



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Executive Services / Records and Licensing
Services Division / Director's Office

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

DES-RALS-(DIR) / 010202

**3. TOTAL NUMBER OF
PAGES**

26

**4. DATE SUBMITTED
FOR APPROVAL**

January 25, 2018

5. STATUS

Final

6. VERSION

3

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))
OFFICE-WIDE						
1	<p><u>General Office Communications and Staff Meetings</u> Internal and external communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of public business, and that are not related to a more specific topic/category. Also includes general office meetings and administrative functions of the office.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Correspondence • Email • Calendars • Web sites/forms/pages • Social networking posts and comments <p>Meeting minutes and agendas.</p> <p>Excludes communications from the Division Director, or communications <i>on behalf of</i> the Division Director.</p>	<p>Cutoff: End of year</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>GS2010-001R3 (Communications)</p> <p>GS50-01-43R2 (Staff Meetings)</p>

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2	<p>Project Files Records used to document various projects undertaken throughout the RALS Division Director's Office.</p> <p>Examples include:</p> <ul style="list-style-type: none"> • Alternative dispute resolution assessments and recommendation memos • Development of Regional Animal Services inter-local agreements • Human resource skill assessment surveys • Workplace expectation policy development, records management process improvements • Lean events, disaster preparedness plan development, Lominger card sort exercises, etc. <p>Note: Final Plans, Reports, Studies, Analyses, etc. may be retained in a separate category. For example, Final Disaster Preparedness Plans should be retained under Disaster Preparedness and Recovery Plans, ACO-06-001.</p>	<p>Cutoff: Completion of project</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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3	<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: Retain until no longer needed</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Transitory Records should not be filed into KC ERMS</p>	<p>Refer to General Records Retention Schedule for complete list of DANs in this series.</p> <p>Note: destruction documentation is not required for Transitory Records.</p>

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CONFIDENTIAL SECRETARY/PUBLIC RECORDS OFFICER						
4	<p><u>Asset Inventory</u> Annual inventory of equipment existing in the division. Includes mobile devices (Blackberry & cell phone) issued and returned, tracking logs, and small and attractive assets inventory.</p>	<p>Cutoff: Completion of inventory</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Inventory of Assets (Non-Real Property)</p> <p>ASM-05-003</p>	GS50-03A-18R1
5	<p><u>Claims Files – Accidents and Incidents Founded (Secondary)</u> Records relating to claims for damages filed either against King County by other parties, or by the county against other parties.</p> <p>May include:</p> <ul style="list-style-type: none"> • Original paper or electronic claim/incident filed with the agency • Investigative documents • Correspondence • Recovery and closing information • Expense documentation • Adjustor notes • Metro incidents/claims, including video or other records of incident. <p>(Note: For transit incident videos, adjuster use-copy and full length copy of incident should both be retained as part of the case file. Transit’s copy will be retained as documentation of Incident/Accident.) Involves claims from minor, adults, county employees and members of the public.</p> <p>Excludes Workers’ Compensation Claims handled with Risk Management.</p>	<p>Cutoff: Claim closed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	DES - Risk Management	<p>Incident and Accident Claims</p> <p>ACO-06-012</p>	GS50-01-10R2 (S)

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6	<p><u>Computer Coordinator Files (Secondary)</u> Administrative records used to facilitate computer setup for division employees.</p> <p>May include:</p> <ul style="list-style-type: none"> • Correspondence • Copies of work orders • Copies of helpdesk tickets. 	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	KCIT / Service Center - Helpdesk	<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	GS2010-001R3
7	<p><u>Contracts and Agreements</u> Instruments signed by County agencies and one or more parties that set out terms and conditions to which the signing parties agree. Examples include various MOUs with other county departments such as KCIT & Facilities for various services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Financial reports • Meeting materials from the Animal Services Joint City-County Collaboration Committee • Other records needed to administer the contract/agreement and demonstrate compliance with terms • Contract modifications and extensions. <p>Excludes interlocal agreements between King County and cities for the provision of animal services.</p>	<p>Cutoff: Closeout of contract or agreement</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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8	<p><u>Interagency Meeting Files</u> Records related to staff meetings, internal committees/task forces, and other groups that meet for various reasons (to plan activities, coordinate communications solve problems, discuss labor issues, etc.). 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>Specific examples include: Labor Management Committee, in particular, meetings with Teamsters 117 and the Animal Control Officers Guild</p>	<p>Cutoff: End of year 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>GS2011-175R2</p>

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9	<p><u>Interlocal Agreements</u> Agreements between King County and municipalities for the provision of animal services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Financial reports • Signed agreements • Agreement modifications and extensions • All other records needed to administer the agreement and demonstrate compliance with terms. <p><i>Note: Per RCW 39.34.040, a copy of each of the county's interlocal agreements must either be filed with the King County Recorder's Office or sent to DES / RALS / Archives, Records Management and Mail Services for publishing on the internet. This should happen before the agreement has been entered into force.</i></p>	<p>Cutoff: Termination/ expiration of agreement</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p> <p>ESSENTIAL</p>	Some records needed to show compliance with the agreements are held by DES / RALS / Regional Animal Services of King County	Inter-Agency, Intra-Agency, Inter-Governmental, Inter-Local Agreements CON-01-004	GS50-01-11R4B
10	<p><u>PDR Reporting</u> Statistical reports used to track number of Public Records Act Requests (public disclosure requests or PDRs) received by the division, response times and actions taken to complete requests. Used for program administration purposes.</p>	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		Informational Reports ACO-02-003	GS50-06F-03R1

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11	<p><u>Public Records Act Requests</u> Records relating to requests from the general public for access to the County's public records in accordance with RCW 42.56.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Internal and external correspondence relating to the request • Records documenting the public records provided to the requestor (copies or lists of the records provided, etc.) • Records documenting the public records (or portions of the record) withheld (exemption logs) • Copies of redacted portions • Records documenting administrative reviews relating to the request. 	<p>Cutoff: Public records request completed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Public Records Act Requests</p> <p>INF-01-002</p>	GS2010-014R3
12	<p><u>Public Records Act Request Logs</u> Logs of Public Records Act Requests that are used for status tracking purposes.</p>	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Public Records Act Requests</p> <p>INF-01-002</p>	GS2010-014R3
13	<p><u>Public Records Disposition Records</u> Records related to the destruction of the County's public records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency Destruction Form • Records Center Destruction Form • Affidavits of destruction from shredding vendor • Certifications/notices of destruction. 	<p>Records dated 12/31/2013 and prior: Retain for life of County</p> <p>Records dated 1/1/2014 and later: Secondary – destroy when no longer needed</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>	DES / RALS / ARMMS retains primary copies of these records dated 1/1/2014 and later	<p>Destruction of Public Records</p> <p>INF-03-003</p>	GS50-09-06R1

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14	<p><u>Signature Lists</u> Documents individuals authorized to pick up paychecks or pay accounts.</p>	<p>Cutoff: Superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Delegation of Authority and Signature Records</p> <p>ACO-03-003</p>	GS50-01-11R4
15	<p><u>Telephone Coordinator Files (Secondary)</u> Administrative records used to initiate service for office lines within the division, request replacements of damaged or lost mobile devices, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for replacement devices • Copies of helpdesk tickets • Correspondence. 	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	KCIT / Service Center - Helpdesk	<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	GS2010-001R3(S)
16	<p><u>Travel Packets (Secondary)</u> Records document time and cost authorization for employee training/travel incurred while conducting county related business.</p> <p>May include:</p> <ul style="list-style-type: none"> • Pre-authorization forms • Approval memos • Initial request from employee • Itineraries • Cost estimates • Request form with supervisor's signature. 	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	DES / FBOD	<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	GS2010-001R3(S)

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17	<p><u>Vehicle and Parking Pass Coordinator Files</u> Administrative records used to manage the division's motor pool vehicle and parking garage privileges.</p> <p>May include:</p> <ul style="list-style-type: none"> • Log used to document use & mileage • Car checkout calendar • Parking scripts log • Copies of service work orders • Parking garage transponder loaner log. 	<p>Cutoff: End of year</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Equipment and Vehicle Checkout Log</p> <p>ASM-06-002</p>	GS2012-045

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DIVISION DIRECTOR/DEPUTY DIRECTOR						
18	<p><u>Division Director Communications and Subject/Issue Files</u></p> <p>Internal and external communications to or from the RALS Division Director, that are made or received in connection with the transaction of county business and are not covered by a more specific records series. Includes communications by supporting staff acting on behalf of Division Director. Includes, but is not limited to: Requests for and provision of information/advice and county-initiated information/advice, sent or received by elected officials or executive management team; Meetings held among agency and department directors, as well as councilmembers and independently elected officials; Received legal advice.</p> <p>Subject/Issue Files document a variety of RALS-related issues or topics the Division Director is interested in or has oversight/directional responsibility for.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Budget summaries • Correspondence • Presentation materials • Project information for each RALS section • Weekly management reports • Work plans. 	<p>Cutoff: End of year</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>	GS50-01-12R3

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19	<p><u>Internal Progress Reports</u> Various reports produced in response to Council or Executive Office requests or for program management purposes.</p> <p>Examples include:</p> <ul style="list-style-type: none"> • Various annual program/performance reports • Position vacancy reports • Regional Animal Services quarterly financial reports, customer feedback reports, etc. 	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Informational Reports</p> <p>ACO-02-003</p>	GS50-06F-03R1
20	<p><u>Legal Requests</u> Responses to requests from courts, banks, insurance companies, outside law firms, or the Prosecuting Attorney's Office for personnel, payroll other records needed to support legal actions involving RALS employees.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Authorization for the release of information • Database query results • Copies of accident reports • Correspondence • Court orders • Legal opinions • Subpoenas. 	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	<p>Prosecuting Attorney's Office is the primary for case files</p>	<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	GS2010-001R3

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21	<p>Performance Evaluation Background Files 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>Retention: Destroy once the performance review has been completed and appeal period has passed</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31

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22	<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:</p> <ul style="list-style-type: none"> • 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>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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FINANCIAL MANAGEMENT/ACCOUNTING						
23	<p><u>Accounts Payable</u> Records are used to document payment for goods and services received.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Invoices, Purchase orders, Vouchers, Receipts. 	<p>Cutoff: End of year</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	DES / FBOD	<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3
24	<p><u>Budget Development and Maintenance</u> Records used to prepare RALS annual budget request.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Final division budget requests • Work plans and business plans submitted to Executive Office of Performance, Strategy and Budget for approval • Change proposals • Budget revisions • True up reports • Budget summaries • Additional background information needed to document and explain requested budget amounts • Expenditure tracking. 	<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
25	<p><u>Capital Projects Records</u> Records document financial management of contracts related to County capital IT projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Award documents • Contract amendments • Contract • Progress payments • Successful RFP. 	<p>Cutoff: Completion of project or terms of grant agreement, whichever is later</p> <p>Retention: 10 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>	Project Manager	<p>IT Projects</p> <p>INF-04-014</p>	GS50-18-10R1

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26	<p><u>Financial Management Records</u> Records used for reporting on the status of RALS accounts and budgets.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Revenue projections and financial transaction forms. 	<p>Cutoff: End of year or until completion of State Auditor's examination report</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Budget Status Reports</p> <p>BUD-01-002</p>	<p>GS50-03D-06</p>
PAYROLL						
27	<p><u>Payroll Processing</u> Documents status of and adjustments to payroll accounts.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Correction and edits forms • Payroll reconciliation records • Approved payroll status reports • Payroll registers • PeopleSoft reports • Copies of Retirement Office's retro payment / overpayment spreadsheets. 	<p>Cutoff: End of year</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Payroll Supporting Documents</p> <p>FIN-08-006</p>	<p>Combo Rule FIN-08-006</p> <p>GS50-03E-02R1 (Payroll Processing)</p> <p>GS50-03E-15R1 (Employee Pay History)</p>
28	<p><u>Requests for Leave/Overtime (after 1/1/2012)</u> Documentation of requests and approval of leave (sick, vacation, leave without pay, etc.) and overtime.</p> <p>See: <u>Retirement Verification Records</u> for leave/overtime requests made prior to 1/1/2012.</p>	<p>Cutoff: End of year</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	<p>DES / BRC / PeopleSoft System as of 1/1/2012</p>	<p>Employee Leave Management</p> <p>PER-09-002</p>	<p>Combo Rule PER-09-002</p> <p>GS2017-010 (Leave – Non-Routine)</p> <p>GS50-04B-09R2 (Leave – Routine)</p>

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29	<p><u>Time Cards / Time Sheets – post-PeopleSoft (1/1/2012)</u> Timesheets and overtime/leave records used to document time worked attendance, support payroll functions, and for employee retirement benefit verification.</p> <p>Excludes records used for retirement verification.</p>	<p>Cutoff: End of year</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>	<p>DES / BRC / PeopleSoft System 1/1/2012-present</p>	<p>Payroll Supporting Documents FIN-08-006</p>	<p>GS50-03E-15R1</p>
30	<p><u>Time Cards / Time Sheets – pre-PeopleSoft (1/1/2012)</u> Timesheets and overtime/leave records used to document time worked attendance, support payroll functions, and for employee retirement benefit verification.</p> <p>Includes records used for retirement verification.</p>	<p>Cutoff: End of year</p> <p>Retention: 60 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Retirement Benefit Verification Records FIN-08-002</p>	<p>GS2017-009</p>
HUMAN RESOURCES MANAGEMENT						
31	<p><u>Collective Bargaining Agreements (Secondary)</u> Finalized labor agreements between County departments and employee unions.</p>	<p>Cutoff: Termination of agreement</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	<p>KCEO / Office of Labor Relations</p>	<p>Labor Agreements PER-01-002</p>	<p>GS50-01-11R4(S)</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))
32	<p><u>Employee Disciplinary Action Files</u> Records related to investigations and disciplinary actions. Documents actions taken to correct employee behaviors that are negatively impacting his or her work.</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 Official Employee Misconduct Investigations. If an official Misconduct Investigation is opened, these records may be retained under the particular Employee Misconduct Investigation category (Founded or Unfounded).</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Misconduct Investigation - Sustained</p> <p>PER-08-005</p>	GS50-04B-46R3
33	<p><u>Employee Grievances and Appeals</u> Documentation of action and investigation into personnel grievances and appeals.</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 Complaints and Grievances</p> <p>PER-08-001</p>	GS50-04E-03R2

7. LIST OF RECORDS SERIES						
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34	<p><u>Employee Misconduct and Discipline Files – Substantiated</u></p> <p>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><i>Excludes investigative summary report covered by GS50-04B-06, Personnel File.</i></p> <p><i>Excludes workplace violence case files covered by GS50-05A-24.</i></p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years*</p> <p>*If the investigation involves 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 - Sustained</p> <p>PER-08-005</p>	GS50-04B-46R3

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35	<p><u>Employee 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><i>Excludes investigative summary report covered by GS50-04B-06, Personnel File.</i> <i>Excludes workplace violence case files covered by GS50-05A-24.</i></p>	<p>Cutoff: Issue 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
36	<p><u>INS I-9 Forms</u> Records document verification of eligibility to work in the United States.</p> <p>May include:</p> <ul style="list-style-type: none"> • Federal I-9 forms • Passport copies • Copies of valid driver’s license • Copies of certificate of naturalization. 	<p>Cutoff: Termination of employment</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employment Eligibility Documents Immigration and Naturalization Services (INS) Form I-9</p> <p>PER-10-005</p>	GS50-05A-26R2
37	<p><u>Labor Agreement Negotiation/Administration</u> Documents related to administration of labor agreements.</p>	<p>Cutoff: Termination of agreement</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p> <p>ESSENTIAL</p>		<p>Labor Agreements</p> <p>PER-01-002</p>	GS50-01-11R4
38	<p><u>Lominger Success Profiles</u> Staffing profiles describe qualities an individual should possess in order to be successful in a certain job. Used for employee hiring and recruitment and for training and development purposes.</p>	<p>Cutoff: Obsolete or superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Job Descriptions</p> <p>PER-03-004</p>	GS50-04B-05R1

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39	<p><u>Personnel Change Notice Form</u> Forms used to document changes to an employee's work location, job information, labor status, payroll group, salary plan, compensation rates, etc.</p>	<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
40	<p><u>Personnel Files – Hired Before 01/01/2012</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 • Criminal background checks • Performance evaluations • Job classifications • Position descriptions • Out-of-class documentation • Confidentiality agreements • W-4 forms. 	<p>Cutoff: termination of employment</p> <p>Retention: 60 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Retirement Benefit Verification Records</p> <p>FIN-08-002</p>	GS2017-009

7. LIST OF RECORDS SERIES						
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41	<p><u>Personnel File – Hired 1/1/2012 and Later</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 • Criminal background checks • Performance evaluations • Job classifications • Position descriptions • Out-of-class documentation • Confidentiality agreements <p>W-4 forms.</p>	<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
42	<p><u>Personnel File - Medical</u> Files contain information related to an employee’s on-the-job injury or exposure to hazardous materials.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Medical information related to the employee’s health and ability to perform their job • Incident reports • Modified work forms • ADA cards • Medical evaluation reports • Hearing tests • Claim closure documentation • FMLA documentation • Doctor’s notes. 	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Medical Records</p> <p>PER-07-001</p>	GS2017-015

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43	<p><u>Position Classification Reviews</u> Records used to determine if employees are in the correct job classifications based on the body of work they are tasked with.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Reclassification requests • Questionnaires • Intake interviews • Decision documents • Appeals. 	<p>Cutoff: Review 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
44	<p><u>Retirement Benefit Verification Records</u> Records giving evidence of the pay history of an employee needed to verify retirement benefits for the Washington State Department of Retirement Systems.</p> <p>Examples of these records are:</p> <ul style="list-style-type: none"> • Employee Changes authorizations: New hires, successful completion of probation, acting/special duty appointments, promotion, transfer, demotion, reclassification, documentation approval, and termination • Employee Changes Implementing Documents: MSA turnaround document, MSA personnel transfer form, metro employee change notice, ISI new employee record, MSA requests for personnel, ISI personnel action form (PAF), personnel change notice. 	<p>Cutoff: Termination of employment</p> <p>Retention: 60 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Retirement Benefit Verification Records</p> <p>FIN-08-002</p>	GS2017-009

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45	<p><u>Recruitment and Hiring Files</u> Files document the recruitment and selection process for County 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>Cutoff: End of year</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Recruitment Files</p> <p>PER-10-002</p>	<p>GS50-04B-22R1</p>
46	<p><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.</p>	<p>Cutoff: Case closed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Whistleblower Investigation Reports</p> <p>PER-08-008</p>	<p>GS50-04E-03R2A</p>

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.

Ryan Wadleigh for



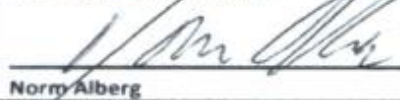
5/22/18

Gail Snow

Date

10. AGENCY MANAGER SIGNATURE

I certify that I have read and understood these records retention require scope of my responsibility.



1-23-18

Norm Alberg

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.



08/31/2018

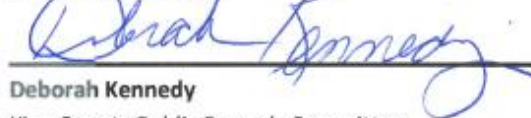
Carol Shenk

Date

ments and agree to implement the records retention schedule for all records and information within the scope

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL



9/26/2018

Deborah Kennedy

Date

King County Public Records Committee