

# Metro | *Policies and procedures*

|                    |  |
|--------------------|--|
| <b>Subject</b>     | Records and Information Management (RIM) Policy and Procedures for Departing Employees |
| <b>Section</b>     | Information Services (IS)  |
| <b>Subsection</b>  | Records and Information Management (RIM) program                                       |
| <b>Approved by</b> | Martha Bennett, Chief Operating Officer  |

---

## **POLICY**

The purpose of this policy is to clearly define the roles and responsibilities of supervisors and employees relating to the management and protection of records and information when an employee permanently leaves Metro or transfers to a new position within the agency. Compliance with this policy is consistent with Metro's commitment to responsible stewardship of its records and information assets as articulated in *Records and Information Management (RIM) Policy*. The policy and procedures support Metro's business continuity goals. Failure to adhere to this policy may constitute a violation of ORS 162.305 *Tampering with Public Records*.

Depending on the terms of departure, the supervisor shall make every effort to work with the departing employee to identify agency records in their custody. Supervisors must require terminated employees to turn over all public records to Metro immediately upon termination. Access to Metro public records and computer systems must cease immediately upon termination of the employment relationship. The *Records Checklist for Departing Employees* must be completed and signed by the departing employee's supervisor to verify that Metro records (regardless of format) have been identified and transferred to a records management custodian or reassigned to an appropriate (e.g. knowledgeable) employee.

Records may not be removed from Metro's custody or destroyed in a manner inconsistent with established records management procedures. Any intentional destruction or removal of records may lead to a criminal conviction under Oregon law. Although agency records may not be removed, departing employees may request copies of records under Oregon's public records law through Metro's Public Records Requests procedures. Occurrences of unauthorized records destruction or removal from departmental custody without appropriate approval should be reported immediately to the departing employee's supervisor and the Metro Records Officer, as well as the Office of the Metro Attorney.

---

## **Applicable to**

All Metro employees

## **Definitions**

Terms used throughout this document are defined in the *Glossary of Records and Information Management Terms*, which is maintained on the RIM program website.

## **Authority**

Metro will comply with all applicable laws and regulations that relate to records and information management, including but not limited to:

- ORS 162.305 Tampering With Public Records
- Metro Records and Information Management (RIM) Policy

The Chief Operating Officer delegates to the Records Officer the authority to update these rules as circumstances dictate.

## **Guidelines**

This policy pertains to all public records residing on servers, hard drives, e-mail systems, on any digital media, cloud repositories, personal or Metro-issued devices, Metro-owned social media sites, and in paper filing systems. Public records are defined under Oregon law as “any writing that contains information relating to the conduct of the public’s business...” It applies to all Metro officials, permanent and temporary employees (including interns and seasonal staff), volunteers, contractors, and consultants.

## **Responsibilities**

Employees shall be given a copy of this policy for review with the understanding that adherence is consistent with Metro’s commitment to responsible stewardship of its records and information assets.

## **EMPLOYEE**

The departing employee (if available) shall ensure:

- Timely notification of impending departure to his/her supervisor
- The protection of public records in his/her custody through succession planning with appropriate staff (e.g. program supervisor, knowledgeable staff, and administrative or records personnel)
- That all Metro public records are turned over as soon as practicable upon termination of employment. Records include paper files and electronic records stored in e-mail systems, computer drives, cloud repositories, Metro-owned social media sites, and personal or Metro-issued devices. The employee should identify all records locations to ensure the records remain accessible by the program supervisor or designated staff.

## **SUPERVISOR**

The employee’s program supervisor, with assistance from the departing employee (when possible), knowledgeable program and administrative staff, or records staff shall ensure:

- Timely notification of Human Resources, Information Services, and appropriately designated staff of the employee’s departure
- That the departing employee’s records are identified, reviewed, and inventoried for location, content, and disposition
- The departing employee turns over all Metro public records as soon as practicable upon termination of employment. This includes the return of any records stored on home computers, portable devices, or portable media, whether owned by the employee or Metro
- That removal of materials is limited to personal papers and pre-approved copies
- The *Records Checklist For Departing Employees* is completed and signed to verify that all records have been identified and reassigned to another employee

- Any unauthorized removal, loss, or destruction of records is documented by attaching a list to the *Records Checklist For Departing Employees* and reported to the Metro Records Officer
- That the completed *Records Checklist For Departing Employees* is forwarded to Human Resources for inclusion in the employee's file

#### **INFORMATION SERVICES (IS)**

IS staff will work with the departing employee's supervisor to assist with:

- The transfer of the departing employee's electronic records, including email, to a defined location on the network for access by the program supervisor or designated staff
- The termination of the employee's access to computer files and servers

#### **KNOWLEDGEABLE PROGRAM WORKERS AND ADMINISTRATIVE STAFF**

Supervisors may involve program staff as necessary to ensure that:

- Active records are reassigned to another employee(s)
- Inactive records are processed for either off-site storage or entered into Content Manager (CM)
- Permanent records are prepared for microfilming and off-site storage
- Records are destroyed only if:
  - they have satisfied retention requirements, and
  - there is no pending litigation or conditional hold, and
  - the Metro Destruction Notice has been completed and approved
- Information regarding unauthorized destruction or loss of records is communicated to the supervisor and the Metro Records Officer

#### **RECORDS AND INFORMATION MANAGEMENT (RIM) PROGRAM STAFF**

RIM Program staff will consult and provide guidance to supervisors and employees regarding the implementation and use of the policy and procedures.

#### **References**

- *Records and Information Management (RIM) Policy*
- *Metro Records Retention Schedule (RRS)*
- *Records Checklist For Departing Employees*

#### **Additional Information**

For further information regarding this or any other records and information management (RIM) policy, contact Metro's records officer or refer to [MetroNet > Services > Records management](#) website.

---

## PROCEDURES

All supervisors have custodial responsibility for the records under the control of their subordinates. The policy and procedures regarding departing employees address the specific roles and responsibilities that attend the termination or transfer of an employee's employment at Metro. Supervisors are responsible for following the procedures below (including completing the *Records Checklist For Departing Employees*) whether or not the departing employee is available to participate and regardless of the departing employee's status (e.g., full-time, temporary, intern, seasonal, other).

The purpose of these procedures is to preserve the integrity of Metro's records and information and to ensure the continuity of business operations. Following the procedures is necessary for the continuity of the work performed by the departing employee's program.

### **The employee's program supervisor (with assistance from the departing employee, knowledgeable staff, IS, and RIM staff) will:**

- Notify Human Resources, Information Services (IS), and appropriately designated staff of the employee's departure
- Work with IS staff to take custody of the departing employee's electronic records, including email, and appropriately reassign them, and terminate network access upon departure
- Identify, review, and inventory the departing employee's hardcopy and electronic records for location, content, and disposition<sup>1</sup>
- Confirm that the departing employee has returned any records stored on home computers, portable devices, cloud repositories, Metro-sponsored social media sites, and personal or Metro-issued devices.
- Limit removal of materials by the departing employee to personal papers and copies that have been pre-approved for removal and document as per instructions on the *Records Checklist For Departing Employees*
- Document and report any unauthorized removal, destruction or loss of records to the Metro records officer
- Complete and sign the *Records Checklist for Departing Employees* to verify that all records have been identified and reassigned to appropriate staff; route to Human Resources for inclusion in the employee's file.

### **Knowledgeable Program Workers will:**

- Assist with the reassignment of active records to another employee(s)
- Review the retention requirements of the records
- Inform supervisor regarding unauthorized destruction or loss of records

### **Administrative Staff will:**

- Process inactive records for either off-site storage or entry into CM (as directed)
- Prepare hard copy permanent records for off-site storage (as directed)
- Prepare records for destruction when they have satisfied retention requirements and there is no pending litigation or conditional holds.

### **Records and Information Management (RIM) Program staff will:**

- Assist the supervisor in identifying, reviewing, and inventorying the departing employee's hardcopy and electronic records
- Provide assistance to the supervisor, as appropriate, in the reassignment of active records to another employee

---

<sup>1</sup> Disposition may include any of the following: transferring records to another staff member and/or processing records into CM; transferring records to off-site storage; processing permanent records for microfilming and long-term storage; or destroying records that have met retention requirements.

**References**

- *Records and Information Management (RIM) Policy*
- *Metro Records Retention Schedule (RRS)*
- *Records Checklist For Departing Employees*

**Additional Information**

For further information regarding this or any other records and information management (RIM) policy, contact Metro's records officer or refer to [MetroNet > Services > Records management](#) website.