

UW Tacoma Administrative Directive 50.0

Electronic Records Retention by Scanning

(Approved by the Chancellor and the Vice Chancellor of Administrative Services, 8/1/13)

1. Purpose: The purpose of this Administrative Directive is to define the procedures and requirements that must be followed and met if a UW Tacoma office would like to retain documents electronically by scanning them and discarding the original hardcopy.
2. Background: The processes, procedures and requirements that follow are consistent with the UW Scanning and Requirements policy which is based on Chapter 434-663 of the Washington Administrative Code (WAC) and is applicable to records management based on RCW 40.14.
3. Overview: This directive addresses the processes, procedures and requirements necessary to permit the electronic retention of scanned records and destruction of respective hardcopy originals. The directive enables UW Tacoma units and departments to make use of electronic resources as a means to improving operating efficiencies and minimizing waste. UW Tacoma offices that elect to scan and retain a record electronically, destroying the hardcopy original, are responsible for complying with this administrative directive.
4. Procedures
 1. Technical Scanning Requirements:

Black and white, gray, and color paper records can be scanned. Any kind of record can be scanned including color text documents, photographs, maps, plans, and engineering drawings.

- Scanners must be set at a minimum of 300 dpi (dots per inch) and
- Scanned records must be saved as PDF or TIFF files.

Note: JPEG is not acceptable if the scanning is done with the intention of destroying the original paper record(s).

Scanned records should be retained in a “read only” state to ensure there is no improper alteration or modification. Adding a note on a PDF using a text box is an accepted and practical way to make notes on an electronic record and is not considered a modification of the scanned record.

2. File structure plan for the drive/directory that will hold the scanned records:

Records must be saved to the Share drive.

- File path protocol:

S:\Unit Name\Retention Records\Document Name\End Date

End Date – The date the scheduled retention period for the documents in this folder ends.

- Access to a units Retention Records folder and its subfolders should be limited to a read-only state by a select few staff designated to maintain and manage the records. Unit managers should submit a request to computer services at tachelp@uw.edu to have this configured during the initial process set up.

Records must be saved with consistent preset naming conventions.

- File naming protocol:

**FileExpirationDate-RetentionPeriod-OriginalDocumentDate-ContentType-IndexID(.pdf)
or (.tiff)**

- Expiration Date – this is the date that triggers the count down on the retention record, for certain named individuals to eliminate the record.
- Retention Period – this is taken from the [Records Retention Schedule](#).
- Original Document Date – The date the document was signed or created.
- Content Type – Example: FoodRequestForm or FRF as an abbreviation.
- Index ID – An identifier for the document within its content type category. For example, budget 3, student or employee ID number, or a document reference number.

3. Visually inspect all scanned document images to ensure they are complete (the entire document has been captured), clear and easily readable.

Compare the number of scanned records to the number of hardcopy originals to ensure that every document was scanned.

Scanned records should be compared to the hardcopy original to confirm accuracy as needed.

4. Correct any blemishes or common problems that occur:

- Speckles or spots on the scanned image
- Skewed images that are not properly aligned
- Partial scans where the entire document was not captured
- Of poor quality or not clearly readable

Keep the paper copy of the records that did not scan well; or tag the image in metadata as “best scan possible”. When indexing/naming the document include, “best scan possible”.

Example:

**FileExpirationDate-RetentionPeriod-OriginalDocumentDate-ContentType-IndexID-
BestScanPossible(.pdf) or (.tiff)**

5. Central File Backup:

The Share drive is backed up centrally by the UW Tacoma Information Technology unit. Records that are backed up are not retained permanently.

The availability of files for restoration is subject to time and backup media space. If you need assistance recovering a lost file or folder, notify IT immediately. The sooner you report the problem, the more likely they will be able to restore your data.

See [UW Tacoma File Storage](#) for more information.

6. Archival or Potentially Archival Documents:

The following steps must be taken when scanning an archival record or records with a retention period of more than 6 years:

- Original paper records designated as “Archival” on a records retention schedule must be transferred to the University Archives. Contact John Bolcer, University Archivist, for transfer procedures at jdbolcer@uw.edu
- When scanning records designated as “Potentially Archival” on a records retention schedule, contact John Bolcer, University Archivist, to discuss whether the original paper records should be destroyed or transferred to the University Archives

- When maintaining records with a records retention period of more than 6 years that are stored in a networked storage location (e.g. I-drive), files must be saved in the new operating system when a new version of windows is released and
- When maintaining records with a records retention period of more than 6 years, additional consideration must be applied to the constraints of the system in which they are saved. If files are stored in a system for which only proprietary extraction means are available or possible, then as soon as it is available, scanned records must be migrated to the format version supported by the most recent version of the software used to access and manage the files. New versions of the software cannot be skipped. **Essentially, it is important that the IT department be aware these files exist so system or format migrations occur on time.**

7. Implementing Destruction:

It is extremely important to ensure that scanned records are not destroyed before the end of their retention period. The following strategies must be incorporated into scanning procedures to ensure records are deleted/ purged in accordance with approved records retention schedules:

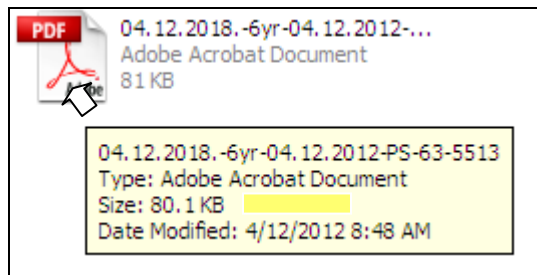
- Files are not deleted without first being subject to an approval process; and
- Approval to delete files is restricted to authorized individual(s); and
- Ability to delete files from a networked storage location (e.g. S-drive) is restricted to authorized users only; and
- Ability to delete files from a database is restricted to authorized users only; and
- All authorized deletions of scanned records (including by system administrators) are recorded in an audit log. This includes:

Date Deleted	Document Name	Orig. Document Date	Deleted by:	Deletion Authorized by:
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Departments should assign one or two individuals to be responsible for checking for upcoming destruction dates, by looking in the S:\..\..\Records Retention\Document Name\End Date folder no less than once a year at the end of the academic year.

Approximately 2 weeks before a destruction date, the individual(s) must complete the Scanned Document Destruction Form. They should also spot verify that the documents have been retained for the period of time required by 1) noting the age in the file naming protocol and 2) by “mousing over” the document name in the file and ascertaining the properties file data coincides with the retention and destruction date.

Example: a file named 04.12.2018-6yr-04.12.2012-RCPT-06-9989.pdf Should have a “mouse over” that corresponds to the file dates



After determining the file can be deleted, complete the form and obtain the department director's initials. Scan the initialed and completed form. Name the file with the destruction date and save it to a folder using the following naming convention:

S:\Records Retention\Destruction\Current Date

Finally, delete the document(s) that have been confirmed and noted as ready for destruction.

Scanned Document Destruction (Deletion) Log				
Date Deleted	Document Name	Orig. Document Date	Deleted by:	Deletion Authorized by:

For more information please contact the Division of Finance & Administration:

- Phone: 253-692-5660
- Campus mail: Box 358431

Related regulations, policies, and/or delegations and procedures can be found at the following links:

- [UW Scanning Requirements](#)
- [Departmental Scanning Requirements](#)
- [Records Retention Schedule](#)
- [UW Tacoma File Storage](#)