

University Records—Retention and Disposition

RECORDS MANAGEMENT Departments are responsible for retaining and disposing of University records in accordance with retention periods approved by the Washington State Records Committee. (*RCW 40.14*)

Procedures, Records, and Forms The Office of Procedures, Records, and Forms coordinates the records management program and assists departments with records retention and disposition. The Director of Procedures, Records, and Forms is the WSU Records Officer.

Archives The University Archivist serves as a resource to identify records that may be suitable for the WSU archives collection. See 90.02.

State Records Committee The State Records Committee reviews and approves University Records Retention Schedules. The committee includes a representative from the State Auditor's Office, the Office of Financial Management, the State Archivist, and the Office of the Attorney General.

Definition of Records All records and copies of records made or received in the conduct of WSU business, regardless of physical form, are considered public records for purposes of retention and disposition. (*RCW 40.14.010*)

RETENTION SCHEDULE An approved Records Retention Schedule specifies retention periods for public records and authorizes destruction or release to the University Archives.

All-University Schedule The retentions of most University records are included on the All-University Retention Schedule. See 90.01.9-58. Listed retentions supersede retentions listed on all previously issued schedules for the indicated Record Series Titles.

If, after review of departmental records, departmental personnel find that all records are included in the All-University Records Retention Schedule, no further action is required by the department. The department retains and disposes of records in conformance with the All-University Schedule.

Department Schedule If the department has unique Records Series Titles not included on the All-University Schedule, the department's records coordinator is to contact the WSU Records Officer. The Records Officer prepares a draft Record Retention Schedule that includes the unique Records Series Titles and recommended retentions.

The Records Officer routes the draft schedule to the department for review.

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Department Schedule (cont.) After departmental review and approval, the Records Officer routes the final Records Retention Schedule to the State Records Committee for approval.

To request a new or revised Retention Schedule, contact the Records Officer at telephone 335-2005 or mail code 1225.

Schedule Description

The following description includes terms used on the All-University Schedule and individual departmental Retention Schedules. The exhibit below is of a departmental schedule.

WASHINGTON STATE UNIVERSITY		RECORDS RETENTION SCHEDULE					PROCEDURES, RECORDS, AND FORMS PULLMAN, WA 99164-1225 (509) 335-2005		
WSU1302-PAF01-6566		REFERENCE: RCW 40.14					Page 1 of 3		
AGENCY NO.	AGENCY TITLE	OFFICE NAME				MAIL CODE	WSUORG NO.		
365	Washington State University	Procedures, Records, and Forms				1225	1470		
RECORDS COORDINATOR CONTACT NAME		RECORDS COORDINATOR SIGNATURE			CONTACT TELEPHONE	DATE OF SUBMITTAL			
Deborah Bartlett					335-2005				
ITEM NO.	STATUS (No change if no box is checked.)	TITLE / DESCRIPTION	OPR OR OFM	LOCATION OF OTHER COPIES	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO. (DAN)	ARCHIVAL DESIGNATION / REMARKS	
	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONTD <input type="checkbox"/> TRANSFER	This revised retention schedule completely supersedes any and all previous schedules for records unique to this office. Refer to the All-University Schedule in BPPM 90.01 for retention periods of records common to many University offices.							
1	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONTD <input type="checkbox"/> TRANSFER	DRAFTS OF POLICY AND PROCEDURES STATEMENTS AND BACKGROUND* Uncompleted projects which may be assigned at some future time or background in completed projects.	OFM		US	0 yr	80-12-26612		
2	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONTD <input type="checkbox"/> TRANSFER	FORMS HISTORY FILE* Records created to control the creation, design, use and revision of WSU forms. Includes initial requests for forms, purpose of form, expected usage, copies of the original form and revisions, and related documentation.	OFM		life of form	2 yrs	GS 12001		
3	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONTD	FORMS INVENTORY FILES* Inventories of stocks of forms on hand.	OFM		US or obsolete	0 yr	GS 12003		

Office of Record

The *Office of Record* is the department or unit name.

Records Coordinator

The department chair designates a *Records Coordinator* for the department. This employee coordinates the preparation of the Records Retention Schedule, reviews the schedule biennially and supervises retention and disposition of office records.

Records Series Title

The *Records Series Title* and *Statement of Function or Purpose* name and describe the records in a Records Series.

Status

The checkboxes in the *Status* field indicate whether or not the records series is:

- New to the departmental schedule,
- Transferred or to another University department, or
- Discontinued.

If no checkbox is selected, no change is made to the records series.

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OPR or OFM

OPR

OPR (Official Public Records) include:

- Records required by state or federal law.
- Records of legal transactions, e.g., receipts, contracts.
- Records used in fiscal/financial audits, e.g., Effort Certification.

OFM

OFM (Office Files and Memoranda) include all other records including copies of Official Public Records. Most records are OFM.

Location of Other Copies

This column identifies the location of other copies of the records series. An asterisk (*) identifies the office holding the official record for the University for that records series. This column may be blank.

Cutoff

The retention period begins at cutoff.

If a cutoff were FY (fiscal year) and the retention period were two years, the Records Series would be collected through the current fiscal year and retained for two more fiscal years.

Common Cutoff Acronyms

Calendar year	CY
Fiscal year	FY
Final payment of contract	FPOC
Last record disposed of	LRDO
Month	MO
Quarter	QTR
Semiannual	SA
Termination of contract	TOC
Termination of employment	TOE
Until superseded	US

Retention Periods

The **Retention Period** is the minimum period that the records must be kept after cutoff. Administrators may keep records longer.

Disposition Authority Number

The State Records Committee assigns a **Disposition Authority Number** (DAN) when a records series is approved for retention and disposition.

Remarks

Archival Records

If the University Archivist determines that a Records Series may have long-term historical value, the Records Officer indicates "Potential Archives" in this column. Records coordinators are to arrange to transfer such records to University Archives after the retention period has elapsed. Contact Manuscripts, Archives, and Special Collections (MASC) for assistance; telephone 335-6691. See also 90.02.

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Essential Records

University departments are responsible for identifying and protecting essential records needed during an emergency and for the reestablishment of normal operations afterwards. If a record series is identified by a department as being required for the department to resume operations after a disaster or emergency, "essential" is indicated in this column. If lost or destroyed, re-creation of essential records can be both costly and time consuming, if not impossible. Refer to 90.15 for the complete essential records policy.

Biennial Review Process

Each University department is responsible for reviewing the departmental Records Retention Schedule at least once every two years to ensure that the schedule is complete and current (WAC 434-626-020). To facilitate this review process, Procedures, Records, and Forms biennially notifies the department of review requirement.

The department records coordinator reviews the schedule with appropriate departmental officials. The department responds to Procedures, Records, and Forms by electronic mail or completes and mails a Retention Schedule Review form to Procedures, Records, and Forms at mail code 1225. If changes are required, the Records Officer prepares a draft schedule as indicated on 90.01.2.

Print the PDF master form on 90.01.8 to obtain blank copies of the Retention Schedule Review.

RETENTION FACTORS

The department is responsible for securely maintaining the records for the retention period indicated on the retention schedule.

Safety/Confidentiality

The department's responsibility includes ensuring the physical safety of the records, as well as ensuring that confidential records are protected from inappropriate or illegal release. See 90.05 for more information about release of confidential records.

Electronic Records

Electronic records must be retained in electronic format and remain usable, searchable, retrievable, and authentic for the designated retention period. Printing and retaining a hard copy is not a substitute for retention of the electronic version. (WAC 434-662-040)

Permanent Retention

Few records are worth preserving forever. The Records Committee rarely approves retaining a Records Series permanently.

University Records—Retention and Disposition

Superseding Retention Schedule

If an audit, legal action, or public records request is in progress, related records may not be disposed of even when authorized by the retention schedule. See 30.12 and 30.14 regarding audits. See 90.05 regarding public records requests. See 90.12 regarding litigation holds.

Inactive Records Storage

After records are no longer regularly accessed, departments should move the records from active files in file cabinets or computers to inactive storage locations. For inactive storage, paper records may be placed in archive boxes available from Central Stores, order number 3094.

Digital records may be moved to offline storage.

An inactive storage location should be secure from unauthorized access, as well as provide protection from physical damage, e.g., from vandalism, water, fire.

Space

At WSU Pullman, if acceptable space is not available to store inactive records for the required retention period, route a written request for storage space to Space Management in Facilities Services, Capital; mail code 3611; telephone 335-8456.

RECORDS DISPOSITION

An approved records schedule provides authorization to archive or to dispose of University records. (*RCW 40.14.060*)

After records have been stored for the complete retention period, the records coordinator either sends the records to University Archives or disposes of the records. If the records are to be disposed of, the records coordinator either destroys or recycles the records.

Recycling

Many records may be recycled in accordance with University recycling procedures. See 80.80.

Confidential Records

If the records are confidential, reduce them to an illegible condition to prevent undesirable or illegal disclosure. (*WAC 434-640-020*)

Definition

Confidential records include records that are exempt from public disclosure. See 90.05, 90.06, and 90.07. Examples of confidential records include student files and patient files.

Paper Records Destruction

Generally, paper records are destroyed by shredding. Departments may shred records with a departmentally-owned shredders, hire a private shredding company, or have the records shredded by WSU Waste Management.

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*Facilities Services, Operations
Shredder* The Waste Management division of Facilities Services, Operations at WSU Pullman operates a shredder and accepts confidential paper records for shredding. Contact Waste Management for information regarding use of the shredder and costs to departments; telephone 335-4530. Refer to the following website for related information:

http://facops.wsu.edu/rpbs_wm_shredservices.aspx

Private Shredding Company Departments may obtain the services of a private shredding company. Contact Procedures, Records, and Forms for more information. Departmental personnel contact the private shredder and pay for the service by purchasing card (see 70.08) or by issuing a Department Order (see 70.07).

Nonpaper Records Like paper records, confidential records in nonpaper media, e.g., microfilm, CDs, DVDs, hard drives, must be made illegible prior to disposal.

Such media must be physically destroyed or digital records must be securely deleted with a suitable software program. Any electronic destruction method must include at least a three-pass binary overwrite. Contact Procedures, Records, and Forms for assistance with locating deletion software.

Surplus Computers See 20.76 for procedures for removing data from hard drives of computers to be sent to Surplus Stores or sold to another University department.

Complete and/or print the master form on 90.01.8 as needed.

University Records—Retention and Disposition

All-University Retention Schedules

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ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

TITLE					
Administrative— General Office Operations					
RECORD SERIES TITLE--FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO.	REMARKS
ADMINISTRATIVE PLANS, WORKING FILES, REPORTS AND SURVEY RESULTS Plans, working files and reports resulting from routine administrative operations and projects. May include work plans, compiled survey results, charts, diagrams, statistics, reports, research materials, drafts, and other documentation related to management studies, non-fiscal audits, surveys, and planning studies.	Department*	date of document	2 yrs	GS 09006	
CALENDARS—NONEXECUTIVE A record of appointments, meeting schedules, itineraries and task lists for the University's non-executive employees. Provides a day-by-day record of activities.	Department*	calendar year	1 yr	GS 09023	
CHARITY FUNDRAISING Records documenting the University's coordination, participation, and support of fundraising campaigns and promoting employee payroll deductions for charities. Includes, but is not limited to, decision process for selecting charity campaigns to support; communication between the agency and charities; dissemination of charity information; arrangements and promotion of campaign events. Excludes authorization of payroll deductions covered by GS 01060: Payroll Register and GS01061: Payroll Register, Deductions.	Charity Fund Drive Campaign Coordinator*	fiscal year	6 yrs	GS 09021 Rev. 1	
COMPLAINTS, POLICY OR PROCEDURAL Complaints filed by University employees or the public relating to a policy and/or its implementation, procedures, or business practices that are being followed. May include documentation, filing forms, backup information, recommendations, resolutions, and related memoranda and correspondence. NOTE: This records series does not include records related to personnel complaints (see the Payroll/Personnel Records	Department*	resolution of complaint	3 yrs	GS 09016	
table) or records of complaints related to improper governmental actions, which are retained by the Internal Auditor.					
CORRESPONDENCE— GENERAL Routine correspondence concerning day-to-day office administration and activities. May include correspondence between other offices within the University, routine correspondence with other agencies, and correspondence with the public on routine matters. Note: This series does not include program correspondence (covered by GS 09022), or executive level correspondence (covered by GS 10007).	Department*	date of document	30 days	GS 09005 Rev. 1	
DEPARTMENT COMMITTEE MINUTES Minutes and other records of the committees which function within the department contributing to the department's governance and management.	Department*	fiscal year	3 yrs	11-12-63647	Potential University Archives

RECORDS

90.01.12

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Procedures, Records, and Forms

335-2005

BUSINESS POLICIES AND PROCEDURES MANUAL

ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

TITLE					
Administrative— General Office Operations					
RECORD SERIES TITLE--FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO.	REMARKS
<p>CORRESPONDENCE – PROGRAM Internal and external communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of public business, and that are not covered by a more specific records series. Includes all communication types, regardless of format:</p> <ul style="list-style-type: none"> • Correspondence, email, forms; • Websites, webforms, webpages, social networking posts and comments, etc.; <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for and provision of information/advice; • University-initiated information/advice. <p>Excludes:</p> <ul style="list-style-type: none"> • Executive correspondence covered by GS 10007; • General correspondence covered by GS 09005; • Public records requests covered by GS 05001; • The provision of routine information covered by GS 50002. <p>Note: Information/advice published online by the University continues to be “provided” until the date it is removed/withdrawn.</p>	Department*	communication received or provided, whichever is later	2 yrs	GS 09022	
<p>DEPARTMENTAL PLANNING Administrative unit's goals and objectives. Provides reference for continued planning.</p>	Department*	fiscal year	4 yrs	11-12-63648	Archival
<p>ELECTRONIC COMMUNICATIONS RETENTION Electronic communications are methods of sending or receiving information, not types of records. Electronic communication methods include, but are not limited to, e-mail, instant messaging, social networking, and text messaging. Information generated or received on an electronic communication system needs to be managed according to the informational content of the message. Electronic communications messages that are public records must be identified, scheduled, and retained. (See 90.03.)</p>					
<p>HISTORY FILES Documentation of the history and development of an office, program, or event. May include photographs, videotapes, newsletters, scrapbooks, or articles.</p>	Department*	calendar year	5 yrs	GS 10013	Archival
<p>INFORMATION – ROUTINE Internal and external requests for, and provision of, routine information about the operations of the University, such as:</p> <ul style="list-style-type: none"> • Business hours, locations/directions, web/e-mail addresses; • Meeting dates/times 	Department*	no longer needed	0	GS 50002	
<p>MINUTES AND FILES OF GENERAL OFFICE MEETINGS Minutes, agendas and meeting files from University staff meetings, internal committees, task force committees, and other internal University meetings which meet to coordinate activities, work out problems, serve as sounding boards, or as vehicles for communication.</p>	Department* or Committee*	date of document	2 yrs	GS 09009	

ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

TITLE Administrative— General Office Operations					
RECORD SERIES TITLE--FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO.	REMARKS
<p>PLANS, ROUTINE Plans developed to guide routine administrative operations. May include work plans and plans for specific administrative projects. Does not apply to University-level planning which involves major policy issues or University-wide administrative matters.</p>	Department*	date of document	2 yrs	GS 09008	Possibly Essential
<p>POLICIES AND PROCEDURES, ROUTINE GENERAL OFFICE Policies and procedures covering the routine, day-to-day operations of an office or unit. NOTE: Does not include University mission-related policies and procedures. See GS 10002: Policies and Procedures (in the Administrative--Executive Level Records table).</p>	Department*	until superseded	0 days	GS 09001	Possibly Essential
<p>PROJECT FILES Documentation of state projects which have innovative or historical significance. May include project management documents such as project team notes, minutes and agendas, studies, surveys, progress reports, correspondence, research and background files, presentation materials, cost estimates, implementation plans and final reports filed as part of the project subject. NOTE: This series does not include capital projects, program files, federally-funded or grant-funded projects.</p>	Department*	end of project	6 yrs	GS 09018	Archival
<p>REFERENCE FILES (CONVENIENCE COPIES) Files containing reference copies of correspondence, reports, studies, articles, minutes, and/or other reference materials which are maintained solely for ease of access and reference, and where not covered by a more specific records series. Note: This series does not include executive level records or program level files.</p>	Department*	no longer needed	0	GS 09002 Rev. 1	
<p>SECONDARY (DUPLICATE) COPIES Copies of records (created or received), provided that the University retains the primary record in accordance with the current approved minimum retention period. Includes, but is not limited to: • Data extracts and printouts from University information systems. NOTE: This does not apply to records series which have stated retention periods for secondary copies.</p>	Department*	no longer needed	0	GS 50005	
<p>SUBJECT FILES Files arranged alphabetically by topic for subjects of relevance to the work of an office. May include correspondence, memos, reports and statistics. Does not include secondary copies.</p>	Department*	calendar year	2 yrs	GS 09019	
<p>SURVEY RESPONSES, INDIVIDUAL Individual responses to surveys or questionnaires.</p>	Department*	no longer needed	0	GS 09020	

RECORDS

BUSINESS POLICIES AND PROCEDURES MANUAL

90.01.14

Revised 9-13

Procedures, Records, and Forms

335-2005

ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

TITLE					
Administrative— General Office Operations					
RECORD SERIES TITLE--FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO.	REMARKS
<p>TRANSITORY RECORDS Public records that only document information of temporary, short-term value, & provided that the records are not needed as evidence of a business transaction and not covered by a more specific records series. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Miscellaneous notices or memoranda which do not relate to the functional responsibility of the University (notices of community affairs, employee meetings, holidays, etc.); • Preliminary drafts of letters, memoranda, reports, work sheets, spreadsheets, presentations, & informal notes, etc., 	Department	no longer needed	0 days	GS 50001 Rev. 1	
<p>which do not represent significant basic steps in the preparation of record document(s);</p> <ul style="list-style-type: none"> • Routing slips used to direct the distribution of documents; • Shorthand notes, stenotype tapes, and mechanical records, after they have been transcribed into typewritten or printed form on paper or microfilm; • Telephone messages (incl, voicemail, digital voice messages); • Letters of transmittal which do not add any information to the transmitted materials 					

ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

TITLE					
Purchasing Records					
RECORD SERIES TITLE--FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO.	REMARKS
DEPARTMENT ORDERS (online) Used to initiate orders from outside vendors based upon direct purchase requests from University departments. The departmental OPR record includes the paper original department order, receipt, and/or packing slip.	Department*(OPR) (paper)	fiscal year	6 yrs	GS 01004	
	Associate VP for Finance (magnetic media)	fiscal year	6 yrs	11-12-63408	
DEPARTMENTAL REQUISITION (WSU 1011) Request from departments to WSU Purchasing for purchases outside the institution.	Purchasing*	fiscal year	2 yrs	11-12-63410	
	Department	fiscal year	2 yr	11-12-63411	
DISCRETIONARY (17A) ACCOUNT EXCEPTION JUSTIFICATIONS Provides a record of approved exceptions to University guidelines for discretionary (17A) accounts.	Department*(OPR)	fiscal year	6 yrs	11-12-63412	
EXPENDITURE AUTHORITY DELEGATION (WSU 1198) A form that delegates authority for approving various documents that obligate departmental funds.	Controller* (OPR)	fiscal year	6 yrs	11-12-63413	
	Department	fiscal year	2 yrs	11-12-63414	
FACULTY TEXTBOOK ORDER SHEET Used by faculty to identify textbook needs each semester.	Department*	receipt of order	2 yrs	11-12-63415	
FUEL CREDIT CARD FILES Documentation of the use of credit cards issued to University departments to use to purchase of commercial fuel, emergency roadside assistance, and routine maintenance for University vehicles and equipment. Includes all department documentation of fuel credit card transactions, including receipts, transaction detail reports, reconciliation reports	Department*	fiscal year	6 yrs	GS 01017	Possibly Essential
INTERDEPARTMENTAL REQUISITION AND INVOICE (WSU 1017) Provides a record of approval for interdepartmental purchasing transactions.	Vendor Department* (OPR)	fiscal year	6 yrs	11-12-63416	
	Department	fiscal year	2 yrs	11-12-63417	

ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

TITLE					
Purchasing Records					
RECORD SERIES TITLE--FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO.	REMARKS
INVOICE VOUCHER (WSU 1273) Form used to seek payment from Accounts Payable. A state of Washington form.	Accounts Payable* (OPR)	fiscal year	6 yrs	GS 01004	
	Department	fiscal year	2 yrs	11-12-63418	
PHOTOCOPIER EQUIPMENT REQUEST (WSU 1340) Form used to document copier needs to purchase copy equipment.	Department*	fiscal year	2 yrs	11-12-63419	
	Purchasing	action taken	1 yr	11-12-63420	
PUBLICATION AND DUPLICATION SERVICE JOB FILES Records of publication and duplication services provided by outside vendors or by WSU copy services. May include copy requests, production activity logs, copy machine activity logs, orders, job descriptions and specifications, publication design records, sample job products, estimates, material order sheets, proofs, samplers, completed job reports, summary of costs, and related records.	Vendor Department*	fiscal year	6 yrs	GS 15005	
	OR Department*	fiscal year	6 yrs	GS 15005	
PURCHASE ORDER AND RECEIVING REPORT--WITH COMPETITIVE BIDS Used to initiate an order from outside vendors based on a request from a university department when transaction involves competitive bidding.	Associate VP for Finance* (digital media)	fiscal year	6 yrs	GS 06004	
	Purchasing*	fiscal year	6 yrs	GS 06004	
	University Publishing* (off-site printing purchases)	fiscal year	6 yrs	GS 06004	
	Department	fiscal year	2 yrs	11-12-63421	
PURCHASE ORDER AND RECEIVING REPORT--WITHOUT COMPETITIVE BIDS Used to initiate an order from outside vendors based on a request from a university department when transaction does not involve competitive bidding.	Associate VP for Finance* (digital media)	fiscal year	6 yrs	GS 01004	
	Purchasing*	fiscal year	2 yrs	11-12-63422	
	University Publishing* (off-site printing purchases)	fiscal year	2 yrs	11-12-63423	
	Department	fiscal year	2 yrs	11-12-63424	
PURCHASING CARD FILES Documentation of orders from outside vendors based upon direct purchase requests from University departmental personnel. Includes all department documentation of purchasing card transactions, including invoices, Departmental Log Sheets, and billing statements from bank card company.	Department*	fiscal year	6 yrs	GS 01017	Possibly Essential
SERVICE CENTER BILLING DATA AND STATEMENTS Provides a record of each interdepartmental purchasing transaction processed through the Service Center Billing System.	Business Services* (OPR) (magnetic media tape maintained by IT)	fiscal year	6 yrs	11-12-63425	
	Vendor Department (paper statement)	fiscal year	2 yrs	11-12-63426	
	Department (paper statement)	fiscal year	2 yrs	11-12-63427	

ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

TITLE					
Purchasing Records					
RECORD SERIES TITLE--FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO.	REMARKS
SUPPLY AND EQUIPMENT REQUESTS Internal WSU documents used to request the purchase of supplies and equipment.	Department*	date of receipt	30 days	GS 06001	
TELECOMMUNICATIONS SERVICE REQUEST Provides a record of online request to move, change, disconnect, or add new telecommunications services, including telephone, voicemail, and Ethernet.	Information Technology Services* (OPR) (magnetic media) Department	fiscal year fiscal year	6 yrs 1 yr	11-12-63428 GS 08001	
VENDOR PAYMENT FILE Documentation of WSU disbursements. May include all documentation related to University purchases, including voucher distribution registers, vendor remittance advisories, document transmittals and certification reports, encumbrance requests and other documentation which provides a record of payments to vendors and other agencies for goods and services. May include, but is not limited to: Purchase Order (Department Order) Files, Purchase Requisition Files,	Department* or Controllers Office* or Purchasing*	fiscal year fiscal year fiscal year	6 yrs 6 yrs 6 yrs	GS 01004 GS 01004 GS 01004	Possibly Essential
Blanket Order Requisition Files, Blanket Order Purchase Transaction Files, Invoice Voucher Files, Printing Requisition Files, Copy Center Request Files, Travel Expense Payment Files, Interagency Billing Files, Encumbrance and Liquidation Records.					

Retention of Electronic Communications

OVERVIEW

Records conveyed electronically are subject to University and departmental retention schedules. See 90.01. Electronic communication records may also be subject to public records requests, legal discovery, and audit review.

Electronic communication methods include, but are not limited to, e-mail, instant messaging, social networking (e.g., Twitter, blogs, wikis), and text messaging.

For retention purposes, electronic communications are considered methods of delivery rather than record types. Electronic communications, like conventional paper-based mail, can convey many kinds of records and messages. As such, electronic communications are to be managed by message content.

Management Responsibility

The University does not have a central process for managing electronic communication records, thus management responsibility resides with University staff and departments.

RETENTION OF ELECTRONIC COMMUNICATIONS

Personal Electronic Communications

If conditions specified in 20.37 are met, University employees may make occasional but limited use of University computers or accounts to briefly retain personal electronic communication messages unrelated to official University business.

Personally-Owned Computers or Personal Electronic Communications Accounts

University employees should not use personally-owned computers or personal accounts (e.g., non-University e-mail accounts) to retain official University business-related electronic communication messages.

- When working from personally-owned computers, employees are encouraged to use remote desktop connections and retain official messages on University computers and accounts.
- When it is necessary to generate an official message on a personally-owned computer or account, the employee is responsible for expediently moving the message to a University storage device or computer for retention.

NOTE: University business-related electronic communications stored on non-University computers or electronic communications accounts may be subject to public records requests, legal discovery, court-ordered production, audit review, and records retention requirements.

Retention of Electronic Communications

Social Networking Websites

When retention of authorized electronic communications is outside University control, e.g., retention of postings to social networking websites, departments must consider what other records need to be retained. E-mail confirmations of each post or comment are possible examples.

Departments must consider records retention issues when considering any agreements with vendors of social networking websites and when configuring settings for departmental social networking website accounts.

Electronic Communications That May Be Deleted When No Longer Needed

As described below, many electronic communications consist of transitory messages. As such, many electronic communications and attachments may be deleted when no longer needed.

Meeting notices and requests for meetings may be deleted when no longer needed.

Copies used for informational/reference purposes may be deleted when no longer needed.

Electronic communications records that have no administrative, legal, fiscal, or archival retention requirements may be deleted as soon as the messages have served their purpose. See "Administrative Materials With No Retention Value," in 90.01.12. Such records include:

- Information-only copies, or extracts of documents distributed for reference or convenience, i.e., announcements or bulletins
- Copies of published materials
- Telephone message notifications
- Preliminary drafts, unless a retention period is otherwise specified on an applicable records retention schedule
- Transmittal memos
- Reservations and confirmations
- Copies of memoranda, bulletins, or directives of a general information and noncontinuing nature

Retention of Electronic Communications

Electronic Communications That May Be Deleted When No Longer Needed (cont.)

Electronic communications records meeting the definitions included in "Reference Files," in 90.01.13 may be deleted when no longer needed. Such records include:

Reference files containing copies of correspondence, memoranda, copies of reports, studies, articles, reference copies of minutes, distribution lists, and other general reference information on office administrative issues and concerns, used to support administrative analysis, planning and development.

Electronic Communications To Be Retained

Electronic communications and attachments that contain record material must be retained in conformance with the applicable retention schedule. See 90.01.

The following types of electronic communications messages and attachments are likely to include records with specified retention periods:

- Electronic communications that authorize some official action, transaction, or effort.
- Electronic communications that support or explain a business transaction.
- Documents that complete a business transaction.
- Final reports or recommendations.
- Documents relating to audit or legal issues.
- Electronic communications in support of student class activity, e.g., assignments, class participation.
- Official correspondence that does not fit in another records series. (Non-executive-level general office correspondence is to be retained for at least 30 days. See 90.01.12.)

Most executive records are retained for four years after the end of the current fiscal year. This includes official correspondence concerning policy issues, concerns, actions or issues. (NOTE: For purposes of this policy, officials with the status of dean or above are considered executives.) See 90.01.10-11.

PRIMARY RECORD HOLDER

It is important to determine who holds the primary record of a document for retention purposes. Reference or informational copies may be deleted when no longer required by the record holder (see above).

Retention of Electronic Communications

PRIMARY RECORD HOLDER (cont.)

The retention schedule usually identifies the office responsible for retaining the official record copy. If the retention schedule does not provide sufficient guidance, refer to the following:

- Ask how would this record be handled if it were a hard-copy transaction or letter. In such cases, the recipient is responsible for retaining the record copy.
- If an electronic communication is sent to a large number of recipients, the sender is responsible for retention of the electronic communication as well as the distribution list.

A draft of a policy is sent to a number of reviewers. The initiator of the draft is responsible for retaining the record copy.

An agenda or meeting minutes are sent to a number of attendees. The sender is responsible for retaining the record copy.

MANAGEMENT OF ELECTRONIC COMMUNICATION RECORDS

University departments and personnel may use one or more of the following methods to assure appropriate management of records with assigned retention periods.

Retain in Electronic Communication Application Format

Retain the message in the original electronic communication application format on the record holder's hard drive; removable digital media; or an external storage service or device. The original electronic communication application format is likely to capture and preserve all relevant metadata and attachments related to the record. Metadata is defined as data about data and may describe the content, time, date, author, and formatting of a message. Metadata may be used to aid in the storage, indexing, and retrieving of electronic records for public use.

NOTE: Printing and retaining a paper copy of an electronic communication is not a substitute for the electronic version, in accordance with WAC 434-662-040.

To facilitate retrieval, retention, and eventual disposal, the record holder could establish separate folders. Each folder could correspond to a specific scheduled records series. Electronic communications folders should be coordinated with any paper or other electronic filing systems that are in place.

Retention of Electronic Communications

Retain in Document Management System

Electronic communication messages may be retained in a document management system (DMS) or records management application (RMS). Such systems offer sophisticated control of electronic records, allowing integration of electronic communication messages within the total document environment of an organization. Such software offers single point access to a variety of formats, thus preserving the functionality of documents. NOTE: The DMS or RMS software must have the capability of capturing and preserving all relevant metadata and attachments related to the records.

Technology Changes

Many electronic communication messages must be retained longer than the original technology that was used to send, receive, or store them. Departments are responsible for ensuring that older electronic communication messages are migrated to newer technology.

PRIVACY

Employees are encouraged to review the privacy provisions of EP4, Electronic Communications Policy.



Office of the Secretary of State
Washington State Archives

Records Management Advice

Issued: November 2013

(Originally Issued: September 2009)

Electronic Records Management: Blogs, Wikis, Facebook, Twitter & Managing Public Records

Purpose: Provide guidance to state and local government agencies regarding the retention of public records of posts to social networking websites such as blogs, wikis, Facebook, Twitter, etc.

Agencies need to consider the following five (5) factors when managing the retention of their public records created or received through social networking sites:

1. Are the posts public records?

If the posts are made or received in connection with the transaction of the agency's public business (such as providing advice or receiving comments about the agency, its programs, core business, etc.), then they are public records for the purposes of records retention and need to be retained for their minimum retention periods.

2. Are the posts primary or secondary copies?

If the posts are simply copies of records that the agency is already retaining for the minimum retention period (such as links to publications), then the posts may be considered secondary copies and retained accordingly. Otherwise, the posts are the agency's primary record.

3. How long do the posts need to be retained?

Agencies should use the same records series for posts that they would use if the same advice was distributed as a letter or an email to everyone within the agency's jurisdiction. Agencies need to retain their primary record of posts which are public records for at least the minimum retention period listed for those records in the approved records retention schedules.

4. How will the posts be retained by the agency?

Agencies need to consider how they will retain a record in their custody and control of their posts to social networking websites. When retention of the posts themselves is outside the agency's control, the agency needs to consider what other records they will retain, such as email confirmations of each post or comment. Agencies need to consider these issues in any service contracts with vendors of social networking websites and in their configuration settings for their social networking website accounts.

5. For which types of records is this technology appropriate?

Agencies need to determine the business activities for which social networking technology is appropriate if the agency is unable to manage the creation, receipt and retention of public records documenting the public business they transact using social networking websites.

**Additional advice regarding the management of public records is available from
Washington State Archives:**

**www.sos.wa.gov/archives
recordsmanagement@sos.wa.gov**

RECORDS RETENTION SCHEDULE

REFERENCE: RCW 40.14

AGENCY NO. 365		AGENCY TITLE Washington State University		OFFICE NAME Procedures, Records, and Forms				MAIL CODE 1225	WSUORG NO. 1470
RECORDS COORDINATOR CONTACT NAME Deborah Bartlett				RECORDS COORDINATOR SIGNATURE		CONTACT TELEPHONE 335-2005		DATE OF SUBMITTAL Dec 6, 2013	
ITEM NO.	STATUS (No change if no box is checked.)	TITLE / DESCRIPTION	OPR OR OFM	LOCATION OF OTHER COPIES	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO. (DAN)	ARCHIVAL DESIGNATION / REMARKS	
	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	This revised retention schedule completely supersedes any and all previous schedules for records unique to this office. Refer to the All-University Schedule in BPPM 90.01 for retention periods of records common to many University offices.	OFM		until superseded	0 yr	80-12-26612		
1	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	DRAFTS OF POLICY AND PROCEDURES STATEMENTS AND BACKGROUND* Uncompleted projects which may be assigned at some future time or background in completed projects.	OFM		until superseded	0 yr	80-12-26612		
2	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	FORMS HISTORY FILE* Records created to control the creation, design, use and revision of WSU forms. Includes initial requests for forms, purpose of form, expected usage, copies of the original form and revisions, and related documentation.	OFM		life of form	2 yrs	GS 12001		
3	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	FORMS INVENTORY FILES* Inventories of stocks of forms on hand.	OFM		until superseded or obsolete	0 yr	GS 12003		
4	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	FORMS USERS DATABASE* Database used to generate number series for tracking WSU Invoice vouchers. This database includes the WSU Invoice (Billing Receivables System--BRS) Number File.	OPR		until superseded	6 yrs	05-02-60803		
5	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	GENERAL RECORDS RETENTION SCHEDULES General records retention schedules prepared by the Division of Archives and Records Management to provide for the legal disposition of state records common to more than one state agency. Provides description of the records, including records series title, function, retention period, final disposition, and archival status.	OFM	WA Division of Archives and Records Mgmt.* (OPR)	until superseded	0	GS 11004		
6	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	MICROFILM / IMAGING DOCUMENTATION FILE* Documentation may include authority to conduct microfilming or imaging, the identity of persons who supervised the imaging process, camera operator's certificate, imaging targets, tests and inspection results, the arrangement of the originals to be microfilmed, any weeding policy that determines what originals will or will not be imaged, and related documents. NOTE: This series applies to all state agencies regardless of vendor used.	OFM	Department	calendar year	1 yr	GS 11011	Archival Transfer to State Archives for permanent retention	

UNIVERSITY RECORDS OFFICER APPROVAL <input type="checkbox"/> The above retention periods have been approved by the State Records Committee.	RECORDS OFFICER NAME Ralph Jenks	RECORDS OFFICER SIGNATURE
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RECORDS RETENTION SCHEDULE

REFERENCE: RCW 40.14

AGENCY NO.		AGENCY TITLE		OFFICE NAME			MAIL CODE		WSUORG NO.	
365		Washington State University		Procedures, Records, and Forms			1225		1470	
RECORDS COORDINATOR CONTACT NAME				RECORDS COORDINATOR SIGNATURE			CONTACT TELEPHONE		DATE OF SUBMITTAL	
Deborah Bartlett							335-2005		Dec 6, 2013	
ITEM NO.	STATUS (No change if no box is checked.)	TITLE / DESCRIPTION	OPR OR OFM	LOCATION OF OTHER COPIES	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO. (DAN)	ARCHIVAL DESIGNATION / REMARKS		
7	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	MICROGRAPHIC EQUIPMENT RECORDS* Specifications describing micrographic equipment which may be purchased by WSU on state contract.	OFM		month	1 yr	80-12-26613			
8	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	POLICIES AND PROCEDURES MANUALS--WORKING COPIES* Working copies of pages of WSU's business, safety, and executive policies and procedures manuals. Used to produce future revisions to the manuals.	OFM		until superseded	0 yr	86-12-38995 revision 1			
9	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	POLICIES AND PROCEDURES* Policies and procedures issued at the executive level of the University to address University-wide operations, critical University functions, or issues of public visibility or concern. May include formal directives, formal policy statements, printed or published procedures manuals, bulletins, orders, and rules, or notices. Does not apply to policies and procedures which regulate activities outside WSU or ones that are established through statute or through Washington Administrative Code (WAC) procedures. Includes copies of all revisions to the WSU Business Policies and Procedures Manual, Safety Policies and Procedures Manual, and Executive Policy Manual.	OPR		US	6 yrs	GS 10002	Archival Possibly Essential (policies and procedures for essential operations)		
10	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input checked="" type="checkbox"/> TRANSFER	PUBLIC DISCLOSURE ACT, REQUESTS AND APPEALS* Formal requests for access to state University records filed by the public, the media, or other agencies, under the terms of the Public Disclosure Act (chapter 42.17 RCW; as of July 1, 2006, see chapter 42.56 RCW). May include initial requests, University responses, and documentation related to appeals in cases in which access is denied. (Effective July 1, 2013, this records series is transferred from Procedures, Records, and Forms [office #1470] to the Public Records Office [office does not have an assigned org #; file with office #8720 (University Communications) 1].)	OFM		disclosed, final response, or appeal denied	6 yrs	GS 05001			
11	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	RECORD DISPOSITION NOTICES* The University's record of the disposition of WSU records through transfer to the State Records Center, the State Archives, or destruction in-house. May include memoranda concerning the disposition of the records, State Records Center Destruction Lists, or other documentation showing the date that a record was either transferred out of the custody of the office of origin or destroyed.	OPR		destruction of records or transfer to archives	6 yrs	GS 11005			
12	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	RECORDS RETENTION SCHEDULES — DEPARTMENT/PROGRAM SPECIFIC* Records retention schedules prepared by a department/program to provide for the legal disposition of record series specific to that department/program. Provides detailed information on the records, including record series title, function, retention period, final disposition, and archival status. The Division of Archives and Records Management has responsibility for the most important copy.	OFM	State Archivist*	until superseded	1 yr	GS 11003			
13	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	REVIEW RECORD* Database summary of policies and procedures manuals revision drafts sent for review and approval.	OFM		new section or revision published	6 yrs	05-02-60804			

UNIVERSITY RECORDS OFFICER APPROVAL <input type="checkbox"/> The above retention periods have been approved by the State Records Committee.	RECORDS OFFICER NAME Ralph Jenks	RECORDS OFFICER SIGNATURE
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RECORDS RETENTION SCHEDULE

REFERENCE: RCW 40.14

AGENCY NO.		AGENCY TITLE		OFFICE NAME			MAIL CODE	WSUORG NO.	
365		Washington State University		Procedures, Records, and Forms			1225	1470	
RECORDS COORDINATOR CONTACT NAME				RECORDS COORDINATOR SIGNATURE			CONTACT TELEPHONE	DATE OF SUBMITTAL	
Deborah Bartlett							335-2005	Dec 6, 2013	
ITEM NO.	STATUS (No change if no box is checked.)	TITLE / DESCRIPTION	OPR OR OFM	LOCATION OF OTHER COPIES	CUTOFF	RETENTION PERIOD	DISPOSITION AUTHORITY NO. (DAN)	ARCHIVAL DESIGNATION / REMARKS	
14	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	RULES AND REGULATIONS (WASHINGTON ADMINISTRATIVE CODE)* University records of filings, hearings, justification statements, meeting tapes, and other documents related to the development and enactment of official rules and regulations for inclusion in the Washington Administrative Code (WAC).	OPR		until superseded	6 yrs	GS 10009	University Archives	
15	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	SCHEDULES--MASTER CONTROL* Database summary of all WSU units' records retention schedule status. Used to track records retention schedules in progress, records retention schedule change review requests, and to schedule and track biennial review reminder letters.	OFM		until superseded	2 yrs	05-02-60805		
16	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	USABILITY TESTING CONSENT FORMS* Forms used by subjects agreeing to participate in usability testing.	OPR		fiscal year	6 yrs	90-7-46431		
17	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER	USABILITY TESTING RESULTS* Results of usability testing process.	OFM		fiscal year	2 yrs	90-7-46432		
	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER								
	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER								
	<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> DISCONT'D <input type="checkbox"/> TRANSFER								

UNIVERSITY RECORDS OFFICER APPROVAL <input type="checkbox"/> The above retention periods have been approved by the State Records Committee.	RECORDS OFFICER NAME Ralph Jenks	RECORDS OFFICER SIGNATURE
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**SHOULD I RETAIN OBSOLETE RECORDS?
Good Records Management Means Not Keeping
The Old Stuff without a Good Reason**

*Jeffrey T. Even, Assistant Attorney General¹
July 1999*

So. You have some old records. The Archives and Records Management folks have let you know that the records are now old enough that the law, and the records retention schedules, no longer require you to keep them. Maybe you're not sure what you should keep—even though you don't have to—and what you should let them get rid of. Maybe a few words will help.

You already know that you're not supposed to destroy records that the law obligates you to keep, but sometimes agencies are too reluctant to get rid of the stuff they no longer need. You should keep records that you have a good reason to keep, but "just in case" is not a good reason. Here are a few reasons to let go of what you don't need:

- Keeping stuff you don't need costs money.
- Keeping organized records, uncluttered by ancient and obsolete materials, makes it easier to find what you need when you need it.
- Failure to dispose of public records you no longer need creates unnecessary complication and expense when your agency receives a public records request or becomes involved in litigation. Even if the ancient and obsolete records are not relevant to a request or to a lawsuit, you will be required to search through them in order to respond. You cannot destroy documents when a public records request or lawsuit is pending.²
- Failure to properly respond to a public records request will cost your agency money. This is more likely when you have more records to review because you kept stuff you didn't need. Under the Public Disclosure Act, a court is required to order financial sanctions if an agency improperly denies a request for records or fails to respond to a request within a reasonable time.
- If the request comes during litigation, in the form of a discovery request, the failure to properly provide the requested records could cost substantial amounts of money. Washington courts have recently approved large monetary sanctions for discovery abuses.
- Storage facilities cost the taxpayers money. When you neglect to cull unneeded ancient and obsolete records, state storage facilities fill up with the stuff. Maybe the taxpayers will have to build a new building, just to hold the records you could have let go. Sort of a shame.

By all means, keep what the law requires you to keep. Keep what the law doesn't require you to keep if you have a good reason to keep it. But please don't just keep stuff without a good reason. Proper records management simplifies your life, and saves the taxpayers money. In the end these are very good things.

¹ This document sets forth the individual views of its author, but cannot be regarded as the formal opinion of the Attorney General.

² In case of litigation, you should consult with your assigned counsel to determine what records should be placed on "hold" during the lawsuit.