

Title: Onboarding New Employees for Records Management Compliance

Affected Agencies: King County Executive Branch Departments and Administrative Offices.

Authorities: RCW 42.56; RCW 40.14; WAC 434-662; INF 15-4 (AEP)

Keywords: Records Retention, Exiting Employees, Public Records, Transfer

Sponsoring Agency: Department of Executive Services

Executive signature: 

Date signed: 1/19/18



King County

I. Purpose

The purpose of this policy is to ensure all King County workforce members are made aware of their public records management responsibilities when they are brought onboard to the county workforce.

Applicability and Audience

This policy is applicable to the King County Executive Branch: that is the Administrative Offices and Executive Departments supervised by the King County Executive. The audience includes all King County offices, departments, officials, employees, boards, commissions, committees, or similar entities as well as contractors, volunteers, interns, externs, and grantees.

Definitions

Agency Records Officer – Per Executive Policy INF 15-4 (AEP), Agency Records Officers are the individuals appointed by the Agency Director to work with the King County Records Management Program to establish and implement records management best practices within their agency.

KC ERMS – Per Executive Policy INF 15-4 (AEP), the King County Electronic Records Management System is an electronic information system used to manage the inventory of inactive physical records stored at the King County Records Center and a repository in which the County's inactive electronic records are collected, organized and categorized to facilitate their preservation, retrieval, use and legal disposition. The system is housed and managed by King County's Archives, Records Management and Mail Services Section of the Records and Licensing Services Division of the Department of Executive Services.

Records Retention Schedule – A Records Retention Schedule is a legal document that indicates the length of time that a particular record series must be retained, and when and if the record should be destroyed or transferred to the King County Archives.

Workforce Member – Employees, volunteers, and other persons, whose conduct, in the performance of work for King County, is under the direct control of King County, whether or not they are paid by King County. This includes full- or part-time elected or appointed officials, members of boards and commissions, employees, affiliates, associates, students, volunteers, and staff from third-party entities who provide service to King County.

II. Policy

- A. Supervisors shall inform newly hired employees of their duties as custodians of public records within 15 working days of the employee's hire date.
- B. Supervisors shall provide newly hired employees with access to records management and Public Records Act training commensurate with the roles and responsibilities of their jobs.
- C. New employees shall complete records management and Public Records Act training commensurate with the roles and responsibilities of their jobs within 90 days of their hire, or within 90 days of their post-academy report for duty date (if a DAJD officer).
- D. Records management and Public Records Act training providers shall ensure that documentation of training completion is recorded in the new employee's personnel file or captured in the PeopleSoft Tracking System.
- E. Supervisors shall provide newly-hired employees with feedback about their records management performance as part of their probationary review and standard performance feedback cycle where those feedback instruments are used. Feedback might include acknowledgement of training taken, review of usage of KC ERMS, an opportunity to consider challenges and success, etc.
- F. KCIT shall include an option on its employee onboarding request form to indicate that KC ERMS software installation is needed.

III. Implementation Plan

- A. This policy becomes effective for Executive Branch Departments and Administrative Offices on the date that it is signed by the Executive. All Executive Branch Departments and Administrative Offices are responsible for implementation within their departments and offices.
- B. Operations Cabinet members are responsible for communicating this policy to the management structure and other appropriate parties within their respective agencies. The Human Resources and Information Technology organizations within King County (HRD and KCIT respectively) will also need to ensure dissemination, education, and implementation within and among their teams.

IV. Maintenance

- A. This policy will be maintained by the Archives, Records Management and Mail Services Section of the Records and Licensing Services Division of the Department of Executive Services, or its successor agency.
- B. This policy will automatically expire five (5) years after its effective date. A new, revised, or renewed policy will be initiated by the Archives, Records Management and Mail Services Section of the Records and Licensing Services Division of the Department of Executive Services, or its successor agency prior to the expiration date.

V. Consequences for Noncompliance

Any agency failing to properly retain public records in accordance with RCW 40.14 is out of compliance with the law and subjecting the county to unnecessary legal and financial risk, especially in the context of public records requests, litigation discovery efforts, personnel investigations, and tort claims.

Resources:

New Employee Records Management Toolkit

Note: For access to the above toolkit, refer to the Records Management Program's intranet site or contact them at records.management@kingcounty.gov

Trainings: PRA, KCERMS, Basic Records Management