

University of Washington Records Retention Schedule

Department Title Student Fiscal Services
Department ID /09/01/10/

Series Title Accounts Entitled for Refund (SA70115)
Series Description Provides a list of credit balance accounts that meet refund criteria.

Series Cutoff End of Quarter
Series Official Retention 0Y
Disposition Authority Number 12-09-68323
Disposition Method SHRED/ DELETE

Series Title Accounts Receivable
Series Description Documentation of charges and billing process for services rendered. Documents over awards and adjustments to accounts. May include documentation of invoices, receipt of payment, billing statements, reports on aging and communication with student or office to resolve any payment issues and related documents.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01001
Disposition Method SHRED/ DELETE

Series Title Affixed Payments to Tuition Fees, Surcharges, and Forfeitures- (SA70125-R-25)
Series Description A report which provides a record of the charged, and affixed tuition payments to tuition distribution budgets. Used to compile a monthly state remittance report. Includes tuition remittance worksheets, supporting journal vouchers and wire transfers.


Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01001
Disposition Method SHRED/ DELETE

Series Title Armored Transport Slips
Series Description Provides verification of currency and checks sent to the bank by way of Armored Transit. Also includes second copy of deposit slip (see Bank Records on the University General Schedule for original copy) and money bag slip.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01001
Disposition Method SHRED/ DELETE

Series Title Audit Report Summary
Series Description A summary of audit findings for any of the following types of audits: Federal, State, Internal UW, specific program compliance, etc.

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Series Cutoff Resolution of audit issues
Series Official Retention 6Y
Disposition Authority Number WSGS 04001
Disposition Method SHRED/ DELETE

Series Title **Audit Review and Report- Working Papers**
Series Description A record of audit reconciliations of loans for federal audit.

Series Cutoff Resolution of audit issues
Series Official Retention 6Y
Disposition Authority Number WSGS 04001
Disposition Method SHRED/ DELETE

Series Title **Automated Clearinghouse (ACH) Deposit Reports**
Series Description Record of student financial aid deposits made directly into student bank accounts.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01001
Disposition Method SHRED/ DELETE

Series Title **Bank Lock Box**
Series Description Payment processing performed by bank and reported to UW. Includes check images and used to credit the appropriate account, adjust for errors and reconciliation or bank accounts.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01013
Disposition Method SHRED/ DELETE

Series Title **Banking Records, Reconciliations and Reporting**
Series Description A record of transactions with a bank. May include check registers, monthly statements and any supporting reports from the SDB. Also includes returned checks, and any other supporting documentation such as daily cash reports, daily payment transactions, etc., to facilitate the reconciliation.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01013
Disposition Method SHRED/ DELETE

Series Title **Bankruptcy Files**
Series Description Provides record of debtors to the university who have declared bankruptcy. Used to determine collectability

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of debt. May include correspondence, worksheets, First Meeting of Creditors Notice (Schedule of Debt), memos, discharge orders, etc.

Series Cutoff Dismissed or Discharged
Series Official Retention 6Y
Disposition Authority Number 88-11-43121
Disposition Method SHRED/ DELETE

Series Title **Borrower and Promissory Files**

Series Description A legal record of the agreement between UW and student for repayment of funds borrowed. May include personal data sheet, statement of rights and responsibilities, copy of disclosure statement, agency referral, comment card, correspondence, loan application, bankruptcy records, death certificate, deferment request, disclosure statement, repayment judgement, cacellation request, overaward notice, credit bureau report, etc.

Series Cutoff Paid in Full
Series Official Retention 6Y
Disposition Authority Number WSGS 01050
Disposition Method SHRED/ DELETE

Series Title **Borrower's File- Direct Loan Program**

Series Description 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.

Series Cutoff Accepted By Servicer
Series Official Retention 0Y
Disposition Authority Number 96-02-56481
Disposition Method SHRED/ DELETE

Series Title **Budget Reconciliation and Reporting**

Series Description Working papers and supporting SDB reports used to reconcile various Budgets for scholarships, loans, financial aid, accounts receivable, third party billing, health insurance, and the inflow/outflow of money.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01001
Disposition Method SHRED/ DELETE


Series Title **Financial Statements/Reports**

Series Description A record of costs, expenditures and revenues. Includes the annual loan fund report, HRSA annual operating report, and any financial report required to third parties.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01001
Disposition Method POTENTIALLY ARCHIVAL

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Series Title **Funding Accounting Reports**

Series Description Monthly reports issued by Billing Servicer used to prepare working papers and facilitate audit process for Annual Loan Fund Report.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01001
Disposition Method SHRED/ DELETE

Series Title **Lists and Logs**

Series Description Lists and logs used to ensure the correct data was queried, input, or updated. Includes various SDB reports and queries including: Control Reports and Process Summaries, Batch Aid Disbursement Files - SA50200, Batch Charges Received - SA80305, Late Tuition Payment Fee Placement - SA10105-R09, Loan Past Due Holds - SL10230, Past Due Hold Placement - SA10105-R08, Printed Aid Check Exceptions - SA50110-D02, SDB Purge Status - SF90210, New Loan Transaction Summary –BEL SL10115, New Loan Transaction Summary - Institutional - SL10110, Disbursement Adjustments - SL50400, Non Tuition Charge Cancellation - SA10105-R05/R11 batch, etc.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number 12-09-68323
Disposition Method SHRED/ DELETE

Series Title **Litigation Files**

Series Description Material created specifically in response to litigation. May be in the form of background material, evidence files, correspondence, meeting minutes, reports, statistics, etc.

Series Cutoff Termination of Litigation
Series Official Retention 10Y
Disposition Authority Number WSGS 18004
Disposition Method SHRED/ DELETE

Series Title **Non-Debt Bankruptcy Files**

Series Description Provides record of bankruptcy notices sent to the UW where no university debt has been found for the individual or entity.


Series Cutoff Receipt
Series Official Retention 0Y
Disposition Authority Number WSGS 50005
Disposition Method SHRED/ DELETE

Series Title **Non-Resident Aliens Annual Tax Report**

Series Description Report identifying non-resident aliens with taxable income. The report is submitted to the UW Payroll Office for final submission to the IRS.

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Series Cutoff End of Calendar Year
Series Official Retention 1Y
Disposition Authority Number WSGS 50005
Disposition Method SHRED/ DELETE

Series Title **Petition Forms**

Series Description Provides a record of students who have petitioned for cancellation of tuition and fees.

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number 12-06-68269
Disposition Method SHRED/ DELETE

Series Title **Petty Cash**

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

Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 01001
Disposition Method SHRED/ DELETE

Series Title **Scholarship Files**

Series Description 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.

Series Cutoff End of Quarter
Series Official Retention 6Y
Disposition Authority Number 90-01-45496
Disposition Method SHRED/ DELETE

Series Title **Student Aid Files - Quarterly and Yearly**

Series Description Printout from database provides quarterly and yearly verification of aid student receives. Used to reconcile amounts awarded and amounts not spent. Reports are cumulative.

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Series Cutoff End of Fiscal Year
Series Official Retention 6Y
Disposition Authority Number WSGS 50005
Disposition Method SHRED/ DELETE

Series Title Tuition Account Record--Student Database

Series Description 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).

Series Cutoff Last Quarter of Enrollment
Series Official Retention 6Y
Disposition Authority Number 96-MM-57108
Disposition Method SHRED/ DELETE

Series Title Uncollectables

Series Description Provides a record of uncollectables including any reporting and analysis of the accounts. Includes account history and approval of uncollectable status as well as database reports.

Series Cutoff End of Quarter in which Declared Uncollectable
Series Official Retention 6Y
Disposition Authority Number WSGS 01003
Disposition Method SHRED/ DELETE

Series Title UW Initiated Loans- Legal Files

Series Description 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.

Series Cutoff Funds Dispersed
Series Official Retention 6Y
Disposition Authority Number 89-10-45081
Disposition Method ARCHIVAL

Series Title Western Interstate Committee for Higher Education (WICHE) Report

Series Description Provides guarantee for non-resident exemptions of out-of-state fees. Includes correspondence authorizing expenditures.

Series Cutoff End of Quarter
Series Official Retention 6Y
Disposition Authority Number 12-06-68269
Disposition Method SHRED/ DELETE

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