17 03 69035 .....	139
17 09 69123 .....	155

## 18

18 08 69222 .....	100
18 08 69287 .....	152
18 08 69289 .....	152
18 08 69290 .....	152
18 10 69314 .....	27
18 10 69315 .....	147
18 12 69340 .....	105

## 19

19 02 69352 .....	35
19 04 69360 .....	157
19 04 69361 .....	150
19 06 69362 .....	36
19 06 69363 .....	36
19 08 69406 .....	33
19 08 69407 .....	34
19 10 69409 .....	121
19 10 69410 .....	31
19 10 69411 .....	31
19 10 69412 .....	31
19 12 69413 .....	27
19 12 69414 .....	10
19 12 69415 .....	151

## 20

20 02 69490 .....	81
-------------------	----

20 02 69491 .....	81
20 12 69604 .....	32
20 12 69605 .....	20

## 82

82 9 20210 .....	129
------------------	-----

## 85

85 5 35348 .....	110
85 5 35352 .....	111

## 86

86 1 35847 .....	21
86 1 35853 .....	19
86 1 35873 .....	41
86 10 37876 .....	120
86 10 37877 .....	120
86 10 37882 .....	120
86 3 36134 .....	65
86 3 36135 .....	64
86 3 36136 .....	64
86 5 36533 .....	59
86 6 36935 .....	21
86 6 36940 .....	109
86 6 36946 .....	90
86 6 36952 .....	22
86 6 36955 .....	89
86 6 36961 .....	16
86 6 36967 .....	40

## 87

87 2 39236 .....	72
87 2 39237 .....	73

87 2 39239 .....	75
87 2 39243 .....	75
87 2 39248 .....	75
87 2 39251 .....	75
87 2 39253 .....	75
87 2 39254 .....	72
87 2 39256 .....	73
87 2 39262 .....	73
87 4 39822 .....	65
87 7 40324 .....	99
87 7 40434 .....	62
87 7 40435 .....	61
87 7 40437 .....	61
87 9 40700 .....	32
87 9 40703 .....	34
87 9 40704 .....	33
87 9 40705 .....	32

## 88

88 1 41383 .....	93
88 1 41393 .....	94
88 1 41395 .....	93
88 1 41396 .....	94
88 1 41397 .....	94
88 1 41398 .....	94
88 1 41400 .....	94
88 1 41402 .....	93
88 1 41404 .....	95
88 1 41405 .....	95
88 1 41413 .....	92
88 11 43121 .....	62
88 11 43134 .....	82

88 12 43305 .....	72
88 12 43437 .....	82
88 12 43452 .....	109
88 12 49458 .....	23
88 3 41748 .....	97
88 4 42053 .....	103
88 4 42054 .....	108
88 4 42060 .....	105
88 4 42061 .....	106
88 4 42063 .....	101
88 4 42067 .....	107
88 4 42068 .....	106
88 4 42069 .....	103
88 4 42076 .....	107
88 4 42079 .....	61
88 5 42289 .....	159
88 5 42290 .....	161
88 5 42291 .....	159
88 5 42292 .....	161
88 5 42293 .....	160
88 5 42294 .....	160
88 5 42297 .....	159
88 5 42315 .....	161
88 5 42317 .....	162
88 5 42318 .....	162
88 5 42322 .....	160
88 6 42501 .....	57
88 7 42636 .....	113
88 7 42638 .....	113
88 7 42641 .....	113
88 9 42814 .....	55

## 89

89 1 43542 .....	43
89 1 43543 .....	43
89 1 43561 .....	93
89 10 45081 .....	63
89 10 45101 .....	117
89 11 45165 .....	98
89 11 45191 .....	149
89 11 45196 .....	143
89 11 45198 .....	143
89 11 45208 .....	145
89 4 44158 .....	49
89 4 44162 .....	49
89 4 44179 .....	47
89 8 44601 .....	66
89 8 44602 .....	69
89 8 44603 .....	66
89 8 44604 .....	68
89 8 44605 .....	66
89 8 44608 .....	67
89 8 44612 .....	67
89 8 44614 .....	66
89 8 44616 .....	67
89 8 44617 .....	67
89 8 44670 .....	156
89 8 44702 .....	46
89 9 44782 .....	58
89 9 44783 .....	57
89 9 44837 .....	156
89 9 44838 .....	156
89 9 44873 .....	45

## 90

90 01 45406 .....	142
90 01 45407 .....	148
90 01 45414 .....	148
90 01 45453 .....	36
90 01 45455 .....	36
90 01 45496 .....	63
90 01 45532 .....	100
90 01 45533 .....	100
90 02 45783 .....	163
90 02 45789 .....	163
90 02 45793 .....	163
90 02 45858 .....	84
90 02 45859 .....	84
90 03 46028 .....	147
90 09 46709 .....	115
90 09 46712 .....	115
90 12 46958 .....	132
90 12 46962 .....	133
90 12 46988 .....	134
90 12 47016 .....	135
90 12 47019 .....	135
90 12 47101 .....	132
90 4 46129 .....	46
90 5 46230 .....	138
90 5 46236 .....	139
90 5 46240 .....	139
90 5 46242 .....	138
90 5 46245 .....	140
90 5 46246 .....	141
90 5 46248 .....	139

90 5 46251 .....	141
90 5 46252 .....	140
90 5 46253 .....	140
90 5 46254 .....	140
90 5 46255 .....	141
90 5 46260 .....	141
90 8 46561 .....	54
90 8 46563 .....	54
90 8 46569 .....	55
90 8 46570 .....	54
90 8 46571 .....	54
90 8 46577 .....	55
90 8 46582 .....	56

## 91

91 08 48041 .....	118
91 08 48042 .....	118
91 08 48044 .....	118
91 09 48181 .....	30
91 09 48183 .....	30
91 1 47315 .....	134
91 12 49574 .....	10
91 3 47534 .....	10

## 92

92 05 50410 .....	124
92 12 51549 .....	126
92 12 51591 .....	98

## 93

93 01 51769 .....	158
93 03 52031 .....	144
93 03 52062 .....	85

93 03 52063 .....	86
93 03 52064 .....	85
93 03 52065 .....	85
93 03 52066 .....	85
93 03 52067 .....	85
93 03 52068 .....	86
93 03 52076 .....	79
93 03 52099 .....	87
93 03 52108 .....	96
93 03 52110 .....	96
93 03 52115 .....	96
93 03 52135 .....	144
93 03 52136 .....	145
93 03 52138 .....	145
93 03 52143 .....	145
93 03 52144 .....	146
93 03 52146 .....	144
93 03 52148 .....	144
93 05 52286 .....	53
93 05 52287 .....	69
93 05 52288 .....	68
93 05 52289 .....	69
93 05 52305 .....	83
93 05 52307 .....	83
93 05 52329 .....	25
93 09 52982 .....	91
93 09 52990 .....	89
93 09 53001 .....	89
93 09 53002 .....	89
93 09 53036 .....	88
93 09 53038 .....	84

93 09 53040 .....	83
93 09 53060 .....	88
93 10 53191 .....	49
93 10 53195 .....	49
93 11 53256 .....	112
93 11 53258 .....	131
93 11 53259 .....	131
93 11 53277 .....	131
93 12 53398 .....	110
93 8 52741 .....	20
93 8 52749 .....	137
93 8 52771 .....	119
93 8 52787 .....	126
93 MM 52788 .....	125
<b>94</b>	
94 04 53270 .....	148
94 04 53715 .....	137
94 04 53716 .....	149
94 07 53817 .....	78
<b>95</b>	
95 06 55551 .....	56
95 07 55557 .....	58
95 07 55560 .....	59
95 07 55563 .....	57
95 07 55565 .....	60
95 07 55759 .....	10
95 10 56095 .....	74
95 10 56096 .....	74
95 10 56097 .....	74
95 10 56098 .....	73

95 MF 5559 .....	18
95 MM 56091 .....	74
<b>96</b>	
96 01 56402 .....	47
96 02 56476 .....	129
96 02 56477 .....	129
96 02 56481 .....	62
96 02 56498 .....	52
96 07 56910 .....	158
96 09 57045 .....	92
96 MM 57108 .....	63
<b>97</b>	
97 02 57454 .....	69
97 07 57837 .....	121
97 07 57839 .....	122
97 07 57843 .....	121
97 08 57908 .....	109
97 08 57922 .....	159
97 08 57923 .....	161
97 09 58086 .....	60
97 09 58087 .....	57
97 12 58177 .....	32
97 12 58182 .....	33
97 MM 57457 .....	68
<b>98</b>	
98 04 58340 .....	42
98 06 58531 .....	92
98 07 58553 .....	130
98 07 58565 .....	51
98 10 58844 .....	11

98 11 58938 .....	59
98 11 58940 .....	58
98 11 58957 .....	66
98 MM 58342 .....	42

---

## 99

99 01 58988 .....	99
99 01 58991 .....	58
99 06 59146 .....	55
99 06 59153 .....	129
99 06 59167 .....	147
99 09 59270 .....	142
99 09 59272 .....	142
99 09 59273 .....	146
99 11 59352 .....	112
99 11 59364 .....	112
99 11 59376 .....	90
99 MF 59143 .....	45
99 MM 59170 .....	147

## Index: Subjects

### A

Academic Program Changes .....	27
Academic Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report .....	121
Access Card/Photo ID Application .....	153
Access Control – Audit Logs .....	81
ACCESS, WACIC, and NCIC Validations .....	101
Accession and Disposal Register .....	54
Accession Packets .....	54
Accession Register .....	115
Accident Reports (green label) .....	66
Accident/Incident Reports .....	147
Accommodation Case Files and Consultations (After 11/10/97) .....	76
Account Reconciliation Reports .....	53
Accreditation Documentation .....	14
Adjudication Decisions .....	30
Adjudication Files .....	30
Adjustments Database .....	72
Admission Applications -- Applicants Not Accepted, Not Entered, or Application Incomplete .....	21
ADVANCE Database .....	78
Advisor's Files .....	21
Affirmative Action Plans .....	35
Affordable Tuition Now (ATN) .....	100
Agency Budget Files .....	64
Agency Property Inventories .....	101
Agency Reporting-Statute, Regulation, or Rule .....	11
Air and Bulk Sample Lab Reports .....	52
Air Emissions Documentation .....	138

Air Samples .....	52
Allotment and Expenditure Reports .....	64
Allotments .....	159
Animal Care Logs .....	126
Animal Health Record .....	125
Animal Monitoring and Consultation .....	32
Animal Record - Electronic .....	32
Animal Shipment Records .....	32
Animal Technician Weekly Checklist .....	32
Annual Attendance Incentive Program .....	56
Annual Financial Reports (AFRs) Cash Receipts Journal Summary .....	64
Annual Financial Statement Workpapers .....	64
Applicant Testing, Hired .....	101
Application for Credit by Exam .....	89
Application for Permanent Resident Status .....	35
Application for Unescorted Access to a Security Zone .....	138
Applications for Hourly and Student Employment -- Hired ..	17
Appointment Letters - Executive Office .....	27
Asbestos and Hazardous Materials Surveys .....	52
Athlete Medical Files (Expired) .....	84
Audit of Systems Access .....	81
AUMS Form (Animal Use Medical Screening) .....	151
Authorization to Apply for a Banquet Permit to Serve Alcohol .....	24
Authorization to Use Radioactive Material Files .....	138
Award Administration Files .....	92
Award Files .....	21

### B

Ballots .....	25
Bankruptcy Files .....	62

Banning Letters .....	101
Batches (ETR/PTR, RA) .....	56
Benefits Files .....	72
Biennium Close Records .....	64
Bioassay Tests .....	138
Biopsy reports (Pathology) .....	134
Bloodborne Pathogens Control Plan .....	150
Bone Marrow Equipment .....	152
Borrower's File- Direct Loan Program .....	62
Bowl Notebooks .....	85
Budget Number Requests .....	159
Budget Report Files JUNE REPORT (BU11080) .....	159
Budget Requests -- Final .....	16
Budget Requests (Working Papers) .....	159
Budget Revisions .....	160
Budget Set Up Requests .....	160
Budget Status Summary Report, JUNE REPORT (AM28670-277-229, 237-239);(COM) .....	160
Budget System History Report (BU110116-02) .....	160
Building Survey Reports .....	101
Building Use Permits .....	11
Bulletins .....	102

### C

Campaign Reports .....	78
Campus Drawing Records .....	46
Cancelled Bids .....	53
Capital Projects Accounting Files .....	45
Capital Safety Files .....	142
Case Files - Juvenile Offenders .....	102
Certificate of Exemption .....	42
Certificate Program Candidate - Inactive .....	120

Change of College/School and/or Major Forms .....	21	Communications Center Recordings.....	103	Criminal History Audit Reports .....	104
Check and Warrant Transmittal.....	56	Compensation Plan .....	70	Cryopreservation Log.....	127
Chemical Hygiene Plan - Laboratory Specific .....	11	Complaints .....	42	Curriculum Program Proposals -- Approved .....	91
Chemical Inventory .....	143	Complete Disposal Packets.....	54	Curriculum Report (Quarterly).....	91
Chemical Security Assessment .....	143	Computer - Aided Dispatch (CAD) Backup Data .....	103	Custom Medical Devices.....	152
Chemical Treatment Log.....	12	Computer Aided Dispatch System (CADS) .....	103		
Chemical Waste Collection Request Forms .....	143	Conference and Guest Accounts.....	99	<b>D</b>	
Citation Dismissal Requests .....	48	Confidential Informant (CI) Records .....	103	Daily Input Control Logs (IA, IB, IC, ID, etc.).....	53
Citations/Notices of Infraction Issued - Driving Under the Influence .....	102	Confined Space Entry Permit (1219).....	51	Daily Lot Count .....	47
Citations/Notices of Infractions Issue Log.....	102	Conflict of Interest Files.....	40	Dangerous Waste Annual Reports.....	144
Citizen Complaint Files .....	102	Conflict of Interest Files --Not Funded .....	41	Dangerous Waste Regulatory Inspections.....	144
Class Ranking List -- Year End .....	132	Contaminated Site Files.....	143	DARS Batch Report - Online.....	90
Client Case Files - 10 And Younger.....	117	Contingency Plans .....	144	Data Subject Request - Complete .....	31
Client Case Files - 11 And Older.....	117	Continuing Education Course Records.....	21	Data Subject Request - Complete, Referred to Another Office .....	31
Client Case Files - Adults .....	118	Continuing Education Credit Course Planning Materials.....	22	Data Subject Request - Incomplete.....	31
Client Case Files - Minors .....	118	Controlled Substance Records.....	33	Deck Logs.....	163
Client Case Files - pre 2009 .....	117	Controlled Substances and Alcohol Misuse-Education and Training Records.....	12	Default Notice.....	48
Client Case Files (Newborns - 5 yrs old).....	136	Controlled Substances, Program Administration and Alcohol Test Records .....	12	Degree Applications.....	22
Client Case Files Involving Estate Planning .....	100	Controlled Substances/Alcohol Test Results - Negative Results or Cancelled Tests .....	12	Degree Verification.....	132
Client Folders/Surveys - Final Report .....	156	Course Comment Sheets.....	15	Department of Transportation Files .....	144
Client Folders/Surveys - Results .....	156	Course Files .....	124	Departmental Health and Safety Manual .....	13
Client Information Database.....	97	Course Materials .....	15	Detailed Deduction Report (Declining Balance Report) .....	72
Client Photographs .....	151	Court Cases Public Employees Retirement System (PERS)...	72	Detailed Deduction Summary Report .....	73
Close Out Documents.....	52	Court Orders - Filed with UWPD.....	103	Diagnostic Animal Specimens.....	126
Closed Claims Filed Against State Fidelity Bond.....	66	Court Orders - Fulfilled by UWPD .....	104	Diagnostic Plaster Study Models .....	135
Closed Equipment Loss Claims (orange label).....	66	Credit Card Request Forms.....	48	Diploma Replacement Order .....	89
Collection Accession Records .....	115	Crime Analysis Files .....	104	Diplomas -- Not Received .....	89
Commercial Projects - Wind Tunnel Test Data and Photograph -- ITAR Regulated.....	121	Crime Prevention Programs .....	104	Direct Deposit Authorization (UoW 1376) .....	57
Commercial Projects - Wind Tunnel Test Raw Data, Data Reduction Notebook, and Final Report .....	121	Crime Prevention Publications/60 Day Log .....	104	Disability Claim Files .....	73
				Disciplinary Cases .....	92
				Disposition Notification Log.....	54

Disposition Review Records .....	55
Diving Incident Reports .....	149
Diving Information Files .....	149
Donor Cards .....	116
Donor Files .....	25

## E

E-3 Status Folder .....	36
Educational Staff Associate - Residency Initial and Professional Certificate .....	120
Embryonic Stem Cell Research Database .....	41
Embryonic Stem Cell Research Oversight Research Application Files – Approved .....	41
Employee Separation Payment Authorization Forms .....	57
Employment Liability Claims Files (Purple Files) .....	66
Employment Security Department Charges .....	57
English as a Second Language (ESL) Program Files .....	96
Environmental Enhancement Calendars .....	33
Equipment Allocation .....	160
Equipment and Occupancy Log Books .....	122
Evaluations -- Post Graduates .....	133
Event Folders .....	78
Evidence Records .....	105
Examination Score Summaries .....	129
Exams and Answer Sheets -- Proficiency/Placement & Credit by Exam .....	22
Exams, Papers, Projects and Other Assignments by Students .....	22
Exception Time Report (ETR) .....	57
Excessive Citation Notice/Reports .....	48
Exhibition Files .....	115
Experimental Procedures or Protocols .....	128
Expert Witness .....	25

Export Control Records for Grants/Contracts .....	17
Expungement/Sealing/Vacation of Records .....	105

## F

Faculty Effort Certification .....	61
Faculty Reviews .....	18
Fall Notebooks .....	85
Federal and State Reconciliation File .....	93
Field Interview Reports (FIR's) .....	105
File and Box Retrieval Requests .....	55
Final Orders/Declaratory Orders Index .....	28
Financial Aid Applications -- Enrolled .....	93
Financial Aid Applications -- Not Enrolled .....	93
Financial Aid Authorization & Disbursement Lists -- Year End List .....	96
Firearms Exemption .....	105
Foreign Study: Student and Institutional Evaluations .....	119
Fraud Files .....	88
FTO Files (Field Training Officer Files) .....	105

## G

Game Plans .....	85
Game Sheets .....	98
General Liability and Auto Liability Claim Files (Red Label) .....	66
Generator Site Files .....	144
Gold Slips and Logs .....	10
Grade Appeals and Grievance Files .....	22
Grade Books .....	23
Graduate Program Patient Charts .....	10
Grant and Contract Proposal - Not Confirmed .....	40
Granted Certificates .....	120

## H

H-1 Status Folder .....	36
Hazard Assessment .....	142
Hazardous Waste Determinations .....	145
Hazardous Waste Disposal Records .....	145
Hazardous Waste Training .....	145
Hearing Conservation Program .....	147
Human Subject Research: Consent Forms for Research -- Adults .....	17
Human Subjects Database .....	42
Human Subjects Review Committee Applications - Denied .....	43
Human Subjects Review Committee Applications--Withdrawn .....	43
Husky Season Ticket Renewal Applications .....	83

## I

I-9 Forms .....	57
IACUC Letters of Commendation, Acknowledgement, Counsel and/or Reprimand and/or Suspension to Primary Investigators (or other UW employees) .....	18
ICA: Investigations .....	86
ICA: Squad Lists .....	87
ICA: Student Compliance File-APR Points .....	87
ICA: Violations .....	87
ICA: Waivers .....	87
Immigration/Citizenship Status Change .....	88
Importer's Registration .....	33
Impound Packet .....	48
Inactive Certificate Folders .....	157
In-Car Video .....	106
Incident Investigations .....	142
Incident Report .....	106
Incident Reports .....	25
Incident/Complaint Report .....	67



Incidents.....	80
Incidents and Accidents .....	139
Indirect Cost Study and Proposal .....	61
Indirect Cost Study Supporting Documentation .....	61
Indoor Air Quality Investigations .....	147
Industrial Waste Discharge Files .....	145
Information Release Authorization .....	123
Infringers.....	110
Initial Approval of Cost Center Rates .....	61
Injection Summary .....	128
Inspection/Survey Records.....	13
Institutional Review Board Application Files - Approved ....	43
Instrument Calibration Reports.....	139
Insurance Carrier Payment Files (red label) .....	67
Insurance Certificates .....	110
Insurance Policy/Subject Files (blue label) .....	67
Intake Checklist.....	97
Integrated Post-Secondary Educational Data System Reports (IPEDS) .....	65
Interest Allocation.....	65
Internal Claims Management System (Riskmaster) Open Claims Report.....	67
Internal Claims Management Systems (Riskmaster) Closed Claims Report.....	67
Internal Spills Documentation.....	145
Investigation Case Files.....	106
Investigative Funds .....	106
Issues Files .....	110
<b>J</b>	
J-1 Status Folder.....	36
Job Referral Forms .....	93

Job Safety Analysis .....	13
Joint Administrative Rules Review Committee (JARRC) Actions.....	28

## K

K9 Unit Records-Agency Owned Animals .....	106
KUOW Equipment Performance Measurements .....	112
KUOW Public File.....	112
KUOW: Station Operation Log.....	112

## L

Lab Closeout Documentation .....	142
Labor and Industry Report.....	58
Late Add Registration Authorization .....	89
Legislative Salary Adjustments.....	70
Letters of Evaluation .....	109
Licensee Files - Supporting Documentation.....	111
Liquid Scintillation Counter QA Program.....	139
Lists/Logs.....	16
Lock Out/Tag Out Report .....	51
Log of Spore Tests .....	133

## M

Major Application -- Undergraduate.....	23
Marine Claim Files (Yellow Label).....	68
Medical and Legal Closed Claim Papers .....	68
Medical Resident Evaluation of Residency/Fellowship Training Program/Faculty-Summary.....	129
Medical Resident/Fellow Evaluation of Residency Training Program/Faculty .....	129
Medicare Data Match Secondary Payer Program .....	73
Monitoring System Records .....	127
Monthly Dosimeter Reports .....	139

## N

National Incident Based Reporting System (NIBRS).....	107
National Merit Scholarship and UW Undergraduate Scholar Award Files .....	96
NCAA .....	83
News and Information Personnel Files .....	113
Non-Cash Gift Records.....	37
Non-Medical Project Files .....	152
Notice of Laboratory Equipment Decontamination (UoW Form 1083) .....	13
Notification by Outside Agency of WAC Changes.....	28
Notification of Court Appearance.....	107
Nuclear Reactor Dismantlement .....	140

## O

Objective Structured Clinical Exam (OSCE) Staff/Standardized Patient (SP) Schedule.....	153
Objective Structured Clinical Exam (OSCE) Timer Check Sheet .....	153
Occupational Health and Safety Records .....	118
pe.....	150
Off-Campus Employer File .....	94
Off-Campus Payroll Vouchers .....	94
Official Employee Medical File.....	71
On-Campus Job Descriptions .....	94
On-Campus Time Sheets.....	94
Operating Budget Request (Final) .....	161
Operational Security Checklist.....	122
Optional Life and Long-term Disability Deduction Reports. 73	
OPUS (Online Payroll Updating System) .....	58
Orders.....	131
OSH Activity Log .....	147

OSH Occupational Exposure Monitoring.....	148
OSH Program Files .....	148
OSHA Supplementary Record Database.....	68
Outside Agency WAC Changes .....	28
Overpayments and Documentation .....	58
OWLS .....	76

## P

Package Plan Reports (PERS341/PP73100N) .....	73
Packaging Aid Reports .....	94
Parent Standing Verification .....	77
Parking Permits, Approval and Distribution.....	49
Parking Violations Database.....	49
Participating Responsible Party for Waste Disposal Sites .....	146
Past Presidents' Files.....	113
Pathology/Necropsy Reports .....	33
Patient Charts .....	10
Patient Screening Records -- Not Accepted.....	10
Patient Scripts.....	154
Patient Survey Records .....	140
Payroll Deduction Approvals.....	49
Payroll Folders - for Individual Employees .....	18
Payroll Input Register.....	58
Payroll Load .....	65
PCB Program Files.....	146
Permanent Student Records/Transcripts (Student Database) .....	109
Permission Request Letter.....	26
Permit to Register for Out of Quarter Course (Out-of-Quarter Card) .....	90
Personnel Folders -- Hourly, Per Diem, Temporary, and Student Employees.....	18

<i>Personnel Records for Academic Student Employees (ASE).</i>		<i>19</i>
<i>Personnel Records-Official Copy.....</i>		<i>19</i>
<i>Petitions and Waivers, Student.....</i>		<i>23</i>
<i>Petitions and Waivers .....</i>		<i>16</i>
<i>Petitions For Adoption, Amendment, or Repeal of a Title 478 WAC Rule.....</i>		<i>28</i>
<i>Playbooks .....</i>		<i>85</i>
<i>Players Files.....</i>		<i>85</i>
<i>Players Files--Completed Eligibility.....</i>		<i>86</i>
<i>Policy and Interpretative Statement Indexes .....</i>		<i>29</i>
<i>Pollution Prevention Reports.....</i>		<i>146</i>
<i>Portage Bay Insurance .....</i>		<i>68</i>
<i>Portage Bay Insurance Documentation.....</i>		<i>69</i>
<i>Positive Time Report (PTR) .....</i>		<i>58</i>
<i>Potential Claims/Incident Reports/Accident Reports .....</i>		<i>69</i>
<i>Presagia Monitoring System .....</i>		<i>84</i>
<i>Prescription Records.....</i>		<i>11</i>
<i>Preservation Reformatting Log .....</i>		<i>37</i>
<i>Preservation, Renovation, and Modernization (PRAM) Files .....</i>		<i>51</i>
<i>Preservation/Replacement Decision Form .....</i>		<i>37</i>
<i>Principal Investigator (PI) Files .....</i>		<i>149</i>
<i>Priority Documentation (Residential Hall Events) .....</i>		<i>99</i>
<i>Product of Conceptus Files/Log .....</i>		<i>124</i>
<i>Professional Claim Files (Blue Label) .....</i>		<i>69</i>
<i>Program Client Files .....</i>		<i>130</i>
<i>Program Partner Agreements .....</i>		<i>39</i>
<i>Program Review and Evaluation .....</i>		<i>15</i>
<i>Project Review Requests .....</i>		<i>137</i>
<i>Project/Disclosure Files .....</i>		<i>158</i>
<i>Property Activity Request (Form 1024) .....</i>		<i>107</i>
<i>Property Forfeited .....</i>		<i>107</i>

Property Registration .....	107
Protected Research Data.....	157
Protocol Development .....	131
Psychotherapy Notes.....	155
Public Employment Relations Commission Files .....	71

## R

Radiation Machine Documentation.....	140
Radiation Worker Personnel Files.....	140
Radioactive Material Licenses .....	141
Radioactive Material Life Cycle Tracking.....	141
Radioactive Waste Disposal Logs .....	13
Rate Agreement/Colleges and Universities .....	62
Records Management Database .....	55
Records Retention Schedules Working Files .....	55
Reference Letters.....	23
Regents Files.....	113
Regional and National Board Results .....	132
Regulated Building Materials Management.....	148
Report of Contributions (ROC) .....	79
Report of Revenue Transfers and Receipts (AM29500-230, 231) .....	65
Request for Amendment of Allotment (B20) .....	161
Request for Approval of Outside Prof. Services for Compensation During Period of Regular and Emeritus Appointment.....	41
Request for Services.....	128
Request of Leave Taken - 1999 and prior .....	45
Research, Scientific or Scholarly Misconduct Allegations- Concluded at Inquiry Stage.....	44
Research, Scientific or Scholarly Misconduct Allegations- Declined or Resolved Prior to Inquiry.....	44

Research, Scientific or Scholarly Misconduct Allegations- Investigation Warranted.....	44
Respirator Requests .....	150
Responder Incident/Event Packet .....	80
Retirement Plan Adjustments (Mistake of Fact) .....	74
Retirement Transmittal Report (PAY131/PP53000).....	74
Retroactive Salary Transfer.....	59
Returned Gate Parking Permits.....	46
Returned/Voided Check Log.....	59
Revenue Transfers.....	161
Revision Request Summary Report .....	161
Royalty Payment Files .....	158
Rule 9 Intern Practice Certification .....	123
Rule Review.....	29
Rules Coordinator Registration and Washington State Register (WSR) Notices .....	29

## S

Sailing Orders.....	163
Salary Increase Worksheet.....	19
Salary Schedules and Tables .....	161
Sample Analysis Results .....	156
Scholarship Applications .....	95
Scholarship Files.....	63
Scholarship Files (Donor).....	95
Sealed Source Leak Tests .....	141
Security Logs .....	153
Security Surveys and Assessments .....	108
Sedation and Anesthesia Monitoring – Adverse Event .....	33
Sedation and Anesthesia Monitoring – No Adverse Event ..	34
Selection for Classified Non-Union, Professional, and Contract Covered Staff Employment--Hired and Not Hired	20

Senate Bulletins.....	30
Service Request Forms - Off-Campus.....	39
Sex Offender Files .....	108
Shared Leave Documentation .....	59
Ship Construction Files and Blueprints .....	163
Shredding/Recycling Log Sheets.....	55
Sick Leave Buy Back.....	59
Sign Out Log -- Payroll Pickup.....	59
Site Specific Safety Affidavits.....	14
Social Security Audit Documentation .....	60
Special Data Studies, Permanent .....	109
Special Events and Arranged Parking Request Forms .....	50
Special Orders .....	108
Specimen Management Work Orders and Documentation .....	131
Spring Notebooks .....	86
Staff on Call Log .....	137
Standardization.....	131
Standardized Patient Applications - Approved .....	154
Standardized Patient Applications - Denied .....	154
Statement of Personal Ineligibility for Membership in PERS (Student Waiver Forms) .....	74
Status/Examination Cards for Accepted Patients.....	134
Sterilization and Maintenance Logs .....	127
Sterilization Records.....	154
Student Employment Recruitment Files .....	23
Student Evaluation Source Documents .....	130
Student Folders .....	24
Student Folders -- Non-Academic.....	24
Student Folders -- Non-Matriculated and Visiting Students	24
Student Incident Reports.....	92
Student Progress Records.....	135

Student Services and Program Files.....	98
Student Visa Records (F-1).....	82
Student Waiver of Retirement Report (PERS 723/PP72200D) .....	74
Summaries of Outside Professional and Public Activities ...	20
Summary of Allotment Status Report (AM28650-276---260) .....	65
Summary of Expenditure Allotment Status--JUNE REPORT (COM) .....	162
Summer Quarter Budget Working Papers .....	82
Survey Records - Radiation Safety .....	14
Suspected Child Abuse Reports.....	116

## T

Tail Sheets .....	128
Teaching Scholars Program Certificate Files.....	129
Textbook Desk Copy Request to Publishers .....	15
Textbook Orders (Faculty Information Sheet for Textbooks) .....	15
Ticket Files .....	83
Tickets: Year End Stock .....	84
Time Records for Classified & Professional Staff .....	20
Time Schedule Changes (Requests for Change in the Quarterly Time Schedule) .....	16
Tissue Program Users Folders.....	34
TN Status Folder .....	36
Trademark Registrations .....	111
Trademarks & Licensing - Legal Correspondence .....	111
Training and Experience in Radiation (Form 20).....	141
Training Records.....	20
Transcript Order Form .....	90
Transit Comment File.....	47
Treatment Report.....	38

Trial Balance--General Ledger.....	74
Trial Balance--General Ledger (AM28760-226A, 226B); (COM).....	162
Tuition Account Record--Student Database.....	63

## U

U.S. National Security Position Authorization for Release of Information .....	91
UCIRO: Inquiries and Administrative Contacts .....	69
Underground Storage Tank Files.....	50
U-Pass Application .....	49
UW Initiated Loans- Legal Files.....	63
UW Retirement Plan-Retiree Files.....	75
UW Retirement Plan-Voluntary Investment Program (COM) .....	75
UW Retirement Plan-Voluntary Investment Program: Information Card File .....	75
UWRP Lump-Sum Withdrawal/Transfer Authorizations .....	75
UWTV Daily Logs.....	114
UWTV Traffic System Logs .....	114

## V

VADDs Database (Vetstar Animal Disease Diagnostic System) .....	126
Van Use Log .....	56
Vehicle Inspections.....	146
Vehicle Utilization Records.....	50
Vendor Control Correspondence .....	53
Verification of Employment (DRS572005, copy 1) Computation of Employer Billing-003 Form.....	75
Victim Advocate (CVA) Records.....	108
Violence Prevention Response Program Case Files .....	77
Visa Travel Records .....	17

Voided Permits .....	46
Voluntary Respirator Use Form .....	14
Volunteer Applications - Not Accepted/Withdrew .....	25

## W

W2 Forms (Annual Earnings Statement) .....	60
W-4 Forms.....	60
Waiting List Files .....	49
Washington Public Interest Research Group (WASHPIRG) (SA70110-R-02) .....	100
Washington State Register (WSR) Filings for Semi-Annual Agenda .....	29
WBP - Donor Files.....	124
WBP Donor Files - No Contact/Withdrawal .....	125
Wetlands Access Request Form.....	164
Worker's Compensation Claim Files .....	69