	PUBLIC RECORDS RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION	**RECORDS MANAGEMENT PROGRAM** Phone: (206) 477-6889 Email: records.management@kingcounty.gov Mailstop: GBB-ES-0210

King County

Department of Executive Services
Records and Licensing Services Division
Archives, Records Management and Mail Services Section

1. AGENCY DEPARTMENT/DIVISION/SECTION Department of Assessments/Information Technology	2. DEPARTMENT-DIVISION-SECTION [DDS / Number] DOA-IT-(ALL) All Sections / 030601	3. TOTAL NUMBER OF PAGES 9	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. DISPOSITON AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S)]
1.	**General Office Communications and Staff Meetings** 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. Records may include, but are not limited to: • 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. **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.**	**Cutoff:** Year end **Retention:** 2 years	**Disposition Action:** Not Archival - Destroy		General Communications and Staff Meetings ACO-01-001	**Combo Rule ACO-01-001** GS50-01-43R2 (Staff Meetings) GS2010-001R3 (Communications – Non-Executive)

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)]
2.	**IT Helpdesk Requests** Records relating to employee (includes contractors and volunteers) requests for advice and assistance when using Department of Assessments information systems and applications.	**Cutoff:** Finalization of request or ticket closed **Retention:** 1 year	**Disposition Action:** Not Archival - Destroy		Helpdesk Requests INF-04-005	GS2010-005R1
3.	**IT Systems and Applications – Documentation Design and Source Code** Records that document the technical design and implementation of the agency's computer software applications, databases, and websites (internet and intranet). Documentation typically required for the life of system and/or referential material for other systems development projects. Includes, but is not limited to: design documentation/detail; design schema and dictionaries; source code; system and program change descriptions/authorizations; development plans (for testing or conversion); release notes; operational and user instructions; acceptance testing, etc.	**Cutoff:** Until application or version is no longer in use, all records within the application are migrated or dispositioned in accordance with an approved retention schedule **Retention:** 0 years	**ESSENTIAL** **Disposition Action:** Not Archival - Destroy		IT Applications – Technical Design and Implementation INF-04-001	GS50-06A-03R3

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)]
4.	**IT Systems and Applications – Project Files (Major Projects)** Records that document major and noteworthy Information Technology (IT) Projects, from initial planning and design through, implementation, and closeout. Includes all significant projects, such as Capital Improvement Projects and major/department-wide projects, infrastructure projects, projects funded from other sources such as grants, etc. Includes, but is not limited to: requests for proposals, change orders; schedules; staff reports; reports to King County Council; funding release requests; contracts; budget, project plans and procurement information; project communications, strategy, metrics, cost-benefit analysis (CBA), Benefits Achievement Plan (BAP), etc. Examples of major IT systems projects for the Department of Assessments includes, but is not restricted to: Electronic Document Management System (EDMS) Upgrade; iRp5 Excludes records covered by category: **IT Applications – Technical Design and Implementation, INF-04-001.**	**Cutoff:** Completion of project, or for terms of grant agreement if applicable **Retention:** 10 years	**Disposition Action:** Potentially Archival – Appraisal Required		IT Projects INF-04-014	GS50-18-10R1

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)]
5.	**IT Systems and Applications – Project Files (Minor Projects)** Records that document general Information Technology (IT) Projects, from initial planning and design through final design, implementation, and closeout process. Includes all minor projects: routine, not agency-wide, or not noteworthy. Includes, but is not limited to: requests for schedules; staff reports; contracts; budget, project plans and procurement information; project communications, strategy, metrics, cost-benefit analysis (CBA), post implementation reviews or analysis, etc. Examples of minor IT projects for the Department of Assessments include, but are not limited to: BTA Integration project; Enhance RealProperty. Excludes records covered by **IT Applications – Technical Design and Implementation, INF-04-001.**	**Cutoff:** Completion of project **Retention:** 6 years	**Disposition Action:** Not Archival - Destroy		IT Applications – Planning and Review INF-04-003	GS50-06A-01R3

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)]
6.	**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. 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. **Excludes** records needed to support *ongoing* supervision of the employee (see Supervisor's Working Files). **Excludes** final signed performance evaluations (kept by Human Resources in the official Personnel File.)	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

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)]**
7.	**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. Includes, but is not limited to: copies of performance evaluations; workplace expectations, documents related to long-term performance or career goals, emergency contact information, employee coaching documentation; advice or guidance *received* about ongoing issues relating to the employee; performance monitoring, PIP (Performance Improvement Plans). **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.	Cutoff: When no longer supervising employee Retention: 3 years	**Disposition Action:** Not Archival - Destroy		Supervisor's Working Files PER-06-010	GS50-04B-31R1A

| 8. | **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:
• **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** | **Cutoff:** until no longer needed for agency business*

Retention: none

*includes verification of successful conversion of information for records documented as part of more formalized records | **Disposition Action:**

Non Archival - Destroy | | Do not files records to KC ERMS | **Refer to section 13.0 of the State's General Records Retention Schedule for a complete list of DANs in this series.**

Note: destruction documentation is not required for Transitory Records. |

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

[AGENCY MANAGER]   Date

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL

Deborah Kennedy   12/28/18

Deborah Kennedy   Date

King County Public Records Committee