Records Management Guidance
Agency Self-Assessment Checklist

This document describes many **key elements** of **exceptional records management**. This can be used by any agency employee as a tool to help **prioritize steps** to improve records management at any level (individual, work group, section, division, department, or agency)

This checklist is separated into three sections: **Minimum** (level 1), **Intermediate** (level 2), and **Best** (level 3).

Minimum (Level 1)

All employees have completed **Basic Records Management Training**	The online course is 15-minutes long and can be retaken as needed. Use the link at the left to enroll in the course, verify if you've completed the course, or enroll your direct reports in the course (if applicable). All new employees are automatically enrolled as part of onboarding.	
Organization has a complete **agency-specific records retention schedule**	Locate your retention schedule and ensure that it accurately reflects your organization's records. If changes are needed, contact records.management@kingcounty.gov. Note that all employees can use the General Records Retention Schedule; which contains common administrative records.	
Records are retained for their **minimum retention requirements**	Minimum retention requirements are identified on records retention schedules. Records cannot be destroyed until they have met those minimum requirements.	
Organization has a **Disposition Authority** and **Records Management Lead**	Each organization must have at least one **disposition authority** and **records management lead**. For a current list of people appointed to those roles, and definitions of those roles, refer to our Roles page. For any changes, please contact records.management@kingcounty.gov.	

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Intermediate (Level 2)

Organization has a **file plan**	File plans are important documents that describe details of how the organization's records are managed over time. They can include: - naming conventions - folder structures - much more	
Records management is incorporated into all **onboarding** processes	It is important to onboard new employees to all training and resources that relate to how they will manage records in their jobs. Review New Employee Tools.	
Records management is incorporated into all **offboarding** processes	Whenever an employee moves to another job or leaves county employment, it is an important time to capture their records and perform certain required steps. Review Exiting Employee Tools.	
All records implications are incorporated in any **standard work** documentation	Anytime the organization documents their standard work (manuals, standard operating procedures, guides, etc.) the documentation includes steps relating to managing resulting records. - Guidance for records implications in standard work development	
All employees have completed **Content Manager training**	Content Manager training is provided in different formats, employees can choose the format that meets their needs. All options are provided on the Getting Started with Content Manager page.	
All employees use Content Manager to file inactive email and other electronic records	Minimum expectation is that each employee file records **at least once per quarter**. Beyond this will depend on the job of the employee.	
Organization is aware of all **holds** that apply to their records	Holds can be for multiple reasons; including **legal holds** (as a result of litigation) or **public records request holds**.	

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Records are **dispositioned** when they have met their retention requirements	All inactive records should be filed to Content Manager, which associates all records with their retention requirements and facilitates disposition. If records are stored anywhere outside of Content Manager, use the Disposition Request Form.	

Best (Level 3)

Agency leadership **models the way** and **provides adequate resources**	It is critical that agency leadership (which can include supervisors, managers, and directors) model the way and **demonstrate** the importance of good records management. This can include: managing their own records, speaking about the importance of good records management, and providing staff with the adequate time or resources to manage their records.	
Records management is a topic in **staff meetings**	When relevant, managing records should be included in conversations and meetings in our day-to-day work.	
Records management is included in all **job descriptions**	Records management is an implicit part of **all** King County jobs, and job descriptions should be written to reflect this.	
Records management is included in all **employee performance evaluations**	Because managing records is an implicit part of all county jobs, it is important to acknowledge that during employee performance evaluations. This is helpful to both ensure accountability and also celebrate successes.	
Organization includes records management goals in all **work plans**	The agency should identify what records management goals it has, and when possible, incorporate those into work planning efforts.	

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Organization considers records implications whenever it considers using a **new technology or tool** that could produce or retain data	In an environment with rapidly changing technology, it is crucial to consider any records implications when using any new tool (software application, website, database, non-standard storage option, etc.)	
Organization is **paperless**	If relevant, organization has opted to "go paperless" and move away from processes that generate physical paper; which might include having a current Destruction After Digitization (DAD) approval to ensure compliant scanning processes.	
Records are **accessible**	All records generated by the Organization are created with accessibility in mind.	
Organization has an **essential records plan**	Certain records are considered essential, which means they are crucial for business in case of a disaster or large-scale emergency. Agency should have a plan in place to identify which records are essential and how to access or recover them.	
Employees with additional records management responsibilities are **engaged** with their roles and attend relevant meetings	Although records management is a part of all county jobs, certain employees have unique records management responsibilities, including **Records Management Leads**, **Disposition Authorities** and **Agency Records Officers**.

Records Management Leads, Disposition Authorities and Agency Records Officers are encouraged to attend **Records Management Network meetings** hosted quarterly by the Records Management Program; and be engaged with communications and trainings opportunities from Records Management.

Agency Records Officers are also encouraged to attend meetings of and engage with the **Public Records Committee**. | |

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