



**PUBLIC RECORDS RETENTION  
SCHEDULE & DESTRUCTION  
AUTHORIZATION**

**RECORDS MANAGEMENT PROGRAM**

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**1. AGENCY DEPARTMENT/DIVISION/SECTION**

Department of Community and Human Services /  
Director's Office

**2. DEPARTMENT-DIVISION-  
SECTION [DDS]**

DCHS-DIR-(DIR) / 150302

**3. TOTAL NUMBER OF  
PAGES**

20

**4. DATE SUBMITTED  
FOR APPROVAL**

September 6, 2017

**5. STATUS**

Final

**6. VERSION**

2

**6. SCOPE AND DISCLAIMER**

This retention schedule can only be used by the agency listed in section 1. It supersedes any other versions of retention schedules used by the agency and is effective as of the date listed in section 11 on the last page. This schedule is a comprehensive listing of all public records held by the agency and authorizes the destruction or archival transfer of those records as indicated. For guidance about records not listed, please contact the Records Management Program.

Public records covered by record series on this records retention schedule must be retained for the required retention periods as described on this schedule. Public records designated as Permanent or Archival must not be destroyed. Public records designated as Potentially Archival must be appraised by the King County Archivist before disposition. This records retention schedule is subject to revision due to changes to local, state or federal regulations.

Approved documentation is required before any records listed on this records retention schedule can be dispositioned (destroyed or transferred to the King County Archives). Records filed to and managed within the County's Records Management System will be dispositioned from within the system and documentation will be maintained by the Records Management Program. Disposition of records managed outside of the Records Management System must be documented on forms provided by the Records Management Program. Transitory records may be destroyed within the normal course of agency business without the use of any destruction forms.

**Glossary**

**Cutoff:** the trigger date on which the retention period *begins*. Until this occurs, the records are still considered active.

**Retention:** the length of time the records must be retained *after* the cutoff date

**Disposition Action:** the action that should be taken with the records after they have met their retention period

**ESSENTIAL:** records identified by the State as being essential to the operation of business and needed to continue operations in the event of an emergency.

| 7. LIST OF RECORDS SERIES |   |  |  |                                  |   |   |
|---------------------------|---|--|--|----------------------------------|---|---|
| 7a.<br>ITEM<br>NO.        | 7b.<br>TITLE/DESCRIPTION  | 7c.<br>RETENTION   | 7d.<br>REMARKS/ARCHIVAL<br>DESIGNATION   | 7e.<br>OFFICE OF<br>PRIMARY COPY | 7f.<br>KC ERMS Category   | 7g.<br>STATE DISPOSITION<br>AUTHORITY NUMBER<br>(DAN) |
| 1                         | <p><b><u>Accounting Records - Secondary</u></b><br/>Records are used to document payment for goods and services received. May include:<br/>Invoices;<br/>Purchase orders;<br/>Vouchers;<br/>Receipts.</p>   | <p><b>Cutoff:</b> End of year</p> <p><b>Retention:</b> 3 years</p>   | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> <p>(Primary copy is retained 6 years after report completed and all corrective actions taken and is Archival)</p> | DES / FBOD / Accounts Payable    | <p>N/A</p> <p>Secondary copies should be managed outside of KC ERMS</p> | GS2011-184R3-(S)                                      |
| 2                         | <p><b><u>Administrative Procedures and Instructions</u></b><br/>Documentation of internal office policies, procedures and guidelines related to routine day-to-day operations. Records may include advisory memos, manuals documenting departmental policies and procedures, handbooks, desk manuals, supporting background materials and related documentation.<br/><b><i>Excludes records covered under GS50-01-24.</i></b></p>   | <p><b>Cutoff:</b> Once revised or obsolete</p> <p><b>Retention:</b> 3 years</p>                                      | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p>   |                                  | <p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>     | GS50-01-01  |
| 3                         | <p><b><u>Advertising and Promotion - Planning</u></b><br/>Records related to the planning and/or execution of educational or promotional events, advertising campaigns, and contests conducted by the county to promote its mission or business. Records may include event programs and schedules, passes, news clippings, drawings, copies of ads, photographs, slides, videotapes, sound recordings, story scripts, posters, brochures, flyers, web-based/social media promotion and advertising, and correspondence.</p> | <p><b>Cutoff:</b> End of year in which record is superseded or no longer needed</p> <p><b>Retention:</b> 2 years</p> | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p>  |                                  | <p>Advertising, Promotion and Outreach</p> <p>PRE-01-005</p>            | GS2011-165  |

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| 7a.<br>ITEM<br>NO.        | 7b.<br>TITLE/DESCRIPTION   | 7c.<br>RETENTION   | 7d.<br>REMARKS/ARCHIVAL<br>DESIGNATION  | 7e.<br>OFFICE OF<br>PRIMARY COPY | 7f.<br>KC ERMS Category  | 7g.<br>STATE DISPOSITION<br>AUTHORITY NUMBER<br>(DAN) |
| 4                         | <p><b><u>Advisory Councils, Commission, Committees and Boards – Meetings/Projects</u></b><br/> Records documenting all meetings of the local government agency’s governing bodies, and executive management.<br/> Includes meetings held among agency and department directors, as well as councilmembers and independently elected officials.<br/> Includes:</p> <ul style="list-style-type: none"> <li>• All meetings regulated by the Open Public Meetings Act (chapter 42.30 RCW), such as regular and special meetings, public hearings, etc.;</li> <li>• All other meetings (including executive sessions regulated by RCW 42.30.110(2)).</li> </ul> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Meeting notices (affidavits of mailing, posting and publication, etc.);</li> <li>• Agendas, meeting/agenda packets (briefs, reference materials, etc.);</li> <li>• Meeting sign-in sheets</li> <li>• Speaker sign-up, written testimony;</li> <li>• Audio/visual recordings and transcripts of proceedings;</li> <li>• Minutes.</li> </ul> <p>Includes indexes and other finding aids.</p> <p><i>Excludes records covered by GS2011-173, GS2011-174, GS2011-175, and GS2011-176.</i></p> | <p><b>Cutoff:</b> End of year</p> <p><b>Retention:</b> 6 years</p> | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p> |                                  | <p>Meetings/Projects – General Advisory Councils, Commissions, Committees and Boards</p> <p>ACO-01-013</p> | GS2012-027  |

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| 5                         | <b><u>Audit Reports – County (Secondary)</u></b><br>Final findings of audits conducted by the County Auditor’s Office (or via a contract company acting on behalf of the County Auditor’s Office)   | <b>Cutoff:</b> All corrective action taken<br><br><b>Retention:</b> 3 years                      | <b>Disposition Action:</b><br>Non-Archival - Destroy<br><br>(Primary copy is retained 6 years after report completed and all corrective actions taken and is Archival) | KCC / King County Auditor        | N/A<br><br>Secondary copies should be managed outside of KC ERMS   | GS50-03F-02(S)  |
| 6                         | <b><u>Audit Reports - Outside Sources</u></b><br>Final findings of audits conducted of County services, programs, or practices by an outside auditing agency (State, Federal, Independent, etc.).   | <b>Cutoff:</b> Completion of audit report and corrective action<br><br><b>Retention:</b> 6 years | <b>Disposition Action:</b><br>Potentially Archival - Appraisal Required  |                                  | Audit Reports and Findings<br><br>AUD-01-003                       | GS50-03F-02   |
| 7                         | <b><u>Budget Development Files</u></b><br>Background information and draft documents compiled in the course of budget preparation. May include preliminary budgets, spreadsheets, statistics, expenditure reports, correspondence, briefing materials, justification documents, presentations, whitepapers, and supporting documentation.   | <b>Cutoff:</b> Budget adopted<br><br><b>Retention:</b> 4 years                                   | <b>Disposition Action:</b><br>Non-Archival - Destroy   |                                  | Budget Development Files<br><br>BUD-01-001                         | GS50-03D-03   |
| 8                         | <b><u>Citizen Complaints/Requests</u></b><br>Communications from citizens making a complaint or request, as well as the associated agency response.<br><br><i>Excludes records covered more specifically in the King County General Retention Schedule or Agency Specific Schedules such as:<br/>Code Violation Complaints covered by GS2012-026;<br/>Claims for damages covered by GS50-01-01;<br/>Public Disclosure Requests covered by GS2010-014 R2</i> | <b>Cutoff:</b> End of year in which the issue was resolved<br><br><b>Retention:</b> 3 years      | <b>Disposition Action:</b><br>Non-Archival - Destroy   |                                  | Public Complaints and Requests for Agency Action<br><br>PRE-01-001 | GS50-01-09R2  |

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| 9                         | <p><b>Civil Rights Violation – Complaints</b></p> <p>Records relating to the agency’s investigations of complaints of civil rights violations occurring within the agency’s jurisdiction, where civil litigation has <u>not</u> commenced. Complaints may be made by employees (including contractors and volunteers), students, or the general public.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>•Complaints, investigations, witness statements, evidentiary documents;</li> <li>•Notifications, communications, contact logs, notes;</li> <li>•Findings, settlement agreements, post-finding materials.</li> </ul> <p>Includes, but is not limited to:<br/>Americans with Disabilities Act (ADA), Title II, etc.;<br/><i>Civil Rights Act of 1964</i> (voter registration, facilities, transportation, equal employment opportunity, education, race, color &amp; national origin [Title VI], etc.); Federal Fair Housing Amendments Act of 1988; Health Insurance Portability and Accountability Act (HIPAA);<br/><i>Rehabilitation Act of 1973</i> (Section 504 accommodations, etc.); Individuals with Disabilities Education Act (IDEA).</p> <p>Excludes records covered under GS50-04E-03R1</p> <p><b>Note: If litigation commences, these records become part of the litigation case file and are covered by GS53-02-04.</b></p> | <p><b>Cutoff:</b> After referral to jurisdictional agency, settlement, withdrawal or closure</p> <p><b>Retention:</b> 6 years</p> | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p> |                                  | <p>Civil Rights Enforcement Files</p> <p>ACO-05-012</p> | <p>Combo Rule ACO-05-012</p> <p>GS50-04C-04R2 (1985 and earlier)</p> <p>GS2017-002 (1986 and later)</p> |

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| 10                        | <p><b><u>Committee to End Homelessness (CEH) Project Files</u></b><br/>Project records related to the Committee to End Homelessness (CEH). The Committee is tasked to work with internal teams and outside agencies to implement the Ten-Year Plan to End Homelessness in King County. All records are related to the ten-year plan. Records may include reports, contracts, communications, newsletters, work plans, etc.</p>  | <p><b>Cutoff:</b><br/>Completion of project</p> <p><b>Retention:</b> 6 years</p>                            | <p><b>Disposition Action:</b><br/>Potentially Archival – Appraisal Required</p> |                                  | <p>Committee to End Homelessness (CEH) Project Files</p> <p>ACO-02-005</p> | GS50-01-39R1  |
| 11                        | <p><b><u>Contracts and Agreements – General</u></b><br/>Instruments signed by the county and one or more parties that set out terms and conditions to which the signing parties agree or submit. Includes change orders.<br/>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Inter-agency, intra-agency, inter-governmental, inter-local agreements</li> <li>• Lease, escrow, and rental agreements;</li> <li>• Lending agreements (facility, equipment, vehicle, etc.);</li> <li>• Liability waivers (hold harmless, insurance, etc.);</li> <li>• Loan agreements (long-term debt, etc.);</li> <li>• Master depository contract (banking);</li> <li>• Personal service, client service, purchasing agreements;</li> <li>• Purchase and sales agreements (non-capital asset purchases only);</li> <li>• Vendor bonds;</li> <li>• Warranties.</li> </ul> | <p><b>Cutoff:</b><br/>Termination/ expiration of contract or agreement</p> <p><b>Retention:</b> 6 years</p> | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> <p>ESSENTIAL</p>   |                                  | <p>Contracts, Agreements and Warranties</p> <p>CON-01-001</p>              | GS50-01-11R4  |

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| 12                        | <p><b><u>Director's Office Communications and Meetings</u></b><br/>Internal and external communications to or from the county's elected official(s) and/or executive management team(department directors, division directors, deputy directors) that are made or received in connection with the transaction of county business, and that are not covered by a more specific record series. Includes communications by supporting staff acting on behalf of elected official or executive.</p> <p>Includes but is not limited to :</p> <ul style="list-style-type: none"> <li>•Requests for and provision of information/advice and county-initiated information/advice, sent or received by elected officials or executive management team.</li> <li>•Meetings held among agency and department directors, as well as councilmembers and independently elected officials.</li> </ul> <p>Includes all communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, instant messages, social networking posts and comments, etc.</p> <p>Note: Information/advice published online by the agency continues to be "provided" until the date it is removed/withdrawn.</p> | <p><b>Cutoff:</b> End of year</p> <p><b>Retention:</b> 6 years</p> | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p> |                                  | <p>Elected Officials, Department and Division Heads Communications, Subject and Issue Files</p> <p>ACO-01-002</p> | <p>GS50-01-12R3<br/>(Communications)</p> <p>GS50-01-43R2<br/>(Meetings)</p> |

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| 13                        | <p><b><u>Emergency/Preparedness and Recovery Plans</u></b><br/> Emergency and disaster preparedness, response, and recovery plans prepared for any aspect of the agency's operations and assets.<br/> Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Employee emergency plans and fire prevention plans prepared in accordance with WAC 296-24-567; essential records lists.</li> <li>• Safety and Floor Warden meeting information</li> <li>• Practice exercise information</li> </ul> <p><i><b>Excludes</b> hazardous materials/dangerous waste management plans covered by GS50-19-08.</i></p> | <p><b>Cutoff:</b> Once obsolete or superseded</p> <p><b>Retention:</b> 6 years</p> | <p><b>Disposition Action:</b><br/> Non-Archival - Destroy</p> <p>ESSENTIAL</p> |                                  | <p>Emergency/Disaster Security, Preparedness and Recovery Plans</p> <p>ACO-06-001</p> | GS50-14-03R2  |



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| 14                        | <p><b><u>Financial Transactions – Bond, Grant and Levy Projects</u></b><br/>Records documenting All resources received and expended by the agency for bond, levy, and/or grant-funded projects. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Cancelled (and voided) checks, credit card slips, project cost record, etc., <b>for capital assets constructed by the local government agency;</b></li> <li>• Contracts and agreements (for non-capital assets only); includes negotiations, compliance monitoring, etc.;</li> <li>• Documents supporting purchase/acquisition/construction and disposition/sales prices;</li> <li>• Financial statements and reports (cash receipts transmittals, daily cash report/summary, expenditure transactions, treasurer/finance officer reports, etc.);</li> <li>• Grant/scholarship announcements, applications, evaluation summaries, award notifications, etc., for funds awarded or received by the local government agency;</li> <li>• Project cost/expenditure tracking record (staff time, etc.);</li> <li>• Registers and journals for All funds and functions (including numerical listing of checks/warrants/vouchers, etc.);</li> <li>• Revenue bonds and coupons, registers, etc.;</li> <li>• Trust indenture, loan agreement, etc.</li> <li>• Revenue bonds and coupons, registers, etc.;</li> <li>• Trust indenture, loan agreement, etc.</li> </ul> | <p><b>Cutoff:</b> Final bond payment <b>or</b> completion of levy/grant project <b>or</b> terms of grant agreement, <i>whichever is later.</i></p> <p><b>Retention:</b> 6 years</p> | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> |                                  | <p>Grant Administration Records</p> <p>FIN-01-017</p> | <p>GS2011-183R2</p>                                   |

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| 15                        | <p><b>Financial Transactions – General</b><br/>Records documenting all resources received and expended by the agency provided that receipts and expenditures are not for bond, grant or levy projects.<br/><b>Includes, but is not limited to:</b></p> <ul style="list-style-type: none"> <li>• P-Card Transactions</li> <li>• Purchase and sales (purchase orders, bills of sale, receipts, cash books, remittance advices, vouchers, fiscal purchasing/receiving documents, etc.);</li> <li>• Financial statements and reports (cash receipts transmittals, daily cash report/summary, expenditure transactions, treasurer/finance officer, etc.);</li> <li>• Registers and journals (general and subsidiary) for all funds and functions;</li> <li>• Check/warrant registers;</li> <li>• Petty cash.</li> </ul> <p><b>Excludes:</b></p> <ul style="list-style-type: none"> <li>• Levy-, grant-, and bond-funded transactions covered by GS2011-185;</li> <li>• General and subsidiary ledgers covered by GS50-03A-15;</li> <li>• Contracts and agreements;</li> </ul> <p><b>Excludes:</b></p> <ul style="list-style-type: none"> <li>• Contracts and agreements involving the agency's capital assets which are covered by GS55-05A-06 and GS2011-169;</li> <li>• General and subsidiary ledgers covered by GS50-03A-15;</li> <li>• Unsuccessful grant/scholarship applications covered by GS50-03C-07.nual financial report covered by GS50-03D-02.</li> </ul> | <p><b>Cutoff:</b> End of year</p> <p><b>Retention:</b> 6 years</p> | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> |                                  | <p>General Office<br/>Accounting</p> <p>FIN-01-001</p> | GS2011-184R3  |

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| 16                        | <p><b><u>Financial Transaction Control</u></b><br/>Records documenting the accurate and accountable entry and approval of financial transactions into the County finance system, Oracle EBS per King County Executive Policy FIN 15-4 (AEP).</p> <p>Records document supervisory/management review of all expenditure transactions entered into EBS. They may include but are not limited to:<br/>Approvals submitted via email; written correspondence; tracking spreadsheets or other documentation providing the basis for decisions made.</p> | <p><b>Cutoff:</b> End of year</p> <p><b>Retention:</b> 6 years</p> | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> |                                  | <p>Financial Transaction Control</p> <p>FIN-03-002</p> | GS2011-184R3  |

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| 17                        | <p><b><u>General Office Communications and Staff Meetings</u></b><br/>Internal and external communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of public business, and that are not covered by a more specific records series.</p> <p>Includes All communication types, regardless of format:<br/> <ul style="list-style-type: none"> <li>•Correspondence, email;</li> <li>•Web sites/forms/pages, social networking posts and comments, etc.</li> </ul> </p> <p>Includes, but is not limited to:<br/> <ul style="list-style-type: none"> <li>•Requests for and provision of information/advice;</li> <li>•Agency-initiated information/advice</li> </ul> </p> <p>Records documenting monthly meetings held by (and/or for) staff. May include staff meetings, internal committees/task forces, and other groups that meet for various reasons (to plan activities, coordinate communications, solve problems, coordinate employee safety, etc.).<br/>Includes, but is not limited to:<br/>Agendas, meeting packets, sign-in lists, meeting notices, etc.;<br/>Minutes, audio/visual recordings, transcripts, etc.</p> | <p><b>Cutoff:</b> End of year</p> <p><b>Retention:</b> 2 years</p>      | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> |  | <p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p> | <p>GS2010-001R3<br/>(Communications)</p> <p>GS50-01-43R2<br/>(Staff Meetings)</p> |
| 18                        | <p><b><u>Litigation Case Files - Secondary</u></b><br/>Files document civil suits brought by the County against another party or in defense of the County and/or County employees against suits filed by another party.</p>   | <p><b>Cutoff:</b> Once case closed</p> <p><b>Retention:</b> 3 years</p> | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> | <p>PAO</p> <p>-(Primary copy is retained 10 years after case closed and is potentially archival)</p> | <p>N/A</p> <p>Secondary copies should be managed outside of KC ERMS</p>   | <p>GS53-02-04R2 (S)</p>   |

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| 19                        | <p><b><u>Newsletters</u></b><br/>Master set of All newsletter publications created by the agency. Also includes source materials (.pdfs, camera-ready copies, original photographs/digital images, etc.)<br/>Records include newsletter publications regardless of format including Word documents, web pages, blogs, .pdfs, email-based publications, as well as paper format records).</p> | <p><b>Cutoff:</b> Once no longer needed for agency business<br/><br/><b>Retention:</b> 2 years</p> | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p>   |                                  | <p>Master File of Agency Publications<br/><br/>INF-02-001</p> | GS50-06F-04R4   |
| 20                        | <p><b><u>Official Agency Policy and Procedure</u></b><br/>Directives, Regulations, and Rules<br/>Officially adopted policies, procedures or public rules affecting the entire agency. Activated through executive or department head signature, ordinance or resolution.<br/><br/>Excludes records covered under GS50-01-01.</p>   | <p><b>Cutoff:</b> Until superseded or obsolete<br/><br/><b>Retention:</b> None</p>                 | <p><b>Disposition Action:</b><br/>Archival - Permanent<br/><br/>ESSENTIAL<br/><br/>Transfer to King County Archives after end of cutoff period.</p> |                                  | <p>Final Adopted Policy<br/><br/>ACO-03-002</p>               | GS50-01-24R1  |

| 7. LIST OF RECORDS SERIES |   |   |   |                                  |   |   |
|---------------------------|---|---|---|----------------------------------|---|---|
| 7a.<br>ITEM<br>NO.        | 7b.<br>TITLE/DESCRIPTION  | 7c.<br>RETENTION  | 7d.<br>REMARKS/ARCHIVAL<br>DESIGNATION  | 7e.<br>OFFICE OF<br>PRIMARY COPY | 7f.<br>KC ERMS Category   | 7g.<br>STATE DISPOSITION<br>AUTHORITY NUMBER<br>(DAN) |
| 21                        | <p><b><u>Online Content Management</u></b><br/>Records documenting the publishing of the County's online (internet and intranet) content. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Requests/approvals to upload/update/remove content;</li> <li>• Confirmation of content upload/update/removal;</li> <li>• Point-in-time record of webpage/site (screenshot, snapshot, site map).</li> </ul> <p><i>Note: All published content consists of individual records which have their own separate retention requirements. Each of these records must be retained for the current approved minimum retention period(s) according to their applicable records series.</i></p> | <p><b>Cutoff:</b> Once online content removed</p> <p><b>Retention:</b> 1 year</p>                                   | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p>                    |                                  | <p>Online Content Management</p> <p>INF-04-006</p>  | GS2010-007  |
| 22                        | <p><b><u>Ordinance, Legislation and Resolution Development Files</u></b><br/>Documentation of the analysis and development of ordinances and/or resolutions submitted for the approval of the agency's governing council, commission or board.</p> <p><i>Excludes approved legislation, ordinances and resolutions covered by GS50-05A16.</i></p>   | <p><b>Cutoff:</b> Approval or decision not to proceed</p> <p><b>Retention:</b> 3 years</p>                          | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p> |                                  | <p>Ordinance, Motion and Resolution Development and Transmittal Files</p> <p>LES-02-002</p> | GS50-01-25R1  |
| 23                        | <p><b><u>Outreach/Promotional Materials</u></b><br/>Various types and formats of publications and educational materials used to emphasize services, programs and/or collections. Examples include brochures, pamphlets, tip-sheets, instructional handouts, presentations, etc.</p>   | <p><b>Cutoff:</b> End of year in which record is published or no longer needed</p> <p><b>Retention:</b> 2 years</p> | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p> |                                  | <p>Advertising, Promotion and Promotion</p> <p>PRE-01-005</p>                               | GS2011-165  |

| 7. LIST OF RECORDS SERIES |   |   |  |                                  |  |   |
|---------------------------|---|---|--|----------------------------------|--|---|
| 7a.<br>ITEM<br>NO.        | 7b.<br>TITLE/DESCRIPTION  | 7c.<br>RETENTION  | 7d.<br>REMARKS/ARCHIVAL<br>DESIGNATION                       | 7e.<br>OFFICE OF<br>PRIMARY COPY | 7f.<br>KC ERMS Category  | 7g.<br>STATE DISPOSITION<br>AUTHORITY NUMBER<br>(DAN) |
| 24                        | <p><b><u>Performance Evaluation Background Files</u></b><br/>Records used by employees with supervisory responsibilities to prepare and support the annual performance evaluations of employees under their supervision. <b>Only</b> includes records needed to support the completion of the performance evaluation.</p> <p>Includes, but is not limited to: performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports, etc.</p> <p><b>Excludes</b> records needed to support <i>ongoing</i> supervision of the employee (see Supervisor's Working Files).</p> <p><b>Excludes</b> final signed performance evaluations (kept by Human Resources in the official Personnel File.)</p> | <p><b>Cutoff:</b> Once the performance review has been completed and appeal period has past</p> <p><b>Retention:</b> None</p> | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> |                                  | <p>Performance Evaluation Background Files</p> <p>PER-02-003</p> | GS50-04B-31R1   |

| 7. LIST OF RECORDS SERIES |  |  |   |                                  |   |   |
|---------------------------|--|--|---|----------------------------------|---|---|
| 7a.<br>ITEM<br>NO.        | 7b.<br>TITLE/DESCRIPTION   | 7c.<br>RETENTION   | 7d.<br>REMARKS/ARCHIVAL<br>DESIGNATION  | 7e.<br>OFFICE OF<br>PRIMARY COPY | 7f.<br>KC ERMS Category                               | 7g.<br>STATE DISPOSITION<br>AUTHORITY NUMBER<br>(DAN) |
| 25                        | <p><b>Public Disclosure/Records Requests</b><br/>Records relating to requests from the general public for access to the agency's public records in accordance with chapter 42.56 RCW. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Internal and external correspondence relating to the request;</li> <li>• Records documenting the public records provided to the requestor (copies or lists of the records provided, etc.);</li> <li>• Records documenting the public records (or portions) withheld (exemption logs, copies of portions redacted, etc.);</li> <li>• Records documenting administrative reviews relating to the request.</li> </ul> <p><i>Excludes the records that are the subject of the public records request (which must be retained in accordance with the applicable records series).</i></p> <p><i>Note: Response is considered complete when All complaints, appeals, or challenges related to the request have been resolved.</i></p> | <p><b>Cutoff:</b> After public records request complete</p> <p><b>Retention:</b> 2 years</p> | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p>                    |                                  | <p>Public -Records Act Requests</p> <p>INF-01-002</p> | GS2010-014R3  |
| 26                        | <p><b>Project Files</b><br/>Records relating to agency projects where not covered by a more specific records series in King County General Retention Schedule or agency specific schedules.</p> <p>May include, correspondence, meeting records, substantive drafts, and additional supporting documentation.</p>  | <p><b>Cutoff:</b><br/>Completion of project</p> <p><b>Retention:</b> 6 years</p>             | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p> |                                  | <p>Project Files</p> <p>ACO-02-001</p>                | GS50-01-39R1  |



| 7. LIST OF RECORDS SERIES |   |  |  |                                  |  |   |
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| 7a.<br>ITEM<br>NO.        | 7b.<br>TITLE/DESCRIPTION  | 7c.<br>RETENTION   | 7d.<br>REMARKS/ARCHIVAL<br>DESIGNATION   | 7e.<br>OFFICE OF<br>PRIMARY COPY | 7f.<br>KC ERMS Category  | 7g.<br>STATE DISPOSITION<br>AUTHORITY NUMBER<br>(DAN) |
| 27                        | <p><b><u>Policy Development Files</u></b><br/>Files document the development for DCHS and County policies. Includes drafts, research, supporting documents, correspondence, etc.</p>  | <p><b>Cutoff:</b> Policy completion</p> <p><b>Retention:</b> 6 years</p>             | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p>  |                                  | <p>Policy Development Files</p> <p>ACO-03-001</p>  | GS50-01-39R1  |
| 28                        | <p><b><u>Research/Program Reports, Studies, Surveys, Models and Analyses</u></b><br/>Research/program reports, studies, surveys, models, and analyses where not covered by a more specific records series in King County General Records Retention Schedule or agency specific schedules.</p> <p>Includes reports published by county agencies, reports by consultants hired by the county, and publications of joint projects supported by King County Government. Examples include published studies and reports, pamphlets, and brochures.</p> <p><i>Excludes reports covered by GS2012-028 and data extracts/printouts covered by GS50-02-04.</i></p> | <p><b>Cutoff:</b> Once superseded or obsolete</p> <p><b>Retention:</b> 6 years</p>   | <p><b>Disposition Action:</b><br/>Potentially Archival - Appraisal Required</p>  |                                  | <p>Research/Program Reports, Studies, Surveys, Models and Analyses</p> <p>ACO-02-002</p> | GS50-01-32R1  |
| 29                        | <p><b><u>Strategic Plans – Development</u></b><br/>Records relating to the development of the agency’s strategic plan.<br/>May include correspondence, drafts with substantive changes, mission statements etc.</p>   | <p><b>Cutoff:</b><br/>Completion of plan</p> <p><b>Retention:</b> 2 years</p>        | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p>   |                                  | <p>Strategic Plans - Development</p> <p>ACO-04-002</p>                                   | GS2010-079  |
| 30                        | <p><b><u>Strategic Plans – Final</u></b><br/>Final version of agency-wide strategic, long-term plan used to align the agency’s organizational and budget structure with its priorities, missions, and objectives.</p>   | <p><b>Cutoff:</b> Once plan revised or obsolete</p> <p><b>Retention:</b> 2 years</p> | <p><b>Disposition Action:</b><br/>Archival - Permanent</p> <p>Transfer to the King County Archives at the end of the retention period.</p> |                                  | <p>Strategic Plans – Final Version</p> <p>ACO-04-003</p>                                 | GS2010-080  |

| 7. LIST OF RECORDS SERIES |  |  |  |                                  |   |   |
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| 31                        | <p><b>Supervisor's Working Files</b><br/>Records compiled by supervisors about the progress, conduct and performance of employees under their supervision. Records are <b>only</b> used to support the ongoing supervision of the employee and <b>exclude</b> records that belong in the official personnel file; that document misconduct investigations or corrective action; or that document employee complaints/grievances.</p> <p>Includes, but is not limited to: copies of performance evaluations; workplace expectations, documents related to long-term performance or career goals, emergency contact information, employee coaching documentation; advice or guidance <i>received</i> about ongoing issues relating to the employee; performance monitoring, etc.</p> <p><b>Excludes</b> records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files).</p> <p><b>Excludes</b> Doctor's notes or any other medical certification, workers compensation claim documents, including the supervisor's report on the injury, any formal or informal legal claim by or about the employee, the employee's i-9 form, any workplace investigation materials regarding the employee, background investigation reports, personality or other test results, any non-job related information/personal information about the employee, etc. These records should be transferred to the Human Resources Office rather than retained in the Supervisor's Working File.</p> | <p><b>Cutoff:</b> Once no longer supervising employee</p> <p><b>Retention:</b> 3 years</p> | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> |                                  | <p>Supervisor's Working Files</p> <p>PER-06-010</p> | GS50-04B-31R1A  |

| 7. LIST OF RECORDS SERIES |   |   |  |                                  |                                  |   |
|---------------------------|---|---|--|----------------------------------|----------------------------------|---|
| 7a.<br>ITEM<br>NO.        | 7b.<br>TITLE/DESCRIPTION  | 7c.<br>RETENTION  | 7d.<br>REMARKS/ARCHIVAL<br>DESIGNATION                       | 7e.<br>OFFICE OF<br>PRIMARY COPY | 7f.<br>KC ERMS Category          | 7g.<br>STATE DISPOSITION<br>AUTHORITY NUMBER<br>(DAN) |
| 32                        | <p><b>Work Plans</b><br/>Plans describing work to be performed by divisions and units of the agency, including timelines and areas of responsibility for specific actions. Also includes records relating to the development of work plans. Plans may be produced annually, bi-annually or quarterly.</p> <p><b>Excludes</b> agency-wide strategic plans covered by GS2010-080.</p> | <p><b>Cutoff:</b> Once revised or obsolete</p> <p><b>Retention:</b> 2 years</p> | <p><b>Disposition Action:</b><br/>Non-Archival - Destroy</p> |                                  | <p>Work Plans<br/>ACO-04-004</p> | GS50-01-38R2  |

**8. RECORDS AND INFORMATION MANAGER SIGNATURE**

*I hereby certify that the records series as described comply with current federal, state, and local regulations as of the date listed in section 4, and I ensure the accuracy of this schedule.*

\_\_\_\_\_ **Gail Snow**

\_\_\_\_\_ **Date**

**9. COUNTY ARCHIVIST SIGNATURE**

*I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.*

\_\_\_\_\_ **Carol Shenk**

\_\_\_\_\_ **Date**

**10. AGENCY MANAGER SIGNATURE**

*I certify that I have read and understood these records retention requirements and agree to implement the records retention schedule for all records and information within the scope of my responsibility.*

\_\_\_\_\_ **Adrienne Quinn**

\_\_\_\_\_ **Date**

**PUBLIC RECORDS COMMITTEE USE ONLY - DO NOT FILL IN BEYOND THIS POINT**

**11. PRC APPROVAL**

\_\_\_\_\_ **Deborah Kennedy**

\_\_\_\_\_ **Date**

King County Public Records Committee