WASHINGTON STATE UNIVERSITY

Administrative Policies and Procedures

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Office of Procedures, Records, and Forms

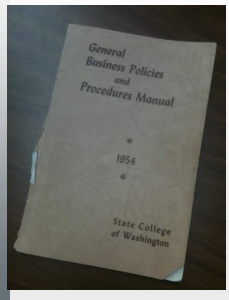
Revised August 2021

Training Objectives: Manuals

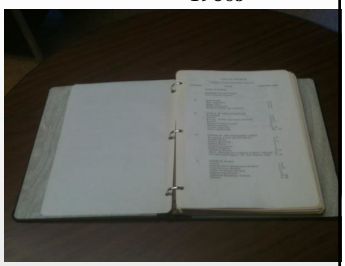
- History of operations manuals at WSU.
- Why we have operations manuals.
- How to use online manuals.
- How the manuals are updated.

History Lesson

1954 BPPM

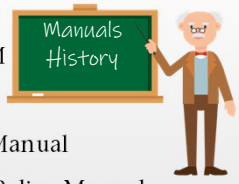


1960s



History Lesson

- 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



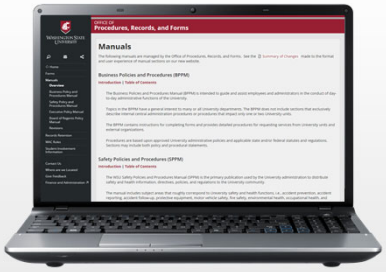
Why Have Manuals?

- **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.

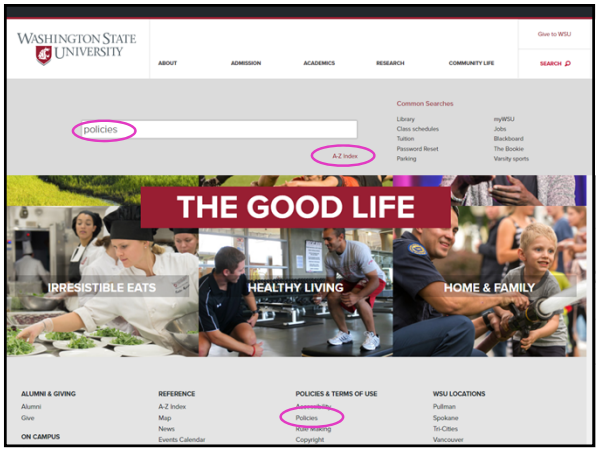
Why Have Manuals?

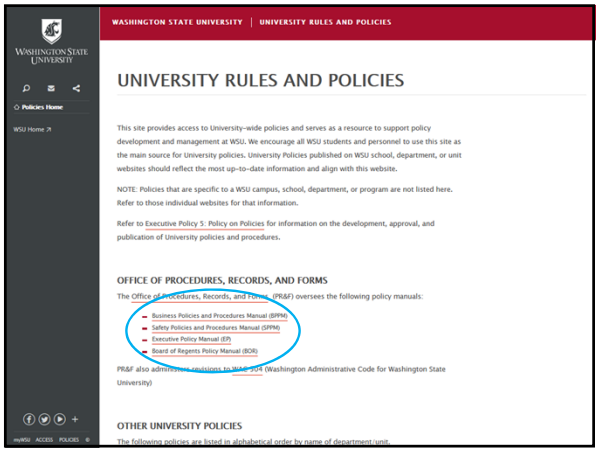
- Institutional memory
- Levels playing field
- Standardizes practices
- Promotes efficiency
- Consolidates location

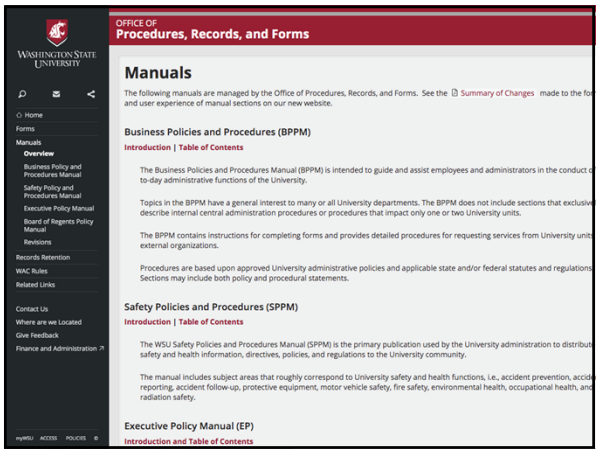
Where to Find Manuals



policies.wsu.edu/prf/index/manuals



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Manuals
The following manuals are managed by the Office of Procedures, Records, and Forms. See the Summary of Changes made to the for
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 intended to guide and assist employees and administrators in the conduct
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 exclusiv
describe internal central administration procedures or procedures that impact only one or two University units.
The BPPM contains instructions for completing forms and provides detailed procedures for requesting services from University unit
external organizations.
Procedures are based upon approved University administrative policies and applicable state and/or federal statutes and regulations
Sections may include both policy and procedural statements.
Safety Policies and Procedures (SPPM)
Introduction | Table of Contents
The WSU Safety Policies and Procedures Manual (SPPM) is the primary publication used by the University administration to distribut
safety and health information, directives, policies, and regulations to the University community.
The manual includes subject areas that roughly correspond to University safety and health functions, i.e., accident prevention, accid
reporting, accident follow-up, protective equipment, motor vehicle safety, fire safety, environmental health, occupational health, an
radiation safety.
Executive Policy Manual (EP)
Introduction and Table of Contents

How to Find Information
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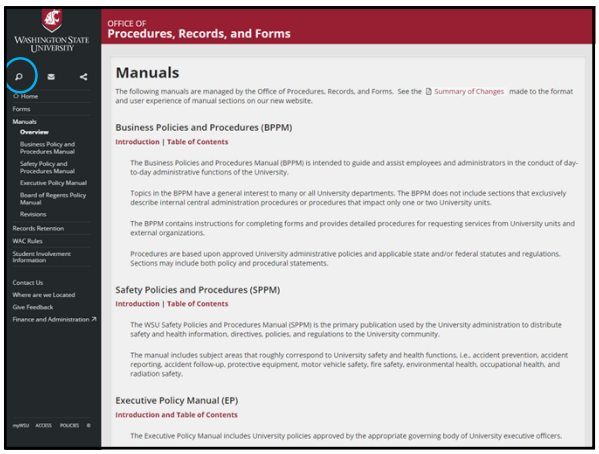
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Introduction and Table of Contents
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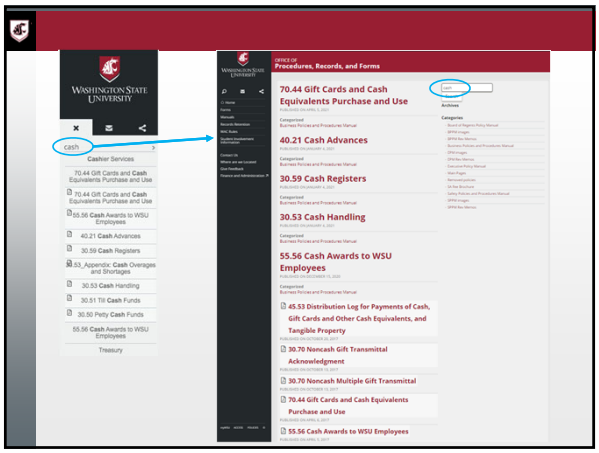
cash
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55.56 Cash Awards to WSU Employees
40.21 Cash Advances
30.59 Cash Registers
53_Appendix: Cash Overages and Shortages
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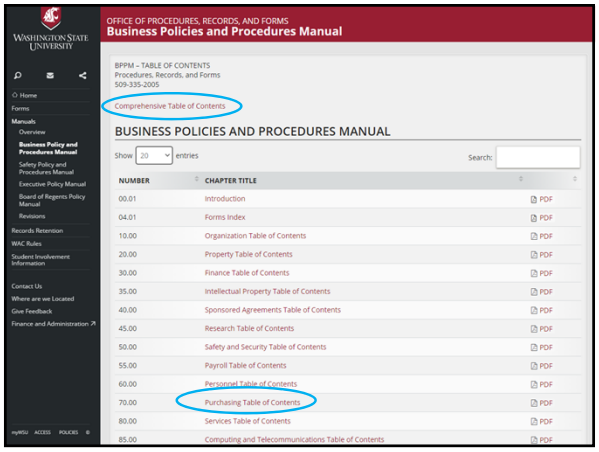
30.70 Noncash Gift Transmittal Acknowledgment
30.70 Noncash Multiple Gift Transmittal
70.44 Gift Cards and Cash Equivalents Purchase and Use
55.56 Cash Awards to WSU Employees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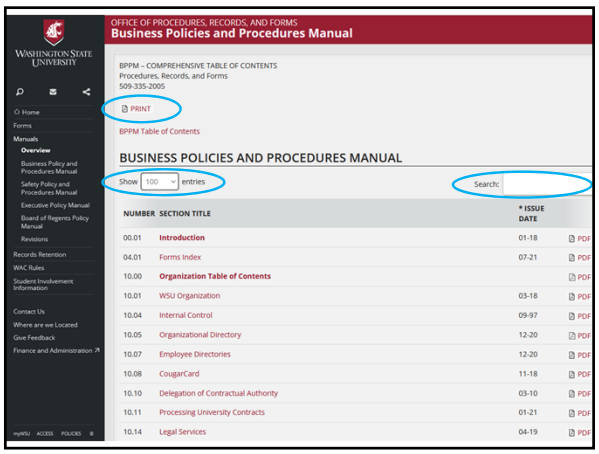
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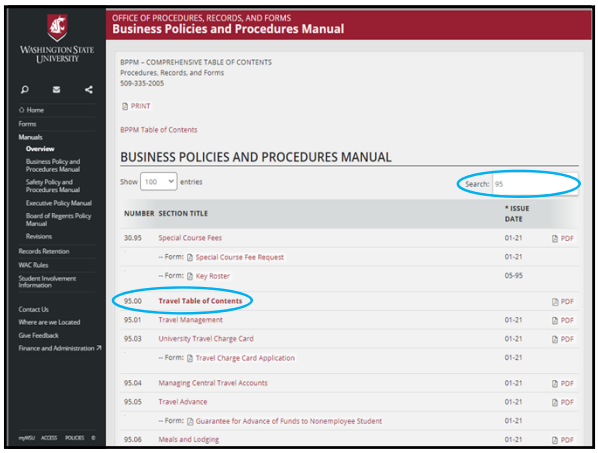
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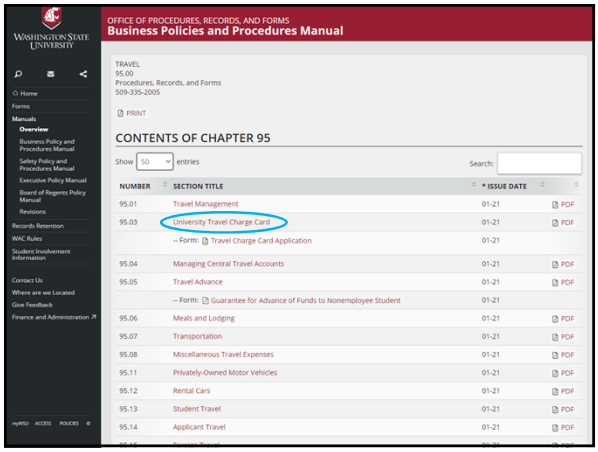
95.05 Travel Advance 01-21 PDF
-- Form: Guarantee for Advance of Funds to Nonemployee Student 01-21
95.06 Meals and Lodging 01-21 PDF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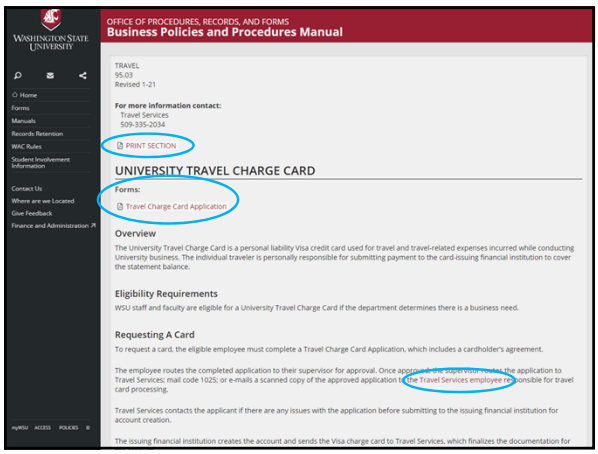
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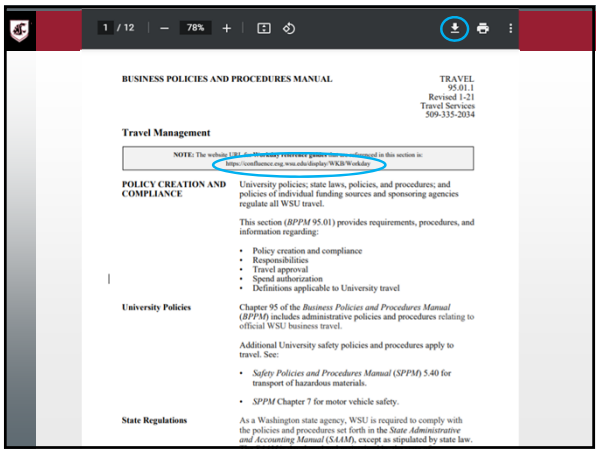
For more information contact:
Travel Services
509-335-2034
PRINT SECTION
UNIVERSITY TRAVEL CHARGE CARD
Forms:
Travel Charge Card Application
Overview
The University Travel Charge Card is a personal liability Visa credit card used for travel and travel-related expenses incurred while conducting University business. The individual traveler is personally responsible for submitting payment to the card-issuing financial institution to cover the statement balance.
Eligibility Requirements
WSU staff and faculty are eligible for a University Travel Charge Card if the department determines there is a business need.
Requesting A Card
To request a card, the eligible employee must complete a Travel Charge Card Application, which includes a cardholder's agreement.
The employee routes the completed application to their supervisor for approval. Once approved, the supervisor routes the application to Travel Services; mail code 1025; or e-mails a scanned copy of the approved application to the Travel Services employee responsible for travel card processing.
Travel Services contacts the applicant if there are any issues with the application before submitting to the issuing financial institution for account creation.
The issuing financial institution creates the account and sends the Visa charge card to Travel Services, which finalizes the documentation for



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BUSINESS POLICIES AND PROCEDURES MANUAL

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Travel Management

NOTE: The website URL for Workday reference guides that are mentioned in this section is:
https://confluence.esg.wsu.edu/display/WKB/Workday

POLICY CREATION AND COMPLIANCE

University policies; state laws, policies, and procedures; and policies of individual funding sources and sponsoring agencies regulate all WSU travel.

This section (*BPPM* 95.01) provides requirements, procedures, and information regarding:

- Policy creation and compliance
- Responsibilities
- Travel approval
- Spend authorization
- Definitions applicable to University travel

University Policies

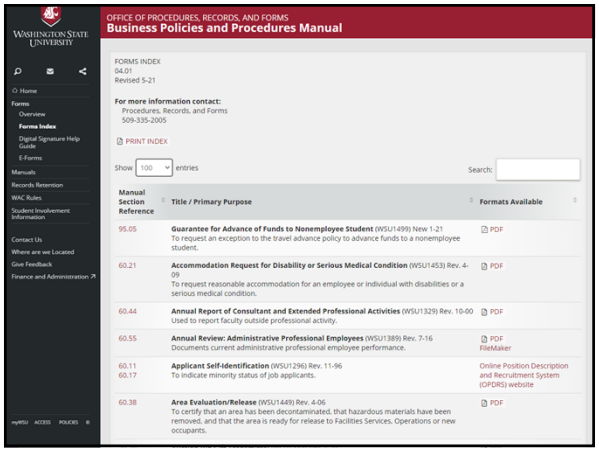
Chapter 95 of the *Business Policies and Procedures Manual* (*BPPM*) includes administrative policies and procedures relating to official WSU business travel.

Additional University safety policies and procedures apply to travel. See:

- *Safety Policies and Procedures Manual* (*SPPM*) 5.40 for transport of hazardous materials.
- *SPPM* Chapter 7 for motor vehicle safety.

State Regulations

As a Washington state agency, WSU is required to comply with the policies and procedures set forth in the *State Administrative and Accounting Manual* (*SAAM*), except as stipulated by state law.



WASHINGTON STATE UNIVERSITY

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PRINT INDEX

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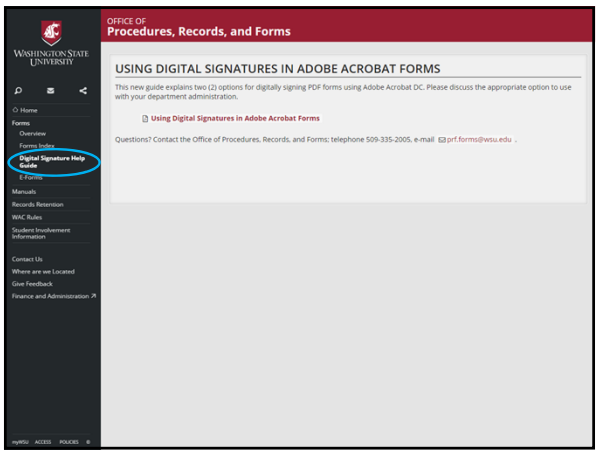
Manual Section Reference	Title / Primary Purpose	Formats Available
95.05	**Guarantee for Advance of Funds to Nonemployee Student** (WSU1499) New 1-21 To request an exception to the travel advance policy to advance funds to a nonemployee student.	PDF
60.21	**Accommodation Request for Disability or Serious Medical Condition** (WSU1453) Rev. 4-09 To request reasonable accommodation for an employee or individual with disabilities or a serious medical condition.	PDF
60.44	**Annual Report of Consultant and Extended Professional Activities** (WSU1329) Rev. 10-00 Used to report faculty outside professional activity.	PDF
60.55	**Annual Review: Administrative Professional Employees** (WSU1389) Rev. 7-16 Documents current administrative professional employee performance.	PDF FileMaker
60.11 60.17	**Applicant Self-Identification** (WSU1296) Rev. 11-96 To indicate minority status of job applicants.	Online Position Description and Recruitment System (OPDRS) website
60.38	**Area Evaluation/Release** (WSU1449) Rev. 4-06 To certify that an area has been decontaminated, that hazardous materials have been removed, and that the area is ready for release to Facilities Services, Operations or new occupants.	PDF

myWSU ACCESS POLICIES



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USING DIGITAL SIGNATURES IN ADOBE ACROBAT FORMS

This new guide explains two (2) options for digitally signing PDF forms using Adobe Acrobat DC. Please discuss the appropriate option to use with your department administration.

Using Digital Signatures in Adobe Acrobat Forms

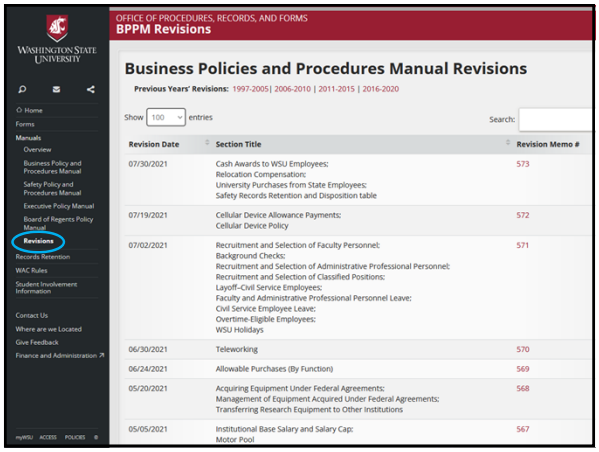
Questions? Contact the Office of Procedures, Records, and Forms; telephone 509-335-2005, e-mail prf.forms@wsu.edu .

myWSU ACCESS POLICIES

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.

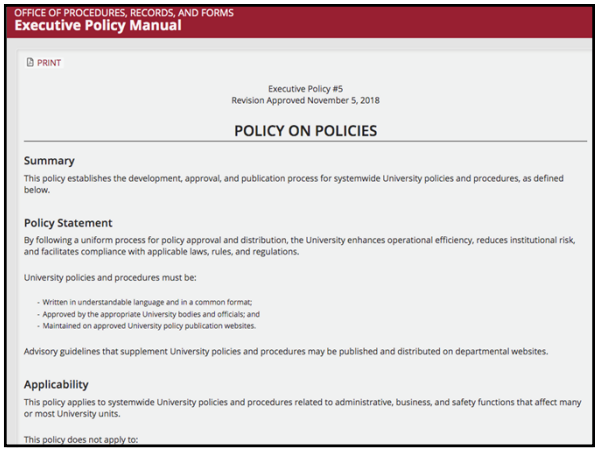


Revising Manuals: Sources

- Auditors
- Statutes/regulations
- Administrators
- Users

Revising Manuals: Process

- Input
- Prepare draft
- Review and approval



OFFICE OF PROCEDURES, RECORDS, AND FORMS
Executive Policy Manual

PRINT

Executive Policy #5
Revision Approved November 5, 2018

POLICY ON POLICIES

Summary

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

Policy Statement

By following a uniform process for policy approval and distribution, the University enhances operational efficiency, reduces institutional risk, and facilitates compliance with applicable laws, rules, and regulations.

University policies and procedures must be:

- Written in understandable language and in a common format;
- Approved by the appropriate University bodies and officials; and
- Maintained on approved University policy publication websites.

Advisory guidelines that supplement University policies and procedures may be published and distributed on departmental websites.

Applicability

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

This policy does not apply to:

Distribution

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

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.

Records Retention

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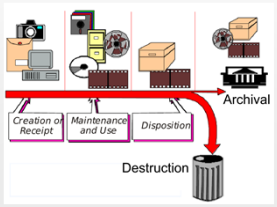
Office of Procedures, Records, and Forms
509-335-2005

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 records and how long we keep them.



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)

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.

State Records Committee ⟷ University Records Officer ⟷ Department Records Coordinators

Responsibility for Records

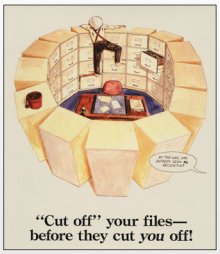
- Primary responsibility resides with each individual University office.
- The unit director/manager/chair designates a departmental records coordinator.

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.

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.



"Cut off" your files—before they cut *you* off!

Essential Records

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

Back up and store offsite.

1997 Kincaid Fire - UW

WASHINGTON STATE UNIVERSITY

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

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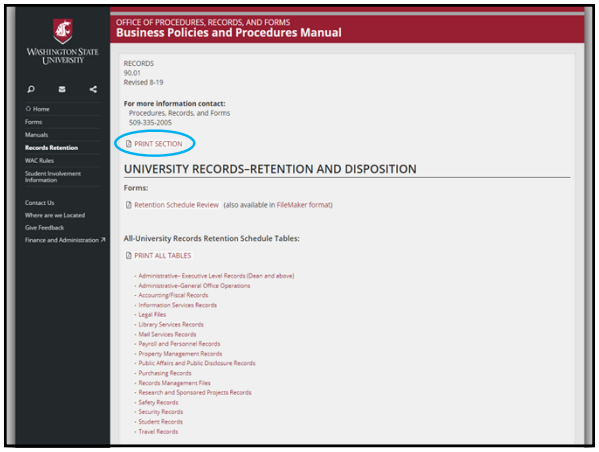
WHAT WE DO . . .
• Write, edit, and publish the Business Policies and Procedures Manual and the Safety Policies and Procedures Manual.
• Publish the Executive Policy Manual and Board of Regents Manual.
• Administer additions, amendments, and deletions to the Washington Administrative Code.
• Distribute automated and electronic forms.
• Manage University records retention program.
• Provide technical support for the WSU E-Forms System.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For more information contact:
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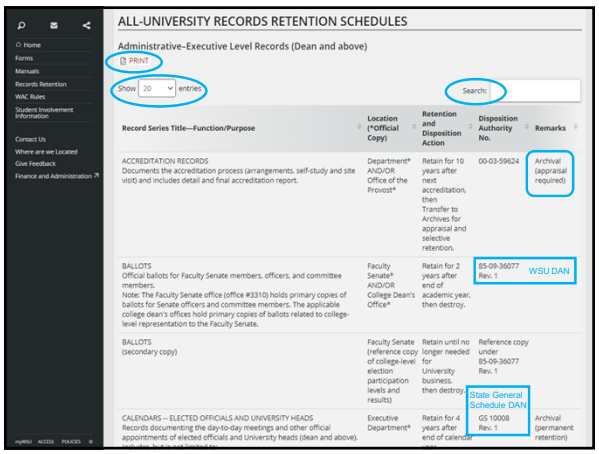
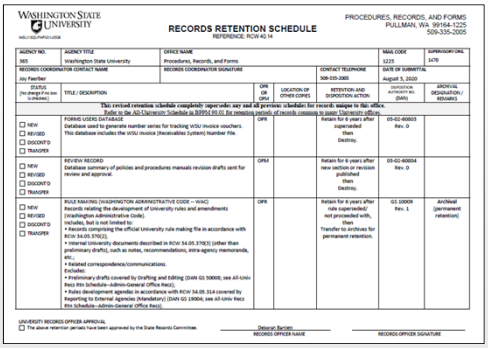
PRINT SECTION
UNIVERSITY RECORDS–RETENTION AND DISPOSITION
Forms:
Retention Schedule Review (also available in FileMaker format)
All-University Records Retention Schedule Tables:
PRINT ALL TABLES
- Administrative- Executive Level Records (Dean and above)
- Administrative-General Office Operations
- Accounting/Fiscal Records
- Information Services Records
- Legal Files
- Library Services Records
- Mail Services Records
- Payroll and Personnel Records
- Property Management Records
- Public Affairs and Public Disclosure Records
- Purchasing Records
- Records Management Files
- Research and Sponsored Projects Records
- Safety Records
- Security Records
- Student Records
- Travel Records


ALL-UNIVERSITY RECORDS RETENTION SCHEDULES
Administrative–Executive Level Records (Dean and above)
PRINT
Show 20 entries
Search:
Record Series Title—Function/Purpose
Location (*Official Copy)
Retention and Disposition Action
Disposition Authority No.
Remarks
ACCREDITATION RECORDS
Documents the accreditation process (arrangements, self-study and site visit) and includes detail and final accreditation report.
Department* AND/OR Office of the Provost*
Retain for 10 years after next accreditation, then Transfer to Archives for appraisal and selective retention.
00-03-59624
Archival (appraisal required)
BALLOTS
Official ballots for Faculty Senate members, officers, and committee members.
Note: The Faculty Senate office (office #3310) holds primary copies of ballots for Senate officers and committee members. The applicable college dean's offices hold primary copies of ballots related to college-level representation to the Faculty Senate.
Faculty Senate* AND/OR College Dean's Office*
Retain for 2 years after end of academic year, then destroy.
85-09-36077 Rev. 1
WSU DAN
BALLOTS
(secondary copy)
Faculty Senate (reference copy of college-level election participation levels and results)
Retain until no longer needed for University business, then destroy.
Reference copy under 85-09-36077 Rev. 1
State General Schedule DAN
GS 10008 Rev. 1
CALENDARS – ELECTED OFFICIALS AND UNIVERSITY HEADS
Records documenting the day-to-day meetings and other official appointments of elected officials and University heads (dean and above).
Executive Department*
Retain for 4 years after end of calendar
Archival (permanent retention)

Unique Departmental Retention Schedule



WASHINGTON STATE UNIVERSITY

RECORDS RETENTION SCHEDULE
REFERENCE: RCW 40.14

PROCEDURES, RECORDS, AND FORMS
PULLMAN, WA 99164-1225
509-335-2005

AGENCY NO.	AGENCY TITLE	OFFICE NAME		MAIL CODE	SUPERVISORY ORG.
365	Washington State University	Procedures, Records, and Forms		1225	1470
RECORDS COORDINATOR CONTACT NAME		RECORDS COORDINATOR SIGNATURE	CONTACT TELEPHONE	DATE OF SUBMITTAL	
Joy Fiecher			509-335-2005	August 5, 2020	

STATUS (for change if no box is checked)	TITLE / DESCRIPTION	OFM OR OPM	LOCATION OF OTHER COPIES	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NO. (DAN)	ARCHIVAL DESIGNATION / REMARKS
	This revised retention schedule completely supercedes any and all previous schedules for records unique to this office. Refer to the All-University Schedule in BPPM 90.01 for retention periods of records common to many University offices.					
☐ NEW ☐ REVISED ☐ DISCONT'D ☐ TRANSFER	FORMS USERS DATABASE Database used to generate number series for tracking WSU invoice vouchers. This database includes the WSU invoice (Receivables System) Number file.	OPR		Retain for 6 years after superseded then Destroy.	05-02-60003 Rev. 0	
☐ NEW ☐ REVISED ☐ DISCONT'D ☐ TRANSFER	REVIEW RECORD Database summary of policies and procedures manuals revision drafts sent for review and approval.	OPM		Retain for 6 years after new section or revision published then Destroy.	05-02-60004 Rev. 0	
☐ NEW ☐ REVISED ☐ DISCONT'D ☐ TRANSFER	RULE MAKING (WASHINGTON ADMINISTRATIVE CODE — WAC) Records relating the development of University rules and amendments (Washington Administrative Code). Includes, but is not limited to: • Records comprising the official University rule making file in accordance with RCW 34.05.370(1); • Internal University documents described in RCW 34.05.370(3) (other than preliminary drafts), such as notes, recommendations, intra-agency memoranda, etc., • Related correspondence/communications. Excludes: • Preliminary drafts covered by Drafting and Editing (DAN GS 50600, see All-Univ Recs Rtn Schedule--Admin-General Office Recs); • Rules development agendas in accordance with RCW 34.05.314 covered by Reporting to External Agencies (Mandatory) (DAN GS 19004, see All-Univ Recs Rtn Schedule--Admin-General Office Recs).	OPR		Retain for 6 years after rule superseded/ not proceeded with, then Transfer to Archives for permanent retention.	GS 10009 Rev. 1	Archival (permanent retention)

UNIVERSITY RECORDS OFFICER APPROVAL
☐ The above retention periods have been approved by the State Records Committee.

Deborah Bartlett
RECORDS OFFICER NAME

RECORDS OFFICER SIGNATURE

State Requirement For Electronic Records

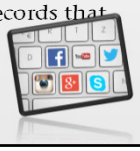
- WAC 434-662-040, effective January 1, 2009
- Electronic records must be retained in electronic format and remain usable, searchable, retrievable and authentic for the length of the designated retention period.
- Printing and retaining a hard copy is **not** a substitute for the electronic version.

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, TEAMS, Voicemail, 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 BPPM 90.03.



Saving Text, Social Media, 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.
- To save TEAMS messages:
  - With cursor hovering over message, click on:
    > Save this message

Saving Voicemail Messages

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

ZOOM Meetings Retention

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

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.

Public Records on Personal Devices

Washington state AUGUST 27, 2015

Court: Texts on public employee's cellphone public records

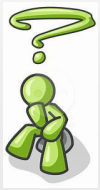
BY MARTHA BELLISLE
Associated Press

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

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



Schedule a Record

- Check the All-University Schedule in BPPM 90.01.
- Check any unique departmental schedule.
- Complete a Retention Schedule Review 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

CNNMoney.com

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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 (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 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

- 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 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)

- 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 BPPM 20.76 for more information regarding destruction of digital media.

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: sos.wa.gov/archives/
(Click on Records Management > State Agencies)

WASHINGTON STATE UNIVERSITY
Washington State University
Training Program
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