## BASICS OF MANAGING PERSONNEL RECORDS



#### **A**GENDA

- 1. Basics
- 2. Retention Schedules
- 3. Personnel Records
- 4. Q & A



#### WHAT IS RECORDS MANAGEMENT?

Records Management is **control** at every stage of a record's lifecycle.





#### BENEFITS OF MANAGING RECORDS

- ☐ Enables the agency to fulfill its mission
- ☐ Promotes cost-effective use of agency resources
- ☐ Strengthens transparent and accountable government
- ☐ Reduces Agency Risk

#### WHAT IS A PUBLIC RECORD?

#### A public record is:

- ☐ ANYTHING made or received in the transaction of public business
- ☐ Regardless of format

Invoice? Public record.

Database entry? Public record.

E-mail? Public record.

Voicemail? Public record.

#### Public Records are Public Property

All public records are the property of the state of Washington. (RCW 40.14.020)

Anyone who destroys, conceals, erases or falsifies a public record...is guilty of a class B felony. (RCW 40.16.020)

#### WE'RE ALL CONTENT CREATORS

You could be stuck on a ferry texting your boss on your personal cellphone.

If it's about work, it's a public record.



#### **BORN DIGITAL RECORDS**

Maintain electronic records in electronic format...for the length of the retention period.

(WAC 434-662-040)



Initiative 207 Petitions, 1960, Merle Junk, General Subjects Photograph Collection, 1845-2005, Washington State Archives, Digital Archives.

#### How Do I Know What to Keep?

Agencies have the ongoing legal authority to disposition public records using...

#### RECORDS RETENTION SCHEDULES

### The State & Local Records Committees review and approve the retention schedules.

(RCW 40.14.060 and 40.14.070; chapters 434-624 and 434-630 WAC)



#### WHICH SCHEDULE(s) Do I USE?



#### RECORDS RETENTION SERIES/SCHEDULE

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09009	Meetings – Staff and Internal Committees	Retain for 2 years after end	NON-ARCHIVAL
Rev. 1	Records documenting meetings of the agency's staff and those of internal committees, commissions, councils, boards, task forces, etc.	of calendar year and	NON-ESSENTIAL OFM
	Includes, but is not limited to:	until no longer needed for	
	<ul> <li>Agendas, meeting/agenda packets (briefs, reference materials, etc.);</li> </ul>	agency business  then	
	<ul> <li>Speaker sign-up, written testimony;</li> </ul>		
	<ul><li>Audio/visual recordings and transcripts of proceedings;</li><li>Minutes.</li></ul>	Destroy.	
	Excludes records covered by:		
	<ul> <li>Advisory Body Records (DAN GS 10015);</li> </ul>		
	<ul> <li>Governing/Executive/Policy-Setting Body Records (DAN GS 10004);</li> </ul>		
	<ul> <li>Meeting Arrangements (DAN GS 09024);</li> </ul>		
	<ul> <li>Meeting Materials – Members' Copies/Notes (DAN GS 09026).</li> </ul>		

#### \* You cannot destroy or transfer records without a DAN



#### DIGITIZING PAPER RECORDS

#### ARCHIVAL VS. NON-ARCHIVAL

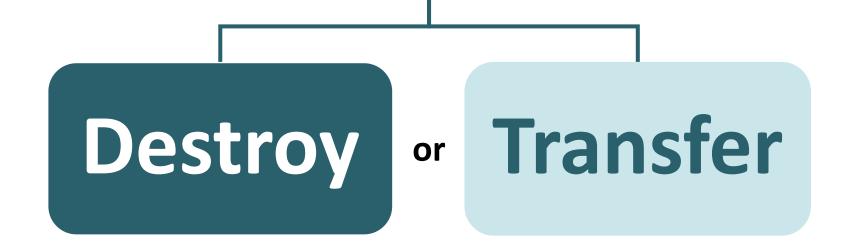
Transfer original format to Archives

Follow our published requirements

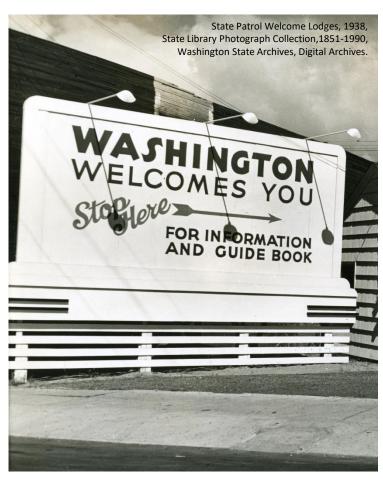
**PLAN** before you scan.

Digitization is time-consuming, expensive & labor intensive.

# keep PUBLIC RECORDS for MINIMUM RETENTION



#### HOLD IT!



Records responsive to

☐ Litigation Holds

□ Public Records Requests

must be retained until matter is resolved.

#### WHAT CAN I DESTROY NOW?



- □ Drafts
- ☐ Empty forms
- Working documents
- Duplicate copies
- ☐ Records formalized elsewhere
- ☐ Reference materials
- ☐ Personal, non-work related material

#### FIND THE RIGHT DAN

### How to find the right DAN:

- 1. Ask clarifying questions.
  - ☐ Is the record unique to your agency?
  - ☐ Who is doing what to whom?
  - ☐ Why was the record created/received?
  - ☐ What is the record about?
- 2. Review your approved schedules.
  - ☐ Browse the schedules by table of contents, subject index, and keyword search.
- 3. Reach out.



#### WHICH SCHEDULE

When do I use my agency schedule instead of CORE/State General?

#### If the employee:

- □ Handles controlled, hazardous, or radiological substances
- Works as a Peace Officer
- □ Works with children, patients, or other vulnerable populations
- ☐ Receives profession-specific benefits/insurance



#### **Personnel Functions**

Different functions of personnel records

- Authorization /Certification Benefits Management □ Performance Management ☐ Health and Safety
  - ☐ Recruitment
  - ☐ Hiring/Separation
  - StaffDevelopment
  - □ Reporting/Filing
  - □ Labor Relations
  - Misconduct

#### **TRAINING**

## Example: Training Records

#### 1. Do the records relate to:

- ☐ Training your agency provides?
  - ☐ Is it accredited or mandatory?
- ☐ Training an employee receives?
  - ☐ Is proof of certification/license required?

#### 2. Review

☐ Training, Employee/Personnel and Staff Development sections of CORE/State General schedule and HR section of agency unique schedules.

#### 3. Reach Out



#### **MISCONDUCT**

## Example: Misconduct Records

#### 1. Do the records relate to:

- ☐ Investigations whose results were founded or unfounded?
- ☐ Alleged misconduct with minors?
- Misconduct of a Peace Officer?

#### 2. Review

☐ Misconduct and Employee Performance sections of CORE/State General schedule or relevant agency unique schedule.

#### 3. Reach Out



#### **M**EDICAL

# Example: Employee Medical Records

#### 1. Do the records relate to:

- ☐ Illness or injury sustained at work?
  - ☐ Was it significant/minor?
  - Were hazardous substances involved?
- ☐ Illness or injury sustained outside of work or due to natural causes?

#### 2. Review

- ☐ Employee History and Health/Safety sections of CORE/State General schedule.
- 3. Reach Out



#### RETIREMENT BENEFIT ELIGIBILITY VERIFICATION

Department of Retirement Systems (DRS) Requirements

Records must contain the following elements:		
	Employee's full name, Date of birth, and Social Security Number	
	Service and break-in-service dates, including type of leave and compensation	
	Hours worked per month	
	All compensation earned per month	
	Employee's rate of pay	
	Eligibility determination	

SECRETARY OF STATE ===

#### **LONG-TERM RETENTION**

Strategies for managing long-term retention

- ☐ Secure confidential information to limit access
- Only keep what you need
- ☐ Consider using a database
- Keep paper cool, dry, and free of pests
- ☐ Be prepared to convert or migrate electronic records
- Make sure essential records are backed up and stored offsite.

#### **PERSONNEL**

#### Organizing Personnel Files

To balance the need for access, retention, and disposition, organize by:

- □ Function/activity
- ☐ Length of retention
- ☐ Timing cutoff/trigger event
- Business need

#### RETENTION SCHEDULE UPDATES

We want to hear from you

If there have been changes in...

- ☐ Language and terminology
- Business value
- ☐ Legal & regulatory requirements
- ☐ Agency functions



#### **SAY HELLO!**



THE RECORDS MANAGEMENT TEAM IS HERE FOR YOU WITH FREE CONSULTATION, TRAINING, & ADVICE.

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