



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 / Finance and
Business Operations Division / Financial Management
Section

**2. Department/Division/Section
(DDS) Number**

DES-FBOD-(FMS) / 010503

**3. TOTAL NUMBER OF
PAGES**

24

**4. DATE SUBMITTED
FOR APPROVAL**

2/16/2017

5. STATUS

Final

6. VERSION

1

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 KC ERMS will be dispositioned from within the KC ERMS and documentation will be maintained by the Records Management Program. Disposition of records managed outside of the KC ERMS must be documented on forms provided by the Records Management Program at <http://kcweb.metrokc.gov/archives/forms.aspx>. 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. REMARKS/ARCHIVAL DESIGNATION	7e. OFFICE OF PRIMARY COPY	7f. KC ERMS CATEGORY	7g. STATE DISPOSITION AUTHORITY NUMBER (DAN)
1.	<p><u>Accounts/Funds – Financial Transactions</u> Records documenting financial transactions made by FMS staff on behalf of other county agencies including inter-fund transfers and supporting research, communications and requests to create, modify, or disable/retire specific funds and accounts. <i>Includes, but is not limited to:</i></p> <ul style="list-style-type: none"> - Invoice requests and batches including EBS Form General Invoice Request; Journal Entry Forms - Receipt and Distribution of State and Federal Funds including special distributions from Ad Valorem Refunds, school apportionment, payments in lieu of taxes, etc. - LID and MAMS fund posting and reconciliations - Transaction Adjustment /Credit Memo; - Daily Sale Sheets; - Reconciliation activities resulting in re-applying payments to correct accounts (includes research and supporting documentation); - Resell certificates (RCW 82.08.130/WAC 155-20-1012) to exempt from sales tax payment; - Journal entries for various funds and accounts including those made in the Project Awards and the fixed asset system; - Customer communications regarding payments; - Non-sufficient fund (NSF) letters; - Overpayment refunds (includes image of original check, Oracle postings, explanation and request submitted to Accounts Payable); - Aging Reports of unpaid/delinquent accounts; - Instructions from internal and external entities regarding the invoice number, where to move/post what sum of money from the general ledger to a specific fund/account - EBS Forms: Request to Add New Fund; Update Award/Project Manager Name; New Award 	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p><i>Excludes:</i> GS2011-183: Levy, grant, and bond-funded transactions; GS50-03D-02: Annual financial reports; GS50-03B-14 R2 Financial Disputes and Collections</p> <p>Note: AR will retain the documentation submitted by the departments with invoices, but the individual departments are responsible to retain p-card records and invoices that are confidential or relate to grants, risk, settlements, payroll, worker’s comp, jury duty, etc., including the backup, calculations, or legal documents.</p>		<p>Financial Transactions – FMS Service Transactions</p> <p>FIN-01-016</p>	GS2011-184R2

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2.	<p><u>Administrative Procedures and Instructions</u> Internal process and procedure documentation including instruction manuals, templates, forms, standard work documentation.</p> <p>Examples include: manual billing, monthly closing instructions</p>	<p>Cutoff: year end in which revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>	GS50-01-01
3.	<p><u>Agency Provided Training</u> Documentation of a specific training occurrence where the training was developed and provided by FMS primarily to internal county agency staff on topics such as the proper use of forms including the Project Award Smart Spreadsheet, Miscellaneous Cash Transmittal, and processes including Project Award/General Ledger (PA/GL) reconciliation, and year-end accruals workshops, Fund Accounting presentations made as part of BRC regular General Ledger training, grant administration and audit requirements.</p> <p>Excludes the course training materials covered by GS2011-178 R1.</p>	<p>Cutoff: year end in which training provided</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Agency Provided Training – General</p> <p>ACO-10-001</p>	GS2011-181R1
4.	<p><u>Agency Provided Training – Curriculum Materials</u> Records include course materials and curriculum for trainings developed and provided by FMS staff. Includes the final presentation and materials that are used for reoccurring trainings.</p>	<p>Cutoff: year end in which curriculum no longer provided by agency</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Agency-Provided Training – Curriculum and Materials Development</p> <p>ACO-10-002</p>	GS2011-178R1

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5.	<p><u>Asset Acquisition/Retirement Forms</u> Records used to manage data contained in the Fixed Asset System that calculates asset depreciation and valuation and includes the completed Asset Acquisition form submitted by agencies purchasing assets, the integrator template containing the same information in a format to easily upload data into the system, and the original email submitting the form and template to FMS staff as well as any related communications resolving issues or making corrections. Also includes the Fixed Asset Retirement Form and related records as above.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>	<p>The Agency making the asset purchase or sale is responsible for retaining the Capital Asset Record under GS2011-182.</p>	<p>Financial Transactions – FMS Service Transactions</p> <p>FIN-01-016</p>	<p>GS2011-184R2</p>
6.	<p><u>Audit Findings (Final)</u> Final findings of audits conducted by the King County Auditor, State Auditor, or any other outside auditing agency and the associated agency response.</p> <p>Includes the Auditor’s letters with final report and the findings of hired auditors including Moss Adams.</p>	<p>Cutoff: year end in which audit report completed and all required corrective action taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Audit Reports and Findings</p> <p>AUD-01-003</p>	<p>GS50-03F-02</p>
7.	<p><u>Audit Working Files</u> Records used to respond to an internal/external audit including copies of original source records, questions received and coordinated responses to auditors’ questions, correspondence, database printouts, excel spreadsheet calculations, status reports, corrective action work plans, and other cumulative data on audit issues <u>excluding</u> the final audit report.</p>	<p>Cutoff: year end in which completion of audit, and all corrective actions taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Audit Supporting Materials</p> <p>AUD-01-002</p>	<p>GS50-03F-01</p>

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8.	<p><u>Awards and Recognitions</u> Records documenting signification awards and recognitions received by FMS. Includes recognition for the county's financial reporting of the CAFR.</p>	<p>Cutoff: year end in which awarded</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Awards and Recognitions</p> <p>PRE-01-010</p>	GS2011-166
9.	<p><u>Banking – Accounts and Transactions</u> Records documenting banking activities and transactions with external financial institutions including deposits made through electronic fund transfers (ET), automated clearing house (ACH) transactions, statements and the status or adjustment of accounts.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> – Lockbox deposits with deposit ticket summary of total checks run and errors identified/corrected, pay stubs mailed by the customer with the original check, the ACH deposit, and remit batches and supporting documentation. – Communications to internal agencies about bank account information who then provide FMS with the invoice number to move funds within internal funds. 	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Banking – Accounts and Transactions</p> <p>FIN-04-005</p>	GS2011-185
10.	<p><u>Budget Development</u> Records supporting the development of FMS budget requests to PSB including estimates of future revenue and expenditures within FMS.</p>	<p>Cutoff: year end in which budget adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Development Files</p> <p>BUD-01-001</p>	GS50-03D-03

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11.	<p><u>Budget Status Reports</u> Reports monitoring the budget to actuals throughout the year for various funds, accounts when not covered by a more specific record series.</p>	<p>Cutoff: year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Status Reports</p> <p>BUD-01-002</p>	GS50-03D-06
12.	<p><u>Citizen Complaints or Requests for Agency Action</u> Communications from outside sources making a complaint or request for agency action or information. Records include the original request and agency response. Includes but is not limited to.</p> <p>Excludes Public Records Act request and other records covered by a more specific series.</p>	<p>Cutoff: year end in which the request was completed or issue resolved</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Citizens' Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	GS50-01-09R1

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13.	<p><u>Comprehensive Annual Financial Report (CAFR)</u> The CAFR is based on the governmental financial reporting model which depicts the County as a single unified entity, while continuing to provide the traditional fund-based financial statements. Records include the final CAFR and substantive reports or summaries that inform the final CAFR such as the CAFR Notes, Roll forward schedule.</p> <p>Excludes other mandatory reports (not audited) including the Popular Annual Financial Report (PAFR) which is an easy to read version of the CAFR designed to provide citizens with an overview of the County's revenues and expenditures through primarily graphical representation of the data documenting financial condition and results of financial operations in the County derived from the audited CAFR; Cash-Basis Budgeting, Accounting and Reporting System (BARS) annual report (goes with the CAFR); Schedule of Expenditures of Federal Awards (SEFA), and SESA for State Awards</p>	<p>Cutoff: when adopted by Council</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival – Transfer to the King County Archives</p>		<p>Comprehensive Annual Financial Report (CAFR)</p> <p>FIN-01-010</p>	GS50-03D-02R1

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14.	<p><u>Financial Disputes and Collections</u> Records related to financial disputes and attempts to collect payments including copies of invoices, correspondence, logs of collections, actions, write off lists and supporting communications and related documentation.</p> <p>May include, but is not limited to: the aging report showing summary of past due invoices, open balance letters (for state and local government entities that won't be sent to collections), dunning letters alerting customers their account will be sent to collections, and documentation showing how the issue was resolved whether provision of a resell certificate (RCW 82.08.130/WAC 155-20-1012)</p>	<p>Cutoff: year end in which issue is resolved</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Collections Files</p> <p>FIN-01-004</p>	GS50-03B-14R2

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15.	<p><u>Financial Reporting– Mandatory (non-CAFR)</u> Records of mandatory financial reports created by FMS and submitted to regulatory authorities at the local, State, and Federal level. Includes the State Auditor’s Loss Report (RCW 43.09.185 and HR Bulleting 2011-0008) documenting, all incidents of known or suspected loss or theft of public funds, public assets, or other illegal activity related to King County property submitted to the State Auditor; summary report presented to the Executive Audit Committee; Census Reports (Title 13 United States Code Section 182) submitted to the Census bureau every two years; negative cash report by fund (Investment Pool Policy item 7.4), and other mandatory reports including the Popular Annual Financial Report (PAFR) which is an easy to read version of the audited CAFR designed to provide citizens with an overview of the County’s revenues and expenditures through primarily graphical representation of the CAFR data; Cash-Basis Budgeting, Accounting and Reporting System (BARS) annual report (goes with the CAFR), RCW 43.09.230; Schedule of Expenditures of Federal Awards (SEFA), and SESA for State Awards (required per OMB Circular A-133 and FIN 16-1 (AEP)).</p> <p>Excludes the Comprehensive Annual Financial Report (CAFR) which is audited by the State Auditor and covered by GS50-03D-02R1.</p>	<p>Cutoff: when submitted to regulatory agency*</p> <p>Retention: 4 years</p> <p>*Cutoff for Loss reports is end of year in which submitted - for ease of organization. Loss reports submitted weekly to SAO.</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Reporting/Filing (Mandatory) – Financial Management</p> <p>FIN-02-003</p>	GS2011-189R1

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16.	<p><u>Financial Reporting –General (Non-mandatory)</u> General reports from county accounting systems that are <u>not</u> required for submission to state authorities or to the King County Council.</p> <p>Includes monthly reports of fixed assets (FA033 from Discoverer, Accumulated Depreciation, Transfers, and Asset Cost Balance reports from EBS); annual unapplied payment report for each fund; fund balancing reports submitted annually to Performance Strategy and Budget (PSB) by type of fund showing working capital and monitoring of budget to actuals; stand-alone financial statements for major enterprise funds including Statement of Net Position, State of Revenues, change in Net Fund Position etc. where not mandated or mandated by State, local, or legislative requirement.</p> <p>Excludes mandatory/required financial reports covered by GS2011-189 R1 and the final CAFR covered by GS50-03D-02 R1.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Financial Reporting</p> <p>FIN-01-005</p>	GS2011-184R2
17.	<p><u>Financial Transactions – Bond and Grant related</u> Records documenting resources received and expended for bond or grant funded projects as well as compliance monitoring reporting. <i>Includes but is not limited to:</i> Bond related journal entries, Official Statements showing direct and overlapping Debt and Debt Limit computations/schedules (Debt Schedule regulations: RCW 39.36.020), monthly reconciliations; instructions from internal and external entities regarding the invoice number, where to move/post what sum of money from the general ledger to a specific account/fund (includes the form A19 for WA State agencies to allocate grant funds); Central Services Cost Plans (CSCAP) and Indirect Cost Rate Plans (ICRP).</p>	<p>Cutoff: year end in which final bond payment made OR completion of grant terms, whichever is <u>later</u></p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Grant Administration Records</p> <p>FIN-01-017</p>	GS2011-183R2

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18.	<p><u>Fixed Asset System</u> The Oracle EBS system for Enterprise Fund Activities tracking asset acquisitions, depreciation, and disposal of the asset for financial auditing and reporting.</p> <p>Excludes the journal entries made to balance accounts in general ledger covered by Accounts Receivable, GS2011-184R2.</p>	<p>Cutoff: year end in which asset is dispositioned</p> <p>Retention: 4 years*</p>	<p>Disposition Action: Not Archival - Destroy</p> <p><i>* There is currently no method or plan to purge the Fixed Asset System of data once assets are dispositioned, but the disposition information is entered and tracking in the system.</i></p>		<p>Capital Asset Record</p> <p>FIN-01-022</p>	GS2011-182
19.	<p><u>General Ledger</u> The accounting system retaining the general and subsidiary ledgers documenting the county's assets, liabilities, revenues, expenditures, gains and losses.</p> <p>Includes current Oracle system and microfiche from previous ARMS and IBIS systems.</p>	<p>Cutoff: end of year OR end of year in which final bond payment OR completion of levy/grant project OR terms of grant agreement, whichever is longer</p> <p>Retention: 6 years*</p>	<p>Disposition Action: Not Archival - Destroy</p> <p><i>*Records are managed outside of KC ERMS in Oracle or on microfiche. There is currently no plan to purge records from the system.</i></p>		<p>General Ledger</p> <p>FIN-01-006</p>	GS50-03A-15R1

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20.	<p>General Office Accounting Originals and copies of FMS office financial transactions and accounting within the section documenting resources received and expended and supporting documentation including communications related to billing/payment for FMS specific transactions. Includes receipts, vouchers, cash accounting, petty cash, purchase field orders, P-card (Purchase) records including the expense report from Oracle EBS, T-card (Travel) expenses and documentation and any supporting documentation and communications.</p> <p>Includes billing information for ordering supplies, the Goat Hill Garage Parking Fees, etc. Excludes accounting done on behalf of other county agencies (see Accounts Receivable).</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R2

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21.	<p><u>General Office Communications and Staff Meetings</u> Communications sent or received when communicating within King County on general topics related to FMS business. Also includes general staff & section meeting arrangements, agendas, minutes, handouts, and working files.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> – Communications transmitting Oracle EBS/PeopleSoft access and proxy delegate requests (retained by DES-BRC), help desk ticket requests, weekly alert articles sent to the Director’s office, communications investigating county mislabeled and “junk” mail; – Communications to the Public Records officer responding to requests for records responsive to public records act requests; – Vehicle infraction (ie. Bridge toll-Good to Go/speeding) communications (scan of the infraction notice sent to agency owning the vehicle) to notify them to make payment – Communications with HR concerning hiring recruitment needs, application evaluations, exam questions, and HR related questions/concerns/issues (may contain confidential information retained outside of KC ERMS) – Communications with the Business Resource Center (BRC) regarding system maintenance and problems or with customers regarding troubleshooting system issues – Professional advice on issues concerning billing, taxable status of goods purchased, etc. – Requests for King County Employer Identification Number (EIN) via the IRS W-9 form and agency response 	<p>Cutoff: year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>Combo Rule ACO-01-001</p> <p>GS50-01-08 (Administrative Working Files)</p> <p>GS50-01-43R1 (Staff Meetings)</p> <p>GS50-01-36 (Appointment Calendars)</p> <p>GS2011-179R1 (Travel Arrangements)</p> <p>GS2010-001R3 (Communications – Non-Executive)</p>

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22.	<p><u>Grant Reports and Deliverables</u> Records that serve as the reports on or outcomes of bond, levy or grant funded projects including those for compliance monitoring and audit reporting.</p> <p>Includes but is not limited to: final reports, periodic reports, progress statements, internal audit reports of federal grant expenditures including those reviewed for Federal Audit Clearing House.</p> <p>Excludes bond and grant financial transaction records (See category FIN-01-017.).</p>	<p>Cutoff: year end in which submission of final report or period required by grant/program, whichever is later</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Grant Reports and Deliverables</p> <p>FIN-05-003</p>	GS50-03C-02R1
23.	<p><u>Invoice Stubs</u> Original payment/billing stub submitted by the customers with the check payment. Includes customer information and details of payment.</p>	<p>Cutoff: year end</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Billing Stubs</p> <p>FIN-01-027</p>	GS2012-046
24.	<p><u>IT Projects</u> Records documenting the operations and oversight or governance of Information Technology (IT) projects from initial planning through final design where FMS is the sponsor or co-lead coordinating with the Business Resource Center (BRC). Includes need specifications and system acceptance testing.</p> <p>Examples include Oracle upgrade projects.</p>	<p>Cutoff: year end in which project completed</p> <p>Retention: 10 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>IT Projects</p> <p>INF-04-014</p>	GS50-18-10R1

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25.	<p><u>Leave Requests</u> Records documenting the request and approval for employee leave that support transactions in the payroll system.</p>	<p>Cutoff: year end in which the leave or overtime request is complete</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>	<p>Leave requests managed in PeopleSoft circa 2015 with only a few outliers still created /approved in hardcopy</p>	<p>Employee Leave Management</p> <p>PER-09-002</p>	<p>GS50-04B-09R1</p>
26.	<p><u>Meetings – Inter-Agency</u> Records documenting the meetings held between different King County Departments that coordinate activities, communications, solutions to problems, etc. Includes, agendas, meeting presentations, research/white papers, and advice created in response to the meetings.</p> <p>Examples include the Finance Managers Meetings and Executive Audit Committee where FMS leads or staffs the meetings.</p> <p>Also includes the chief accountant’s decision documentation in his/her role as Head of Data governance for the financial and accounting section of Business Intelligence (BI) Analytics.</p>	<p>Cutoff: year end or completion of project, whichever is later</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Meetings – Inter-Agency, Inter-Local, Inter-Governmental</p> <p>ACO-01-006</p>	<p>GS2011-175R1</p>

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27.	<p><u>Payroll Supporting Documents</u> Supporting Documentation used to finalize payroll in the PeopleSoft system. Includes the signed Payable Status Report for each pay period, notations of corrections, discrepancies, and supporting documentation such as email communications explaining changes.</p> <p>Excludes records dated before 1/1/2012 that are needed for long-term verification of retirement benefit eligibility (see Retirement Benefit Verification Records).</p>	<p>Cutoff: year end</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Payroll Supporting Documents</p> <p>FIN-08-006</p>	GS50-03E-25R1
28.	<p><u>Policy Development</u> Records document the development of Executive Policies including research, substantive draft, decision documentation, communications, and other supporting documentation.</p> <p>Examples include: Capital Assets Policy, FIN 12-2 (AEP); Financial Transaction Control, FIN 15-4 (AEP); Procedural Manual for federal grants FIN 16-1 (AEP).</p>	<p>Cutoff: year end in which final policy adopted, or after the policy is revised/ superseded, whichever is later</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Policy Development Files</p> <p>ACO-03-001</p>	GS50-01-39R1

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29.	<p><u>Project Files</u> Records relating to miscellaneous FMS projects and may include project planning, meeting/decision documentation, supporting communications, project deliverables.</p> <p>Examples include:</p> <ul style="list-style-type: none"> – Contract/RFP development and planning, including preliminary negotiations and communications with Procurement; – FPIC (Finance Process Information Center) standard work documentation project – LEAN or continuous improvement projects for larger section or workgroup (excludes small/personal efforts covered by GS50-01-38 R1, Work Plans) 	<p>Cutoff: year end in which project is 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
30.	<p><u>Public Records Act Requests (Public Disclosure)</u> Records documenting requests for records under RCW 42.56 and the agency response.</p> <p>Includes original request, communications/requests to staff for responsive records, and all communications with the requestor.</p> <p>Excludes communications from general staff to the Public Records Officer and communications sent in response to OCROG requests when they are coordinating the response, covered by GS2010-001 R3.</p>	<p>Cutoff: year end in which request completed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>	<p><i>County procedure is to link emails to the CRM request. Records must also be retained per the retention period listed here.</i></p>	<p>Public Records Act Requests</p> <p>INF-01-002</p>	GS2010-014R2

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31.	<p><u>Retirement Benefit Verification Records – pre-2012</u> Records needed to verify retirement benefits including the official time card record showing hours worked per month and rate of pay and compensation earned; documentation of any break in service dates (term & hire dates); documentation of leave taken including beginning and ending month, date, and year, the type of leave was taken (Authorized Leave Of Absence (ALOA), Duty related disability (TDD), furlough, Military,); any Lump sum payments including what was it for (Retro COLA, Contract Settlement, Missed Earnings), and when it was earned including beginning and ending month, date, year.</p> <p>Excludes post-2012 records (see items 25 and 27)</p>	<p>Cutoff: year end</p> <p>Retention: 60 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Retirement Benefit Verification Records</p> <p>FIN-08-002</p>	<p>Combo Rule FIN-08-001</p> <p>GS50-03E-22 (Payroll Register)</p> <p>GS50-03E-15 (Individual Employee Pay History - Retirement Related)</p> <p>GS50-03E-04 (Time Cards/Time Sheets)</p>
32.	<p><u>Supervisor Working Files</u> Records documenting the supervision of an employee by the supervisor and used for the day to day management of the employee. Includes copies of performance appraisals, coaching and motivation information, development plans, notes on performance.</p> <p>Excludes official copies of performance appraisals, grievances, etc. retained by HR.</p>	<p>Cutoff: year end in which no longer supervising employee</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Supervisor Working Files</p> <p>PER-06-010</p>	<p>GS50-04B-31</p>

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33.	<p><u>Tax Remittances</u> Records documenting the compiling and filing of combined excise taxes and the remittance of use tax for all invoices paid through Accounts Payable and P-card transactions, Business and Occupation tax, and sales tax collected by agencies performing retail activities. Includes the monthly Combined Excise Tax Report form (RCW 82.32).</p>	<p>Cutoff: year end in which filed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>RCW 82.32.070, Dept. of Revenue Advisory No. 152.32.199.</p>		<p>Tax Remittances - State</p> <p>FIN-08-019</p>	<p>Combo Rule FIN-08-019</p> <p>GS2011-184R2 (Financial Transactions)</p> <p>GS50-12D-04 (State and Local Tax Returns)</p>

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34.	<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. Includes the IRS 1099 forms received (needlessly) from entities that have <u>paid</u> the County more than \$600.</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 – Meetings/Appointments • Secondary (Duplicate) Copies 	<p>Cutoff: when no longer needed for agency business</p> <p>Retention: none</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>N/A</p> <p>Do not file into KC ERMS</p>	<p>Refer to section 13.0 of 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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35.	<p><u>Trial Balances</u> Summary report of general ledger accounts including debit/credit values for balancing accounts and preparing financial reports.</p> <p>Excludes the CAFR published financial statements prepared using Trial Balances, covered by GS50-03D-02 R1.</p>	<p>Cutoff: year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Trial Balances</p> <p>FIN-01-019</p>	GS50-03A-28

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36.	<p><u>Vehicle Licensing Record</u> Vehicle purchase and licensing records for county-owned cars, vans, and buses. Records include the official car, van, and bus titles received and processed by FMS on behalf of other county departments, most frequently Transit. Records also include communications from the agency requesting the transfer/interoffice mail of the title for sale/transfer or salvage of the vehicle, and the affidavits of loss in the event the title cannot be found.</p> <p><i>For cars/vans:</i> May also include the sale agreement, bill of sale, copy of payment, and copy of receipt of sale submitted to DOL.</p> <p><i>For buses:</i> May also include certificate of sale of a new motor vehicle from the factory, original invoice with sales tax listed (so DOL does not charge us separately), a printed notarized copy of the Title Application (filed with DOL) Vehicle Certification (which is first routed to DES-RALS-Licensing for processing vehicle registration with payment for metal plates) and registration certificate – all merged with official Title and supporting paperwork it is returned from DES-RALS-LIC. Paperwork regarding the sale/salvage of the vehicle are retained by the owning agency (Transit).</p> <p>Titles are arranged by vehicle year and then license plate number and include both sold and unsold together (with sold vehicle files in the front of the folder).</p>	<p>Cutoff: disposition of asset</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>ESSENTIAL</p>	<p><i>Agency who purchased asset retains an acquisition file in addition to the title and purchase documentation retained in FMS.</i></p>	<p>Asset Acquisition and Ownership Records</p> <p>ASM-09-008</p>	<p>GS2012-030</p>

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37.	<p>Work Plans Plans describing work to be performed including timelines, areas of responsibility for specific actions as well as supporting documentation regarding planning and execution. May include personal LEAN A3 problem solving documentation or small scale continuous improvement reviews of work processes.</p>	<p>Cutoff: revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Work Plans</p> <p>ACO-04-004</p>	GS50-01-38R1

<p>8. RECORDS AND INFORMATION MANAGER SIGNATURE <i>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.</i></p> <p><i>See original for signature</i> <i>3/17/2017</i></p> <hr/> <p>Gail Snow Date</p>	<p>9. COUNTY ARCHIVIST SIGNATURE <i>I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.</i></p> <p><i>See original for signature</i> <i>3/22/2017</i></p> <hr/> <p>Carol Shenk Date</p>
<p>10. AGENCY MANAGER SIGNATURE <i>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.</i></p> <p><i>See original for signature</i> <i>3/7/2017</i></p> <hr/> <p>Cheryl Lee Date</p>	
<p>PUBLIC RECORDS COMMITTEE USE ONLY</p>	
<p>11. PRC APPROVAL</p> <p><i>See original for signature</i> <i>March 30, 2017</i></p> <hr/> <p>Deborah Kennedy Date King County Public Records Committee</p>	