



King County

Department of Executive Services
Records and Licensing Services Division
Archives, Records Management and Mail
Services Section

PUBLIC RECORDS RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Executive Services / Director's Office

2. DEPARTMENT-DIVISION-SECTION [DDS]

DES-DIR-(DIR) / 010301

3. TOTAL NUMBER OF PAGES

23

4. DATE LAST MODIFIED

January 3, 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))
GENERAL / ALL STAFF						
1	<p><u>Accounting Records</u> Records are used to document payment for goods and services received.</p> <p>May include:</p> <ul style="list-style-type: none"> • Invoices; • Purchase orders; • Vouchers; • Receipts; • P-card records. <p>Excludes secondary copies of records (see Transitory Records).</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3
2	<p><u>Communications - General</u> Communications to or from employees that are made or received in connection with the transaction of public business, and that are not covered by a more specific record series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Request for and provision of information or advice; • Consultation/advice about diversity issues; • Technical assistance provided; • Advice on policy development; • Weekly summaries; • General recommendations; • Oracle and PeopleSoft Access Request Form copies. <p>Excludes communications to/from the Department Director, Deputy Department Director, or anyone communicating on their behalf (see Director and Deputy Director's Communications).</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>	GS2010-001R3

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3	<p><u>Communications – Public</u> Communications from citizens and members of the public making a complaint or request for agency action, as well as the associated agency response. Includes communications and records in the Customer Relationship Management (CRM) system and communications with the public on social media.</p> <p>Excludes communications to/from the Department Director, Deputy Department Director, or anyone communicating on their behalf (see Director and Deputy Director’s Communications).</p>	<p>Cutoff: end of year in which the issue was resolved</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Citizens’ Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	<p>GS50-01-09R2</p>
4	<p><u>Meetings – Staff</u> Records related to staff meetings in the DES Director’s Office.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas, meeting packets, minutes, transcripts, sign-in sheets. <p>Excludes advisory body meetings (see Meetings and Projects – Advisory Bodies).</p> <p>Excludes committee meetings and DES management team meetings (see Meetings – Committees and DES Management Team).</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>GS50-01-43R2</p>
5	<p><u>Payable Status Reports</u> Reports generated from PeopleSoft that are used to verify, modify and authorize payroll processing.</p>	<p>Cutoff: year end</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Payroll Supporting Documentation</p> <p>FIN-08-006</p>	<p>Combo Rule FIN-08-006</p> <p>GS50-03E-15R1 (Employee Pay History)</p> <p>GS50-03E-02R1 (Payroll Processing)</p>

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6	<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 past</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

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7	<p>Project Files Records used to document various projects managed by DES Director's Office. Examples of projects may include, but are not limited to: development of the LEAN workflow efficiencies process; Continuity of Operations Planning (COOP); Health Reform Initiative; development of Records Management Network for DES; MLK Celebrations; Affirmative Action Plan development.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Project plans; • Project advisory meeting materials; • Status reports; • Consultant contracts; • Correspondence. 	<p>Cutoff: project completed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Project Files</p> <p>ACO-02-001</p>	GS50-01-39R1
8	<p>Service Level Agreements Records that document service level agreements between the DES Director's Office and other agencies, where the agreements are maintained and managed by the Director's Office.</p>	<p>Cutoff: agreement terminated or expired</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>	GS50-01-11R4

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9	<p>Supervisor's Working Files Records compiled by supervisors about the progress, conduct and performance of employees under their supervision. Records are only used to support the ongoing supervision of the employee and exclude 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>Excludes records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files).</p> <p>Excludes 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>Cutoff: no longer supervising employee</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1A

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10	<p>Transitory Records 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: Dispose of when no longer needed</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		N/A	<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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ADVISORY BODIES AND ESJ						
11	<p><u>Applications Not Accepted – Advisory Bodies (CRC and EEO/AA)</u> Applications to serve on the Civil Rights Commission or the Equal Employment Opportunity and Affirmative Action Advisory Committee, when the applicant is not accepted.</p>	<p>Cutoff: application denied or withdrawn</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
12	<p><u>Communications – Advisory Bodies (CRC and EEO/AA)</u> Communications to or from advisory bodies and its members, made or received in connection with the transaction of official business of the Civil Rights Commission (CRC) and Equal Employment Opportunity and Affirmative Action (EEO/AA) Advisory Committee.</p> <p><i>Note: email communications to or from advisory body members are auto-journaled into the KC ERMS offices DES-DIR-(BRD) Civil Rights Commission (010304) and DES-DIR-(BRD) EEO/AA Advisory Committee (010303).</i></p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Communications for Advisory Councils, Commissions, Committees and Boards</p> <p>ACO-01-014</p>	GS50-01-12R3

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13	<p><u>Communications – ESJ</u> Internal or external communications to or from employees that are made or received in connection with the Inter Branch Team (IBT) on Equity and Social Justice (ESJ).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Request for and provision of information or advice; • Consultation/advice about diversity issues; • Technical assistance provided; • Advice on policy development; • Reporting about ESJ; • Weekly summaries; • Communications about ESJ training. <p>Excludes communications from the Department Director, or anyone communicating on behalf of the Department Director (see Director and Deputy Director Communications).</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>	GS2010-001R3
14	<p><u>Meetings and Projects – Advisory Bodies (CRC and EEO/AA)</u> Records created to document the activities, projects, and meetings of the Civil Rights Commission (CRC) and Equal Employment Opportunity and Affirmative Action (EEO/AA) Advisory Committee. Includes Martin Luther King (MLK) Essay Contest.</p> <p>Records Includes, but are not limited to:</p> <ul style="list-style-type: none"> • Agendas, minutes, materials presented, agenda packets, testimony, audio/visual recordings, member lists, action items tracking, sign in sheets, and other records, projects or reports collected by or created by the body. 	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: 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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15	<p>Training Curricula – ESJ Final copies of curricula presented during Equity and Social Justice training.</p>	<p>Cutoff: curricula obsolete or superseded</p> <p>Retention: 3 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Training Curriculum – Equity and Social Justice</p> <p>ACO-10-005</p>	GS2011-181R1A
16	<p>Training – ESJ Records documenting training courses, seminars and workshops <i>provided by</i> the agency to the public, customers, contractors, or agency employees for Equity and Social Justice; including ESJ Academy certification.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Tests administered; Attendee lists and sign-in sheets; test results; evaluations; etc. <p>Excludes final curricula presented (see Training Curricula - ESJ).</p> <p>Excludes mandatory training (GS2011-180); employee training/history (see Personnel File); Agency-provided training covered by GS2011-180; Excludes employee training certificates/history retained in the employee’s personnel file; Financial records covered in the Financial Management function.</p>	<p>Cutoff: 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

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BUDGET AND LEGISLATION						
17	<p><u>Budget Development Records</u> Records used to prepare DES annual budget request.</p> <p>May include:</p> <ul style="list-style-type: none"> • Final budget requests, work plans and business plans submitted to Executive Office of Performance, Strategy and Budget for approval, change proposals, true up reports, and additional background information needed to document and explain requested budget amounts. 	<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
18	<p><u>Budget Monitoring Records</u> Records used for reporting on the status of DES accounts and budgets.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Revenue projections; • Expenditure tracking documents; • Budget summaries. 	<p>Cutoff: year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Budget Status Reports</p> <p>BUD-01-002</p>	GS50-03D-06
19	<p><u>Legislation Development Records - County</u> Documentation of the analysis and development of ordinances and motions submitted for the approval by the King County Council. Includes legislative review forms, and drafts with edits or comments.</p>	<p>Cutoff: approval or decision not to proceed</p> <p>Retention: 3 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Ordinance, Motion and Resolution Development and Transmittal Files</p> <p>LES-02-002</p>	GS50-01-25R1

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20	<p>Legislation Development Records - External Records used to document the county's feedback on proposed legislation at the State or Federal level.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Responses and approvals provided. 	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>External Legislation</p> <p>LES-03-003</p>	GS50-01-12R3
COMMUNICATIONS AND MARKETING						
21	<p>Media Communications Communications with the media or public about projects or issues relating to DES.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Communication received and agency responses. Includes communications on social media. <p>Excludes communications to/from the Department Director, Deputy Department Director, or anyone communicating on their behalf (see GS50-01-12R3).</p>	<p>Cutoff: end of year in which the issue was resolved</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Public Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	GS50-01-09R2

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22	<p><u>Newsletters</u> Master set of all newsletter publications created by the agency. Also includes source materials (.pdfs, camera-ready copies, original photographs/digital images, etc.)</p> <p>Records include:</p> <ul style="list-style-type: none"> • Newsletter publications regardless of format including Word documents, web pages, blogs, .pdfs, email-based publications, as well as 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>Master File of Agency Publications</p> <p>INF-02-001</p>	GS50-06F-04R4
23	<p><u>Online Content Management</u> Records used to document the publishing of the agency’s internet and intranet content. Includes requests for and confirmation of changes to online content. Includes snapshots/screenshots of pages, if applicable.</p>	<p>Cutoff: online content is removed</p> <p>Retention: 1 year</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Online Content Management</p> <p>INF-04-006</p>	GS2010-007
24	<p><u>Outreach/Promotional Materials</u> The creation and dissemination of communications and deliverables to promote, advertise, and market the activities, projects and services of DES.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Posters, expenditure requests, milestones, events, press releases, presentations, images, brochures, flyers, social media promotion and correspondence. <p>Excludes newsletters (see Newsletters).</p>	<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>	GS2011-165

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DEPARTMENT DIRECTOR / MANAGEMENT TEAM						
25	<p><u>Director and Deputy Director's Communications, Topic and Issue Files</u></p> <p>Records document a variety of DES related issues or topics the Department Director or Deputy Department Director is interested in or has oversight/directional responsibility for. Also includes communications for individuals communicating on behalf of the director or deputy director. Files are generally organized by office then topic. Examples of subjects include taxi cab industry issues, responses to Council requests on a variety of topics, County-City partnerships, pandemic flu response planning, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Briefing documents; • Correspondence; • Division performance reports; • Newsletters; • Presentation materials; • Work plans. 	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Elected Officials, Department and Division Heads Communications, Subject and Issue Files</p> <p>ACO-01-002</p>	<p>Combo Rule ACO-01-002</p> <p>GS50-01-12R3 (Communications)</p> <p>GS50-01-02 (Administrative Working Files)</p>

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26	<p><u>Meetings – Committees and DES Management Team</u> Records related to staff meetings, internal and external committees/task forces, and other groups that meet for various reasons (to plan activities, coordinate communications solve problems, discuss specific issues, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas; • Meeting packets; • Sign-in lists; • Meeting notices (affidavits of mailing, posting and publication); • Meeting minutes or notes. <p>Examples include:</p> <ul style="list-style-type: none"> • UASI regional emergency management committee, alliance executive committee overseeing local healthcare, labor relations committee, executive finance committee, and meetings with DES management team. 	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Elected Officials, Department and Division Heads Communications, Subject and Issue Files</p> <p>ACO-01-002</p>	<p>Combo Rule ACO-01-002</p> <p>GS50-01-43R2 (Staff Meetings)</p>
27	<p><u>Performance and Strategic Planning Projects</u> Records used to document the <i>development of</i> reports, deliverables or events for strategic and performance planning by the Department of Executive Services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Line of business planning, forecasting, retreat planning, performance measures, tier-4 boards, quad charts, etc. 	<p>Cutoff: project complete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Project Files</p> <p>ACO-02-001</p>	<p>GS50-01-39R1</p>

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28	<p><u>Performance and Strategic Planning Reports and Deliverables</u> Final versions of reports and deliverables created to document strategic and performance planning by the Department of Executive Services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Line of business planning, forecasting, retreat planning, performance measures, tier-4 boards, quad charts, etc. 	<p>Cutoff: obsolete or superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Research/Program Reports, Studies, Surveys, Models and Analyses</p> <p>ACO-02-002</p>	GS50-01-32R1

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HUMAN RESOURCES						
29	<p><u>Employee Complaints and Grievances</u> Documentation of action and investigation into general complaints and grievances filed by employees.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notices of grievance; • Discussion notes; • Hearing transcripts; • Correspondence; • Appeal documentation. 	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Grievances</p> <p>PER-08-001</p>	GS50-04E-03R2
30	<p><u>Employee Corrective Action and Probation Documents</u> Records related to investigations and disciplinary actions.</p> <p>May include:</p> <ul style="list-style-type: none"> • Records documenting actions taken to correct employee behaviors that are negatively impacting his or her work. • Non-retaliation agreements, fact finding reports, management recommendations, decision letters, policies and procedures, last chance agreements, reprimands, correspondence, and additional supporting documentation. 	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Misconduct Investigation Files – Substantiated</p> <p>PER-08-005</p>	GS50-04B-46R3

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))
31	<p><u>Employee Leave Records</u> Records documenting requesting, granting or monitoring employee leave; including: family medical leave (FMLA), executive leave, and overtime.</p> <p>Excludes leave records needed for retirement benefit verification.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Leave Management</p> <p>PER-09-002</p>	<p>Combo Rule PER-09-002</p> <p>GS50-04B-09R2 (Leave – Routine)</p> <p>GS2017-009 (Leave – Non-Routine)</p>
32	<p><u>Human Resources Advice Files</u> Communications to and from Human Resources staff, which provide advice in response to particular human resources issues and questions.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Advice provided on performance appraisal process; • Human resources policy interpretation; • Advice on individual reclassification requests, correspondence on merit pay increase process, etc. 	<p>Cutoff: end of year in which issue is resolved</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Human Resources Advice Files</p> <p>PER-06-011</p>	<p>GS2010-001R3B</p>

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))
33	<p>Misconduct Investigation Files – Founded Records related to official investigations of employee misconduct that result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective action, correspondence and notes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Non-retaliation agreements; • Fact finding reports; • Management recommendations; • Decision letters; • Policies and procedures; • Last chance agreements; • Written reprimands; • Correspondence. <p>Excludes investigative summary report covered by GS50-04B-06, Personnel File.</p> <p>Excludes workplace violence case files covered by GS50-05A-24.</p>	<p>Cutoff: termination of employment*</p> <p>Retention: 6 years</p> <p>*If the investigation involved more than one person, records should be retained for 6 years after last person involved has left employment,</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Misconduct Investigation Files – Substantiated</p> <p>PER-08-005</p>	GS50-04B-46R3

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))
34	<p><u>Misconduct Investigation Files - Unfounded</u> Records related to official investigations of employee misconduct that do not result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective action, correspondence, and notes.</p> <p>Excludes investigative summary report covered by GS50-04B-06, Personnel File.</p> <p>Excludes workplace violence case files covered by GS50-04B-46R3.</p>	<p>Cutoff: case settled</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Misconduct Investigation Files – Unfounded</p> <p>PER-08-006</p>	GS50-04B-47R3
35	<p><u>Personnel Files – Employment History</u> Files contain information related to an employee’s employment and benefit history.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Application for employment when applicant is hired; • Resumes; • Background checks; • Performance evaluations and awards; • Job classifications; • Position descriptions; • Out-of-class documentation; • Confidentiality agreements; • Sustained misconduct investigations and disciplinary actions. 	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Personnel File</p> <p>PER-06-002</p>	GS50-04B-06R4

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))
36	<p><u>Recruitment and Hiring Records</u> Files document the recruitment and selection process for DES positions.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Newspaper announcements; • Position descriptions; • Applicant lists; • Interview questions; • Screening criteria; • Telephone screening notes; • Test results including pass/fail pre-employment physical test results; • Background check authorization; • Drug test results; • Applications and/or resumes for candidates not hired. <p><i>Note: Per RCW 4.16.080, the statute of limitations for the commencement of actions for equal employment opportunity discrimination complaints (injury to the rights of others) is 3 years.</i></p>	<p>Cutoff: end of year in which the position was filled or termination of recruitment process</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Recruitment Files</p> <p>PER-10-002</p>	GS50-04B-22R1
37	<p><u>Requisition/Personnel Action Request</u> May contain position specifications, needs analysis, and authorization signatures.</p>	<p>Cutoff: year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employment Requisitions</p> <p>PER-10-001</p>	GS50-04B-17R1

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))
38	<u>Whistleblower Investigation Reports</u> Records document investigations of allegations of fraud or violations of state laws or regulations. Also includes documentation of investigations into alleged retaliation against individuals making such allegations.	Cutoff: case closed Retention: 6 years	Disposition Action: Potentially Archival - Appraisal Required		Whistleblower Investigation Reports PER-08-008	GS50-03E-03R2A
39	<u>Workplace Violence Case Files</u> Case files document incidents involving internal workplace violence. Includes investigation, treatment, follow-up, correspondence, corrective measures, etc. May include secondary copies of documentation filed in an individual's personnel file.	Cutoff: Termination of employment Retention: 6 years	Disposition Action: Non-Archival - Destroy		Workplace Violence Case Files PER-08-009	GS50-04B-46R3

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 2/2/2018
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 3/2/2018
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.

Tom Koney 1-29-18
Tom Koney Date

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

11. PRC APPROVAL

Deborah Kennedy March 30, 2018
Deborah Kennedy Date
King County Public Records Committee