Exiting Employee Checklist for Records Management

Records Management Program
www.kingcounty.gov/recordsmanagement
206-477-6889
records.management@kingcounty.gov

Records created or retained in the course of King County business are the property of King County, regardless of the record type and where these records are stored. Per executive policy, all exiting employees must complete an inventory of the County records in their custody and transfer, file, or disposition them prior to departure.

While this may sound daunting, especially for employees who have not kept up with managing their records in the past, Records Management Program staff are here to help. You can reference our job aids for exiting employees, or you can contact us directly at records.management@kingcounty.gov or (204) 477-6889.

Employee Name ____________________ **Phone Number** ____________________

Job Title ____________________ **Department, Division, Section** ____________________

Supervisor Review Meeting Date ____________________ **Exit Date** ____________________

- [ ] Inventory records in your custody.
- [ ] Identify records related to public records requests, holds, audits, or investigations.
- [ ] Sort out and destroy transitory records.
- [ ] Separate remaining records into active records, inactive records, and records past retention.
- [ ] Migrate active records to a shared location.
- [ ] File inactive records using Content Manager.
- [ ] Complete Disposition Request Form(s) for records past retention.
- [ ] Disposition records past retention.
- [ ] Document the new location of the records in your inventory.
- [ ] Review your inventory with your supervisor.

My signature certifies that:

- I have completed the steps of the checklist to the best of my ability.
- I have properly identified records to the best of my knowledge.
- I am not taking any non-public or official record content from the agency without proper approval.
- I understand that there are criminal penalties for the unlawful destruction of records (RCW 40.14, WAC 434-662).

Employee Signature ______________________________ **Date** ______________

My signature certifies that the information submitted by the employee is accurate to the best of my knowledge.

Supervisor Signature ______________________________ **Date** ______________

The signed checklist and any addendums should be placed in an employee's personnel file and retained per State DAN GS50-04B-06R4.

King County

Exiting Employee Guide

Records Management Program
www.kingcounty.gov/recordsmanagement
206-477-6889
records.management@kingcounty.gov

This guide is intended to help you complete the steps of the checklist. It gives examples of the types of records you might have and explains in greater detail what you are expected to do with them. If you would like further clarification or assistance, you can reference our job aids or contact us at records.management@kingcounty.gov or (204) 477-6889.

Inventory records in your custody.

While your inventory does not need to list of all your records, it should list your parent folders, their records series, and their cutoff dates. All materials that you have created, received, or used while performing King County business are records of King County. These records may not be created, stored, or managed using County assets and systems. Your records may include:

- Physical records stored at your workstation or in common areas
- Physical records stored at your home office
- Emails, documents, and other electronic records stored on County equipment
- Emails, texts, and other electronic records stored on your personal devices
- Electronic records created and maintained on non-County systems, such as social media posts

Identify any records related to a disclosure request, audit, legal hold, or investigation.

Any records in your custody that are responsive to an ongoing or pending public disclosure request, an internal or external audit, current or anticipated litigation, or an internal or external investigation cannot be destroyed, regardless of whether their required retention period has ended.

Sort out and destroy transitory records.

Not all records have statutes or policies that regulate their management, and some records might have no long-term value to the County. These transitory records can be destroyed as soon as they are no longer needed, and no approval forms are necessary. Your transitory records might include:

- Personal notes
- Duplicate or reference copies
- Communications or documents not related to County business

Separate remaining records into active, inactive, and records past retention.

You will need to take different actions with your records depending on whether your office still uses them in county business.

- Active records are still regularly referenced or are still needed for current projects.
- Inactive records are no longer needed for agency business but cannot yet be disposed of because of a retention requirement.
- Records past retention are inactive records whose retention periods have elapsed.

Move active records to a shared location.

Any active records in your custody must remain available to employees in your agency after your separation or transfer. How you do this will depend on what systems you have access to and the nature of your materials.

- Move active electronic records to a shared email box or SharePoint
- Move active physical records to an approved central file location
- Transfer any active records to a new custodian

File inactive records to Content Manager.

Any inactive records in your custody must remain accessible in case they are needed for a disclosure request or litigation. They must also continue to be managed, so that they can be disposed of at the end of their retention period. How you do this will depend on what systems you have access to and the nature of your materials.

- File inactive electronic records into Content Manager.
- Enter boxes of physical records into Content Manager and send them to the Records Center.
- Transfer any inactive records to a new custodian.

Complete Disposition Request Form(s).

All records past retention in your custody should be disposed of prior to your separation or transfer. The correct disposition action will depend on the record category and is provided in your retention schedule.

- Complete a Disposition Request Form in Content Manager to document the disposition of records past retention. Once approved, you can either 1) delete/destroy the records yourself, 2) the Records Center can pick them up and destroy them for you or 3) if archival, the Records Center can pick up the records and transfer them to the King County Archives.
- If you have any archival or potentially archival records that are past retention and in an electronic format, those should be filed to Content Manager instead of filling out a Disposition Request Form.

Records that are no longer needed for business and whose retention period have elapsed are a liability for your agency because they are subject to discovery in the event of a disclosure request, litigation, or investigation. They also clutter your storage and make it harder to find records that you still reference regularly. Use your completed forms to destroy or transfer any records past retention.

Document the new location of the records in your inventory.

Carefully documenting the new location of all your records, and noting any disposition actions that you have taken, will make it easier for other employees in your office to find these materials after your exit.

Review your inventory with your supervisor.

Reviewing your inventory with your supervisor gives them the opportunity to clarify the new locations of your records or your disposition actions if necessary. By sharing this information, you ensure that your records will continue to be managed in the future.

Temporary transfers (including Special Duty positions).

For employees that are only *temporarily* transferring positions (e.g. Special Duty), it is still best practice to manage your records prior to the transfer.

Emails from your prior position should be separated from those in your new position, and clearly identified:

- Inventory the records from the position you will temporarily be leaving (see step 1 above).
- File any inactive records to Content Manager.
- Separate active records into folders clearly labeled and aligned with retention requirements.
- When returning to your original position, records from your Special Duty should be managed according to the guidelines in this checklist.

If you are not going to retain access to your O365 account from your prior position, it is important that all records in your Outlook and OneDrive are managed according to the steps in this checklist. Contact your KCIT Customer Success Manager for information about your account changes.