

Treasury Office:

Electronic and Scanned Documents Retention Policy

This document establishes the document scanning and electronic record retention policy for the Treasury Office in accordance with University of Washington “Records Retention Schedules” located at <http://f2.washington.edu/fm/recmgt/retentionschedules/gs>.

Departmental Retention Schedules may be found at <http://f2.washington.edu/fm/recmgt/retentionschedules/departmental>.

Policy Background:

Retention of Scanned Records

All records have a specific amount of time they must be retained. The retention schedule is determined by the type of document and whether the office is the department of “record.”

Retention periods cited in the Records Retention Schedules apply to all records regardless of their physical form or characteristics.

Once paper records are scanned according to the technical requirements outlined in this document, the paper records can be destroyed.

Technical Scanning Requirements

Formats and Scanning Densities

- Any kind of records can be scanned including black and white, gray, color paper, color text documents, photographs, maps, plans and engineering drawings.
- Scanners must be set at a **minimum of 300 dpi** (dots per inch).
- Scanned records must be saved as PDF files.

Quality Control

- Scanned document images must be inspected visually to ensure they are complete (that the entire document has been captured), clear and easily read. The number of original paper documents will be compared to the number of scanned records to ensure all pages have been scanned.

Image Enhancement

There are times when there is a problem with the final scanned image that makes it difficult to read and less than usable. If the scanned document is to replace the original paper record these common problems must be corrected.

- Speckles or spots on the scanned image: clean the glass on the scanner and rescan the paper.

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- Skewed images that are not properly aligned: rescan the paper so that the image appears straight. All portrait orientation pages should be rotated to read from right to left, and all landscape orientation pages should be rotated with the top of the page facing the left.
- Sometimes only part of the document is captured by the scanner: rescan the paper so that it is properly aligned and the entire page is included in the scanned image.
- If the scanned record is of poor quality and is not clearly readable: increase the dpi (dots per inch) setting on the scanner to greater than 300 dpi and rescan. Keep increasing the dpi until the record is as readable as possible.
- If the condition of the original paper record precludes a good quality scanned image from being produced, it is necessary to document the problem to avoid future confusion over the poor quality of the scanned image. To document – add / insert a comment at the top of first page of the scanned record citing image issues. In this case, both the electronic and hard copies will be retained.

Modification of Scanned Records

It is important to ensure that the original content of a scanned record is not altered or modified once it has been finalized. Scanned records should use “archive searchable” setting to ensure that there is no improper alteration or modification of the stored record. To create an “archive searchable” document:

From the TOOLS menu located in the upper right corner of the screen – select TEXT RECOGNITION

- Select the “In This File” option
 - From the Settings window – select PDF Output Style: Searchable Image
 - Select “OK.” and save.

The document is now searchable.

Annotations added to the record are not considered a modification of the scanned document and is an acceptable and practical way to make notes on an electronic record.

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Procedure:

Naming Protocol

The purpose of the naming protocol is to provide consistency and integrity in identifying and retrieving the records. The name should include the following elements:

- **Retention period (Main Folder)**– this is taken from the Records Retention Schedule (6 yrs, 5 yrs, 4 yrs, etc.).
- **Expiration date (Subfolder)** – the date the record can be destroyed.
- **Document type** – examples of document abbreviations are noted below

PS	Packing Slip
RCPT	Receipts
INV	Invoice
CT	Cash Transmittal
PC	ProCard
TR	CTA
STMT	Statements

A complete list of document types, their abbreviations and their location(s) on the Network is maintained in **Appendix A**.

Example: See **Appendix B – File Architecture**

In some cases it may be more logical to use a modified version of the above convention to identify an entire folder in which are contained records that can be deleted, shredded or archived at the same time. (See examples in **Appendix B – File Architecture**.) The important item to note is to make a clear choice, use it consistently and document it.

Filing Documents for Retention

Save the scan with the proper naming protocol to the Network location listed in **Appendix A**.

Department fiscal and administrative staff will use the department's networked fileserver for storing the scanned documents for the required retention period as well as storing basic business records and other documents that fall within the guidelines of the procedure.

For departmental consistency and compliance with the UW and Departmental Retention Schedules, records must be stored using the above retention guidelines as the foundation for the naming conventions and storage periods.

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Example of possible file storage architecture:

CT (2YR EOB)
 13 15 Biennium – 07-01-2017D
 FY14 (0713 – 0614)
 FY15 (0714 – 0615)
 16 17 Biennium – 07-01-2019D
 FY16 (0715 – 0616)
 FY17 (0715 – 0617)

A complete file architecture is maintained in **Appendix B**.

Destruction of Scanned Records

All scanned documents must be kept through the duration of the retention period. Deletion of records is a four-step process involving an:

- **Approver** -- usually the department leader or appointed delegate responsible for authorizing deletion of records at the end of the retention period, and an
- **Authorized Records Monitor** -- responsible for monitoring records retention and identifying records due for deletion and, upon approval, deleting the records. Only authorized individuals may delete files.

Step 1: At the end of each calendar or fiscal year or other appropriate period, the Authorized Records Monitor will review the titles of the scanned files to identify all files that have reached the end of their retention period. The monitor sends a list of the file(s) to the approver for destruction approval.

Step 2: The approver reviews the list and approves as appropriate.

Step 3: Upon approval, the monitor will delete the file(s).

Step 4: The monitor records the destroyed file(s) on the Records Retention Disposition Log form.

All of the above steps are accomplished via e-mail. The disposition log along with the e-mails authorizing destruction are saved as a single PDF document.

Records destruction monitor and approver list is maintained in **Appendix C**.

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NOTE: All records pertaining to ongoing or pending audits, lawsuits (or even reasonably anticipated lawsuits), or public disclosure proceedings must not be destroyed, damaged or altered until the issue is resolved. Once resolved, the appointed delegate must be informed that the records may be destroyed before giving approval for records destruction.

Sample Records Retention Disposition log cited in **Appendix D**. Policies and Procedures governing the disposition log are not within the scope of this document and are recorded separately.

Disaster Preparedness and Backups

UW minimum standards require all scanned records to be saved in Nebula. Nebula backs-up all documents nightly and stores this data east of the Cascades. Treasury / F2 Admin will save scanned records the department's I-drive folders as cited in **Appendix A**.

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Established: 07/29/2016

Revised: 09/07/2016

Appendix A: Naming Conventions (Abbreviations) for Records and location on Network

This list should be reviewed and updated quarterly or as needed. New and / or revised document types can be added along with their respective naming conventions (abbreviations); obsolete ones discarded. This allows for flexibility in responding to the changing document retention requirements of the department and eliminates the need to revise and update the main scanning policy.

Type of Records or Document	Naming Convention (Abbrev)	Location on Network (hyperlinks to folder on I:/drive)	Date Document Added to Appendix / Implemented
Cash Transmittal	CT	I:\groups\treasury\AcctgOps\Cash Transmittals\CT (2Y EOB)\Biennium	7/29/2016
CDW (Computer Equipment Orders)*	CDW	I:\groups\treasury\Staff\Beth\OPERATIONS\CDW\CDW COMPLETE\CDW (6Y REC)\	7/29/2016
Office Depot*	OD	I:\groups\treasury\Staff\Beth\OPERATIONS\OFFICE DEPOT\OD COMPLETE\OD (6YR REC)	7/29/2016
Ricoh	R	I:\groups\treasury\Staff\Beth\OPERATIONS\RICOH (6YR REC)	7/29/2016
CTA	TR	I:\groups\treasury\Staff\Beth\OPERATIONS\CTA (6Y EOM)	9/7/2016
ProCard	PC	I:\groups\treasury\Staff\Beth\OPERATIONS\PROCARD (6Y EOM)	9/7/2016
Externally Managed Trusts – Statements	Name of Trust XXXX-XX-XX Q (Date of end of quarter)	I:\groups\treasury\AcctgOps\Externally Managed Trusts\XXXX (Year)	7/29/2016

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Retention Records Disposition Log	Records Retention Disposition Log.xlsx	I:\groups\treasury\Staff\Beth\ADMINISTRATION\RETENTION\Records Retention Disposition Log.xlsx	7/29/2016
Records Retention Log (Disposed)	TF2AD Purge xxx-xx.PDF	I:\groups\treasury\Staff\Beth\ADMINISTRATION\RETENTION\Records Disposed	7/29/2016

*All CDW and Office Depot orders are PDF documents containing:

- The original order submitted through Procurement Services,
- The e-mail approving the purchase,
- The packing slip (date stamped and signed as received).

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Appendix B: File Architecture

This list should be reviewed and updated quarterly or as needed. The file architecture should mirror the Records Retention Disposition Log so that the records being destroyed agree with those on the log.

CTA (6YR EOM)

2010 – 2016-07-01D

2009-01 TR

2009-02 TR

2009-03 TR

2009-04 TR

2009-05 TR

2009-06 TR

2010 – 2017-01-01D

2009-07 TR

2009-08 TR

2009-09 TR

2009-10 TR

2009-11 TR

2009-12 TR

2011 – 2017-07-01D

2010-01 TR

2010-02 TR

2010-03 TR...

ProCard (6YR EOM) – Same format as CTA noted above

CT (2 YR EOB)

14 15 Biennium – 2017-07-01D

FY14 (07013 – 0614) CT

FY15 (0714 – 0615) CT

16 17 Biennium – 2019-07-01D

FY16 (0715 – 0616) CT

FY17 (0716 – 0617) CT

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CDW COMPLETE

CDW (6Y REC)

2015 – 2021-07-01D

2015 – 2022-01-01D....

OD COMPLETE – Same format as CDW noted above.

RICOH (6YR REC)

2015 – 2021-07-01D

2015 – 2022-01-01D...

EOM = End of Month

EOB = End of Biennium

REC = Date Received

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Appendix C: Records Destruction Monitor and Approver

This list should be reviewed and updated annually or as needed. This document can be updated to accommodate the changing needs of the department including new and / or revised documents, and staff responsibility.

Type of Record	Position Authorized to Approve Destruction / Archive	Position with Primary Records Management Responsibility (Including: Maintenance of Electronic Records, the Identification of Records for Deletion and Maintenance of Records Destruction Log)
ProCard / CTA Records	Senior Associate Treasurer	Admin Assistant (Reception)
Cash Transmittals	Senior Associate Treasurer	Admin Assistant (Reception)
Externally Managed Trusts	Senior Associate Treasurer	Admin Assistant (Reception)
Office Depot (Packing Slips)	Senior Associate Treasurer	Admin Assistant (Reception)
CDW (Packing Slips)	Senior Associate Treasurer	Admin Assistant (Reception)
Other Packing Slips	Senior Associate Treasurer	Admin Assistant (Reception)

APPENDIX D

University of Washington
Treasury / F2 Admin
Records Retention - Disposition Log

Per UW Records Schedule GS-10: Shredding/Recycling Log: Log used to track records which have been disposed of either by shredding or recycling.		
Includes name of record, authorization, dates of material, and date recycled or shredded.		
Official Copy: Any Office	Retention: 6 years after end of calendar year	Disposition Method: Recycle or Delete

#	Name	Retention Schedule	Schedule #	Retention Period	For Period	Action Date	Document Type	Disposition	Date Disposed / Archived	Archive Box #	Authorized by	Performed by	Purge this Disposition Log Record
2017 JAN-1	Corporate Travel Account Approvals	UW-GS 6 Financial Records (for state and non-grant budgets)	Monthly / Quarterly Reports	6 Years after Month End	Jul - Dec 2010	after 12/31/2016	Paper	Shred		NA			1/1/2023
2017 JAN-2	ProCard Approvals (plus reconciliations & receipts)	UW-GS 6 Financial Records (for state and non-grant budgets)	Monthly / Quarterly Reports	6 Years after Month End	Jul - Dec 2010	after 12/31/2016	Paper	Shred		NA			
2017 JAN-3	Packing Slips -- CDW	UW-GS 6 Financial Records (for state and non-grant budgets)	Receipts	6 Years after Receipt of Merchandise / Equipment	Jul - Dec 2010	after 12/31/2016	Paper	Shred		NA			
2017 JAN-4	Packing Slips -- Office Depot	UW-GS 6 Financial Records (for state and non-grant budgets)	Receipts	6 Years after Receipt of Merchandise / Equipment	Jul - Dec 2010	after 12/31/2016	Paper	Shred		NA			
2017 JAN-5													
		Reports Archived:											

Archive Note	Admin Asst (Reception) is responsible for sending the Office's records to the Archives. All files (paper and electronic) maintained by individual staff members can be destroyed without an Archive review.
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