

WASHINGTON STATE UNIVERSITY

Administrative Policies and Procedures

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Office of Procedures, Records, and Forms

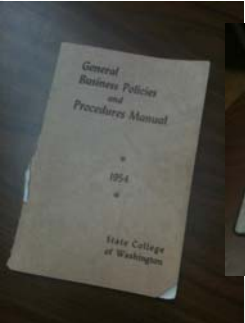
Revised October 2017

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
- 2000 Executive Policy Manual
- 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

The screenshot shows the WSU website's main navigation menu. A blue arrow points to the 'A-Z Index' link under the 'POLICIES & TERMS OF USE' section. Other sections include 'ALUMNI & GIVING', 'ON CAMPUS', 'REFERENCE', 'FACULTY, STAFF, & STUDENTS', 'ATHLETICS', and 'WSU LOCATIONS'.

The screenshot shows the WSU 'Home' page for 'WSU POLICIES'. The page lists various policies and manuals. Blue arrows point to 'Business Policies & Procedures Manual', 'Executive Policies Manual', and 'Safety Policies & Procedures Manual' in the 'Policy Manuals' list.

Revising Manuals: Sources

- Auditors
- Statutes/regulations
- Administrators
- Users

Revising Manuals: Process

- Input
- Prepare draft
- Review and approval

Washington State University
EXECUTIVE POLICY MANUAL

Executive Policy #5
Revision Approved September 25, 2014

Policy Approval and Distribution

[PDF link](#)

SUMMARY

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

POLICY

University personnel are to obtain appropriate approvals prior to publication of University policies and procedures.

University policies are to be consistent with provisions of the Washington Administrative Code and the Revised Code of Washington.


University policies and procedures are to be published and distributed in designated and approved publications and approved web locations.

Advisory guidelines which supplement University policies and procedures may be published and distributed from departmental websites.


APPLICABILITY

This policy applies to University policies, procedures, and advisory guidelines related to administrative, business, and safety functions that affect many or most University units.


Policies and procedures that affect operations at a single University campus; i.e., WSU Spokane, WSU Tri-Cities, WSU Vancouver; are reviewed and approved by the responsible chancellor and distributed on the campus website. Such policies and procedures are to be consistent with provisions of the Washington Administrative Code. Preliminary review by applicable offices indicated under "Preliminary Review/Approval" below should be considered, particularly the Office of Internal Audit and the Office of the Attorney

 **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**

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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

Contents of Chapter 90

[PDF link](#)

SECTION TITLE	NUMBER	PAGES	ISSUE DATE
University Records—Retention and Disposition	90.01	1-8	07-16
Form: Retention Schedule Review	90.01	9	07-06
Tables: All-University Records Retention Schedules:			
Administrative—Executive Level Records (Dean and above)	90.01	10-12	07-17
Administrative—General Office Operations	90.01	13-21	07-17
Accounting/Fiscal Records	90.01	22-29	07-17
Information Services Records	90.01	30-31	07-17
Legal Files	90.01	32	07-17
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Public Affairs and Public Disclosure Records	90.01	52-56	07-17
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Records Management Files	90.01	59-61	07-17
Research and Sponsored Projects Records	90.01	62-63	07-17
Safety Records	90.01	64-70	07-17
Security Records	90.01	71-72	07-17
Student Records	90.01	73-78	07-17
Travel Records	90.01	79	07-17

BUSINESS POLICIES AND PROCEDURES MANUAL **RECORDS**
90.01, 57
Revised 7-17
Procedures, Records, and Forms
509-335-3005

ALL-UNIVERSITY RECORDS RETENTION SCHEDULE

RECORD SERIES TITLE—FUNCTION/PURPOSE	LOCATION (OFFICIAL COPY)	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY AND	REMARKS
REQUEST PERMIT AUTHORIZATION Includes University approval to apply for a Barquent Permit	Accounts Payable*	Retain for 2 years after end of fiscal year, then destroy	11-12-6344	
Purchasing Department (secondary copies)	Purchasing Department (secondary copies)	Retain for 2 years after end of fiscal year, then destroy	11-12-6344	Secondary copy
	Compton Union Admin (secondary copy)	Retain until end of fiscal year, then destroy	11-12-6344	Secondary copy
BOB AND PROPOSALS – SUCCESSFUL Records relating to bids and proposals made by other parties to provide the University with goods, services, products or other benefits, which are accepted by the University. Records do not include: <ul style="list-style-type: none"> • Request for proposal or bid (RFPP), request for qualifications and evaluation (RFQ), solicitations, etc. • Notices (filed with newspaper), etc. • Bid proposals, evaluation documents, statements of qualifications, applications, etc. • Includes records covered by: <ul style="list-style-type: none"> • Bids and Proposals - Unsuccessful (DAN GS 06027) • Contracts and Agreements (DAN GS 57000, see Acc/Fiscal Files 5836) 	AVP Finance* OR Department*	Retain for 8 years after expiration of purchase or fulfillment of contract, then destroy	GS 06024 Rev. 1	
	Department (reference copy)	Retain until active purchase expired, then destroy	GS 06024 Rev. 1	Secondary copy
	Purchasing Dept*	Retain for 3 years after bid award or cancellation, then destroy	GS 06027 Rev. 1	Secondary copy
Department (reference copy)	Purchasing Dept*	Retain until active purchase expired, then destroy	GS 06027 Rev. 1	Secondary copy
	Department (reference copy)	Retain until active purchase expired, then destroy	GS 06027 Rev. 1	Secondary copy
CREDIT CARD ADMINISTRATION FILES- CARD ISSUED Provide program administrative documentation related to credit and accounts, without reference, and	Accounts Payable* OR Travel Services*	Retain for 8 years after termination of agreement, then destroy	GS-07-60331 revision 1	

BUSINESS POLICIES AND PROCEDURES MANUAL		RECORDS 90.01.13 Revised 7-17 Procedures, Records, and Forms 509-335-3005		
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
ADVISORY BODY RECORDS Records documenting the actions, meetings and proceedings of advisory boards, committees, commissions, task forces, etc. that are established by the University in an advisory capacity to the University and have no final authority. Includes, but is not limited to: <ul style="list-style-type: none"> Advisory committees National/International Advisory Bodies for which the University acts as secretariat/secretary of the office records. Includes, but is not limited to: <ul style="list-style-type: none"> Agencies, management packets (briefs, reference materials, etc.) Agencies, meeting agendas packets (briefs, reference materials, etc.) Agencies, meeting recordings and transcripts of proceedings, if available Agencies, response responses/communications sent/received as part of the study Agencies, correspondence and correspondence/communications Selected images/photographs showing the committee membership at particular points in time (such as board/committee packets, etc.) or other significant stages of the board/committee's life Excludes records covered by: <ul style="list-style-type: none"> Governing Executive/Policy Setting Body Records (DAN GS 1004, see Annex E/see List/see table) Meeting Materials - Members' Contact Notes (DAN GS 1002) Meetings - Staff and Internal Committees (DAN GS 1003) 	Department	Retain for 8 years after end of calendar year. Transfers to DSU for appraisal and selective retention.	GS 1004	Annual appraisal required.
AWARD FILES Provides a record of application and related materials for national, regional, and statewide awards presented by the University. Includes, but is not limited to: awards presented by the Office of the Provost and Executive Vice President for Faculty Recognition - Merit Awards; Faculty Awards of the Year; Burlington Northern, Bryn Mawr Awards; awards presented by WSU Extension.	Department	Retain for 2 years after award.	18-GS-55981	Annual appraisal required.
BRAINSTORMING AND COLLABORATING Records generated as part of the brainstorming/collaboration process. Includes, but is not limited to: <ul style="list-style-type: none"> Notes written on whiteboards, flipcharts, transparencies 	Department	Retain until no longer needed for University business, then destroy.	GS 3008	

WASHINGTON STATE UNIVERSITY		RECORDS RETENTION SCHEDULE		PROCEDURES, RECORDS, AND FORMS 90.01.13 (DAN GS 1003)	
3005 Washington State University Procedures, Records, and Forms Revised 10-28-2015 Date of Approval: Nov 14, 2017					
<input type="checkbox"/> New <input type="checkbox"/> Revised <input type="checkbox"/> Deleted <input type="checkbox"/> Transferred	ADVISORY BODY RECORDS This record retention schedule completely encompasses any and all previous schedules for records under this series. Refer to the All-University Schedule in WSP0101 for other points of record retention in the University system.	006	10-28-2015	90-1004	Annual appraisal required.
<input type="checkbox"/> New <input type="checkbox"/> Revised <input type="checkbox"/> Deleted <input type="checkbox"/> Transferred	AWARD FILES Provides a record of application and related materials for national, regional, and statewide awards presented by the University. Includes, but is not limited to: awards presented by the Office of the Provost and Executive Vice President for Faculty Recognition - Merit Awards; Faculty Awards of the Year; Burlington Northern, Bryn Mawr Awards; awards presented by WSU Extension.	008	10-28-2015	18-GS-55981	Annual appraisal required.
<input type="checkbox"/> New <input type="checkbox"/> Revised <input type="checkbox"/> Deleted <input type="checkbox"/> Transferred	BRAINSTORMING AND COLLABORATING Records generated as part of the brainstorming/collaboration process. Includes, but is not limited to: <ul style="list-style-type: none"> Notes written on whiteboards, flipcharts, transparencies 	009	10-28-2015	GS 3008	
<input type="checkbox"/> New <input type="checkbox"/> Revised <input type="checkbox"/> Deleted <input type="checkbox"/> Transferred	CONTACT INFORMATION Records relating to the contact details of external clients/stakeholders the University has gathered/received and the maintenance of such information. Includes, but is not limited to: <ul style="list-style-type: none"> Business cards Contact details stored in Microsoft Outlook and other contact databases Mailing lists, email distribution lists, listserv/RSST subscriber details, etc. Requests to be added/removed from the University's contact lists (includes mail/communications returned as undeliverable) Quality assurance checks Related correspondence/communications Excludes records covered by Emergency/Disaster Preparedness - Contact Information (DAN GS 2504, see Security Files table).	010	10-28-2015	GS 5007	
<input type="checkbox"/> New <input type="checkbox"/> Revised <input type="checkbox"/> Deleted <input type="checkbox"/> Transferred	DRAFTING AND EDITING Records relating to the drafting/creating of correspondence, documents and publications. Includes, but is not limited to: <ul style="list-style-type: none"> Preliminary drafts not covered by a more specific records series, not needed as evidence of external consultation or as evidence that the University practiced due diligence in the drafting process Edits/suggestions/revisions (such as handwritten annotations, track changes information/comments in Microsoft Word, etc.) Electronic documents created solely for printing (such as signs, mailing labels, etc.) Related correspondence/communications Excludes records covered by Legal Advice and Issues (DAN GS 1803, see Legal Files table).	011	10-28-2015	GS 3008	

APPROVED BY: Deborah Barlett

WASHINGTON STATE UNIVERSITY		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
CONTACT INFORMATION Records relating to the contact details of external clients/stakeholders the University has gathered/received and the maintenance of such information. Includes, but is not limited to: <ul style="list-style-type: none"> Business cards Contact details stored in Microsoft Outlook and other contact databases Mailing lists, email distribution lists, listserv/RSST subscriber details, etc. Requests to be added/removed from the University's contact lists (includes mail/communications returned as undeliverable) Quality assurance checks Related correspondence/communications Excludes records covered by Emergency/Disaster Preparedness - Contact Information (DAN GS 2504, see Security Files table).	Department	Retain until no longer needed for University business, then destroy.	GS 5007	
DRAFTING AND EDITING Records relating to the drafting/creating of correspondence, documents and publications. Includes, but is not limited to: <ul style="list-style-type: none"> Preliminary drafts not covered by a more specific records series, not needed as evidence of external consultation or as evidence that the University practiced due diligence in the drafting process Edits/suggestions/revisions (such as handwritten annotations, track changes information/comments in Microsoft Word, etc.) Electronic documents created solely for printing (such as signs, mailing labels, etc.) Related correspondence/communications Excludes records covered by Legal Advice and Issues (DAN GS 1803, see Legal Files table).	Department	Retain until no longer needed for University business, then destroy.	GS 3008	

INFORMATIONAL NOTIFICATIONS/COMMUNICATIONS	Department*	Retain until no longer needed for University business, then destroy.	GS 50001 Rev. 2
<p>Records communicating descriptive short-term information (regardless of format or media used) that:</p> <ul style="list-style-type: none"> Do not document University decisions/actions. Are not used as the basis of University decisions/actions, and Are not covered by a more specific records series. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Basic messages such as "Come and see me when you're here," "Call me back at (509) 555-5555," etc. Internal communications notifying of staff absences or absences (such as "Stop is out today," "Mary is running late," etc.), provided the appropriate attendance and leave records are retained in accordance with the appropriate records series, see All-User Records Retention Schedule-Payroll/Personnel Records table. Internal communications notifying of staff social events/gatherings (such as picnics, birthdays, fun runs, cookies in the break room, etc.) or of weather/traffic conditions (such as "Avoid I-5, it's a parking lot," "Take care - it has started snowing," etc.) Email delivery/read receipts, out-of-office notices, etc. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> Provision of Advice, Assistance or Information (DAN GS 09022). Attendance and leave records (Note for WSU purposes: See Multiple Series in the All-User Records Retention Schedule-Payroll/Personnel Records table). 			
INTERNET BROWSING	Department*	Retain until no longer needed for University business, then destroy.	GS 50010
<p>Records routinely generated as part of internet browsing, includes, but is not limited to:</p> <ul style="list-style-type: none"> Browsing history/saved passwords/web form information, etc. Cached/temporary files. Cookies. <p>Excludes internet activity log records covered by Audit Trails and System Usage Monitoring (DAN GS 14005; see Info Svcs Records table).</p>			

REFERENCE MATERIALS	Department*	Retain until no longer needed for University business, then destroy.	GS 50013
<p>Materials gathered from outside sources for reference/reading use which are not evidence of the University's business transactions, includes, but is not limited to:</p> <ul style="list-style-type: none"> Conference materials (such as proceedings, handouts, etc.) from conferences/seminars not organized by the University. Copies of published articles, reports, etc.: <ul style="list-style-type: none"> Internet browser favorites/bookmarks. Library/RSS feeds. <p>Excludes records covered by Secondary (Duplicate) Copies (DAN GS 50005).</p>			
SECONDARY (DUPLICATE) COPIES	Department*	Retain until no longer needed for University business, then destroy.	GS 50005 Rev. 1
<p>Copies of records (created or received), provided that the University retains the primary copy of the record in accordance with the current approved minimum retention period. Includes, but is not limited to:</p> <ul style="list-style-type: none"> Data extracts and printouts from University information systems. Copies of emails, provided the University is retaining its primary copy of the email. Convenience/reference copies of records. Duplicate and near-duplicate images/photographs provided the selected "best" image(s) documenting the occasion/object is retained. <p>Excludes records which are the University's only copy of the record, even if it is held by another agency.</p> <p>NOTE: This does not apply to records series that have stated retention periods for secondary copies.</p>			

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

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 AUGUST 27, 2015

Court: Texts on public employee's cellphone public records


BY MARTHA BELLISLE
Associated Press

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

The ruling came in a case filed by Pierce County Sheriff's detective Glenda Nissen, who had asked for Prosecutor Mark Lindquist's call and text records. Nissen had sued the county claiming Lindquist banned her from his office after she criticized the prosecutor and backed his opponent. The requests included texts that he made and received on his 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

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Andersen guilty Once grand accounting firm now faces five years probation, \$500,000 fine and possibly its own end.
 June 16, 2002: 4:43 PM EDT
 By Luisa Beltran, Brett Gering and Alice Martin

NEW YORK (CNNMoney) - 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 Enron Corp. documents while on notice of a federal investigation. Andersen had claimed that the documents were destroyed as part of its housekeeping duties and not as a ruse to keep Enron documents away from the regulators.

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


The 12-member jury reconvened at the Houston court house at 10 a.m. ET and shortly thereafter declared that they had a verdict. Judge Melinda Harmon read the decision at 10:25 a.m. ET. Later, when the jurors were polled, they all individually said "guilty."

Government lawyer Andrew Weissmann said the case sends a signal. "When you expect the police, don't destroy evidence," he said. "For Andersen, the police was the [Securities and Exchange Commission]."


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

WASHINGTON STATE UNIVERSITY



**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
