



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Executive Services / Office of Alternative
Dispute Resolution

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

DES-ADR-(ALL) / 011001

**3. TOTAL NUMBER OF
PAGES**

12

**4. DATE LAST
MODIFIED**

January 5, 2018

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. ITEM NO.	7b. TITLE/DESCRIPTION	7c. RETENTION	7d. DISPOSITION AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
1	<p><u>ADR Case Database</u> Administrative database used to store and track information regarding ADR cases. Includes both Access and online database information.</p> <p>May include:</p> <ul style="list-style-type: none"> • Case background; • Information on parties involved; • Meeting coordination information. 	<p>Cutoff: completion of case and execution of final agreement or contract</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>WAC 391-55-090- confidentiality requirements for mediation records</p>		<p>N/A</p> <p>Database records are not managed in the KC ERMS</p>	GS50-01-39R1

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2	<p><u>ADR Mediation Working Files</u> Working files for each ADR case. Includes case files held for mediators working on behalf of King County, or for the resolution of conflict between King County employees. All records created in an effort to assist parties in reaching a voluntary settlement to their conflicts. Includes records made for purposes of considering, conducting, participating in, initiating, continuing or reconvening a conflict resolution process (mediation), as defined by the Uniform Mediation Act. Excludes final agreement or contract resulting from mediation, covered under <u>ADR Final Agreements (category CON-01-001)</u>.</p> <p>May include:</p> <ul style="list-style-type: none"> • Case notes and e-mails and other records that contain; substantive or identifying information that is defined as privileged under the Uniform Mediation Act; • Signature sheets regarding confidentiality; • Mediator notes; • Case records; • Mediator effectiveness evaluations; • Meeting coordination records. <p>Includes both paper and electronic records when applicable.</p>	<p>Cutoff: completion of case and execution of final agreement or contract</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>WAC 391-55-090- confidentiality requirements for mediation records</p>		<p>Alternative Dispute Resolution Case Files</p> <p>ACO-02-006</p>	<p>GS50-01-39R1A</p> <p>*This rule with an A extension was created to provide a different archival status for these records after they were appraised as non-archival by the County Archivist on November 24, 2014.</p>
3	<p><u>ADR Final Agreements</u> Contract/agreement documenting the final resolution of the mediated conflict.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Final agreement and any agreement supplements, addendums, or final supporting documentation necessary for the interpretation or fulfillment of the agreement where applicable. 	<p>Cutoff: completion of transaction or termination/ expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Contracts, Agreements, and Warranties</p> <p>CON-01-001</p>	<p>GS50-01-11R4</p>

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4	<p><u>ADR Labor Contract Negotiation And Facilitation Case Files</u> Mediation working files for labor management and contract negotiations.</p> <p>May include:</p> <ul style="list-style-type: none"> • Mediator notes; • Case records; • Work group queries and recommendations; • Mediator notes on outcomes or resolutions of mediation; • Copies of draft and/or final agreements. 	<p>Cutoff: completion of case and execution of final agreement or contract</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>WAC 391-55-090- confidentiality requirements for mediation records</p>		<p>Alternative Dispute Resolution Case Files</p> <p>ACO-02-006</p>	GS50-01-39R1
5	<p><u>Administrative Procedures and Instructions</u> Internal procedures, protocol, and instructions providing guidance for day to day operations. Includes office manuals.</p> <p>Excludes officially adopted policies activated through department head signature.</p>	<p>Cutoff: obsolete or superseded</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>	GS50-01-01
6	<p><u>Agency Provided Training – Curriculum and Materials Development</u> Records relating to the development of training courses, seminars and/or workshops. Includes research, materials development, etc.</p>	<p>Cutoff: curriculum no longer provided by agency</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Agency-Provided Training – Curriculum and Materials Development</p> <p>ACO-10-002</p>	GS2011-178R1

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7	<p><u>Agency-Provided Training – Documentation</u> Records documenting training courses, seminars and workshops provided by the local government agency to the public, customers, contractors, agency employees or volunteers, where:</p> <ul style="list-style-type: none"> • Certificates/credentials/licenses may be awarded, continuing education hours/credits/points may be earned OR training is required by statute and/or by employer. <p>ADR trainings may include:</p> <ul style="list-style-type: none"> • In-service training; • Negotiation conference training; • Facilitation training; • Basic mediation training where individuals may use training and courses for certifications <p>Materials may include:</p> <ul style="list-style-type: none"> • Curricula and materials presented at specific training; • Tests given, and results; • Attendance lists; • Certification/hours/credits/points awarded. 	<p>Cutoff: date training provided</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Agency-Provided Training – Certification, Continuing Education Credits and Mandatory</p> <p>ACO-10-006</p>	GS2011-180R1
8	<p><u>Budget Development Files</u> Background information and draft documents compiled in the course of budget preparation.</p> <p>May include:</p> <ul style="list-style-type: none"> • Preliminary budgets; • Spreadsheets; • Statistics; • Expenditure reports; • Correspondence; • Briefing materials; • Supporting documentation. 	<p>Cutoff: budget adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Budget Development Files</p> <p>BUD-01-001</p>	GS50-03D-03

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9	<p><u>General Office Communications and Staff Meetings</u> Internal and external communications to or from employees (includes contractors and volunteers), made or received in connection with the transaction of county business, and which is not related to a more specific categories. Meeting and training arrangements. Working files which include reference-only copies, forms and templates, mailing lists.</p> <p>May include: Correspondence, including email, voicemail or any other communication types unrelated to specific mediation cases; Web sites/forms/pages/updates, social networking posts and comments; Meeting minutes and agendas; Training <i>arrangements</i> and related correspondence; Employee bios used for presentations and reference; Calendars (if not retained by Outlook).</p>	<p>Cutoff: year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>Combo Rule ACO-01-001</p> <p>GS50-01-43R2 (Staff Meetings)</p> <p>GS2010-001R3 (Communications)</p>
10	<p><u>Mediator Volunteer Files</u> Documents work service of individual volunteer.</p> <p>May include:</p> <ul style="list-style-type: none"> • Application for service; • Employee's training history; • Evaluation of volunteer's work. 	<p>Cutoff: termination of volunteer service</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Volunteer Files</p> <p>PER-06-004</p>	<p>GS50-04B-06R4</p>


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11	<p><u>Newsletters</u> Master set of all newsletter publications created by the agency, including InterLocal Conflict Resolution Group newsletters created by ADR employees.</p> <p>Records include source materials such as camera-ready copies, original photographs/digital images, etc. Includes newsletter publications regardless of format.</p> <p>May include, but are not restricted to:</p> <ul style="list-style-type: none"> • Word documents, PDFs; • Web pages and blogs; • Email-based publications; • Paper format records. 	<p>Cutoff: no longer needed for agency business</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>	<p>Original PDF copy is considered original/primary if duplicate is also on web.</p>	<p>Master File of Agency Publications</p> <p>INF-02-001</p>	<p>GS50-06F-04R4</p>
12	<p><u>Outreach and Promotion</u> Records related to the planning and/or execution of educational or promotional events, advertising or marketing campaigns, and contests conducted by ADR to promote its business and services.</p> <p>Includes material presented to the public, or to county employees and volunteers.</p> <p>May include:</p> <ul style="list-style-type: none"> • Event programs and schedules; • Photographs and slides; • Posters, brochures, or flyers; • Web-based/social media promotion; • Correspondence. 	<p>Cutoff: end of year in which record is superseded or no longer needed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Advertising, Promotion and Outreach</p> <p>PRE-01-005</p>	<p>GS2011-165</p>


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13	<p><u>Performance Evaluation Background Files</u> Records used by employees with supervisory responsibilities to prepare and support the annual performance evaluations of employees under their supervision. Only includes records needed to support the completion of the performance evaluation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Performance plans; • Confirmation of goals; • Confirmation of achievements; • Samples of work completed; • Communication/meeting notes; • Documentation of performance issues; • Status reports, etc. <p>Excludes records needed to support <i>ongoing</i> supervision of the employee (see Supervisor's Working Files).</p> <p>Excludes final signed performance evaluations (kept by Human Resources in the official Personnel File.)</p>	<p>Cutoff: destroy once the performance review has been completed and appeal period has ended</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1
14	<p><u>Strategic Plans</u> Plans created by ADR on a regular basis as contribution to department-wide final strategic plan.</p>	<p>Cutoff: completion of plan</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Strategic and Work Plans - Development</p> <p>ACO-04-002</p>	GS2010-079


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15	<p><u>Training/Class Completion Database</u> Listing of mediation volunteers or employees and the classes or training exercises that have been completed.</p> <p>If/when database is no longer needed or superseded, it must be kept for 3 years after year end when last training completed and entered.</p>	<p>Cutoff: date training provided</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Agency Provided Training – General</p> <p>ACO-10-001</p>	GS2011-181R1

<p>16</p>	<p><u>Transitory Records</u> Public records that only document information of temporary, short-term value, and provided that the records are not needed as evidence of a business transaction; and, not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency-Generated Forms and Publications – Copies (Copies of unused forms) • Brainstorming and Collaborating (Notes, mind maps, white board collaboration notes, post-its, A3, flip charts) • Contact Information (external clients or stakeholders) • Drafting and Editing (Preliminary drafts with only editing suggestions, notes, and related correspondence if they do not document decision making or substantive changes) • Electronic documents when printed version is finalized with inked signature • General Information – External (FYI information received from external sources) • Unsolicited Materials/publications (Not requested nor used) • Basic/routine short-term communications that do not document decision making or agency actions and not covered by another category, such as – “I am running late this morning” or “Come see me at my desk when you can”) • Internet Browsing History (cookies/cache/temp files on your computer) • Organizing/Monitoring Work In Progress (to-do lists; working notes; status logs) • Records Documented as Part of More Formalized Records (Notes used for data entry; raw stats/survey responses consolidated into a larger report or record if not required for other uses) • Reference Materials (gathered from external sources which do not provide evidence of agency work) • Scheduling of Meetings/Appointments • Secondary (Duplicate) Copies 	<p>Cutoff: retain until no longer needed for agency business</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A, should not be filed into KC ERMS</p>	<p>Refer to General Records Retention Schedule for complete list of DANs in this series.</p> <p>Note: destruction documentation is not required for Transitory Records.</p>
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17	<p><u>Volunteer Applications Not Accepted</u> Records are applications submitted by individuals who wish to participate in a King County volunteer program, but whose applications were not accepted.</p>	<p>Cutoff: application denied</p> <p>Retention: 1 year</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employment Inquiries</p> <p>PER-10-006</p>	GS50-04A-05R1
18	<p><u>Work Plans</u> Plans describing work to be performed by employees of the agency, including timelines and areas of responsibility for specific actions. Also includes records relating to the development of work plans.</p>	<p>Cutoff: revised of obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Work Plans</p> <p>ACO-04-004</p>	GS50-01-38R2
19	<p><u>WMA Certification Records</u> Records documenting completion of the Washington Mediators Association Certification process.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Records compiled to get and obtain licensure, including continuing education documentation. 	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Continuing Professional Education Records</p> <p>PER-06-007</p>	GS2011-190R2

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.

Date: 1/11/2017
Gail Show

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.

Date: 08/31/2018
Carol Shenk
Carol Shenk County Archivist

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.
see original for signature

Date: 1/5/2017
Ann McBroom

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

11. PRC APPROVAL

Date: 9/26/2018
Deborah Kennedy
King County Public Records Committee