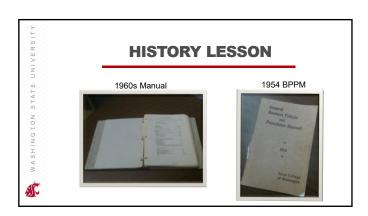


## Praining objectives: Manuals History of operations manuals at WSU. Why we have operations manuals. How to use online manuals. How the manuals are updated.



## • 1972 State Audit Report • Hard Copy BPPM, SPPM • 1997 Online Manuals • 2000 Executive Policy Manual



- 2016 Board of Regents Policy Manual
- 2018 WordPress CMS website

#### A

#### WHY HAVE THE 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.

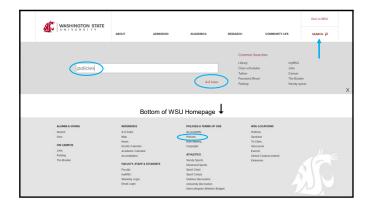
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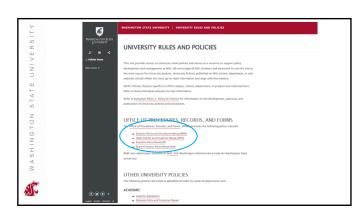
#### WHY HAVE THE MANUALS?

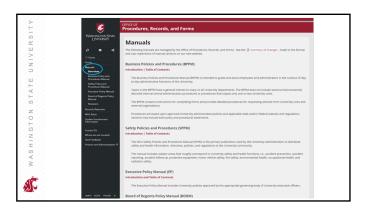
- Institutional memory
- Levels playing field
- Standardizes practices
- Promotes efficiency
- Consolidates location



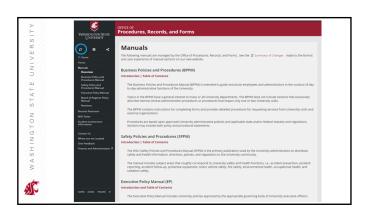


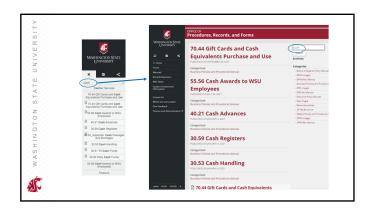


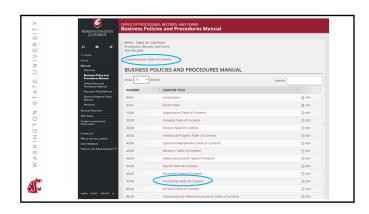


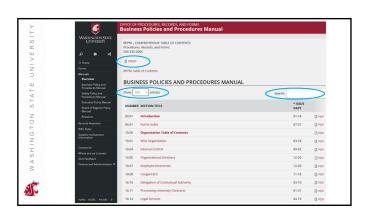


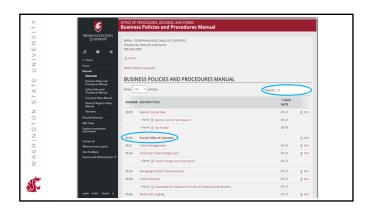


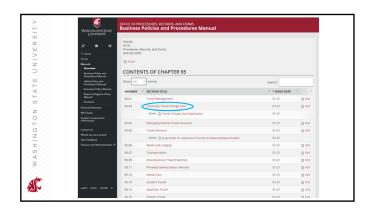


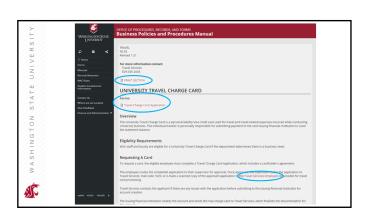




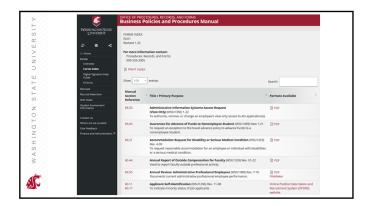


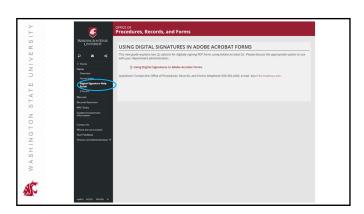




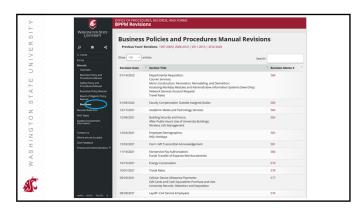




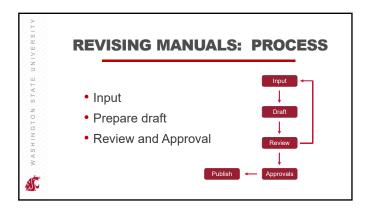




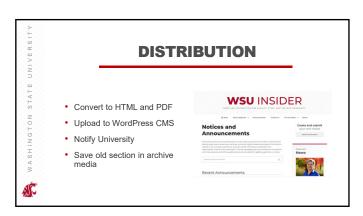
# ANNOUNCING REVISIONS Procedures, Records, and Forms sends out an e-mail message on WSU Insider Announcements. To subscribe refer to: news.wsu.edu/ NOTE: Be sure to select the View latest announcements link under Notices & Announcements at the end of each day's WSU Insider news e-mail message to view all of the day's announcements. Revision announcements are linked to the Manuals web page.











# WHAT DID YOU LEARN • How to locate manuals online. • How to find information in manuals. • How manuals are updated and how to find out when manuals are updated.



## 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.

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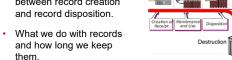
### **RECORDS RETENTION:** What are we talking about? Management of records

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

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AC



them.

## WASHINGTON STATE UNIVERSIT WHY DO WE KEEP RECORDS **AT WSU** · Document our business Meet requirements of laws/regulations Record 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. (RCW 40.14.010)

apps.leg.wa.gov/rcw/

#### **LEGAL REQUIREMENT**

RCW 40.14 (Preservation and Destruction Of Public Records)

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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 of 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.

#### AC

## WHY NOT JUST KEEP EVERYTHING?

- · Must search through it.
- Must track it.
- · Takes up expensive space.
- Causes additional processing in litigation, audit, or public records requests.



AC

## Records you would need to restart your operation after a catastrophe. See <u>BPPM 90.15</u> Back up and store offsite. Primary Offsite Store Store

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#### **TRANSITORY RECORDS**

- Have a retention and disposition action of "Retain until no longer needed for University business, then destroy."
- Some examples:
- Brainstorming and Collaborating
- Contact Information
- Electronic documents used to create signed paper records
- Informational notifications/communications
- Internet browsing
- Meeting arrangements



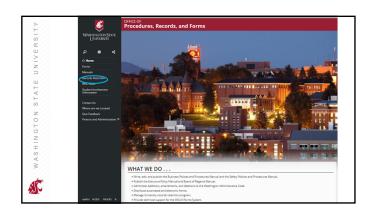


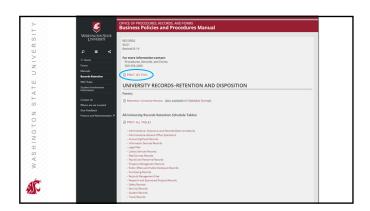
#### **Washington State University**

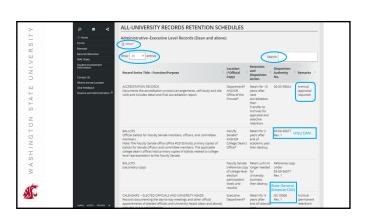
All-University Records Retention Schedule

**BPPM 90.01** 

policies.wsu.edu/prf/index/manuals/90-00-records/90-01-university-records-retention-disposition/







| WASHING                                    | TON STATE  |  |      |                           |   | RES, RECORD        | S, AN |
|--|--|--|------|---------------------------|---|--------------------|-------|
|  |  | RECORDS RETENTI  | ON 5 | CHEDULE                   |   | 700000             | 50    |
| MENO NO.                                   | AGNOTIFE   | CHICZ NAME   |      |                           |   | MAL CODE           | ٦     |
| 365  | Wichington State University  | Procedures, Records, and Forms   |      |                           | CONTACT BUSINESS                                    | DATE OF SURANT     |       |
| Joy Faerber                                | and delicted   |  |      |                           | 509-115-2005  | August 5, 2020     |       |
| STATUS<br>(No dwops fine bo-<br>landed as) | TRE/DESCRIPTION  |  | ON   | socimos or<br>other cores | RETENTION AND<br>DISPOSITION ACTION                 | ACTION NO.         |       |
| 174381                                     | This pretted privation schedule completely supercedes any and a                                      |  |      | om schedules for          | records unique to this of                           | See.               |       |
| _  |  | Refer to the AU-Chinesin's Schedule in \$2000,00.01 for releation a<br>FORMS LICES ON TABLES   |      |                           | Retain for 6 years after                            | 05-02-60800        | ŕ     |
| □ NEW                                      | Outabase used to generate number serie   | Outsbase used to generate number series for tracking WSU invoice vouchers. This database includes the WSU invoice (Receivables Sustem) fourniter File. |      |                           | superseded<br>then                                  | Rev. 0             |       |
| OSCONTO<br>D TRANSPER                      |  |  |      |                           | Destroy.  |                    |       |
| Distw                                      | REVIEW RECORD  | REVIEW RECORD  Outstage summary of opticies and procedures manuals revision drafts sent for  |      |                           | Retain for 6 years after<br>new section or revision | 05-02-608<br>Bey 0 |       |
| C) REVISED                                 | Outabase summary of policies and procedures manuals revision drafts sent for<br>review and approval. |  |      |                           | published   | 100.0              |       |
| D SKIDATO                                  |  |  |      |                           | then<br>Sestroy.                                    |                    |       |
| D NEW                                      | RULE MAKING (WASHINGTON ADMINIST<br>Records relating the development of Un                           |  | OPR  |                           | Retain for 6 years after<br>rule superseded?        | GS 10009<br>Bey, 1 |       |
| ☐ REVISED                                  | (washington administrative Code).<br>Includes, but is not limited to:                                | nesty rate and amendments  |      |                           | not proceeded with,                                 | Net. 1             |       |
| D BANGER                                   | . Records comprising the official Univer-  | ity rule making file in accordance with  |      |                           | Transfer to Archives for                            |                    |       |
| C) sources                                 | RCW 34.05.570(2); • Internal University documents describ-   |  |      |                           | permanent retention.                                |                    |       |
|  | preliminary drafts), such as notes, recon  | rmendations, intra-agency memoranda,   |      |                           |   |                    |       |
|  | Telated correspondence/communicati   | ons.   |      |                           |   |                    |       |
|  | Excludes: • Preliminary drafts covered by Drafting   | and Editing (DAN GS 50000; see All-Univ  |      |                           |   |                    |       |
|  | Recs Rtn Schedule-Admin-General Offic<br>• Rules development agendas in accords                      | e Rect);<br>ever with BOW NA ISS STA covered by  |      |                           |   |                    |       |
|  | Reporting to External Agencies (Mandati<br>8th Schedule - Admin-General Office Rec                   | ond IDAN GS 19004, see All-Univ Recs   |      |                           |   |                    |       |

## STATE REQUIREMENT FOR ELECTRONIC RECORDS

- 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.

app.leg.wa.gov/wac/

## 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 <u>BPPM 90.21</u>.





| DIGITAL          | COMMUN        | IICATION             |
|------------------|---------------|----------------------|
| E-Mail, Text, TE | EAMS, Voicema | il, and Social Media |

- Most e-mail, text, TEAMS, voicemail, and social media messages are transitory communications.
- Some of these messages are evidence of official policies, actions, decisions, or transactions, which are public records that require retention.
- See <u>BPPM 90.03</u>.



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## SAVING TEXT, SOCIAL MEDIAL AND TEAMS 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.



## SAVING VOICEMAIL MESSAGES



- Contact applicable telephone provider.
- Use Single Inbox Messaging to save message as .WAV file attachment to University e-mail account.



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#### **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).

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#### **ZOOM MEETINGS RETENTION**

Zoom meetings may be recorded by the presenter or meeting organizer.





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#### **IMPORTANT TO REMEMBER!**

E-mail, text, TEAMS, 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

#### PUBLIC RECORDS ON PERSONAL DEVICES

Washington state AUGUST 27, 2015

Court: Texts on public employee's cellphone public records

BY MARTHA BELLISL Associated Press

SEATTLE — The Washington Supreme Court or Thursday unanimously ruled that a public employee's work-related text messages sent and received on a private cellphone are public

The ruling came in a case filed by Pierce, County Sheriffs detective Glenda Nissen, had asked for Prosecutor Mark Lindquist's and text records. Nissen had sued the coun claiming Lindquist banned her from his offi after she criticized the prosecutor and back his opponent. The requests included taxts is he made and received on his private cellipho-

#### **DETERMINING RETENTION**

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





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#### **SCHEDULE A RECORD**

- Check the All-University Schedule in BPPM 90.01.
- Check any unique departmental schedule.
- Complete a <u>Retention Schedule Review</u> form and 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



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### **Money**.com A Click to Print NEW YORK (CNN/Money) - A jury Saturday found Arthur Andersen guilty of obstructing justice, all but sealing the fate of the once mighty accounting firm. After a six-week trial and 10 days of deliberations, jurors convicted Andersen for obstructing justice when it destroyed Ernon Corp. documents while on notice of a feetal investigation. Andersen had claimed that the documents were destroyed as part of its housekeeping duties and not as a ruse to keep Ernon documents away from the regulators.

#### **STORAGE OF INACTIVE RECORDS**

- . State records must be kept in a state facility
- Store inactive electronic records offline, (e.g., tape, external hard drive, dedicated storage server)
- · Store confidential records in a secure location
- WSU Pullman: Facilities Services, Capital at 509-335-5571



#### VETERINARY MEDICINE BUILDING DISASTER







#### **RECORDS DISPOSAL**

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

#### A

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## WHICH RECORDS ARE CONFIDENTIAL?

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

- BPPM 90.05 Release of Public Records
- BPPM 90.06 Release of Student Education Records
- BPPM 90.07 Release of Personnel Records



## PARTIAL LIST OF CONFIDENTIAL RECORDS

- Personal information
- Lists for commercial purposes
- · Application information
- FERPA/HIPAA
- Library records





## DISPOSAL OF CONFIDENTIAL RECORDS

Records must be reduced to an illegible condition.

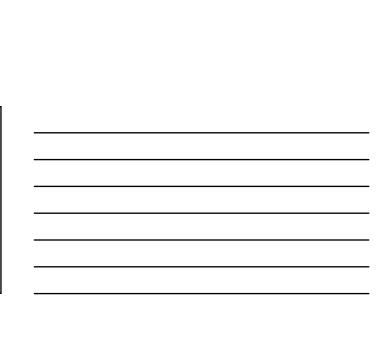
(WAC 434-640-020)



#### **SHREDDING**

- WSU Waste Management (Pullman)
   E-mail: waste.management@wsu.edu
- Non-Pullman campuses, contact campus Facilities Services
- Commercial shredder (Iron Mountain)
- Departmental shredder





## **DESTRUCTION OF ELECTRONIC RECORDS**

- Hard Drives
- CDs and DVDs
- Tapes



See "Specific Item or Transaction Requirements" in <u>BPPM</u> <u>20.76</u> for more information regarding destruction of digital media.

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#### WHAT DID YOU LEARN?

- · 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





### **NEED MORE INFORMATION?**



Contact Procedures, Records, and Forms
Telephone: 509-335-2005

Email: dbartl@wsu.edu | faerber@wsu.edu | prf.forms@wsu.edu

Visit the Washington Secretary of State website at: <a href="mailto:sos.wa.gov/archives/">sos.wa.gov/archives/</a>

(Click on Records Management > State Agencies)

