Administrative Policies and Procedures

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Office of Procedures, Records, and Forms

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

Office of Procedures, Records, and Forms

Manuals

The following manuals are managed by the Office of Procedures, Records, and Forms. See the Summary of Changes made to the format and user experience of manual sections on our new website.

Business Policies and Procedures (BPPM)

Introduction | Table of Contents

The Business Policies and Procedures Manual (BPPM) is a guide and assist employees and administrative staff in the conduct of day-to-day administrative functions of the University.

Topics in the BPPM have a general interest to many or all university departments. The BPPM does not include sections that exclusively describe internal service administration procedures or procedures that impact only one or two university units.

This document contains instructions for completing forms and provides detailed procedures for requesting services from university units and external organizations.

Policy and Procedures (SPPM)

Introduction | Table of Contents

The Safety Policies and Procedures Manual (SPPM) is the primary publication used by the university administration to distribute safety and health information, directives, policies, and regulations to the university community.

The manual includes subject areas that affect individual and health factors, i.e., accident prevention, emergency reporting, accident follow-up, protective equipment, motor vehicle safety, fire safety, environmental health, occupational health, and radiation safety.

Executive Policy Manual (EPM)

Introduction | Table of Contents

Executive policy is an official statement of institutional policy and practice, and are developed and approved by the president and his/her designee.

Instructions for completing forms are provided in the appendices and procedures for requesting services from university units and external organizations.
### Business Policies and Procedures (BPPM)

**Introduction / Table of Contents**

The Business Policies and Procedures Manual (BPPM) is intended to guide and assist employees and administrators in the conduct of day-to-day administrative functions of the university. Topics in the BPPM have a general interest to many or all university departments. The BPPM does not include sections that exclusively describe internal control administrative procedures or procedures that impact only one or two university units.

The BPPM consists of instructions for completing forms and provides detailed procedures for requesting services from university units and external organizations.

Sections are based on approved university administrative policies and applicable state and federal statutes and regulations. Sections may include both policy and procedure statements.

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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://insider.wsu.edu/

NOTE: Be sure to select the Daily Announcements link at the end of each day’s WSU Insider news email 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
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
(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

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

#### Administrative-General Office Operations

<table>
<thead>
<tr>
<th>Record Series Title:</th>
<th>Function/Purpose</th>
<th>Location</th>
<th>Department</th>
<th>Retention and Disposition Action</th>
<th>Disposition Authority</th>
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<tr>
<td>Advisory Body Records</td>
<td>Records documenting the actions, meetings and membership of boards, commissions, committees, councils, task forces, etc., that are created to act only in an advisory capacity to the University and have no final decision-making powers. Also includes management/interdepartmental advisory bodies for which the University acts as secretary/chair of the official record series, includes, but is not limited to:</td>
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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 a 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.

Washington state court decision

Court: Texts on public employee’s cellphone public records

BY MARTIN MILLER
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 Linda Nissen, who has asked foressler Kent Univaud’s cell

The order was vetoed by the governor and blocked by an appeals court. 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
Andersen guilty once grand accounting firm now faces five years probation, $500,000 fine and possibly its own end.
By Clare Barron, 18:34 PM PDT
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 $200,000 fine.
The 12-member jury reconvened at the Houston courthouse at 10 a.m. ET and shortly thereafter declared that they had a verdict. Judge Melinda Harmon read the decision at 10:26 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 expedite 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 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

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