



USING THE RECORDS CENTER
<2014 RECORDS MANAGEMENT SLOGAN HERE>

MANAGING RECORDS: RECORDS RETENTION SCHEDULES

- A Records Retention Schedule identifies and describes each type of record created and received by an office and specifies how long that record must be retained before it can be destroyed
- All records—paper and electronic are managed through Records Retention Schedules



PURPOSE OF RETENTION SCHEDULES

- Assure compliance with state and federal requirements by clearly stating how long each record must be retained
- Provide a guideline for weeding files and moving them to inactive storage
- Identify records which can be purged from the files and destroyed
- Identify Vital Records
- Identify Archival records



LEGAL BENEFITS OF SYSTEMATIC SCHEDULING

- Regulations—Assures compliance with state and federal regulations
- Risk—Reduce legal risk/Reduce risk from poor audit reports
- Legal Fees—Avoids unnecessary legal fees incurred during Discovery through attorney review of records that could have been destroyed



LEGAL BENEFITS OF SYSTEMATIC SCHEDULING

- Court Fees—Avoids Court fines imposed when documents cannot be retrieved in the time frame stipulated
- Legal Proceeding, Audit, or Public Records Request—Eliminates the need to produce records which have reached the end of their retention period



WHO DETERMINES THE RETENTION PERIOD?

WHAT IS A RECORDS RETENTION PERIOD?

A records retention period tells you how long to keep records before they can be destroyed.

Retention periods are based on state, federal, private sponsor requirements, and our administrative use of the records. These requirements are identified by the UW Records Management Office and approved by the State Records Committee.



WHAT DO YOU MEAN THIS IS A RECORD?

RCW 40.14.010

Definition and classification of public records.

As used in this chapter, the term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, **regardless of physical form or characteristics**, and including such copies thereof, that have been **made by or received by any agency of the state of Washington** in connection with the transaction of public business.



I HAVE TO KEEP *THIS* FOR HOW LONG?!!

If Everything is a Record
and

Management and Retention is based on **Content**
not Format.....



THAT TEXT MESSAGE IS A RECORD?

- CAD Designs
- Databases
- Text Message/Tweets
- Information and data kept in a cloud computing environment
- Web pages/Facebook pages
- “Unofficial” records
- Anything about university business that you recorded in some way



UW GENERAL RECORDS RETENTION SCHEDULE

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

- [UW-GS 1](#) Committees, Councils, Associations And Boards
- [UW-GS 2](#) Environmental Health & Safety/Facilities Services Records
- [UW-GS 3](#) Curriculum Records
- [UW-GS 4](#) Materials That May Be Disposed of Without A Specific Retention Period
- [UW-GS 5](#) Electronic Mail
- [UW-GS 6](#) Financial Records (For non-grant/contract funded budgets)
- [UW-GS 7](#) Research and Grant/Contract Records
- [UW-GS 8](#) Personnel and Payroll Records
- [UW-GS 9](#) Student Records
- [UW-GS 10](#) General Office Administration Records
- [UW-GS11](#) Publication Records



DEPARTMENTAL RETENTION SCHEDULES

Created for Departments that have unique records

A searchable database of offices that have departmental retention schedules is available at:

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



UWGS 04

Material That May Be Disposed Of Without A Specific Retention Period

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

- No administrative, legal, fiscal or archival requirements for their retention
- May be disposed of as soon as they have served their reference purpose
- Includes list of electronic records that do not have to be printed or saved

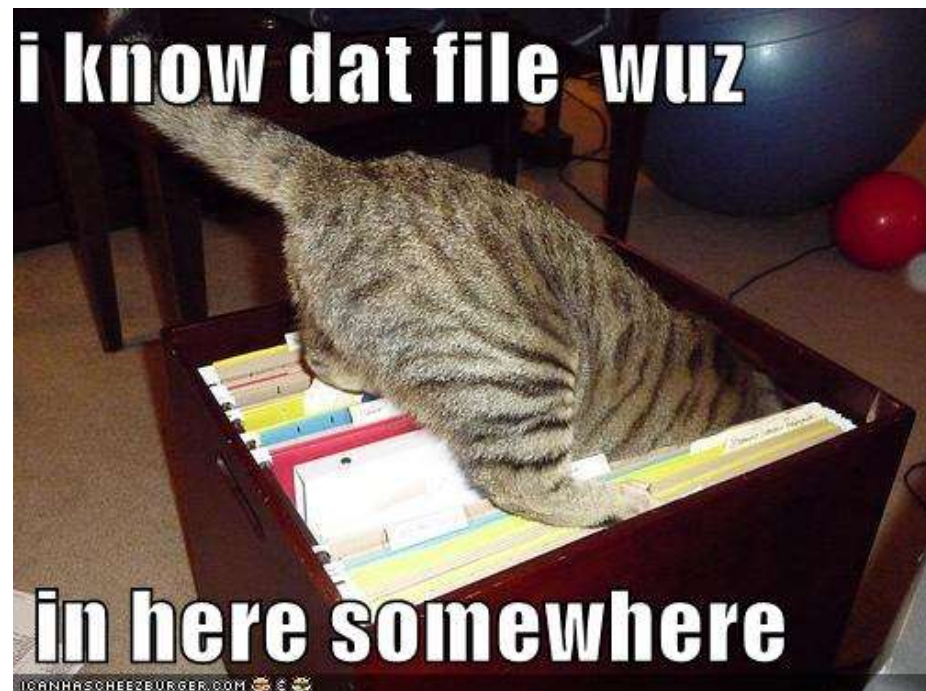
http://f2.washington.edu/fm/recmgt/Database_Printouts



BENEFITS: UNIVERSITY RECORDS CENTER

It's free and easy!

- Maximum efficiency and utilization of space
- Provides orderly arrangement and control
- Procedures which assure prompt and efficient handling of records
- Fast and easy box and folder retrieval



BENEFITS: UNIVERSITY RECORDS CENTER

It's safe & secure!

- Physical security
- Protects against damage or destruction due to natural or other disaster
- Protects confidential records from unauthorized access



Don't let this happen
to your records!



BENEFITS: UNIVERSITY RECORDS CENTER

You're legally covered!

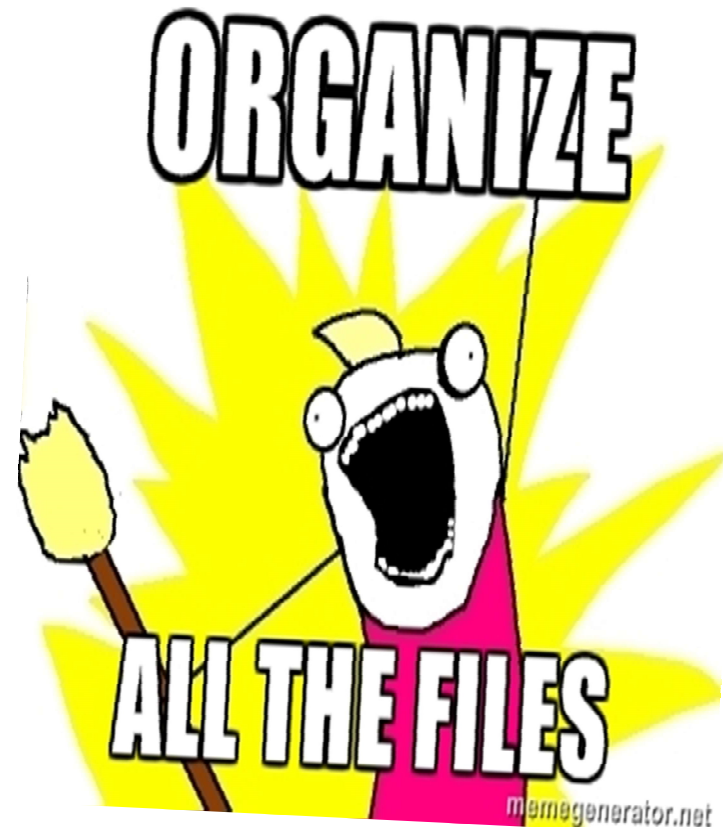
- Ensures systematic legal disposition of records which have reached the end of their retention period
- Assures that records are destroyed or transferred to the Archives with prior authorization from the originating office



RECORDS CENTER PROCEDURES

Database is used to keep track of:

- Records transferred to storage
- Unique storage location assigned each box
- Files retrieved & returned
- Records that are destroyed
- Manner and date in which records have been destroyed
- Records transferred to the University Archives



CRITERIA FOR USING THE RECORDS CENTER

Records must be in our jurisdiction

- School of Medicine human subjects research grant related records go to UW Medicine Records Management Services (206-598-2242)
- Patient Records are maintained by Health Information Management (206-744-9000)
- If you are not sure what jurisdiction your records fall under call us!



CRITERIA FOR USING THE RECORDS CENTER

- Records must have at least 6 months left on their retention periods
- Records must be on a State approved records retention schedule that is less than 5 years old

2008

Home » Records Management » Retention » Departmental Retention Schedule Search

Departmental Retention Schedule Search

If you cannot locate your department, please contact Records Management at 206-543-0573 and we can assist you.

Schedule Search by Department Name:

educational outreach: academic programs: adv

Clear

/13/02/01/ Educational Outreach: Academic Programs: Advising and Recruitment

This office uses the [UW General Records Retention Schedule](#) and has a Departmental Retention Schedule.

Note: The departmental retention schedule for this office needs to be updated. Please contact Records Management Services at 543.0573 to schedule an appointment.

Last Contacted: 2005

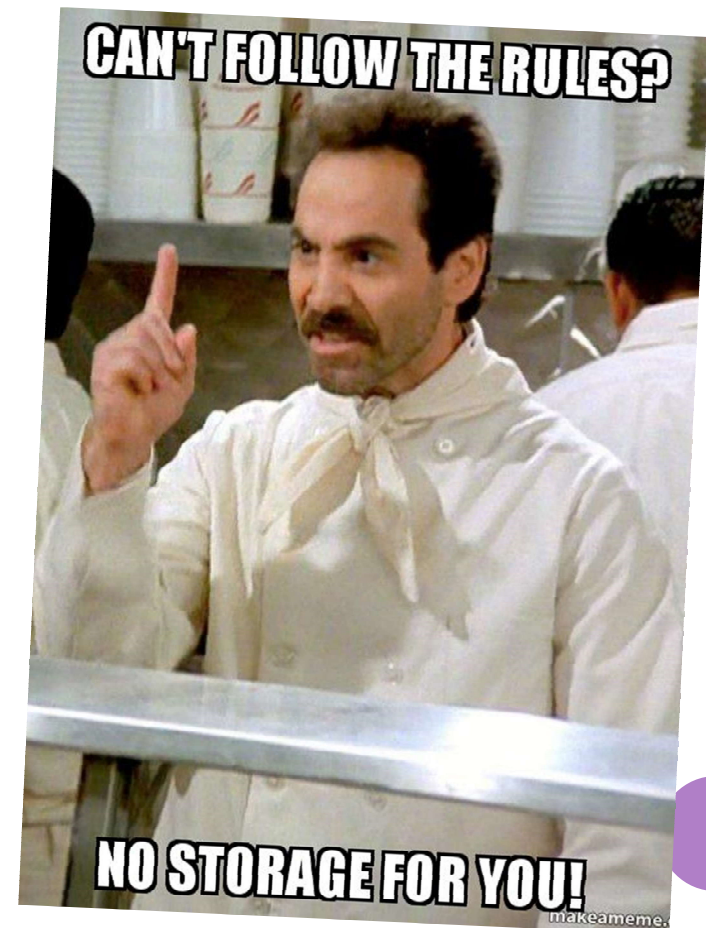


BOXES: WHAT'S WRONG WITH THIS PICTURE?



BOXES: WHAT NOT TO DO

- Box lid must fit securely, which means hanging files must be removed & binders must lay flat
- Boxes must be at least half full
- Boxes must not weigh more than 35 pounds
- Do not paste labels on the boxes
- Boxes must not contain a biohazard
- Boxes must not “leak or reek”
 - All other media or formats or things are acceptable



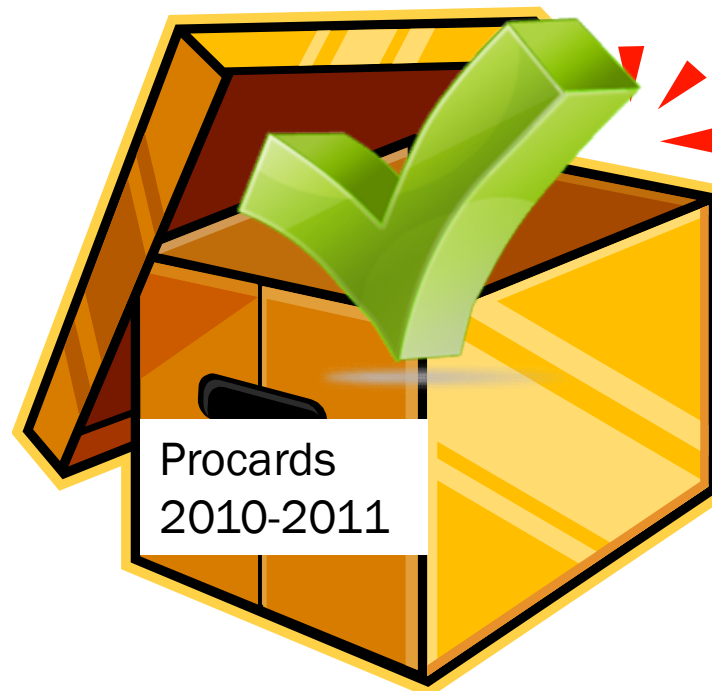
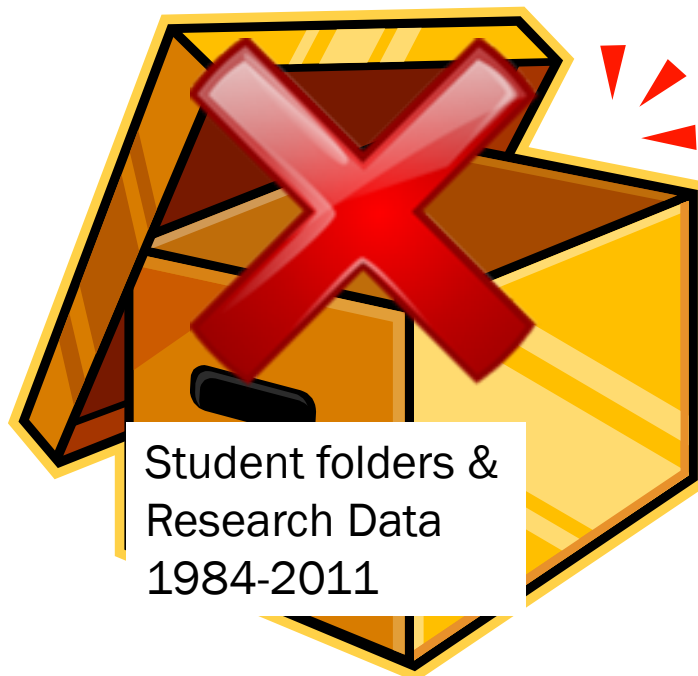
BOXES: WHAT TO DO

- Boxes must be (10"x12"x15") "Bankers Boxes"; color and brand does not matter
- If reusing old boxes, there must be a clean, short side to use for the new box information and barcode
- Label the box with a Sharpie or Marker
 - Box number
 - Name of your office
 - Other description if useful



BOXES: VERIFYING CONTENTS

- Pack records with significantly different retention periods and/or inclusive dates in separate boxes
- Verify that the box contents match the storage request



STORAGE REQUEST FORM

- [Storage Request Form](#) - **New and improved!**
- Watch our [video](#) that walks you through the storage process
- Please note we are no longer taking forms via fax– just save the Excel form and email to urc@uw.edu



TIPS FOR FASTER FORM PROCESSING

- Use the record series title from a General Schedule or Departmental Retention Schedule
- If sending in budget files, make sure all the dropdowns are appropriately filled in (ie: Packing Slips, ProCard) and match the box descriptions
- Dates for Grant/Contract records:
 - Study End Date
 - [FSR Date](#) (Submission of Financial Status Report)
- **DO NOT** include records whose retention period has already ended



THE NEVER-ENDING STORY OF THE PAYROLL HOLD

- Payroll Records are on litigation hold University wide
- View the [announcement](#) detailing the records currently on litigation hold.
- Hold in place since November 2006. Anticipated end date – unknown
- Send us your records within their retention and we'll keep them until the hold is lifted
- If they are already past retention, we can't take them – *but you are responsible for keeping them!*



PICKING UP THE BOXES

- We will call if we have questions while processing the form
- We will call to arrange the pickup a day in advance
- After the boxes are picked up, the Records Coordinator will receive an emailed Accession Confirmation Report

University of Washington
Records Management Services

April 15, 2014

Accession Confirmation

Accession # 11 A 130	Accession Date 04/28/2011	Record Group /19/45/03/	A&S: Psychology: Center for Anxiety and Traumatic Stress
--------------------------------	-------------------------------------	-----------------------------------	--

Record Series - Clinical Trials Phase I-IV Research Data -- Investigator. **UWGS0708**

ID #	Box #		Box End Date	Retention	Scheduled Disp Date
109372	01	Misinformation (UPENN)	07/31/2008	30	07/31/2038
109373	02	Narrative Studies	01/31/2008	30	01/31/2038



RETRIEVALS

- Email file and box retrieval requests to urc@uw.edu or [submit online](#)
- Include:
 - Box ID number
 - Name of the folder or box number to be retrieved
 - Your phone number for questions
 - Your name and box number for file retrievals
 - Your name and address for box drop-off
 - Whether you will be returning to the records center



AT THE END OF THE RETENTION PERIOD

- The Records Authority will receive an emailed Disposition Notification Letter
 - Includes items eligible for destruction
 - Needs to be signed and returned to our office
- Boxes will be recycled/shredded; or if boxes are eligible for transfer to UW Archives, we will arrange the transfer

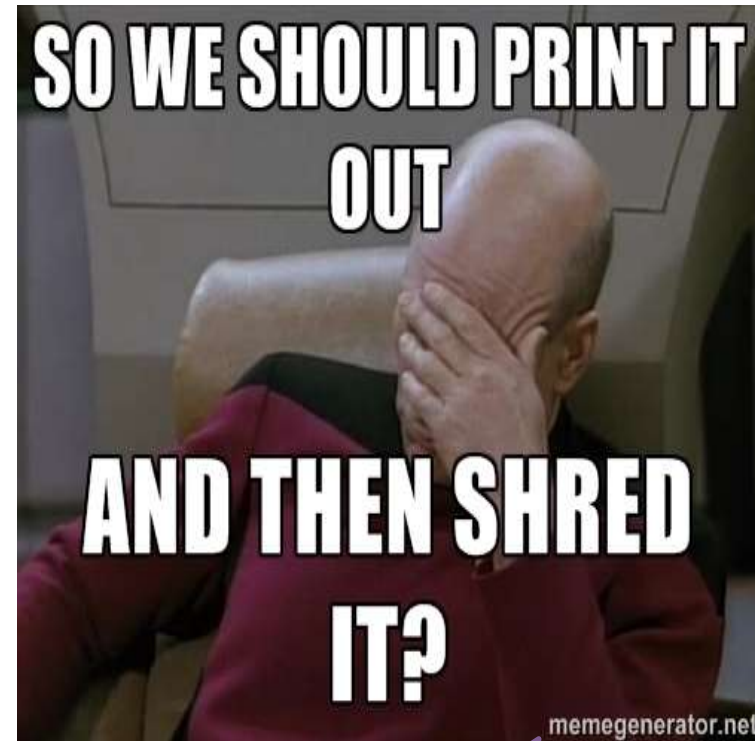


NOTE: If boxes are placed on litigation/ audit/ public records hold, they will not be disposed of until we receive notification, in writing, that the hold has been lifted.



SHREDDING CONFIDENTIAL RECORDS

- General Records Retention Schedule identifies records that should be shredded
- Records can be shredded in your office or by a vendor
- Shredding Vendors used by the UW include:
 - Secure Shred Contact Courtney Bobbitt, cbobbitt@dbseureshred.com
425-495-5106 or 877-999-3273
 - American Data Guard at 206-285-5955
- Shredding Logs Provide an audit trail to document destruction
 - For a sample Shredding/Recycling Log, click [here](#)

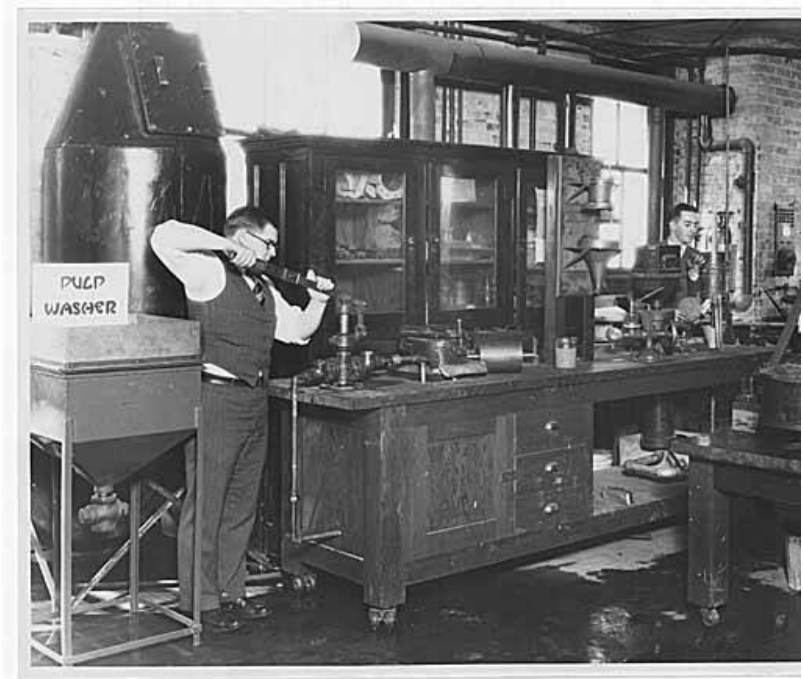


Fun fact: electronic records need not be shredded!



UNIVERSITY ARCHIVES

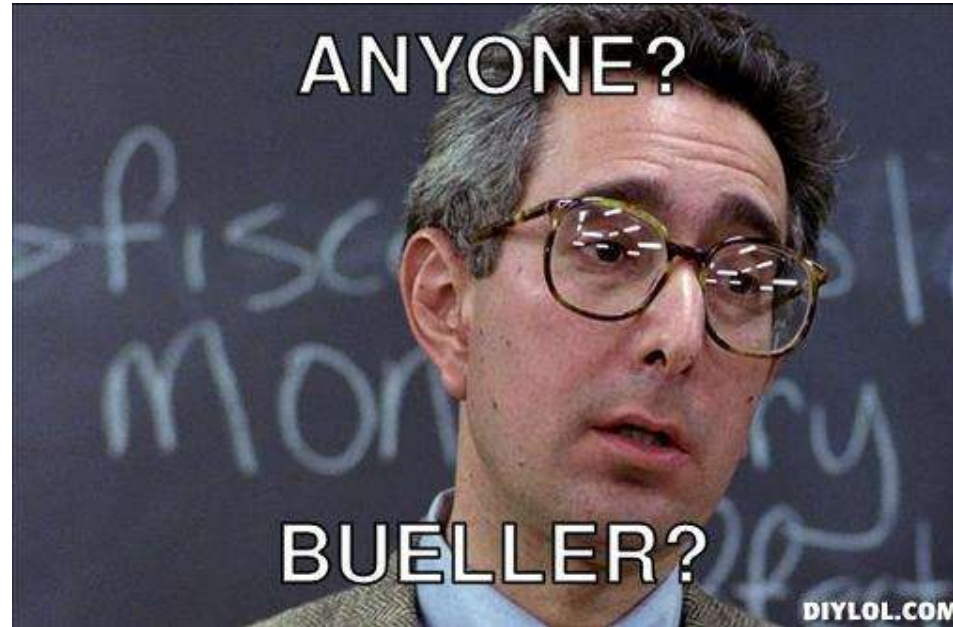
- Part of the UW Libraries system
- Collects the historical records of the UW for permanent preservation
- Records can be sent to them directly or transferred from the UW Records Center
- Records are identified as “archival” or “potentially archival” on a retention schedule
 - Archival records go directly to the Archives
 - Potentially Archival records may be weeded with the balance going to the Archives
- Contact the UW Archives:
 - John Bolcer, jdbolcer@uw.edu, 543-1929



Students working in chemical engineering lab, University of Washington, ca. 1920— just think about how antiquated your job will seem in 100 years!



QUESTIONS?



Barbara Benson, bbenson@uw.edu, 543-7950

Cara Ball, ballc2@uw.edu, 543-6512

Leela Yellesetty, leela23@uw.edu, 543-0573

