



Tip Sheet: Employee Performance Objectives for Recordkeeping

Many managers and supervisors work with their employees to establish performance objectives each year that provide support and direction to employees to help them be successful.

Some employees have recordkeeping responsibilities that may be good candidates for performance objectives. For example, select employees could be assigned to review physical files that contain older records, or routinely file email related to cases they are working on, or closing out projects and filing related records, or monitoring vendors that are responsible for destroying records in compliance with agency's retention schedule. The following are scenarios that explain how these objectives could work.

Scenario #1: Project files need to be closed and all related documentation needs to be filed in the designated recordkeeping system when a project ends. This includes all email and electronic documents. Drafts and duplicate copies of records will be deleted/destroyed so all of the official documentation is found in the designated location, and there is no confusion about versions of documents. Closed files may need to be moved from the active filing system to the inactive filing system, depending upon the office's recordkeeping rules.

Performance Objective: Employee is responsible for closing out projects and filing all related documentation in the appropriate recordkeeping system within 2 weeks of a project ending.

Scenario #2: The agency stores data in an IT application maintained in the cloud by a vendor. The data is supposed to be retained until the fiscal year ends, plus 7 years, and then it needs to be destroyed.

Performance Objective: Employee is responsible for working with the vendor at the beginning of a new fiscal year to ensure that all eligible data is completely destroyed by the end of the second month of the new year. The employee also is responsible for confirming that there are no legal holds applied to the data before destruction takes place.

Scenario #3: The agency has multiple file cabinets that contain older records. The agency has not reviewed the contents of the cabinets in a while. The agency needs to plan a clean-up day. Employees need to take the *Snack It & Pack It* training prior to reviewing the contents of the cabinets. Then they can consult with subject matter experts about the contents of the cabinets, identify records that need to be retained and are eligible for off-site storage and sending them out, identify records that met their retention period and can be destroyed, and acquire confidential records destruction bins if any of the records to be destroyed contain confidential information.

Performance Objective: Employee is responsible for designating the clean-up day within 6 months and ensuring that all clean-up activities are completed by the end of the reporting period.



Scenario #4: The agency receives claim forms daily in the mail. The new claims are scanned, and the images are uploaded into the agency's electronic document management system, in accordance with the agency's recordkeeping rules.

Performance Objective: Employee is responsible for taking the *Document Imaging* class, scanning new claims that are received, and uploading the images within 2-business days of receipt.

Scenario #5: The agency uses the shared drive to store a lot of records, but no recordkeeping rules were ever applied to keep the stuff organized. Multiple employees who are subject matter experts about the records stored in the drive will be assigned specific folders to review. A spreadsheet will be used to keep track of employee assignments and when the folder reviews are completed. Employees will purge duplicates and drafts, documents that have met their retention period, and non-essential documents. The team of subject matter experts will develop a new plan for organizing the records stored on the shared drive, and business rules for keeping it clean and easy to use.

Performance Objective: Employee is responsible for taking the *Snack It & Pack It* training, reviewing and cleaning assigned shared drive folders within 6 months, and documenting their progress on the tracking spreadsheet.