

BASICS OF MANAGING PERSONNEL RECORDS

WASHINGTON



Secretary of State
Washington State Archives

AGENDA

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



Meeting, 1960, General Subjects Photograph Collection, 1845-2005, Washington State Archives, Digital Archives

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.**



Evergreen Point Floating Bridge,
Department of Transportation, Agency Library,
Photograph Collections, Washington State Archives,
Digital Archives.

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?

www.sos.wa.gov/archives



Local Governments or State Agencies



Select your type of agency or Records Retention Schedules



*Local Government Common Records Retention Schedule (CORE)
+ State Government General Records Retention Schedule*

RECORDS RETENTION SERIES/SCHEDULE

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09009 Rev. 1	<p>Meetings – Staff and Internal Committees</p> <p>Records documenting meetings of the agency’s staff and those of internal committees, commissions, councils, boards, task forces, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas, meeting/agenda packets (briefs, reference materials, etc.); • Speaker sign-up, written testimony; • Audio/visual recordings and transcripts of proceedings; • Minutes. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Advisory Body Records (DAN GS 10015);</i> • <i>Governing/Executive/Policy-Setting Body Records (DAN GS 10004);</i> • <i>Meeting Arrangements (DAN GS 09024);</i> • <i>Meeting Materials – Members’ Copies/Notes (DAN GS 09026).</i> 	<p>Retain for 2 years after end of calendar year</p> <p><i>and</i></p> <p>until no longer needed for agency business</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

*** 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

Destroy

or

Transfer

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
- Staff Development
- 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

MEDICAL

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**

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!



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

**www.sos.wa.gov/archives
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(360) 586-4901**