



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Assessments – Administrative Services
Division

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

DOA-ADMIN-(ALL) All Sections
/ 030301

**3. TOTAL NUMBER OF
PAGES**

19

**4. DATE LAST
MODIFIED**

October 30, 2018

5. STATUS

FINAL

6. VERSION

1

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))
1.	<p><u>Administrative Procedures and Instructions</u> Documentation of internal procedures and guidelines created by the agency which relate to the agency's routine day-to-day operations. Records may include advisory memos, manuals documenting internal department policies and procedures, handbooks, desk manuals, supporting background materials, and related documentation.</p> <p>Examples include: Fragrance Free policy; De Minimis Use policy; etc.</p>	<p>Cutoff: Revised or obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Administrative Procedures and Instruction</p> <p>ACO-03-004</p>	GS50-01-01
2.	<p><u>Audit Reports and Findings</u> Final findings of audits conducted of the Assessor's Office services, programs, or practices by the King County Auditor (or via contracted company acting on behalf of the County Auditor), or by an external agency (state, federal, independent).</p>	<p>Cutoff: Audit report complete, and all required corrective action taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Audit Reports and Findings</p> <p>AUD-01-003</p>	GS50-03F-02
3.	<p><u>Audit Supporting Materials</u> Records used to prepare for and respond to an internal or external audit. Includes, but is not restricted to: Copies of original source records; database printouts; correspondence; corrective action work plans; status reports; additional supporting documentation; other cumulative data on audit issues.</p>	<p>Cutoff: Completion of audit and all required corrective actions taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not archival - Destroy</p>		<p>Audit Supporting Materials</p> <p>AUD-01-002</p>	GS50-03F-01

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4.	<p><u>Budget Development</u> Records document the Department of Assessments' forecasted revenues and expenditures and are used to support department budget requests.</p> <p>Records include, but are not restricted to: Documentation created or received, and used to assist with analyzing, verifying, planning and developing the department budget and budget narrative. Includes records created and used to support this process such as spreadsheets, database records and communications with other department staff.</p> <p>This category includes records documenting and supporting the overall DOA Biennial Budget.</p> <p>Excludes budgeting records created after approval of the DOA Biennial Budget (see Budget Forecast Reports, BUD-01-007 or Budget Status Reports, BUD-01-002). Also excludes Capital Project budgeting, such as reporting, cost benefit analyses (CBA) should be maintained with the project file according to IT Projects (Capital Projects) INF-04-014.</p>	<p>Cutoff: Budget adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Development Files</p> <p>BUD-01-001</p>	GS50-03D-03
5.	<p><u>Budget Forecast Reports</u> Ad-hoc financial reports and/or forecasts for specific division activities and projects.</p> <p>May include budgeting reports related to personnel and staffing, equipment usage costs, etc. Includes spreadsheets, correspondence, etc.</p>	<p>Cutoff: Year end</p> <p>Retention: 1 year</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Forecast Reports</p> <p>BUD-01-007</p>	GS50-03D-04

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6.	<p><u>Budget Status Reports</u> Records include all types of periodic budget status reports compiled as required per statute, charter, department policy, or as requested.</p>	<p>Cutoff: Year end, or completion of State Auditor's examination report</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Status Reports</p> <p>BUD-01-002</p>	GS50-03D-06
7.	<p><u>Contracts, Agreements, and Warranties</u> Records that result from the activity of managing contracts and agreements entered into by the Department of Assessments and one or more parties that set out the terms and conditions to which the signing parties agree or submit. Includes all post-award records needed to interpret, modify, or adjust, monitor, or further negotiate original contracts.</p> <p>Includes, but is not limited to lease, escrow, lending or rental agreements, purchasing or sales agreements, liability waivers, loan agreements, master depository contracts (banking); personal or client service contracts; vendor bonds; warranties, etc.</p> <p>Department of Assessment agreements and contracts include, but are not restricted to:</p> <ul style="list-style-type: none"> • Vendor contracts: service agreements • Waivers: to conduct weekly banking deposits • Telecommute Agreements: copy may be retained in the personnel files, original contract should be retained according to this category. 	<p>Cutoff: Completion of transaction or termination/expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Notice: Not-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>Employee Misconduct Investigations (Sustained)</u> Records documenting investigations into employee conduct that results in findings of misconduct or corrective action. Includes, but is not limited to: initial complaint, investigative and final reports, statements, taped information, evidence gathered, fact findings, notes, and correspondence.</p> <p>Excludes final documentation of corrective action taken, which is filed in the Personnel File (see category PER-06-002).</p> <p>Excludes investigations that do not result in findings of misconduct by the employee (see category PER-08-006).</p> <p>Excludes documentation of workplace violence case files (see category PER-08-009)</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Misconduct Investigations – Sustained</p> <p>PER-08-005</p>	GS50-04B-46R3
9.	<p><u>Employee Misconduct Investigations (Unfounded)</u> Documentation compiled in official investigations of employee misconduct by the employee that do not result in findings of misconduct. May include initial complaint, investigative reports, statements, taped information, corrective actions, correspondence, and notes.</p> <p>Note: RCW 40.14.070 vests the authority to determine the retention period for public records in the Local Records Committee, and not in the parties to a collective bargaining agreement.</p>	<p>Cutoff: Case closed</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Misconduct Investigation Files – Unfounded</p> <p>PER-08-006</p>	GS50-04B-47R3

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10.	<p><u>Final Budget</u> Final budget plans adopted annually for the County. Includes budget allocations for projects, personnel and supporting program costs. Records are used for planning projects and for conducting historical analysis of departmental operation costs.</p> <p>Includes only the final operating and capital budgets submitted to the Performance, Strategy, and Budget office.</p> <p><i>Note: for budgets of inter-agency or multi-jurisdictional bodies, reference agency-specific retention schedules.</i></p>	<p>Cutoff: Year end</p> <p>Retention: Permanent</p>	<p>Disposition Action: Archival – Permanent Transfer</p>	<p>KCEO / Office of Performance Strategy and Budget Final budgets are also included in the adopting ordinance filed with the KCC / Clerk of the Council</p>	<p>Budget – Final BUD-01-004</p>	<p>GS50-03D-08</p>

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11.	<p>General Office Accounting Originals and copies of office accounting records, including documentation of accounts payable and accounts receivable activities. Records may include, but are not limited to: receipts, vouchers, accounts payable/accounts receivable supporting documents, cash account documentation, petty cash records, purchase/field orders, p-card and travel card, general and subsidiary journals.</p> <p>Department of Assessments records include, but are not restricted to: Copies of requisitions and invoices; expense reimbursements to employees; credit card records (p-card; travel card), including travel documentation; any other accounting and purchase support records; banking records, including documentation of deposits, withdrawals, bank statements, etc.</p> <p>Note: Copies of documentation sent to DES-FBOD should be retained according to this category. Printouts or other copies made for reference purposes only are considered transitory.</p>	<p>Cutoff: Year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	<p>Combo Rule FIN-01-001</p> <p>GS2011-184R3 (Financial Transactions-General)</p> <p>GS2011-185 (Banking – Accounting and Transactions)</p> <p>GS50-03B-06 (Check Stubs, or Duplicates)</p>

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12.	<p><u>General Office Communications and Staff Meetings</u> Records created, received, and used when communicating within and outside the county on general topics related to the business of the county and the conduct of general office staff meetings. Communications discussing daily activities, functions and processes internally and with other King County offices in the course of conducting day to day county business.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • General correspondence; staff meeting minutes and agendas; working files; forms and templates created; mailing lists; scheduling, including activity and event scheduling; travel arrangements (scheduling only, excludes travel related purchasing & payment records); • Communications and records used to coordinate various administrative functions such as: communications related to management team action items; coordination of office supply ordering, ergonomic evaluations, Employee Giving Program activities, employee onboarding and exiting, and Employee Strategic Advisory Committee or LEAN activities; and employee awards related communications; etc. <p>Note: For Division Directors, King County And Chief Deputy Assessor, and Chief and Deputy Appraiser communications, see category, ACO-01-002, Elected Official, Department, and Division Head Communications Subject and Issue Files.</p>	<p>Cutoff: Year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>General Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>Combo Rule ACO-01-001</p> <p>GS50-01-43R2 (Staff Meetings)</p> <p>GS2010-001R3 (Communications – Non-Executive)</p>

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13.	<p><u>Inventory of Department Assets (Non-Real Property)</u> Inventory of assets owned by the Department of Assessments. Includes, but is not limited to: materials, equipment, furniture, vehicles, computers, phones, electronic devices, machinery, etc.</p> <p>Excludes inventories of real property (ASM-05-001) and assets included in the official County Asset Inventory (ASM-05-008) maintained by the Department of Transportation Fleet Division.</p>	<p>Cutoff: Completion of inventory</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Inventory of Assets (Non-Real Property)</p> <p>ASM-05-003</p>	GS50-03A-18R1
14.	<p><u>Leave/Absence Requests</u> Records requesting, granting, or monitoring leave. These records support payroll transactions. Includes Leave Without Pay (LWOP) forms; final approved or not-approved absence request forms.</p> <p>Excludes FMLA request forms, HR response forms and related medical certifications maintained in employees "Medical File".</p>	<p>Cutoff: Year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Leave Management</p> <p>PER-09-002</p>	<p>Combo Rule PER-09-002</p> <p>GS50-04B-09R2 (Leave/Overtime – Routine)</p> <p>GS2017-010 (Leave/Overtime – Non-Routine)</p>

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15.	<p><u>Medical File</u> Records documenting the medical condition of employees (including contractors and volunteers): physical condition, effects of workplace conditions on health, ability to perform job functions, etc.</p> <p>Includes, but is not restricted to: pre-employment information, medical exams, any other documentation compiled and maintained by the agency on individual employees to document their physical condition and health. May include FMLA related paperwork; doctors notes or advice required for leave or working environment restrictions; etc.</p> <p>Absence requests/approvals related to use of approved FMLA (for payroll purposes) should be maintained with PER-09-002, employee leave management.</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Medical Records</p> <p>PER-07-001</p>	GS2017-015
16.	<p><u>Payroll Processing and Support Records</u> Records used to document status of and adjustments to payroll accounts. Includes, but is not limited to: electronic and paper spreadsheets, working documents, payable status reports, benefit detail reports, etc.</p> <p>Note: payroll status and detail reports are considered transitory unless signed by a manager or supervisor for approval purposes.</p>	<p>Cutoff: Year end</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Payroll Supporting Documents</p> <p>FIN-08-006</p>	<p>Combo Rule: GS50-03E-15R1 (Employee Pay History) GS50-03E-02R1 (Benefit Detail Reports)</p>

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17.	<p>Performance Measures and Work Planning Records created as a result of analyzing, assessing, measuring, or collecting data related to internal work performance in an effort to meet the performance goals, and/or as part of the agency's work or strategic plans. May include: agency performance plans; responses to ad hoc requests for performance related data and information requested by Council; statistics and reports used internally; performance related presentations, etc. May include data and measures used in workforce planning for the department.</p> <ul style="list-style-type: none"> • Information may be used to assist with developing the agencies budget or strategic plan. Includes Tier 2 and Tier 3 boards. • Employee engagement Action Plans created in response to employee engagement surveys. • Meetings and brainstorming outcomes that address division process improvement and lean goals. • ESJ Strategic plans <p>Excludes project-specific records (see Project Files, ACO-02-001), work plans, final strategic or business plans (see Strategic Plans – Final Version, ACO-04-003).</p>	<p>Cutoff: When revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Performance Measures</p> <p>ACO-01-018</p>	<p>GS50-01-38R2</p>

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18.	<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; communication/meeting notes; documentation of performance issues; status reports, etc.</p> <p>Excludes records needed to support <i>ongoing</i> supervision of the employee (see Supervisor's Working Files). Excludes final signed performance evaluations (kept by Human Resources in the official Personnel File.)</p>	Destroy once the performance review has been completed and appeal period has ended	Disposition Action: Not Archival - Destroy		N/A Records Managed Outside of KC ERMS	GS50-04B-31R1

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19.	<p><u>Personnel Files</u> Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Application for employment when hired (may be printed from NeoGov), start of employment, identification; • Citations, letters of recommendation; • Criminal history, background checks and investigations (for applicants not hired, consumer reports should be retained in Recruitment File); • Employment status, position descriptions and job classifications, personal history cards, raises, etc.; • Evaluation of applications of recognition or non-college credit courses; • Oaths of office and bonds of officials (elected and appointed); • Performance Evaluations; Performance Appraisals (final versions only) • Retirement or disability resulting in employment termination; • Summary report of employee misconduct investigations (sustained only). 	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Personnel File</p> <p>PER-06-002</p>	<p>GS50-04B-06R4</p>

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20.	<p><u>Position Requests</u> Requests made to the Human Resources Department for new positions in the Department of Assessments. Includes requisitions for Term-Limited Temps (TLT); Short-Term Temps (ST); Administrative Interns (AI); and Special Duty workers.</p> <p>Records include, but are not limited to: associated background/supporting documentation, position specifications (PDQ's, job descriptions), needs analysis, and authorization signatures.</p> <p>Excludes records related to the recruitment process which should be filed in PER-10-002, Recruitment Files.</p>	<p>Cutoff: Request approved or denied and conclusion of any pending action.</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employment Requisitions</p> <p>PER-10-001</p>	GS50-04B-17R1

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21.	<p><u>Project Files - General</u> Records related to county projects not covered by more specific record series. Records are generally a substantive body of work resulting from efforts to research, analyze, study, coordinate or plan for a determined aim or goals in relation to functions or programs. May include ongoing programmatic efforts – communications or other records created which document the decision making processes which direct or support DOA programs.</p> <p>Record types include, but are not restricted to: work plans, business cases, budgets, drafts with substantive decision making documented, communications and logs, other documentation used in the creation of project deliverables.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • ESJ planning and development • Annual meeting planning • Significant business or performance planning projects <p>Excludes project deliverables such as final plans, reports, studies, etc.</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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22.	<p><u>Recruitment Files</u> Records document the recruitment and selection process for each advertised position, including announcements, job descriptions, employee applications, working papers/notes, applicant list interview questions and notes, and selection documents such as scoring materials.</p> <p>The County's NeoGov online job application system retains employment applications for 3 years as original application related to recruitment files. Applications for individuals <i>hired</i> should be printed and retained in the employee's Personnel File. Recruitment eligibility lists reside in NeoGov, copies printed and held in DOA are considered duplicates.</p> <p><i>Note: Per RCW 4.16.080, the statute of limitations for the commencement of actions for equal employment opportunity discrimination complaints (injury to the rights of others) is 3 years.</i></p>	<p>Cutoff: End of year in which position was filled, or termination of recruitment process</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Recruitment Files</p> <p>PER-10-002</p>	GS50-04B-22R1
23.	<p><u>Strategic Plans – Final Version</u> Final version of the agency-wide strategic, long-term plan used to align the Department of Assessment's organizational and budget structure with its mission, priorities, and objectives. This category applies to department and division-wide strategic plans.</p>	<p>Cutoff: After revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival - Permanent</p> <p>Transfer to the King County Archives 2 years after cutoff date for permanent retention</p>		<p>Strategic Plans – Final Version</p> <p>ACO-04-003</p>	GS2010-080

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24.	<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; that document misconduct investigations or corrective action; or that document employee complaints/grievances.</p> <p>Includes, but is not limited to: copies of performance evaluations; workplace expectations, documents related to long-term performance or career goals, emergency contact information, employee coaching documentation; advice or guidance <i>received</i> about ongoing issues relating to the employee; performance monitoring, PIP (Performance Improvement Plans).</p> <p>Excludes records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files) and final Performance Appraisal to be retain with Human Resources in the Personnel File.</p>	<p>Cutoff: Once no longer supervising employee</p> <p>Retention: 3 years after</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Supervisor Working Files</p> <p>PER-06-010</p>	<p>GS50-04B-31 R1</p>

<p>25.</p>	<p>Transitory Records Public records that only document information of temporary, short-term value, and provided that the records do not document any substantive decision making processes, not needed as evidence of business transaction, and are not covered by any more specific record series. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency-Generated Forms and Publications – Copies (Copies of unused forms) • Brainstorming and Collaborating (Notes, mind maps, white board collaboration notes, post-its, A3, flip charts) • Contact Information (external clients or stakeholders) • Drafting and Editing (Preliminary drafts with only editing suggestions, notes, and related correspondence if they do not document decision making or substantive changes) • Electronic documents when printed version is finalized with inked signature • General Information – External (FYI information received from external sources) • Unsolicited Materials/publications (Not requested nor used) • Basic/routine short-term communications that do not document decision making or agency actions and not covered by another category, such as – “I am running late this morning” or “Come see me at my desk when you can”); • Internet Browsing History (cookies/cache/temp files on your computer) • Organizing/Monitoring Work In Progress (to-do lists; working notes; status logs) • Records Documented as Part of More Formalized Records (Notes used for data entry; raw stats/survey responses consolidated into a larger report or record if not required for other uses) • Reference Materials (gathered from external sources which do not provide evidence of agency work) • Scheduling – Meetings/Appointments • Secondary (Duplicate) Copies 	<p>Cutoff: until no longer needed for agency business*</p> <p>Retention: none</p> <p>*includes verification of successful conversion of information for records documented as part of more formalized records.</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Do not file records to KC ERMS</p>	<p>Refer to section 13.0 of the State’s General Records Retention Schedule for a complete list of DANs in this series.</p> <p>Note: destruction documentation is not required for Transitory Records.</p>
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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.

Gail Snow

12/11/2018

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.

Carol Shenk

12/13/2018

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.

Richard Watson

12/11/18

[Manager Name]

Date

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL

Deborah Kennedy

12/28/2018

Deborah Kennedy

Date

King County Public Records Committee