King County

Exiting Employee Checklist for Records Management

Records Management Program
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Records created or retained in the course of King County business are the property of King County, regardless of the record format or storage location. Per executive policy, all exiting employees should inventory county records in their custody; and transfer, file, or disposition them prior to their departure. This checklist is intended to assist the employee with those steps as soon as they know they will be leaving their position. This checklist can also be used by their supervisor to assist them with this work. **We encourage supervisors to provide adequate time for employees to complete the task as outlined in the policy. Per executive policy, records that are not managed by the employee before their departure become the responsibility of the supervisor to manage.**

Records Management Program staff are available for questions about this process. Reference job aids for exiting employees, and/or contact us directly at records.management@kingcounty.gov or (206) 477-6889.

The completed checklist does not need to be submitted or retained anywhere, but could be kept as reference by the Supervisor in the Supervisor's Working File.

Employee Name ______________________________ **Job Title** ______________________________

Department, Division, Section ______________________________ **Supervisor Name** ______________________________

Supervisor Review Meeting Date ______________________________ **Exit Date** ______________________________

- ☐ Inventory records in your custody.
- ☐ Identify records responsive to public records requests, holds, audits, or investigations.
- ☐ Sort out and destroy transitory records.
- ☐ Separate remaining records into 1) active, 2) inactive, and 3) past retention.
- ☐ Migrate active records to a shared location.
- ☐ File inactive records to Content Manager.
- ☐ Submit Disposition Request Form(s) for records past retention, and complete disposition.
- ☐ Empty your "Deleted Items" folder in Outlook and "Recycle Bin" in OneDrive.
- ☐ Document the new location of the records in your inventory.
- ☐ Review your inventory with your supervisor.
- ☐ (Supervisor Task) Determine a plan for records that were not managed according to the above tasks.

Detailed explanations for each of these tasks is provided on the pages below.

Inventory records in your custody.

While your inventory does not need to list of all individual records; it should list your parent folders, their records categories (as found on your retention schedule), and their cutoff dates. All materials that you have created, received, or used while performing King County business are records of King County (even if stored in non-county assets or systems). Your records might include:

- Physical records stored at your workstation or in common work areas;
- Physical records stored at your home office;
- Emails, documents, and other electronic records stored on County equipment (including Outlook and OneDrive);
- 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 responsive to a public records 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 a government 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 1) active, 2) inactive, and 3) 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 be disposed of because of retention requirements.
- Records past retention, as defined on a retention schedule.

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 account, approved shared drive, or SharePoint/Teams
- Move active physical records to an approved central file location
- Transfer other 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 public records request, litigation, or other business need. 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 (including emails) into Content Manager.
- Enter boxes of physical records into Content Manager and send them to the Records Center.
- Transfer other inactive records to a new custodian in your agency.

Submit Disposition Request Form(s) and then disposition records past retention.

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 as provided in your retention schedule. 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 other records that are needed.

- 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, they must be filed to Content Manager instead of filling out a Disposition Request Form.

Empty your "Deleted Items" folder in Outlook and "Recycle Bin" in OneDrive.

Any records that you have deleted will remain in your Outlook or OneDrive account unless you take extra steps to empty (delete) your Delete Items (Outlook) or Recycle Bin (OneDrive). This is a critical step to ensure that these records are not unnecessarily retained (and thus potentially disclosable) after your departure.

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 - SD), 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 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 SD should be managed according to 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.

(Supervisor Task) Determine a plan for records that were not managed according to the above tasks.

It is the supervisor's responsibility to ensure that the records of their direct reports are managed **prior** to their departure according to the above list of steps. If any of the checklist tasks have not been completed (such as because of an **unplanned** employee departure), the supervisor should determine a plan to ensure that records are managed after the departure date. This could include submitting a help ticket to get temporary access to an employee's OneDrive and Outlook accounts, after which the supervisor or a delegate could perform above tasks to manage those records. However, it is important to note that that process if technologically challenging.