



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/Human Resource Division/Safety and Claims (Disability Services)	2. DEPARTMENT-DIVISION-SECTION [DDS] DES-HRD-(S&C) Safety, Claims & Disability Services /010116	3. TOTAL NUMBER OF PAGES 10	4. DATE LAST MODIFIED September 26, 2018	5. STATUS Final	6. VERSION 1
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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. DISPOSITON AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
1.	<p><u>ADA Accommodations Case Files</u> Records document Disability Services efforts to ensure King County's compliance with Section 504 of the Rehabilitation Act of 1973, and the Washington State Law Against Discrimination (WLAD), which provide protections from unfair and discriminatory practices in employment and reasonable accommodations for employees and applicants with disabilities.</p> <p>Covers all individual ADA Accommodation cases, including: transitional duty workers, Light Duty Placement (excluding Workers' Compensation related placements), Supported Employment participants, and Reassignment Program candidates.</p> <p>Includes all communications and documentation collected, created, or received by the Disability Services Program that document an employee's case or situation, such as: letters, consultations, case notes, coordination of transitional duty assignments; reassignments; assistance with reasonable accommodations, etc.</p> <p><i>(Continued on next page...)</i></p>	<p>Cutoff: Termination of Employment*</p> <p>Retention: 6 years</p> <p>*ADA cases remain open until the employee is no longer with King County</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Disability Services Accommodation Case Files</p> <p>PER-04-004</p>	GS50-04C-01R2A

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	<p><i>(Continued from previous page.)</i></p> <p>Records include, but are not restricted to: FMLA paperwork; HIPAA information; communications with doctors, employees, supervisors, Human Resources, the Prosecuting Attorney’s Office; case recommendations; Activity Prescription Forms; Job Analysis Forms; Transitional Duty Placement letters (non-occupational), forms and checklists; meeting notes; voicemails, research; records documenting coordination efforts; check-in communications with employees; record of accommodations; draft and final medical separation letters; and final case close-out documentation.</p> <p>Excludes non-case specific records used to develop and manage Disability Services Program efforts, see Disability Services Program Project and Training Files, PER-04-006.</p>					

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2.	<p><u>Placement Letters - Workers' Compensation Claims (Self Insured) – Compensable</u> Records relating to compensable workers' compensation claims filed by employees (including volunteers and interns) of self-insured agencies in accordance with Title 55 RCW and Title 296 WAC. Includes, but is not limited to: Placement Letter prepared by Disability Services.</p> <p>Note: All files of defaulting self-insured employers shall be transferred to and will be retained by the Department of Labor and Industries for 75 years after claim. All records managed in the iComp database.</p> <p>Light Duty Placement files not related to Workers Compensation Claims are managed according to ADA Accommodation Case Files, PER-04-004</p>	<p>Cutoff: Claim closed</p> <p>Retention: 75 years</p>	<p>Disposition Action: Not Archival - Destroy</p>	<p>DES-HRD-S&C (Workers' Compensation) is responsible for the placement letters and official Workers' Compensation File once Placement Letters are scanned and uploaded to Claims/Case Management System</p>	<p>Workers' Compensation Claims (Self-Insured) - Compensable</p> <p>PER-05-001</p>	<p>GS50-06C-27R1</p>

<p>3.</p>	<p><u>Disability Services - Programs, Projects, and Trainings</u> Records, including all documentation physical or electronic, created in an effort to develop, manage, and maintain the Disability Services programs including trainings and other projects. Includes only non-individual case-specific records and files.</p> <ul style="list-style-type: none"> • Program files – Records documenting efforts to develop and maintain Disability Services programs and activities including Reassignment; Supported Employment; Transitional Duty; Job Development; Disability Awareness Month; and program support files such as annual or ad-hoc reporting (Case Analysis; Utilizations) and ongoing advice provided related to ADA law, labor contracts, etc. • Projects files – Includes project planning materials; research and historical reports; records documenting substantive decision making processes in drafting final materials; communications, etc. Examples include: Supported Employment job development projects, Job Analysis forms including SME review and other recruitment assistance efforts; policy or proclamation development; recruitment assistance (Special Duty, Light Duty, Temporary, etc.) and related material development; contracts development - including labor contract assistance; Disability Services program development, etc. • Trainings – Records documenting trainings provided internally to King County employees or externally to members of the public. Examples of training topics include: Disability Accommodations law; leave accommodations, policies, and general recommended procedures; labor education trainings and presentations, etc. Includes sign-in sheets; communications; presentations (ad-hoc and continuous); materials provided, etc. <p>Excludes <i>final</i> recruitment records managed with HR or in Application Tracking System. Some recruitment materials may be used or modified for other job development project recruitments.</p>	<p>Cutoff: Completion of project, training complete or no-longer provided, or year-end for ongoing program efforts</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Disability Services Program Project and Training Files PER-04-006</p>	<p>Combo Rule PER-04-006 GS50-04C-01R2A (Civil Rights – Compliance (Section 504 Accommodations)) GS50-01-39R1 (Project Files (Miscellaneous))</p>
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4.	<p>General Advice and Communications Records created, received and used when communicating within and outside the county related to general agency topics, and not covered by other retention categories.</p> <p>Examples include, but are not restricted to: Communications and advice provided to other public agencies (county or external), contractors, vendors, or county staff regarding routine administrative efforts which do not relate to specific case files or individuals and are not used to develop or support program efforts. Staff meeting agendas and minutes General work tracking and administration such as Light Duty Worker tracking spreadsheet; Supported Employment FTE loan tracking documentation; Job Analysis tracking; communications and files related to non-programmatic efforts such as continuous improvement projects, records management related efforts, etc. Communications related to Public Disclosure Requests: Records collected by Disability Services staff and provided to the agency's Public Records Officer in response to a Public Records Act Requests.</p> <p>Excludes case-specific communications; communications related to any other Disability Services programs, services, or bodies of work.</p>	<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>GS50-01-02 (Administrative Working Files)</p> <p>GS50-01-43 (Staff Meetings)</p> <p>GS2010-001 R3 (Communications)</p>
5.	<p>Budget Development and Proposals Records created while analyzing budgetary needs for the management and development of the Disability Services programs. Includes final proposal submitted.</p>	<p>Cutoff: year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Development Files</p> <p>BUD-01-001</p>	<p>GS50-03D-03</p>


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6.	<p><u>Performance Evaluation Background Files</u> Records used by employees with supervisory responsibilities to prepare and support the annual performance evaluations of employees under their supervision. Only includes records needed to support the completion of the performance evaluation. Includes, but is not limited to: performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communications/meeting notes; documentation of performance issues; status reports, etc.</p> <p>Excludes records needed to support the ongoing supervision of the employee (see Supervisor's Working Files). Excludes signed Performance Evaluation retained in the official Personnel File).</p>	<p>Cutoff: Once performance review has been completed and appeal period has ended</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not-Archival - Destroy</p>		N/A – Records managed outside of KC ERMS.	GS50-04B-31R1

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7.	<p>Supervisory 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.</p> <p>Includes, but is not limited to: 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 the employee performance monitoring, etc.</p> <p>Excludes Performance Evaluation Background Files, PER-02-003. Excludes records that document misconduct investigations or corrective action and those that document employee complaints or investigations. These records should be retained in an official Misconduct Investigation File with Human Resources. Excludes doctor's notes or any other medical certifications, 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 all be transferred to the employee's Human Resource Service Delivery Manager rather than retained in the Supervisor's Working Files.</p>	<p>Cutoff: Once no longer supervising employee</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		N/A - Records to be managed outside of KC ERMS	GS50-04B-31 R1

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8.	<p><u>Transitory Record Types</u> Records include:</p> <p>Forms and publications (copies-not completed) Brainstorming and collaboration records: notes, mind maps, visual displays, visual collaboration / white board notes, virtual collaboration tools, flip-charts, post-its, etc. when</p> <p>General employee or agency contact information and lists Drafting and editing: drafts with minor/non-substantive changes, thoughts suggestions not included in final draft.</p> <p>General, external information: catalogs, newsletters, bulletins, notices, unsolicited information, spam or junk mail.</p> <p>Informal notifications and communications: Communications that do not document Disability Services actions or decisions and are not needed for business purposes: KCIT Help Requests; newsletters; countywide emails received, communications related to birthdays, potlucks, etc.</p> <p>Leave and absence requests; performance appraisals (employee copies). Data entry input records (such as paper forms, handwritten notes, etc.) that have been documented as records within agency information systems (such as databases) provided the original record/form (including any signatures) is not required as evidence or authorization of the transaction.</p> <p>Reference and duplicate copies.</p> <p>For final contracts, record drawings, maps, plans etc. verify a copy is with the official project files before destruction of record.</p>	<p>Cutoff: When no longer needed for agency use, then destroy</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		N/A	<p>Refer to General Records Retention Schedule for complete list of DANs in this series.</p> <p>Note: destruction documentation is not required for Transitory Records.</p>

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.



9/28/2018

Gail Snow

Date

9. COUNTY ARCHIVIST SIGNATURE

I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.



09/28/2018

Carol Shenk

Date

10. AGENCY MANAGER SIGNATURE

I certify that I have read and understood these records retention requirements and agree to implement the records retention schedule for all records and information within the scope of my responsibility.


 9-26-18

Tim Drangsholt

Date

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL

 10/10/2018

Deborah Kennedy

Date

King County Public Records Committee