



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 Judicial Administration / Customer and Financial Services Division – Working Copies and Records, Ex Parte & LFO Collections, Accounting, Judgments, and Disbursements

2. DEPARTMENT-DIVISION-SECTION [DDS]

DJA-CFSD-(ALL) / 090101

3. TOTAL NUMBER OF PAGES

29

4. DATE LAST MODIFIED

October 3, 2017

5. STATUS

Final

6. VERSION

2

6. SCOPE AND DISCLAIMER

This retention schedule can only be used by the agency listed in section 1. It supersedes any other versions of retention schedules used by the agency and is effective as of the date listed in section 11 on the last page. This schedule is a comprehensive listing of all public records held by the agency and authorizes the destruction or archival transfer of those records as indicated. For guidance about records not listed, please contact the Records Management Program.

Public records covered by record series on this records retention schedule must be retained for the required retention periods as described on this schedule. Public records designated as Permanent or Archival must not be destroyed. Public records designated as Potentially Archival must be appraised by the King County Archivist before disposition. This records retention schedule is subject to revision due to changes to local, state or federal regulations.

Approved documentation is required before any records listed on this records retention schedule can be dispositioned (destroyed or transferred to the King County Archives). Records filed to and managed within the County’s Records Management System will be dispositioned from within the system and documentation will be maintained by the Records Management Program. Disposition of records managed outside of the Records Management System must be documented on forms provided by the Records Management Program. Transitory records may be destroyed within the normal course of agency business without the use of any destruction forms.

Glossary

Cutoff: the trigger date on which the retention period *begins*. Until this occurs, the records are still considered active.

Retention: the length of time the records must be retained *after* the cutoff date

Disposition Action: the action that should be taken with the records after they have met their retention period

ESSENTIAL: records identified by the State as being essential to the operation of business and needed to continue operations in the event of an emergency.

7. LIST OF RECORDS SERIES						
7a. ITEM NO.	7b. TITLE/DESCRIPTION	7c. RETENTION	7d. DISPOSITION AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE AUTHORITY (DISPOSITION NUMBER(S))
MANAGEMENT AND SUPERVISOR RECORDS						
1.	<p>Budget Development Files Background information and draft documents compiled in the course of budget preparation.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Preliminary budgets, spreadsheets, statistics, expenditure reports, correspondence, briefing materials and supporting documentation. • Data or informational reports supplied for budget related ad hoc inquiries. <p>Excludes records where exact duplicate information is transcribed into budget management database. <u>See Transitory Records.</u></p>	<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

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2.	<p>Final Adopted Policy Officially adopted policies affecting all of the Department of Judicial Administration. These are activated through department or division head signature.</p> <p><u>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.</u></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>Excludes procedural documents (see category ACO-03-004).</p>	<p>Cutoff: Obsolete or superseded</p> <p>Retention:</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>	<p>Disposition Action: ARCHIVAL – Permanent Transfer</p> <p>ESSENTIAL</p>		<p>Final Adopted Policy</p> <p>ACO-03-002</p>	GS50-01-24R1

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3.	<p><u>Mandatory/Required Reporting – Agency Management</u> Records relating to the general functions of the Department of Judicial Administration that are required to be filed with, or submitted to, an outside or regulatory agency (including legislative authority) according to federal, state, or local law, or by court order/rule, where not covered by a more specific record series.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Reports/forms/certificates/lists; including significant drafts which may document substantive changes. • Submission confirmation, correspondence, inquiries, etc. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Reports submitted to King County Council as required • Ad hoc required reporting related to the impacts of proposed legislation • Required quarterly reporting. 	<p>Cutoff: Report or document submitted</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Reporting/Filing (Mandatory) – Agency Management</p> <p>ACO-02-004</p>	GS2012-028R1

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4.	<p><u>Mandatory/Required Reporting – Financial</u> Records relating to financial management of Judicial Administration that are required to be filed with, or submitted to, an outside or regulatory agency (including legislative authority) as required by federal, state, or local law, where not covered by a more specific record series.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Reports, confirmation of submission, correspondence, inquiries, etc. • Significant drafts which may document substantive changes. <p>Includes, but is not restricted to: “Annual Report to the Legislature on the Collection of Court Ordered Legal Financial Obligations by County Clerks as Required by Senate Bill 5990, Chapter 379”</p>	<p>Cutoff: Submitted to regulatory agency</p> <p>Retention: 4 years</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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5.	<p><u>Performance Appraisal Background Files</u> Records used by employees with supervisory responsibilities to prepare and support the annual performance evaluations of employees under their supervision. Only includes records needed to support the completion of the performance evaluation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports, etc.; copy of preceding year's performance appraisal. <p>Excludes:</p> <ul style="list-style-type: none"> • Records needed to support <i>ongoing</i> supervision of the employee (see Supervisor's Working Files). • Final signed performance appraisals (kept with Human Resources in the official Personnel File.) • Medical related items such as doctor's notes or any other medical certification, FMLA related materials; workers compensation claim documents, including the supervisor's report on the injury; any formal or informal legal claim by or about the employee; employee's I-9 form, any workplace investigation materials regarding the employee such as notes, communications, etc.; background investigation reports; personality or other test results; any non-job related information/personal information about the employee, etc. These records should be transferred and retained with the agency's human resource office rather than retained in the Supervisor's Working File. 	<p>Cutoff: Destroy once the performance review has been completed and appeal period has ended</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1

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6.	<p><u>Policy Development Files</u> Records that document the development of agency policies.</p> <p>Includes, but is not limited to: Correspondence, research, review and commentary received, as well as drafts.</p>	<p>Cutoff: Policy adopted</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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7.	<p><u>Supervisor's 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, including performance evaluation background files; also exclude records 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:</p> <ul style="list-style-type: none"> • Records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files). • Medical related items such as doctor's notes or any other medical certification, FMLA related materials; workers compensation claim documents, including the supervisor's report on the injury; any formal or informal legal claim by or about the employee; employee's I-9 form, any workplace investigation materials regarding the employee such as notes, communications, etc.; background investigation reports; personality or other test results; any non-job related information/personal information about the employee, etc. These records should be transferred and retained with the agency's human resource office rather than the Supervisor's Working File. 	<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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GENERAL AGENCY ADMINISTRATION AND COMMUNICATIONS						
8.	<p><u>Administrative Procedures and Instructions</u> Documentation of internal office policies, procedures, and guidelines created by the agency which relate to the agency's routine day-to-day operations.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Advisory memos, manuals documenting divisions and sections procedures, handbooks, desk manuals, supporting background materials and related documentation. <p>Excludes procedures, instructions, and advice sent to (received by) the agency from an outside source. Also excludes officially adopted policies and procedures covered by <u>Final Adopted Policy, ACO-03-002</u>.</p>	<p>Cutoff: Revised or obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>	GS50-01-01

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9.	<p><u>Brochures, Instructional Handouts, Publications</u> Final publications produced for the purpose of promoting agency functions, or for informing the general public and external county staff on the procedures and processes of DJA Customer and Financial Services Division.</p> <p>Records include, but are not restricted to:</p> <ul style="list-style-type: none"> • Brochures, handouts, pamphlets, or other publications. Includes materials published online for public access. <p>Includes:</p> <ul style="list-style-type: none"> • <i>Legal Financial Obligations Payment Instructional Handout; Will Repository Brochure;</i> • eFiling and eWorking Copies handouts, guides, and instructional material created for the general public. <p>Excludes guides created for internal instructional purposed to be used by DJA-CFSD staff; to be retained according to <u>Administrative Procedures and Instruction, ACO-03-004.</u></p>	<p>Cutoff: No longer needed for agency business</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival Appraisal Required</p>		<p>Master File of Agency Publication</p> <p>INF-02-001</p>	GS50-06F-04R4

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10.	<p><u>General Office Communications and Staff Meetings</u> Communications to or from DJA Customer and Financial Services Division staff and King County employees (includes contractors and volunteers), that are made or received in connection with the transaction of county business, and that are not covered by more specific record series, such as Public Requests or Complaints. Includes all communication types regardless of format such as email, letters (mail); web sites/database communication systems; master copy of forms; in-person handwritten requests; eCourt Records, eWorking Files, eFile systems communications, etc.</p> <p>Records may include, but are not restricted to:</p> <ul style="list-style-type: none"> • Internal requests & communications (to or from other King County employees) that document County business, information, or action related to any CFSD functions, <i>and that are not transitory</i>. • Internal reports, such as Daily Production Stats, used to analyze business trends; production backlog; and document information for quarterly reports. • Weekly reports and report data submitted to supervisors and department director. • Staff Meetings final copy of minutes and agendas. • Copies of court file records emailed upon request to various DJA divisions, Court, or other County agencies. • Communications sent to KC PAO. <p>Excludes transitory forms and communications, such as forms used for transcription into database or auto-generated communications received which do not require action or response.</p> <p>Excludes forms used to support financial transaction requests covered in <u>Financial Transactions – General, FIN-01-001</u>.</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>Combo Rule ACO-01-001</p> <p>GS2010-001R3 (Communications)</p> <p>GS50-01-43R2 (Staff Meetings)</p>

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11.	<p>Public Requests or Complaints Communications from members of the public requesting action by DJA staff, or making a complaint, as well as associated agency response. "Public" includes external (outside King County) public agencies, private citizens, and members of the public. Includes all communication formats such as emails, handwritten letters, electronic communications sent through the electronic Court Request System, eWorking Copies system, etc.</p> <p>Communications in include, but are not restricted to:</p> <ul style="list-style-type: none"> • Communications routed through other county agencies to DJA for DJA's staff to respond. Communications may be from the general public, jail inmates, external government agencies, litigants, the Federal Bureau of Investigation (FBI NICS), WSP/law enforcement requests, etc. making a complaint, or seeking action by DJA. <p>Records include requests for, or communications related to, the following:</p> <ul style="list-style-type: none"> • Copies of Court Files Records; abstracts; certified copies, bench warrants, arrests, etc.; records of payment, change of address or other information (includes any support documentation provided). • Filing forms for Working Copies; Requests for general agency information and instructions such as seeking guidance on how to file or acquire copies, etc. • Jail inmate correspondence routed through Court Records/Working Copies. Includes any copies made of inmate mail attached or photocopied. • Any other communications with members of the public related to requests for service or complaints. <p>Excludes:</p> <ul style="list-style-type: none"> • Transitory forms and communications, such as forms used for direct data/information transfer and transcription into database or log. • Forms used to support financial transaction requests covered in <u>Financial Transactions – General, FIN-01-001</u>. • <u>Official Public Records Act Requests</u> to be retained according to <u>INF-01-002</u>. 	<p>Cutoff: End of year in which issue was resolved</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival – Destroy</p>		<p>Public Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	<p>GS50-01-09R2</p>

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12.	<p><u>Training – Certificated, Hours/Credits Earned, or Mandatory/Required</u></p> <p>Records documenting training courses <i>provided by</i> DJA-CFSD staff to the public, customers, contractors, agency employees, or other King County employees, where:</p> <ul style="list-style-type: none"> • Certificates, credentials, or licenses may be awarded; or • Continuing education hours or credits may be earned; or • Training is required by federal, state, or local statute, and/or by employer. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered, etc. such as the <i>Continuing Legal Education Workshop Brochure</i> and handouts; • Attendance lists and sign-in sheets, test results, evaluations, etc.; • Certifications/hours/points/credits awarded. <p>Agency provided training includes, but is not limited to:</p> <ul style="list-style-type: none"> • Continuing legal education credits: <i>Continuing Legal Education Workshop</i> (Washington State Bar Association credits) • Mandatory trainings such as: <i>Cash Handling Training; Defensive Driving Training</i> • Continuing education clock hours (tracked). <p>Excludes employee training history/certificates retained in the employee’s training history file.</p>	<p>Cutoff: Date training provided</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Agency-Provided Training – Certification, Continuing Education Credits and Mandatory</p> <p>ACO-10-006</p>	GS2011-180R1

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13.	<p><u>Training – General</u> Records documenting training courses, seminars, and workshops <i>provided by</i> DJA-CFSD staff to the public, customers, contractors, or agency employees where:</p> <ul style="list-style-type: none"> • Certificates/credentials/licenses are NOT awarded • Continuing education hours/credits/points are NOT earned; and • Training is NOT required by state, federal, or local statute or by employer. <p>Examples of trainings include: training for how to effectively communicate with hearing impaired; general/financial systems user trainings; etc.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Curricula, materials presented such as presentations and handouts, tests administered, etc.; staff webinar trainings created • Attendee lists and sign-in sheets, test results, evaluations, etc. 	<p>Cutoff: Date training provided</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival – Destroy</p>		<p>Agency Provided Training – General</p> <p>ACO-10-001</p>	GS2011-181R1
14.	<p><u>Undeliverable Mail & Mail Logs</u> Records documenting the agency’s incoming and outgoing physical mail (letters, packages, etc.)</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Mail Logs; return receipts; signed pick-up/delivery receipts; USPS Forms; undeliverable mail: original documents or other mail sent out and returned as undeliverable. <p><i>Note: Undelivered billing statements continuously sent from state to members of the public that are returned to DJA are considered transitory. Notations of these are maintained in JIS.</i></p>	<p>Cutoff: End of year</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Mail Delivery and Receipt</p> <p>INF-06-001</p>	GS50-06D-02R1

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15.	<p><u>Vault Item Safekeeping Receipt</u> Receipt - documentation of deposited item identifying personal property held in the care and custody of Department of Judicial Administration for the duration of court proceedings, and until the court order release of, these items.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Receipt notification tracks date of deposit, case number, party in case whom obtained the item, description of item, value, date deposited and signature of clerk. Notification also includes withdrawal/removal authorizations. <p><i>*Note: According to terms spelled out on Safekeeping Receipt, items not claimed within two years following final disposition of case are turned over to the State Department of Revenue as abandoned property and possibly escheated.</i></p>	<p>Cutoff: Item withdrawn or escheated*</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
16.	<p><u>Vault Log</u> Log identifying and itemizing personal property held in the care and custody of the Department of Judicial Administration for the duration of court cases related to, or regarding, the dispute over, and court order release of, these items.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Log tracks date item received, log number, item description, value of item, related case number, who presented the item, and date item returned. <p><i>Note: Duplicate information retained on Vault Item Safekeeping Receipt (see below).</i></p>	<p>Cutoff: Transitory – Retain until no longer needed</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		N/A, should not be filed in KC ERMS	GS50-02-05R2

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17.	<p><u>Work Logs</u> Work assignment record, schedule or logs; documentation of day-to-day tasks or projects assigned to, and/or completed by, individual or staff. Logs document when items sent to COA, Ex Parte, Judges, or Commissioners.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Clerks Papers – Transmittals; • Ex Parte Coversheets and Logs; • Jail and Warrants Logs; • Other work logs. 	<p>Cutoff: End of year</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Work Logs PER-02-002</p>	GS2010-001R3C
18.	<p><u>Detailed Report of Unclaimed Property/Restitution</u> Report identifying funds paid into the court registry but turned over the Washington State Department of Revenue due to inability to pay out. Funds may not be dispersed due to lack of valid address and inability to locate individual. Report includes notations for when funds are disbursed by DJA directly to claimants.</p> <p>Detailed report is needed to complete and return the Certificate of Holder required by the State Department of Revenue. Detailed report and supplemental information verifies claimant’s right to unclaimed property.</p> <p>Note: According to RCW Ch. 63.29, state law protects unclaimed property until it can be returned, i.e. there is no statute of limitations on unclaimed property. There is no time limit for filing a claim, and rightful owners or heirs can make a claim on property dating to 1955.</p>	<p>Cutoff: Report filed and funds remitted to DOR</p> <p>Retention: Permanent* Property.</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Unclaimed Property Report – Superior Court Clerk FIN-01-029</p>	GS55-05B-31A

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19.	<p><u>Financial Disputes/Collections – General</u> Records related to the agency’s financial disputes and attempts to collect funds.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Checks returned due to non-sufficient funds (NSF); • Correspondence (first, second, and third letters of warning; other letters, emails, etc.), notices, invoices/statements, communications seeking to collect funds; • Account closure notification; • Settlement document. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • No pay accounts letters; • On-line denied payments. • <u>Notice of Payroll Deduction- Employer’s Answer; Declaration:</u> Records related to the notices of payroll reduction send by DJA-CFSD to employers of debtor, which inform and monitor for compliance with payroll deductions implemented according to RCW 9.94A.760 (3) and Chapter 379. Includes related communications to and from employer and employee. 	<p>Cutoff: End of year in which Issue revolved</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p>		<p>Collections Files FIN-01-004</p>	<p>GS50-03B-14R3</p>

7. LIST OF RECORDS SERIES						
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20.	<p>Financial Transactions – General Office</p> <p>Accounting Records documenting all office accounting procedures including accounts payable and accounts receivable, excluding bond, grant, and levy project related financial administration.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Purchase and sales items (receipts, cash books, remittance advice, purchasing/receiving documents, cashier's payments); • Billing statements; billing summaries (registers/ledgers); • Refund requests, overpayment refunds, adjustments to accounts (error corrections, rebates, etc.). Includes refund communications via DJA refund box, such as email confirmations and receipts created; • Payment records such as Witness Fees packet • Financial statements and reports (cash adjustment documentation; bank statements; overpayment reports; reports of transactions; bank statements; nightly reports.); • Registers payment report; journal detail reports; satisfactions for accounts paid in full; checks/warrant registers; petty cash or p-card documentation. • ACH Spreadsheet; LFO Cards Spreadsheet; • Customer Financial Declaration and Payment Agreement; • Automatic payment withdrawal authorizations; • Fee Waiver Request Form (for Waiver of Ex Parte, Expedited Handling, and ECR Online Fees). <p>Excludes duplicate records where original and final copy is stored in JRS (Judicial Receipting System), such as internal use reports downloaded from JRS for reporting and informational purposes only.</p> <p>Excludes transitory records such as forms and spreadsheets incomplete or used for data/information transfer and transcription.</p>	<p>Cutoff: End of year</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3

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))
21.	<p>Financial Transactions – Grant Projects Records documenting all grants received and expended by the agency for grant-funded projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Contracts and agreements, including negotiations and compliance monitoring; • Documents supporting any purchases and acquisitions; • Financial statements and reports, such as: monthly billing, notification of payments received from bank, reimbursements; • Registers and journals for all funds and functions. <p>Examples of specific project includes: IV-D Child Support Enforcement Grant</p>	<p>Cutoff: after completion of grant project, or terms of grant agreement, <i>whichever is later</i></p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Grant Administration Records</p> <p>FIN-01-017</p>	GS2011-183R2
CLERK MINUTE BOOKS						
22.	<p>Clerk Minute Books Notes/records/journals/minutes of Superior Court proceedings created by the Clerk in accordance with RCW 2.32.050 <i>and where not placed in individual case files</i>. Includes minutes recorded on court calendars</p>	<p>Cutoff: End of year</p> <p>Retention: Permanent</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>Reference RCW 2.32.050</p>		<p>Clerk’s Minute Books</p> <p>JSC-01-005</p>	CL65-01-09R1

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 AUTHORITY (DISPOSITION NUMBER(S))
23.	<p><u>Court Reporter Notes – Capital Offense</u> Recordings of oral testimony and other oral proceedings in King County Superior Court System captured by court reporter pursuant to RCW 2.32.200 and/or electronic or mechanical device pursuant to CR 80 and retained by the Superior Court Clerk in accordance with SPRC 3 and SPRC 7. Oral testimony and proceedings include those for capital offense cases only.</p> <p>Formats include, but are not limited to:</p> <ul style="list-style-type: none"> • Audio, video, analog, digital, shorthand notes, etc. <i>This rule is only for oral testimony and proceedings in capital cases where death penalty has been imposed.</i> <p>NOTE: Pursuant to RCW 36.23.070, disposition of the records cannot take place until the court order authorizing destruction of the record(s) has been signed and entered, and 60 days' notice has been provided pursuant to SPRC 7.</p>	<p>Cutoff: Noted received</p> <p>Retention: 99 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p> <p>Reference RCW 36.23.070, and SPRC7 Electronic notes must be backed up, migrated and delivered to the clerk in a format that is approved by State Archives as set forth in statute or administrative code. The clerk may require paper notes if no appropriate environment for storage of electronic data is available to the clerk. Court reporting machines that have no back up mechanism are not recommended.</p>		<p>Court Reporter Notes – Capital Offense</p> <p>JSC-01-008</p>	CL65-01-12R1C

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 AUTHORITY (DISPOSITION NUMBER(S))
24.	<p><u>Court Reporter Notes – Civil</u> Recordings of oral testimony and other oral proceedings in King County Superior Court System captured by court reporter pursuant to RCW 2.32.200 and/or electronic or mechanical device pursuant to CR 80 and retained by the Superior Court Clerk in accordance with SPRC 3 and SPRC 7. Oral testimony and proceedings include those for civil cases only.</p> <p>Formats include, but are not limited to:</p> <ul style="list-style-type: none"> • Audio, video, analog, digital, shorthand notes, etc. <p><i>NOTE: Pursuant to RCW 36.23.070, disposition of the records cannot take place until the court order authorizing destruction of the record(s) has been signed and entered, and 60 days' notice has been provided pursuant to SPRC 7.</i></p>	<p>Cutoff: Notes received</p> <p>Retention: 10 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p> <p>Reference RCW 36.23.70 and SPRC7 (see above)</p>		<p>Court Reporter Notes – Civil</p> <p>JSC-01-003</p>	CL65-01-12R1A

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 AUTHORITY (DISPOSITION NUMBER(S))
25.	<p><u>Court Reporter Notes – Criminal</u> Recordings of oral testimony and other oral proceedings in King County Superior Court System captured by court reporter pursuant to RCW 2.32.200 and/or electronic or mechanical device pursuant to CR 80 and retained by the Superior Court Clerk in accordance with SPRC 3 and SPRC 7. Oral testimony and proceedings include those for criminal cases only.</p> <p>Formats include, but are not limited to</p> <ul style="list-style-type: none"> • Audio, video, analog, digital, shorthand notes, etc. <p>NOTE: Pursuant to RCW 36.23.070, disposition of the records cannot take place until the court order authorizing destruction of the record(s) has been signed and entered, and 60 days' notice has been provided pursuant to SPRC 7.</p>	<p>Cutoff: Notes received</p> <p>Retention: 20 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p> <p>Reference RCW 36.23.70 and SPRC7 (see above)</p>		<p>Court Reporter Notes – Criminal</p> <p>JSC-01-004</p>	CL65-01-12R1B

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 AUTHORITY (DISPOSITION NUMBER(S))
26.	<p><u>Court Reporter Notes – Juvenile</u> Record of oral testimony and other oral proceedings in King County Superior Court captured by court reporter pursuant to RCW 2.32.200 and/or electronic or mechanical device pursuant to CR 80 and retained by the Superior Court Clerk in accordance with SPRC 3 and SPRC 7. Oral testimony and proceedings include those for juvenile cases only.</p> <p>Formats include, but are not limited to</p> <ul style="list-style-type: none"> • Audio, video, analog, digital, shorthand notes, etc. <p>NOTE: Pursuant to RCW 36.23.070, disposition of the records cannot take place until the court order authorizing destruction of the record(s) has been signed and entered, and 60 days' notice has been provided pursuant to SPRC 7.</p>	<p>Cutoff: Notes received</p> <p>Retention: 10 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p> <p>Reference RCW 36.23.70 and SPRC7 (see above)</p>		<p>Court Reporter Notes – Juvenile</p> <p>JSC-02-005</p>	CL65-01-12R1A
27.	<p><u>Depositions – Unpublished/Unopened</u> Out-of-court oral testimony of witness reduced to writing for later use in court</p> <p>Reference: CR 5 (i), discovery material “shall not be filed with the court unless for use in a proceeding or trial or on order of the court.”</p>	<p>Cutoff: Court order authorizing destruction of records is signed and entered</p> <p>Retention: Destroy Immediately</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A – Related records should not be sent to the Record Center, or filed in KC ERMS. Any additional material will be destroyed immediately according to retention instructions</p>	CL65-01-16R1

7. LIST OF RECORDS SERIES						
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28.	<p>Docket Superior Court Dockets kept for Superior Court case files. Official documentation of Superior Court proceedings and filings. Includes sealed records.</p> <p>Cases include, but are not limited to:</p> <ul style="list-style-type: none"> • Criminal (including juveniles tried as adults pursuant to RCW 13.40.110); Civil (tax warrant, tax foreclosure, change of name pursuant to RCW 4.24.130, etc.); Family/Domestic (child custody, adoption, juvenile dependency, parentage, etc.); Wills/probate, guardianship, mental illness, alcohol, etc. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Dockets, indexes, registers, etc.; charging information, summons, clerk’s minutes; motions, published depositions, decrees, verdicts, orders, no-contract orders & other filings; judgements (abstracts, civil, transcripts, foreign, etc.); warrants, notices of appearance, failure to appear, etc.; juror and witness daily attendance lists (see note below); letters of administration/conservatorship/guardianship/testamentary. <p>Excludes records covered more specifically elsewhere, including, but not limited to: Juvenile Court Case Files covered by CL50-28-10; Exhibits, which are covered by CL65-01-22; Juror records covered by CL2014-016, CL65-01-26 and/or CL65-01-27 and juror/witness cost bill records covered by CORE series GS2011-184; Legacy records. Note: Per GR 31 (i), “Individual juror information, other than name, is presumed to be private.”</p> <p>Excludes dockets for Juvenile Court Case Files.</p>	<p>Cutoff: Case closed</p> <p>Retention: Permanent – contact King County Archives for appraisal 2 years after cutoff. Records not selected as archival must be retained permanently by DJA.</p>	<p>Disposition Action: Potentially Archival Appraisal Required</p> <p>ESSENTIAL</p>		<p>Docket</p> <p>JSC-01-006</p>	<p>CL65-01-08R1</p>

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 AUTHORITY (DISPOSITION NUMBER(S))
29.	<p><u>Jury List/Questionnaires – Master List</u> List of all persons eligible to serve as jurors who have been randomly selected for the jury pool. Records relating to the master jury list certified by the Superior Court and filed with the County Clerk in accordance with RCW 2.36.055 and GR 18.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Jury source list containing names of registered voters (Office of the Secretary of State) and driver’s license/identification card holders (Department of Licensing) pursuant to RCW 2.36.054); Master jury list (source lists merged, duplications removed, conflicts resolved). <p>Excludes jury records covered by JSC-01-006, Dockets and JSC-01-002, Superior Court Case Files – Non Juvenile.</p>	<p>Cutoff: Once superseded</p> <p>Retention: Destroy immediately</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Jury List/Questionnaires – Master List</p> <p>JSC-01-011</p>	CL65-01-26R1
30.	<p><u>Official Bond Files</u> Files containing official bonds of county officials; may include junior taxing district officials’ bonds; clerk’s bond is recorded in County Auditor’s Office and filed in Treasurer’s Office.</p>	<p>Cutoff: End of year</p> <p>Retention: Permanent</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Official Bond Files</p> <p>JSC-01-012</p>	CL65-01-33R1

7. LIST OF RECORDS SERIES						
7a. ITEM NO.	7b. TITLE/DESCRIPTION	7c. RETENTION	7d. DISPOSITION AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
31.	<p><u>Search Warrant Records</u> Sealed and unsealed files containing search warrant applications, returns, and other data. Records relating to search warrants issued in accordance with RCW 10.79.015, RCW 9A.72.085, and/or other state or federal statute or court rule.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Affidavit/sworn testimony establishing the grounds for issuing a warrant; • Inventory of property taken; • Return of property. <p><i>Reference: AR 2.3 (c) Search and Seizure. "The sworn testimony may be an electronically recorded telephonic statement. The recording shall be part of the court record and shall be transcribed if requested by a party if there is a challenge to the validity of the warrant or if ordered by the court..." GR15 (h)(5) "This subsection shall not prevent the routine destruction of court records pursuant to applicable preservation and retention schedules." WAC 434-662-040 "Electronic records must be retained in electronic format and remain usable, searchable and retrievable, and authentic for the length of the designated retention period."</i></p>	<p>Cutoff: Date filed</p> <p>Retention: 75 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Search Warrant Records</p> <p>JSC-01-013</p>	<p>CL65-01-37R1</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>Superior Court Case Files – Non Juvenile</u> Records of activities officially documenting Superior Court proceedings and filing, and may include sealed documents, published depositions, and exhibits. Includes, but is not limited to: adults, criminal, civil, domestic, probate, tax warrant, tax case, territorial, territorial district, land registration/Torrens case, paternity, adoption, involuntary (mental) commitment, and family court case files.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Dockets, indexes, registers, etc. Charging information, summons, clerk’s minutes, motions, published depositions, decrees, verdicts, orders, no-contact orders, and other filings; judgments (abstracts, civil, transcripts, foreign, etc.); warrants, notices of appearance, failure to appear, etc.; juror and witness daily attendance lists (see note below); letters of administration/conservatorship/ guardianship /testamentary. <p>Excludes juvenile case files, see category JSC-02-006. Also excludes Exhibits, covered by CL65-01-22, Jurors records, covered by CL2014-016, CL65-01-26 and/or CL65-01-27 and juror/witness cost bill records covered by CORE series GS2011-184; legacy records covered in the legacy section. Note: per GR 31(j), “Individual juror information, other than name, is presumed private.”</p>	<p>Cutoff: Case closed</p> <p>Retention: Permanent – Contact King County Archives for appraisal 2 years after cutoff. Records not selected as archival must be retained permanently by DJA.</p>	<p>Disposition Action: Potentially Archival Appraisal Required</p> <p>ESSENTIAL</p>		<p>Superior Court Case Files – Non-Juvenile</p> <p>JSC-01-002</p>	<p>CL65-01-08R1</p>

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))
TRANSITORY RECORDS						
33.	<p>Transitory Records Public records that only document information of temporary, short-term value, and do not contain substantive information or other evidence of county business that warrant retention and are not covered by a more specific records series.</p> <p>Some of these types of records may include:</p> <ul style="list-style-type: none"> • Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of community affairs, holidays, etc.); • Preliminary drafts of letters, memoranda, reports, work sheets, spreadsheets, presentations, and informal notes, etc., which do not represent significant basic steps in the preparation of record document(s); • Routing slips used to direct the distribution of documents; • Shorthand notes, stenotype tapes, and mechanical records, after they have been transcribed into typewritten or printed form on paper or microfilm; • Phone messages (including voicemail, digital voice messages, etc.) which do not contain substantive information or other evidence of county business which warrants retention • Letters of transmittal which do not add any substantive information to the transmitted materials. <p>Note: Not all drafts are automatically transitory. Offices responsible for drafting legislation, legal documents, policy, budgets, standards, guidelines, or procedures might need to track the evolution of the final document. These offices may need to keep various drafts, research and working materials in order to have a record of changes that were made and why.</p>	<p>Cutoff: Retain until no longer needed</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		N/A, should not be filed into KC ERMS	<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>

<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>05-06-2016</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>05-26-2016</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>05-05-2016</i></p> <hr/> <p>Jane Swanson Date</p>	
<p>PUBLIC RECORDS COMMITTEE USE ONLY</p>	
<p>11. PRC APPROVAL</p> <p><i>See original for signature</i> <i>06-06-2016</i></p> <hr/> <p>Deborah Kennedy Date King County Public Records Committee</p>	