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

History Lesson

- 1972 State Audit Report
- Hard Copy BPPM, SPPM
- 1997 Online Manuals
- 2016 Board of Regents Policy Manual
- 2018 WordPress CMS website

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): https://policies.wsu.edu/prf/index/manuals/
• WSU Home Page
• A-Z Index
How to Find Information

- Search engine
- Contents pages
- Forms Index
- Cross references
**Business Policies and Procedures Manual**

**BUSINESS POLICIES AND PROCEDURES MANUAL**

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Announcing Revisions

- Procedures, Records, and Forms sends out an e-mail message on WSU Insider Announcements.

- To subscribe refer to:
  https://news.wsu.edu/

NOTE: Be sure to select the Daily Announcements link at the end of each day’s WSU Insider news e-mail message to view all of the day’s 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
Executive Policy Manual

PUBLISHED

Executive Policy #9

Revised Approved November 9, 2018

POLICY ON POLICIES

Summary

This policy establishes the development, approval, and publication process for systemwide university policies and procedures, as defined below:

Policy Statements

- Any change in or new procedure for policy approval and distribution, the university enhances operational efficiency, reduces institutional risk, and fosters compliance with applicable laws, rules, and regulations.

- University policies and procedures must be:
  - Written in an easily readable format
  - Approved by the appropriate university body and officials
  - Recorded in appropriate university policy publication materials

- Advisory guidelines that supplement university policies and procedures may be published and distributed as departmental websites.

Applicability

- This policy applies to systemwide university policies and procedures related to administrative, business, and safety functions that affect any or both university units.

Distribution

- Convert to HTML and PDF
- Upload to WordPress CMS
- 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

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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.
WASHINGTON STATE UNIVERSITY

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
(Preservation and Destruction of Public Records)

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.
- Ensures that department personnel apply retention standards to records held in their files and computers.
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
State Requirement

- WAC 434-662-040, effective January 1, 2009
- 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 account.

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.
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

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
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
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