

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 or characteristics, 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. Records series titles held commonly by multiple departments are included in the All-University Records Retention Schedule. Records series titles held by one department only are included on a department schedule.

All-University Schedule The retentions of most University records are included on the All-University Retention Schedule. See 90.01.10-64. 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.

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Department Schedule (cont.) The Records Officer routes the draft schedule to the department for review.

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 509-335-2005 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-FAZ01-006		REFERENCE: RCW 40.14				Page 1 of 1	
AGENCY NO. 365	AGENCY TITLE Washington State University	OFFICE NAME Procedures, Records, and Forms			MAIL CODE 1225	WSUORG NO. 1470	
RECORDS COORDINATOR CONTACT NAME Joy Faerber		RECORDS COORDINATOR SIGNATURE		CONTACT TELEPHONE 335-2005	DATE OF SUBMITTAL Jun 29, 2016		
ITEM NO.	STATUS (No change if no box is checked.)	TITLE / DESCRIPTION	OPR OR OFM	LOCATION OF OTHER COPIES	RETENTION AND DISPOSITION ACTION	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.					
1	<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 (Receivables System) Number File.	OPR		Retain for 6 years after superseded, then destroy.	05-02-60803	
2	<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		Retain for 6 years after new section or revision published, then destroy.	05-02-60804	
3	<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		Retain for 6 years after superseded, then Transfer to Archives for appraisal and selective retention.	GS 10009	Archival (appraisal required)

Office Name

The **Office Name** 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 and Description

The **Records Series Title--Function/Purpose** or **Title/Description** statement names and describes the records in a records series.

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

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

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

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.

The term "Department" indicates that the records series is held in multiple University department locations.

Retention and Disposition Action The **Retention and Disposition Action** is the minimum period that the records must be kept after a specified cutoff event and the action to be taken at the end of this period. Administrators may keep records longer.

The disposition portion of the statement indicates whether the records are to be destroyed at the end of the retention period or sent to University Archives for appraisal and selective retention. (See also below.)

Example If the retention and disposition action for a records series is "Retain for 2 years after end of fiscal year, then destroy," the records must be collected through the end of the current fiscal year and retained for at least two more fiscal years before destruction.

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Secondary or Reference Copy Some records series specify minimum retention periods for secondary or reference copies. NOTE: If no minimum retention of secondary/reference copies is specified for a records series, secondary or reference copies are held until the administrative purpose is served and then destroyed.

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 "Archival (appraisal required)" in the *Remarks* 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 509-335-6691. See also 90.02.

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 90.01.1-2.

Print the PDF master form on 90.01.9 to obtain blank copies of the Retention Schedule Review.

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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.

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. Archive boxes are acid-free, double-walled storage boxes with built-in handles, and may be obtained from most office supply vendors.

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

WSU Pullman

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 509-335-8456. For further information, see:

http://facilitieservices.wsu.edu/space_request.aspx

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Regional Campuses At the following regional campus locations, route requests for inactive records storage space to the campus facilities services unit:

- WSU Spokane: 509-358-7994
- WSU Tri-Cities: 509-372-7253
- WSU Vancouver: 360-546-9000

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, departments are responsible for ensuring that the records are protected from unauthorized or illegal disclosure by reducing them to an illegible condition. (*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 shredder, hire a private shredding company, or have the records shredded by WSU Waste Management.

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 509-335-4530.

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).

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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 90.01.9 as needed.

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All-University Retention Schedules

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ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

Administrative—General Office Operations				
RECORD SERIES TITLE—FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NO.	REMARKS
<p>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.</p>	Department*	Retain for 2 years after date of document, then destroy.	GS 09006	
<p>AWARD FILES Provides a record of application and related materials for national, regional, and statewide awards processed by the University. Includes, but is not limited to: awards processed by the Office of the Provost and Executive Vice President (e.g., Faculty Excellence, Carnegie (CASE) Professor of the Year, Burlington Northern, Bryn Mawr Awards); awards processed by WSU Extension.</p>	Department*	Retain for 2 years after award, then Transfer to Archives for appraisal and selective retention.	16-06-68981	Archival (appraisal required)
<p>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 GS 01061: Payroll Register, Deductions.</p>	Charity Fund Drive Campaign Coordinator*	Retain for 6 years after end of fiscal year, then destroy.	GS 09021 Rev. 1	
<p>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 table) or records of complaints related to improper governmental actions, which are retained by the Internal Auditor.</p>	Department*	Retain for 3 years after resolution of complaint, then destroy.	GS 09016	
<p>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).</p>	Department*	Retain for 30 days after date of document, then destroy.	GS 09005 Rev. 1	

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Administrative—General Office Operations				
RECORD SERIES TITLE—FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	RETENTION AND DISPOSITION ACTION	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, web forms, 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*	Retain for 2 years after communication received or provided, whichever is later, then destroy.	GS 09022	
<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>	Department*	Retain in accordance with the records series that is applicable to the informational content of the message. (See 90.03.)	-- various --	
<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*	Retain for 6 years after end of calendar year, then Transfer to Archives for appraisal and selective retention.	GS 10013	Archival (appraisal required)
<p>MINUTES AND FILES OF GENERAL OFFICE MEETINGS Minutes, agendas and meeting files from agency staff meetings, internal committees, task force committees and other internal agency meetings which meet to coordinate activities, work out problems, serve as sounding boards, or as vehicles for communication.</p>	Department*	Retain for 2 years after date of document, then destroy.	GS 09009	
<p>NONEXECUTIVE CALENDARS A record of appointments, meeting schedules, itineraries and task lists for the University's nonexecutive employees. Provides a day-by-day record of activities.</p>	Department*	Retain for 6 years after end of calendar year, then destroy.	GS 09023	
<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*	Retain for 6 years after end of project, then Transfer to Archives for appraisal and selective retention.	GS 09018	Archival (appraisal required)

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Administrative—General Office Operations				
RECORD SERIES TITLE—FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NO.	REMARKS
<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*	Retain until no longer needed, then destroy.	GS 09002 Rev. 1	
<p>ROUTINE GENERAL OFFICE POLICIES AND PROCEDURES 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*	Retain until superseded, then destroy.	GS 09001	
<p>ROUTINE PLANS 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*	Retain for 2 years after date of document, then destroy.	GS 09008	Essential (plans for essential operations or services)
<p>ROUTINE UNIVERSITY INFORMATION Internal and external requests for, and provision of, routine information about the operations of the University, such as: • Business hours, locations/directions, web/e-mail addresses • Meeting dates/times</p>	Department*	Retain until no longer needed, then destroy.	GS 50002	
<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 that have stated retention periods for secondary copies.</p>	Department*	Retain until no longer needed, then destroy.	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*	Retain for 2 years after end of calendar year, then destroy.	GS 09019	
<p>SURVEY RESPONSES, INDIVIDUAL Individual responses to surveys or questionnaires.</p>	Department*	Retain until no longer needed, then destroy.	GS 09020	

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RECORD SERIES TITLE—FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NO.	REMARKS
<p>TRANSITORY RECORDS Public records that only document information of temporary, short-term value, and 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 that 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., which do not represent significant basic steps in the preparation of record document(s). • 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 (including voicemail, digital voice messages). • Letters of transmittal that do not add any information to the transmitted materials. 	Department*	Retain until no longer needed, then destroy.	GS 50001 Rev. 1	

ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

Purchasing Records				
RECORD SERIES TITLE—FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NO.	REMARKS
BANQUET PERMIT AUTHORIZATION Requests University approval to apply for a Banquet Permit.	Accounts Payable* Purchasing; Department (secondary copies) Compton Union Admin. (secondary copy)	Retain for 2 years after end of fiscal year, then destroy. Retain for 2 years after end of fiscal year, then destroy. Retain until end of fiscal year, then destroy.	11-12-63404 Secondary copy under 11-12-63404 Secondary copy under 11-12-63404	
BIDS, INVITATION TO/REQUEST FOR PROPOSAL Solicitation of bids from vendors. May include related working papers, SF GEN-PUR-008 or similar agency specific form, Request for Proposal (RFP), Request for Information (RFI), and Request for Qualifications and Quotations (RFQQ).	AVP Finance* OR Department* Department (reference copy)	Retain for 6 years after closure or cancellation date, then destroy. Retain until admin. purpose served, then destroy.	GS 06004 Secondary copy under GS 06004	
BIDS/PROPOSALS—UNSUCCESSFUL Documentation of the bids submitted to provide goods or services which were not chosen or failed to meet requirements. May include lists of ranking of unsuccessful bidders, financial information about the bidders, resumes, proposals, pricing sheets and other related materials, in addition to the unsuccessful bids.	Purchasing Svcs* OR Department* Department (reference copy)	Retain for 6 years after bid award or cancellation date, then destroy. Retain until admin. purpose served, then destroy.	GS 06007 Secondary copy under GS 06007	
CREDIT CARD ADMINISTRATION FILES—CARD ISSUED Provides program administrative documentation related to credit card issuance, account maintenance, and compliance. University credit cards include purchasing cards, fuel credit cards, and Central Travel Accounts. At a minimum, each file includes application, cardholder agreement, and photocopy of card. Depending on the age and usage of the card, file may also include roles and responsibilities forms, account maintenance requests, documentation of exceptions granted, documentation of policy violations, and correspondence with the cardholder, card reconciler, and/or approving official. NOTE: These are internal administrative documents and not the record of the contract between the University and the issuing bank.	Accounts Payable* OR Travel Services* Department (reference copy)	Retain for 6 years after termination of agreement, then destroy. Retain until admin. purpose served, then destroy.	03-07-60531 revision 1 Secondary copy under 03-07-60531 revision 1	
CREDIT CARD APPLICATION—DENIED OR NOT ISSUED Provides a record of a request for issuance of a University credit card used to purchase items from outside vendors when the card was denied or not issued. University credit cards include purchasing cards, fuel credit cards, and Central Travel Accounts.	Department*	Retain until denial, then destroy.	03-07-60532 revision 1	
CREDIT CARD RECORDS—CREDIT CARD USE RECORDS Includes all documentation of the use of credit cards issued to state agencies or employees, such as receipts, records related to online ordering, purchase card log and activity log. For WSU purposes, this records series includes records related to the use of purchasing cards, fuel credit cards, central travel accounts, travel corporate cards, rental vehicle credit cards, and telephone credit cards.	Department* Department (reference copy)	Retain for 6 years after date of document, then destroy. Retain until admin. purpose served, then destroy.	GS 01017 Secondary copy under GS 01017	Essential

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RECORD SERIES TITLE—FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NO.	REMARKS
DEPARTMENTAL REQUISITION (WSU 1011) Request from departments to WSU Purchasing for purchases outside the institution.	Purchasing* Department (secondary copy)	Retain for 2 years after end of fiscal year, then destroy. Retain for 2 years after end of fiscal year, then destroy.	11-12-63410 Secondary copy under 11-12-63410	
DISCRETIONARY (17A) ACCOUNT EXCEPTION JUSTIFICATIONS Provides a record of approved exceptions to University guidelines for discretionary (17A) accounts.	Department*	Retain for 6 years after end of fiscal year, then destroy.	11-12-63412	
EXPENDITURE AUTHORITY DELEGATION (WSU 1198) A form that delegates authority for approving various documents that obligate departmental funds.	Controller* Department (secondary copy)	Retain for 6 years after end of fiscal year, then destroy. Retain for 2 years after end of fiscal year, then destroy.	11-12-63413 Secondary copy under 11-12-63413	
FACULTY TEXTBOOK ORDER SHEET Used by faculty to identify textbook needs each semester.	Faculty Member*	Retain until admin. purpose served, then destroy.	11-12-63415 revision 1	
INTERDEPARTMENTAL REQUISITION AND INVOICE (WSU 1017) Provides a record of approval for interdepartmental purchasing transactions.	Vendor Department* Department (secondary copy)	Retain for 6 years after end of fiscal year, then destroy. Retain for 2 years after end of fiscal year, then destroy.	11-12-63416 Secondary copy under 11-12-63416	
PHOTOCOPIER EQUIPMENT REQUEST (WSU 1340) Form used to document copier needs to purchase copy equipment.	Department* Purchasing (secondary copy)	Retain for 2 years after end of fiscal year, then destroy. Retain for 1 year after action taken, then destroy.	11-12-63419 Secondary copy under 11-12-63419	
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, samples, completed job reports, summary of costs, and related records. Excludes printing master and source materials covered by GS 15007 (Photographs, Graphics, and Visual Resources).	Vendor Department* OR Department*	Retain for 6 years after date of document, then destroy.	GS 15005	
PURCHASE AUTHORITY Authority for a state agency to accomplish its own purchases. May be state form GEN-PUR-007 or similar agency-specific form. For WSU purposes, this series includes authority for specific University personnel to approve purchases. Includes the Expenditure Authority Delegation (WSU 1198).	Controller* Department (secondary copy)	Retain for 6 years after end of fiscal year, then destroy. Retain for 2 years after admin. purpose served, then destroy.	GS 06002 Secondary copy under GS 06002	Essential
SUPPLY AND EQUIPMENT REQUESTS Internal WSU documents used to request the purchase of supplies and equipment.	Department*	Retain for 30 days after date of receipt, then destroy.	GS 06001	

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Purchasing Records				
RECORD SERIES TITLE—FUNCTION/PURPOSE	LOCATION (*OFFICIAL COPY)	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NO.	REMARKS
TELECOMMUNICATIONS SERVICE REQUESTS Requests by state agencies for telephone service, installation or repairs, and responses to the requests. Includes online requests to move, change, disconnect, or add new telecommunications services, including telephone, voicemail, and Ethernet.	Information Technology Services* (digital media) Department (secondary copy)	Retain for 6 years after end of fiscal year, then destroy. Retain for 1 year after request approved or denied, then destroy.	11-12-63428 GS 08001	
VENDOR PAYMENTS FILES Documentation of agency disbursements. May include all documentation related to purchases by agencies, 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: Purchase Order Files; Field Order Files; Purchase Requisition Files; Invoice Voucher Files; Printing Requisition Files; Copy Center Request Files; Travel Expense Payment Files; Inter Agency Billing Files; Encumbrances and Liquidation Records. For WSU purposes, this series also includes, but is not limited to, expenditure reports, Department Orders, and State of Washington Invoice Vouchers.	Department* Department (reference copy)	Retain for 6 years after date of document, then destroy. Retain until admin. purpose served, then destroy.	GS 01004 Secondary copy under GS 01004	Essential

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), text messaging, and voice mail messages.

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 expeditiously moving the message to a University storage device or computer for retention.

Retention of Electronic Communications

Personally-Owned (cont.)

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.

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.

Text Messages

University business-related text messages are considered public records whether a WSU or personal telephone is used for texting. Retention of text messages is the responsibility of the receiver unless the message is sent to several recipients, in which case, the sender is the responsible record holder. (See Primary Record Holder.)

It is important to retain text messages in the original electronic format and manage retention in a way that complies with public records retention guidelines. (See "Management of Electronic Communication Records" on 90.03.5-6.) The following methods may be used to retain text messages:

- Manually save text messages to a University-controlled storage device such as a content management system or server.
- Send the text messages to a University email account.

Other methods may be used to retain text messages, as long as the messages are saved on a University-controlled electronic system that can be easily managed for records retention purposes.

For directions on how to save text messages, WSU personnel need to contact the applicable cellular telephone service provider, whether it is a WSU or personal telephone.

Retention of Electronic Communications**Voice Mail Messages**

University business-related voice mail messages are considered public records whether the message is received on a WSU or personal telephone. Retention of voice mail messages is the responsibility of the receiver.

It is important to retain voice mail messages in the original electronic format and manage retention in a way that complies with public records retention guidelines. (See "Management of Electronic Communication Records" on 90.03.5-6.) WSU personnel need to contact their IT department for directions on how to save voice mail messages on office desk telephones.

For directions on how to save voice mail messages on cellular telephones, WSU personnel need to contact the applicable cellular telephone service provider, whether it is a WSU or personal telephone.

Single Inbox Messaging

WSU personnel on the Pullman, Vancouver, and Spokane campuses have access to Single Inbox Messaging as an option to save voice mail messages. Single Inbox Messaging allows users to receive voice mail messages as .WAV file attachments to his or her Outlook/Exchange email inbox. **IMPORTANT:** It is necessary for the user to save the .WAV files to a permanent digital storage location to avoid losing the attachments if and when he or she deletes the email messages.

Single Inbox Messaging is a free service that may be requested by a department budget authority using the online request system at:

<https://servicerequest.it.wsu.edu/>

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 "Transitory Records," in 90.01.14.)

Retention of Electronic Communications

Electronic Communications May Be Deleted (cont.)

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.

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.

Retention of Electronic Communications

Electronic Copies To Be Retained (cont.)

- 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 90.01.11.)

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 90.01.9-10.

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).

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.

Retention of Electronic Communications

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.

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 Joy Faerber				RECORDS COORDINATOR SIGNATURE		CONTACT TELEPHONE 335-2005	DATE OF SUBMITTAL Jun 29, 2016	
ITEM NO.	STATUS (No change if no box is checked.)	TITLE / DESCRIPTION	OPR OR OFM	LOCATION OF OTHER COPIES	RETENTION AND DISPOSITION ACTION	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.						
1	<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 (Receivables System) Number File.	OPR		Retain for 6 years after superseded, then destroy.	05-02-60803		
2	<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		Retain for 6 years after new section or revision published, then destroy.	05-02-60804		
3	<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		Retain for 6 years after superseded, then Transfer to Archives for appraisal and selective retention.	GS 10009	Archival (appraisal required)	
4	<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		Retain for 6 years after end of fiscal year, then destroy.	90-7-46431		
5	<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		Retain for 2 years after end of fiscal year, then destroy.	90-7-46432		
	<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 Deborah Bartlett		RECORDS OFFICER SIGNATURE			

**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 you 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.