



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

Phone: (206) 477-6889
Email: records.management@kingcounty.gov
Mailstop: GBB-ES-0210

1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Executive Services / Human Resources
Division / Director's Office

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

DES-HRD-(DIR) / 010119

**3. TOTAL NUMBER OF
PAGES**

24

**4. DATE SUBMITTED
FOR APPROVAL**

May 18, 2016

5. STATUS

Final

APPROVED

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 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.

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.	Application Data Sheets – EEO Data sheets associated with EEO, completed by applicants for employment with King County. Records used for reports and studies related to applicants and Equal Employment Opportunity. Records exclude any personal information identifying or connected with a particular applicant.	2 years after year end	Potential Archival – Appraisal Required		Informational Reports ACO-02-003	GS50-06-03 R1

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2.	<p><u>Audit Reports and Findings</u> Final audit report or findings of audits conducted of HRD services, programs, or practices by the King County Auditor (or via contracted company acting on behalf of the County Auditor's Office), or by an outside auditing agency (State, Federal, Independent, etc.)</p>	6 years after audit report completed and all corrective action taken	Potentially Archival – Appraisal Required		Audit Reports and Findings AUD-01-003	GS50-03F-02
3.	<p><u>Audit Supporting Materials</u> Records used to respond to an internal or external audits of HRD's program management. Includes, but is not restricted to: copies of original source records, database printouts; correspondence; corrective action work plans; status reports; additional supporting documentation; other cumulative data on audit issues.</p>	6 years after completion of audit and all corrective actions taken			Audit Supporting Materials AUD-01-002	GS50-03F-01
4.	<p><u>Benefit Monthly Reports</u> Pay period reports compiled which document all King County employee vision, dental, medical, life insurance and other benefits accrued. Reports authorized for payment, and payment posted. Includes, but is not restricted to, Volume Reports, Life Reports, etc.</p> <p>Compiled from reports received from King County insurers via King County Benefits.</p>	6 years after year end			Monthly Statement of Employee Benefits Paid PER-09-005	GS50-04D-04
5.	<p><u>Budget Development Records</u> Records that document activity of determining estimates of King County future revenue and expenditures. Records provide background for the departmental budget request.</p> <p>Includes budget submittals and proposals.</p>	4 years after budget adopted			Budget Development Files BUD-01-001	GS50-03D-03

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6.	<u>Budget Status Reports</u> Periodic budget status reports. Includes budget monitoring reports and related communications.	3 years after year end			Budget Status Reports BUD-01-002	GS50-03D-06
7.	<u>Citizens' Communications – Requests for Action or Complaints</u> Communications from citizens (members of the public) requesting the agency to take action, or making a complaint. Includes agency response. Retention for items in this category should be delegated to responding agency. Responding agency should retain request and response. This category includes, but is not restricted to the following: <ul style="list-style-type: none"> • Verification of Employment (VOE) related communications; includes communications where lender or external party is cc'd • Communications received and responded to via HR Central email account • Complaints made by the general public as well as response. Includes emails and any copies of paper letters sent. Director's communications with citizens should be files in <u>Elected Officials, Department and Division Heads Communications, Subject and Issue Files, ACO-01-002.</u>	3 years after year end			Citizens' Complaints and Requests for Agency Action PRE-01-001	GS50-01-09 R1

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8.	<p><u>Contracts & Procurement</u> Records related to the process of developing procurement contracts for the activity of providing the agency with goods, services, revenue, or other benefits. Includes, but is not limited to: requests for proposals (RFP), requests for bids (RFQ), requests for qualifications/quotations (RFQQ), notices, evaluations, applications, contractor rosters, and requisitions. Includes communications related to the development of the contract such as needs assessment.</p> <p>Examples of contracts managed include: NeoGov; Background check and unemployment vendors; SkillSoft vendor; consultant rosters for investigations, employee coaching, etc.</p> <p>Excludes secondary copies of any records where DES / FBOD / Procurement has the primary copy.</p>	6 years after termination of contract, or upon contract renewal	ESSENTIAL	DES / FBOD / Procurement	Contracts, Agreements, and Warranties CON-01-001	GS50-01-11 R3
9.	<p><u>Countywide Service Awards</u> Records compiled and created relating to the King County Service Awards Program established according to King County Executive Policy PER 21-1-1 (AEP). Program recognizes employees who have rendered long and valuable service to the county.</p> <p>Records include final comprehensive quarterly list of eligible employees. List includes employees' names and years of service based upon adjusted service dates. Also includes records that identify employees eligible for participation in award ceremony.</p>	2 years after date of award	Potentially Archival – Appraisal Required		Employee Award Files PER-06-003	GS50-04B-44

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10.	<u>Charter & Bylaws – Community Forum</u> Official, adopted charter defining the scope of the Community Forum, its rights, responsibilities, and authority, including written rules for the Community Forum’s decision-making body (committee).	Permanent – Transfer to the King County Archives 2 years after superseded	ESSENTIAL Archival - Permanent		Charter and Bylaws ACO-01-016	GS50-05A-01R1
11.	<u>Charter & Bylaws Development – Community Forum</u> Records relating to the development of the Community Forum’s charter and/or bylaws defining the scope of the Community Forum and its rights, responsibilities, authority, including written rules for the Community Forum’s decision-making body (committee).	2 years after adoption of charter or bylaw	Potentially Archival – Appraisal Required		Charter and Bylaws Development ACO-04-005	GS50-05A-07R1

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12.	<p><u>Director's Communications</u> Internal and external communications to or from the Director and Deputy Director of the Human Resources Division, including all communication types regardless of format: correspondence, email, voicemail, etc. Includes all advice, notes, drafts, and review of documents and letters, referrals, delegation of responsibility, speaking points, etc.</p> <p>HR Related Communications:</p> <ul style="list-style-type: none"> • Communications with internal and external investigators, department and division heads, managers, and supervisors. • Topics may include: potential employee termination, 360 coaching, discrimination and misconduct complaints (communications with investigators and agency personnel); day to day supervisory advice, employee grievance advice, KC applicant grievances, etc. <p>General Department Communications:</p> <ul style="list-style-type: none"> • Legislation transmittals forwarded; • Trainings and presentations, notes; • Salary, Compensation/Classification advice and review regarding reclassification appeals, etc. • Intergovernmental correspondence; • Networking related correspondence, such as with: International Public Managers Association, local jurisdiction networks, etc • Advice and recommendations related to performance management; Performance Evaluations – drafts and advice; • Response letters to Citizen's Complaints - 1st response letters and related communication; • Communications with reporters and members of the public. 	6 years after year end	Potentially Archival – Appraisal Required		<p>Elected Officials, Department and Division Heads Communications, Subject and Issue Files</p> <p>ACO-01-002</p>	<p>GS50-01-01 (Admin Procedures)</p> <p>GS50-01-02 (Admin Working Files)</p> <p>GS50-01-09 R1 (Citizen Complaints/Requests)</p> <p>GS50-01-43 R1 (Staff Meetings)</p> <p>GS50-01-36 (Appointment Calendars)</p> <p>GS50-01-12 R3 (Communications)</p>

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13.	<p><u>EEOC (Equal Employment Opportunity Complaints)</u> Records relating to the agency’s investigations of complaints of civil rights violations. Complaints made by employees (including contractors and volunteers) or the general public. Includes any documentation of harassment and retaliation.</p> <p>Includes, but is not limited to: complaints, investigations, witness statements, evidentiary documents, notifications, communications, contact logs, notes, findings, settlement agreements, post finding materials, Americans with Disabilities Act (ADA), Title II, Civil Rights Act of 1964), Title IV, Federal Fair Housing Amendments Act of 1988, Health Insurance Portability and Accountability Act (HIPAA), Rehabilitation Act of 1973 (Section 503 accommodations), individuals with Disabilities Education Act (Idea).</p> <p>If litigation commences, these records become part of the litigation case file GS53-02-04.</p> <p>This category only includes official case files.</p> <p>Excludes “EEOC Log” and any general communications regarding cases, such as monitoring, managing, and coordinating the progress of investigations, coordinating mediation meetings, and ensuring deadlines are met. These should be filed with General Communications, ACO-01-001.</p>	6 years after referral to jurisdictional agency, settlement, withdrawal, or closure	Potentially Archival – Appraisal Required		Equal Employment Opportunity Complaints PER-04-005	GS50-04C-04 R1

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14.	<p><u>Employee Grievances (Official Files)</u> Records relating to complaints and grievances regarding workplace issues filed with the HRD Director's Office.</p> <p>Only includes those grievances handled through the HRD Director's Office.</p> <p>Excludes advice and communications provided to agencies in regard to a grievance, but when <i>not</i> handled with the HRD Director's Office.</p> <p>Excludes any Personnel Board appeals hearings, also excludes any Equal Opportunity Complaints and Investigations, see Equal Employment Opportunity Complaints, PER-04-005.</p>	7 years after termination of employment		King County agency with official grievance file	Employee Grievances PER-08-001	GS50-04E-03 R1
15.	<p><u>Employee Misconduct Investigation - Unfounded</u> Documentations compiled in official investigations of employee misconduct by the employee that do not result in findings of misconduct by the employee. May include the complaint initiating the investigation, investigative reports, statements, taped information, corrective actions, correspondence, and notes.</p>	4 years after case settled			Employee Misconduct Investigation Files – Unfounded PER-08-006	GS50-04B-47 R2

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16.	<p><u>Employee Misconduct Investigation Files – Substantiated</u> Records that document investigations into employee conduct that result in findings of misconduct or corrective action. Includes, but is not limited to: initial complaint, investigative reports, statements, taped information, evidence gathered, and correspondence.</p> <p>Excludes final report of misconduct investigation or documentation of any corrective action taken, which should be filed in the employee’s <u>Personnel File, PER-06-002.</u></p> <p>Excludes investigations that do not result in findings of misconduct by the employee, see <u>Employee Misconduct Investigation Files - Unfounded, PER-08-006.</u></p> <p>Excludes documentation of workplace violence, see <u>Workplace Violence Case Files, PER-08-009.</u></p>	7 years after termination of employment			Employee Misconduct Investigation Files – Substantiated PER-08-005	GS50-04B-46 R2
17.	<p><u>Employee Recruitment</u> Records document the activity of screening, selecting and employing. Documents the recruitment and selection process for each advertised position, including announcements, job descriptions, working papers/notes, applicant list, interview questions and notes, selection documents, and employee applications.</p> <p>Includes advice, recommendations, and other correspondence related to specific recruitments.</p> <p>Note: Per RCW 4.16.080, the statute of limitations for the commencement of actions for equal employment opportunity discrimination complaints is 3 years.</p>	3 years after end of year in which candidate was chosen			Recruitment Files PER-06-002	GS50-04B-22

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18.	<p><u>Above-Step, Probations Ending, Promotions</u> Statistical report sent to Council semiannually documenting above step hires, promotions, and probationary increases throughout King County.</p> <p>PeopleSoft retains official counts. Record with HRD used primarily to report metrics to Council.</p>	2 years after year end			General Office Communications and Staff Meetings ACO-01-001	GS2010-001 R3
19.	<p><u>Family Medical Leave Act (FMLA) Records</u> Records pertaining to an employer's obligations under the FMLA in accordance with the recordkeeping requirements of the Fair Labor Standards Act (FLSA). Records may include, but are not limited to: dates and hours of FMLA requested; FMLA request/notice.</p>	4 years after year end			Employee Leave Management PER-09-002	GS50-04B-09R1
20.	<p><u>Final Adopted Policy</u> Officially adopted policies affecting all of the agency. These are activated through department or division head signature.</p> <p>Per Executive Policy INF-7-4-EP, the original signed policy must be transmitted to DES-RALS-ARMMS immediately after signature for permanent preservation at the King County Archives.</p> <p>The agency is still responsible for maintaining the policy after its enactment and transfer to ARMMS. The maintenance includes, but is not limited to: tracking its expiration date (five years after the effective date); preparing revised or replacement policies; providing communications about policy changes; and ensuring that appendices to the policy are current.</p>	<p>Preservation Copy: Permanent, transfer to DES-RALS-Archives and Records Management immediately upon signature</p> <p>Maintenance Copy: Retain until obsolete or superseded, then destroy</p>	ESSENTIAL Archival - Permanent		Final Adopted Policy ACO-03-002	GS50-01-24 R1

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21.	<p><u>Financial Reporting – Non Mandatory</u> Financial reporting records. Includes, but is not limited to: benefits, insurance, and other financial reporting documentation. Encompasses all reports from accounting systems in the county including financial statements, payroll reports, etc.</p> <p>Includes reporting to the Performance, Strategy, and Budget office such as quarterly reporting. Also includes budget analysis reports and other financial related surveys and reports.</p>	6 years after year end			Financial Reporting FIN-01-005	GS2011-184 R2
22.	<p><u>Retirement Verification Records (Furlough, Pay, etc.)</u> Records that are used for the verification of eligibility for retirement benefits. Includes records that document employees hours worked, compensation earned, hourly rate of pay, and any break in service causing reduction in pay, or major lump sum payments. Records may include: paychecks or stubs, pay reports, etc. and where information on records is not duplicative of information documented in PeopleSoft.</p> <p>Includes: Furlough Eligible Employees Approval to Work which document furlough schedules and detailed information related to extra time worked.</p>	60 years after termination of employment	ESSENTIAL		Retirement Benefit Verification Records FIN-08-002	<p>GS50-03E-22 (Payroll Registers)</p> <p>GS50-03E-15 (Indiv. Employee Pay History-Retirement)</p> <p>GS50-03E-04 (Time Cards/Time Sheets)</p>

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23.	<p>General Office Accounting Records documenting all resources received and expended by the agency. Includes, but is not limited to: records related to all accounts payable/receivable; purchase and sales agreements (purchase orders, receipts, vouchers, purchasing receiving documents); financial statements and reports; registers and journals (general and subsidiary) for all funds and functions; check/warrant registers; petty cash; invoices; payment documentation; P-Card and T-Card; reconciliations; payment approvals; banking transactions such as bank statements and deposit related documentation.</p> <p>Includes, but is not restricted to, records that document the following:</p> <ul style="list-style-type: none"> • Supply order records – Keeney’s and all other; • Payment approvals if completed via email; • Invoices and payments related to uniform ordering, • Safety & Claims payments; and L&I reimbursement payments made to the state • P-Card reports • T-Card/Travel approval documentation • Receipts of payments • Postage and mail payments • Documentation of deposits and related deposit reports 	6 years after year end			General Office Accounting FIN-01-001	GS2011-184 R2 (Financial Transactions) GS2011-185 (Banking – Accounts and Transactions)

<p>24.</p>	<p>General Office Communications Records created, received, and used when communicating within and outside the county on general topics related to the business of the county and the conduct of general office staff meetings. Records may include, but are not limited to: general correspondence (excluding department or division heads); administrative procedures; meeting minutes and agendas; working files; forms and templates; training announcements/arrangements.</p> <p>Records in HRD-Director’s Office/Administration may include, but are not restricted to:</p> <ul style="list-style-type: none"> • Records documenting general office projects such as office moves and remodels; • Draft document review, edits, feedback provided where another employee responsible for final records; • General communications with the Office of Labor Relations (not related to specific employee grievances or misconduct); • Records documenting and coordinating staff meetings such as HR SDM meeting records – agendas, action notes, correspondence with attendees (excludes Community Forum sign-in sheets, used to document professional credentials/course credits); • Weekly reports compiled and sent to the DES-Director’s Office; • General HR advice/communications not specific to any particular employee, grievance, or investigation; • Above-step, probations ending, promotions – reports sent to Council. • Work and tracking logs such as: EEOC Log <p>Excludes Division Director’s communications.</p>	<p>2 years after year end</p>			<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>GS2010-001 R3 (Communications)</p> <p>GS50-01-02 (Admin Working Files)</p> <p>GS50-01-01 (Admin Procedures)</p> <p>GS50-01-43 (Staff Meetings)</p>
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25.	<p><u>Human Resources Advice</u> Internal and external communications to or from other county divisions, employees (including contractors and volunteers), that are made or received in connection with public business, and that are not covered by a more specific record series.</p> <p>Records provide human resources advice or guidance related to a particular employee, such as advice on disciplinary course of action, review and recommendations for communications (letters) to employee. Includes communications with the Office of Labor Relations or the Prosecuting Attorney's Office regarding specific county employees, materials and evidence provided, or correspondence regarding, specific misconduct investigations.</p> <p>Includes all communication types regardless of format.</p> <p>Excludes HRD-Director communications, which should be filed in the category Elected Officials, Department and Division Heads Communications, Subject and Issue Files, ACO-01-002.</p>	4 years after year end			Human Resource Advice Files PER-06-011	GS2010-001 R3

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26.	<p><u>Meetings/Projects – General Advisory Councils, Commissions, Committees and Boards</u> Records of the EEO/AA Advisory Committee, or other HRD advisory committee.</p> <p>Records include, but are not limited to: agenda packets and all related materials, correspondence, meeting minutes, other documents produced by the committee such as reports, policy drafts, and transmittals to governing bodies.</p>	6 years after year end	Potentially Archival – Appraisal Required		Meetings/Projects – General Advisory Councils, Commissions, Committees, and Boards ACO-01-013	GS2012-027
27.	<p><u>Ordinance, Motion, and Resolution Development and Transmittal Files</u> Documentation of the analysis and development of ordinances, resolutions, and motions submitted for the approval by the agency’s governing council, commission, or board. Includes transmittals prepared for council.</p> <p>This category covers substantive communications and development materials, such as records documenting advice and recommendations, and substantive changes.</p> <p>Excludes communications related only to forwarding materials on, or minor advice provided or drafts documenting spelling or grammar changes.</p>	3 years after approval, or decision not to proceed	Potentially Archival – Appraisal Required		Ordinance, Motion, and Resolution Development and Transmittal Files LES-02-002	GS50-01-25 R1
28.	<p><u>Payroll Cards/Timesheets</u> Physical record timesheets used to track employee hours. Records may be used to support/determine retirement eligibility.</p> <p>Note: Payroll time now managed in PeopleSoft.</p>	60 years after year end	ESSENTIAL		Payroll – Cards/Time Sheets FIN-08-001	GS50-03E-04

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29.	<p><u>Payroll Supporting Documents</u> Records used to document status of and adjustment to payroll. Includes, but is not limited to: electronic and paper spreadsheets, working documents, payable status reports, benefit detail reports, email communications documenting payroll adjustments.</p>	4 years afer year end			Payroll Supporting Documents FIN-08-006	GS50-03E-25 R1
30.	<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: performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports; kudos; and performance related notes/guidance, etc. eventually incorporated into performance evaluation.</p> <p>Excludes records needed to support ongoing supervision of the employee (see Supervisor's Working Files).</p> <p>Excludes final signed performance evaluations (retained in the official Personnel File).</p>	Destroy once performance review has been completed and appeal period has ended			Records Managed Outside of KC ERMS Destroy/delete after performance appeal has ended	GS50-04B-31

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31.	<p><u>Personnel File</u> Records Documenting the work history of HRD employees. Includes, but is not limited to: Applications for employment, consumer reports (i.e. background checks, credit reports, criminal history reports); hire letters, start of employment, identification, oaths and bonds of officials elected and appointed, records of employment status, position description and job classification, citations, letters of recommendation, personal history cards, raised, retirement or disability resulting in employment termination, evaluation of applications of recognitions or non-college credit courses, performance evaluations.</p> <p>Note on consumer reports: All consumer reports for hired employees should be maintained as part of the official personnel file, but in a separate "confidential" file. For applicants not hired, the consumer reports should be retained in a separate file as part of the Recruitment File.</p>	7 years after termination of employment	ESSENTIAL		Personnel File PER-06-002	GS50-04B-06 R3
32.	<p><u>Policy Development Files</u> Records that document the development of agency policies. Includes, but is not limited to: correspondence, research, and drafts.</p>	6 years after completion of project	Potentially Archival – Appraisal Required		Policy Development Files ACO-03-001	GS50-01-39 R1

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33.	<p><u>Pre-Disciplinary Review Committee Files</u> Records documenting King County's Pre-Disciplinary Review Committee meetings and recommendations. Committee records that document the cases heard by the PDRC, the committee created to hear and make recommendations on the course of action related to potential rulings of discipline related to employee misconduct. Committee comprised of agency attorneys, agency HR Service Delivery Managers, and managers. Committee acts in an advisory capacity to provide recommendation for course of action and decisions regarding employee discipline. Use of PDRC determined per case by the Human Resources Division Director. Individual committee meetings document multiple cases heard. Committee hears all cases that are of significance, hearings also provide employee opportunity to present specific facts to the PDRC before decisions are made.</p>	<p>4 years after end of year in which issue was resolved*</p> <p>*Issue would be considered resolved for committee meetings upon decision made/advice provided to acting HR SDM and supervising party.</p>		<p>Official Employee Misconduct Investigation File – Founded or Unfounded holds record of final decision, resolution, or action taken related to specific cases. Files are maintained by involved agency's HR SDM.</p>	<p>Human Resources Advice Files</p> <p>PER-06-011</p>	<p>GS2010-001 R3</p>
34.	<p><u>Program Reporting</u> Research/program reports, studies, surveys, models, and analyses that are not covered by a more specific category. This category holds only the final report document submitted or provided.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Policy Reports sent to Council 	<p>6 years after obsolete or superseded</p>	<p>Potentially Archival – Appraisal Required</p>		<p>Research/Program Reports, Studies, Surveys, Models and Analyses</p> <p>ACO-02-002</p>	<p>GS50-01-32 R1</p>

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35.	<p><u>Project Files</u> HRD projects not covered by more specific categories. Records may include work plans, business cases, budgets, drafts, reference materials, correspondence, communication logs, notes and other documents related to final deliverables.</p> <p>Includes: Best Run Government projects Office move coordination</p>	6 years after year end	Potentially Archival – Appraisal Required		Project Files ACO-02-001	GS50-01-39 R1
36.	<p><u>Public Records Act Request Logs</u> Records documenting the tracking of public records requests made in accordance with chapter 42.56 RCW.</p> <p>Exemption logs covered by DAN GS2010-014.</p>	3 years after year end			Public Records Act Request Logs INF-01-003	GS50-09-13 R2
37.	<p><u>Public Records Act Requests</u> 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: internal and external correspondence relating to the request; records documenting the public records provided to the requestor (copies or lists of records), exemption or redaction logs documenting records withheld; records documenting administrative reviews relating to the request.</p>	2 years after public records request complete			Public Records Act Requests INF-01-002	GS2010-014 R2

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38.	<p><u>Request for Time off or Absence (Payroll Related)</u> Records received/responded to by supervisor authorizing or denying requests for absence such as sick leave, vacation, or other leave. Only includes the final records documenting approval or denial by employee supervisor.</p> <ul style="list-style-type: none"> Correspondence related to minor PeopleSoft time adjustments (incorrect or missed entries) – missed approvals for time off. <p>Payroll-related requests only. Excludes any official FMLA or other leave request records and documentation. Excludes records needed for retirement verification.</p>	4 years after year end			Employee Leave Management PER-09-002	GS50-04B-09 R1

<p>39.</p>	<p><u>Supervisor Working Files</u> 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 received about ongoing issues relating to 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 office responsible for managing the employee’s Personnel related records rather than retained in the Supervisor’s Working Files.</p> <p>Excludes records retained in the Official Employee Misconduct-Founded or Unfounded files. Also excludes Employee Grievances records.</p>	<p>3 years after no longer supervising employee</p>			<p>Records managed outside of KC ERMS</p>	<p>GS50-04B-31</p>
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40.	<p><u>Trainings – Certifications or Professional Credentials Earned (Community Forum Meetings)</u> Records that document any courses, workshops, meetings, or educational and training opportunities offered by HRD to agency employees, or members of the public if applicable. Includes all trainings or meetings where agency staff (or members of the public) may earn professional credits, continuing education, or any trainings required by federal, state, or local statute, or where required by King County or the Human Resources Division.</p> <p>Records include, but are not restricted to: Any curricula or materials provides, tests administered, attendees lists and sign-in sheets, test results, evaluations, and any credentials or credits earned.</p> <p>Includes: Community Forum Sign-In Sheets and Agendas Records document attendees and training topics covered. Training potentially used for professional credential credits earned. Includes any materials presented.</p>	6 years after training provided			<p>Agency Provided Training – Certification, Continuing Education Credits, and Mandatory</p> <p>ACO-10-006</p>	GS2011-180 R1

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41.	<p><u>Trainings – General Trainings Provided</u> Records documenting training courses, seminars, workshops, classes, provided by HRD-Director’s Office and Administration Staff. Includes trainings provided to agency staff, the public, contractors, and volunteers, where certificates/credentials/licenses are NOT awarded; continuing education hours/credits/points are NOT earned; and training is NOT required.</p> <p>Records include: curricula, materials presented, tests administered, attendees lists, sign-in sheets, test results, evaluations, etc.</p> <p>Includes trainings related to agency administrative procedures; trainings/classes offered to all county employees, such as Lominger trainings, etc.</p> <p>Excludes training where credentials may be earned, such as trainings offered at Community Forum Meetings, see ACO-10-006 (above).</p>	3 years after date training provided			Agency-Provided Training – General ACO-10-001	GS2011-181 R1
42.	<p><u>Work Plans</u> Plans describing work to be performed by HRD sections and work groups, including timelines and areas of responsibility for specific actions. Includes work plan development records and communications.</p>	2 years after revised or obsolete			Work Plans ACO-04-004	GS50-01-38 R1

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.

See original for signature *5-24-2016*

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.

See original for signature *5/24/2016*

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.

See original for signature *5/24/2016*

Susan Slonecker **Date**

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

11. PRC APPROVAL

See original for signature *June 2, 2016*

Deborah Kennedy **Date**

King County Public Records Committee