Training Objectives: Manuals

- History of operations manuals at WSU.
- Why we have operations manuals.
- How to use online manuals.
- How the manuals are updated.

History Lesson

1954 BPPM

1960s Manual
History Lesson

- 1972 State Audit Report
- Hard Copy BPPM, SPPM
- 1997 Online Manuals
- 2016 Board of Regents Policy Manual

Why have manuals?

- Serves as a quasi-supervisor. Always in. No trips or leave. Fewer phone calls. Fewer errors.
- Primary communications device. Provides knowledge of laws, regulations, and institutional practices.

Why have manuals?

- Institutional memory.
- Levels playing field.
- Standardizes practices. Promotes efficiency.
- Consolidates location.
Where to Find Manuals

- Uniform Resource Locator (URL): http://public.wsu.edu/~forms/manuals.html
- WSU Home Page
- A-Z Index
How to Find Information

- Search engine
- Contents pages
- Forms Index
- Cross references
Announcing Revisions

- Procedures, Records, and Forms sends out an e-mail message on WSU Announcements.
- To subscribe refer to:
  http://lists.wsu.edu/mailman/listinfo/WSU.Announcements
- Revision announcements are linked to the Manuals web page.
Revising Manuals: Sources

- Auditors
- Statutes/regulations
- Administrators
- Users

Revising Manuals: Process

- Input
- Prepare draft
- Review and approval

Washington State University
EXECUTIVE POLICY MANUAL

Policy Approval and Distribution

POLICY

University policies and procedures are to be appropriately approved, published, and distributed in designated and authorized publications for use and guidance. This policy outlines the drafting, review, approval, and distribution processes for administrators, business, and safety policies and procedures.
Distribution

- Convert to HTML and PDF
- Upload to UNIX
- Notify University
- Save old section in archive media

You should now know:

- How to locate manuals online.
- How to find information in manuals.
- How manuals are updated and how to find out when manuals are updated.

Records Retention

Deb Bartlett
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Office of Procedures, Records, and Forms
509-335-2005
Training Objectives: Records

- State definition of records.
- How to find out how long to keep records.
- Which records are confidential.
- How to dispose of records.

Records Retention: What are we talking about?

Management of records for the period of time between record creation and record disposition.

What we do with it and how long we keep it.

Why do we keep records at WSU?

- We need to document our business.
- We need to meet requirements of laws/regulations.
- We need to be able to recreate the history of WSU.
State of Washington Records

Any paper, photograph, film, sound recording, map drawing, machine-readable material or other document, regardless of physical form, made or received by the state in connection with the transaction of public business.
(From RCW 40.14.010)

Legal Requirement: RCW 40.14

University records are public records. Public records may not be destroyed, microfilmed, or transferred to archives without authorization.

Records Officer

- Coordinates University's records retention program.
- Prepares retention schedules.
- Liaison with State Records Committee.
Responsibility for Records

- Primary responsibility resides with each individual University office.
- The unit director/manager/Chair designates a departmental records coordinator.

Records Coordinator

- Liaison with Records Officer
- Notifies Records Officer changes in office records.
- Files and refers to records retention schedules.
- Applies retention standards to records.

Why not just keep everything?

- Must look through it.
- Must track it.
- Takes up expensive space.
- Causes additional processing in litigation, audit, or public records requests.
Some records are essential records.

Records you would need to restart your operation after a catastrophe. See 90.15.

Back up and store offsite.

1997 Kincaid Fire - UW

All-University Records Retention Schedule
BPPM 90.01
### All-University Records Retention Schedule

#### Administrative-General Office Operations

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Electronic records must be retained in electronic format and remain usable, searchable, retrievable and authentic for the length of the designated retention period.

Printing and retaining a hard copy is **not** a substitute for the electronic version.
**State Imaging Standards**

- Must be observed when agency wants to use the image as the record copy and dispose of paper original.
- Not required when agency uses the image as a working copy and retains the paper original for the approved retention period.
- To obtain a copy of or a link to the standards, contact Office of Procedures, Records, and Forms. See also BPPM 90.21.

**E-Mail, Text, Voicemail, and Social Media**

- Most e-mail, text, voicemail, and social media messages are transitory communications.
- Some e-mail, text, voicemail, and social media messages are public records requiring retention. Evidence of official policies, actions, decisions, or transactions.
- See BPPM 90.03.

**Saving Text, Voicemail, and Social Media Messages**

- To save text or social media messages, manually:
  - Send the messages to a University email account. Save as email.
  - Save the messages to a University-controlled server or content management system.
- To save voicemail messages:
  - Contact applicable telephone provider.
  - Use Single Inbox Messaging to save message as .WAV file attachment to University email.
Manage Your E-mail

- Don't let thousands of e-mail messages clutter your e-mail account.
- Delete immediately if you don't need it.
- Have a timetable for reviewing e-mail.
- Store e-mails with longer-term retentions in special folders in Outlook or elsewhere (e.g., your computer, a shared drive).

Important to Remember:

E-mail, text, social media, and voicemail messages created to conduct University business are public records EVEN IF the messages are sent from or received on personal devices, e.g., cell phones, tablets, laptops.

Washington State University

Court: Texts on public employee's cellphone public records

BY NATHAN BACCHUS
Associate Editor

TACOMA -- The Washington Supreme Court on Thursday announced it held that public employees could not delete text messages sent and received on a personal cellphone are public records.

The ruling stems from a case filed by Pierce County Sheriff's Detective Rhonda Nixson, who was assigned to the county's public records officer.

Nixson had said the county, which required employees to delete text messages from their personal cellphones, did not have to turn over the messages to her.

The university declined to turn over text messages that were made and received on the private cellphone.
Determining Retention

- Legal requirements.
- Fiscal and audit requirements
- Functional needs of office
- Historical and archival requirements.

To schedule a record:

- Check the All-University Schedule in BPPM 90.01.
- Check any unique departmental schedule.
- Complete a Retention Schedule Review form (see 90.01.8). Route to PR&F.
- Procedures, Records, and Forms prepares a draft.
- Approvals by department, records officer, State Records Committee.

Retention Schedule Superseded

- Litigation holds
- Public records requests
- Audits
Andersen guilty

Andersen guilty of accounting firm's destruction of justice. All but closing the doors of the former mighty accounting firm.

After a six-week trial and 10 days of deliberations, jurors convicted Andersen for obstructing justice when he destroyed Enron Corp. documents while on notice of a federal investigation. Andersen had claimed that he had destroyed the documents in good faith, but the judge said that he had used a computer to destroy documents away from the regulator.

Andersen now faces up to 5 years probation plus a $500,000 fine.

The 12-member jury reconvened at the Houston courthouse at 10 a.m. ET and shortly thereafter reviewed that they had a verdict. Judge Rhonda Harmon read the instructions at 10:23 a.m. ET. Later, when the jurors were polled, they all agreed: "Guilty."

Government lawyer Andrew Karounom said the case was a signal. "When you suspect the police, don't destroy evidence," he said. "For Andersen, the police was the Department of Justice in Houston."

Storage of Inactive Records

- WSU Pullman: Facilities Services, Capital at 509-335-5571
- Other locations: Campus facilities management
- Store records at State Records Center in Olympia
- Store inactive electronic records offline, e.g., tape, external hard drive, dedicated storage server

Note: State records must be kept in a state-approved facility.
Records Disposal

- Send to Manuscripts, Archives, and Special Collections (MASC).
  - See BPPM 90.02 for more information regarding archival records.
- Recycle.
- Make illegible if confidential.

Which records are confidential?

All records which are exempt from public disclosure in accordance with state law. (RCW 42.56)

Refer to BPPM 90.05, 90.06, 90.07.

Partial list of confidential records

- Personal information
- Lists for commercial purposes
- Application information
- Tests
- Library records
Disposal of Confidential Records

Records must be reduced to an illegible condition. (WAC 434-640-020)

Shredding

- University Recycling at WSU Pullman
- Commercial shredder (Iron Mountain)
- Departmental shredder

Destruction of Electronic Records

- Hard Drives
- CDs and DVDs
- Tapes
  - See “Specific Item or Transaction Requirements” in BPPM 20.76 for more information regarding destruction of digital media.
You should now know:

• State definition of records
• How to read a records retention schedule
• How to schedule a record
• What to do with old records
• How to determine if a record is confidential
• How to dispose of records

Questions???
Contact PR&F

• Telephone 509-335-2005
• E-mail dbartl@wsu.edu
• E-mail faerber@wsu.edu
• E-mail prf.forms@wsu.edu

This has been a WSU Training Videoconference

If you attended this live training session and wish to have your attendance documented in your training history, please notify Human Resource Services within 24 hours of today’s date:
hrstraining@wsu.edu