

Public Records Retention Schedule And Destruction Authorization

1. Agency Name	2. Department-Division-Section (DDS)	3. Total Pages	4. Date Last Modified	5. Status	6. Version
Department of Public Defense, Director's Office, All Work Units	DPD-DIR-(ALL) All Sections	40	4/2/2020	Final	V2

7. 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 of PRC approval 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 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 Content Manager will be dispositioned from within the system and documentation will be maintained by the Records Management Program. Disposition of records managed outside of Content Manager must be documented on forms provided by the Records Management Program. Transitory records may be destroyed in the normal course of agency business and 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 Record: record identified by the State as being essential to the operation of business and needed to continue operations in the event of an emergency.

8. List of Records Series						
No	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
SCREENING AND COORDINATING						
1.	<p>Caseload Tracking and Administration Supporting documents created to track case assignments and data analysis. Includes aggregate lists and any records summarizing case assignments where the master record is held in the case assignment system.</p>	<p>Cutoff: When the record is no longer needed for agency business</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		None Assigned	<p>GS2016-010 (Reference Materials)</p>
2.	<p>Conflict Checks Records created during the case assignment process to identify conflicts in potential representation. Aggregate lists and any records summarizing information held in the master record are transitory and do not have retention.</p> <p>Note: These records are protected by Attorney-Client Privilege.</p>	<p>Part of Case File - See appropriate case file type for retention</p>	<p>Disposition Action: Not Archival: Destroy</p>		None Assigned	<p>KCPD2018-001 (Family Defense)</p> <p>KCPD2018-002 (Felonies)</p> <p>KCPD2018-003 (Involuntary Treatment)</p> <p>KCPD2018-004 (Juveniles)</p> <p>KCPD2018-005 (Misdemeanors)</p> <p>KCPD2018-006 (Sex Offender Commitment)</p>

3.	<p>Financial Affidavit Clients sign an affidavit swearing under penalty of perjury that all income and assets reported for the Financial Eligibility Screening are complete and accurate.</p> <p>Note: Confidential- RCW 10.101.020 (3)</p>	<p>Part of Case File - See appropriate case file type for retention</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>None Assigned</p>	<p>KCPD2018-001 (Family Defense)</p> <p>KCPD2018-002 (Felonies)</p> <p>KCPD2018-003 (Involuntary Treatment)</p> <p>KCPD2018-004 (Juveniles)</p> <p>KCPD2018-005 (Misdemeanors)</p> <p>KCPD2018-006 (Sex Offender Commitment)</p>
4.	<p>Financial Eligibility Screening (Ineligible) Records created to determine the indigency of potential clients for the purposes of representation. Contains personal information provided by the client relating to employment, residence, finances, income, and assets.</p> <p>Note: Financial Eligibility Screening (Eligible) records become part of the client case file. See appropriate category in the Client Case File Retention Schedule.</p> <p>Note: Confidential- RCW 10.101.020 (3)</p>	<p>Cutoff: End of the year after matter closed</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PRE-01-001 (Public Complaints/Requests)</p>	<p>GS50-01-09R2 (Citizen Complaints/Requests)</p>
5.	<p>Promissory Notes All clients determined to be indigent and able to contribute finances complete a promissory note at the time counsel is appointed. This document states the conditions and terms of payment, and it contains personal information from the Financial Eligibility Screening Records.</p>	<p>Cutoff: Year-end in which financial obligation has been paid in full</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-01-001 (General Office Accounting)</p>	<p>GS2011-184R3 (Financial Transactions – General)</p>

EXPERT SERVICES AND ASSIGNED COUNCIL

6.	<p>Assigned Counsel and Expert Services W9 and ACH W9 and Automated Clearing House forms collected for processing payments relating to Assigned Counsel and Expert Services. Copy collected in the Director's Office is transitory and master copy is retained by FBOD.</p>	<p>Cutoff: When the record is no longer needed for agency business</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>	DES-FBOD	None Assigned	<p>GS2016-010 (Reference Materials)</p>
7.	<p>Assigned Counsel Case Spending Requests Requests submitted to justify extra spending on a case. Includes records submitted to support a request for:</p> <ul style="list-style-type: none"> • Approval to co-counsel a case; • Additional hours where the case has or is expected to comprise over 300 hours of work with a Case Planning Report detailing met and anticipated hours; • Interlocutory Appeal • Therapeutic Court Process <p>Part of Case File - See appropriate case file type for retention</p>	<p>Cutoff: Year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-01-001 (General Office Communications and Staff Meetings)</p>	<p>GS2010-001R3 (Communications – Non-Executive)</p>
8.	<p>Assigned Counsel File The Director's Office creates a file for each attorney on the Assigned Counsel Panel. This file includes the application form, proof of admission to practice in Washington State, reference checks, documentation of approval by the Assigned Counsel Committee, background checks, and any other relevant documents supporting the application and continued work.</p> <p>The file also contains records documenting the attorney's performance while on the panel. This includes client complaints and Bar complaints and responses; and notes indicating reasons for denying case appointments. Includes Quarterly and Annual certifications submitted to demonstrate fitness to stay on the Assigned Counsel Panel.</p>	<p>Cutoff: When individual leaves the panel</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PRE-01-001 (Public Complaints/Requests)</p>	<p>GS50-01-09R2 (Citizen Complaints/Requests)</p>

9.	Assigned Counsel Ongoing Review Records created to document the ongoing review of panel members such as observations, comments, and other supporting documents.	Cutoff: When the record is superseded Retention: 3 years	Disposition Action: Not Archival: Destroy		PRE-01-001 (Public Complaints/Requests)	GS50-01-09R2 (Citizen Complaints/Requests)
10.	Division Requests List Comprehensive list maintained in the divisions detailing requests for medical records, mental health records, transcripts, and translations. For each request, details include approval/ denial decision by the Managing Attorney, total costs, charge and classification, and payment specifications. Record required by Expert Services Policy: VI, B1a and C3a. Note: Processed through EBS by FBOD; this aggregate copy is retained for budget development and analysis.	Cutoff: Year end Retention: 6 years	Disposition Action: Not Archival: Destroy		FIN-01-001 (General Office Accounting)	GS2011-184R3 (Financial Transactions – General)
11.	Expert Master File Records created to administer and manage the Expert Master posts. Includes the contract and any supporting documents generated by the contract.	Cutoff: Completion of the transaction or the termination or expiration of the instrument Retention: 6 years	Disposition Action: Not Archival: Destroy		CON-01-001 (Contracts and Agreements – General)	GS50-01-11R4 (Contracts and Agreements – General)
12.	Expert Service Guidance Training and guidance packets prepared and provided to attorneys. Includes all guidance created to help attorneys with expert services. Includes process checklist, instructions, Expert Service Contact List, Expert Fee Guidelines, Pro-Se forms, and templates.	Cutoff: When the guidance is revised or becomes obsolete Retention: 3 years	Disposition Action: Not Archival: Destroy		ACO-10-001 (Agency-Provided Training – General)	GS2011-181R1 (Agency-Provided Training – General)

<p>13.</p>	<p>Expert Service Request- Alternative Process and Pro-Se</p> <p>A group of records submitted to obtain approval through the Expert Services Process with decisions made by the Assigned Counsel Coordinator. This category is not just limited to requests for experts, but includes any other requests that are approved through this process. Records are received from counsel or the court and processed by the Director’s Office. Records include motions, orders, and communications generated by the approval process.</p> <p>Note: Master copy is held in the Client Case File. Copies in Director’s Office are retained for attorney communications.</p> <p>Protective order- sealed from RCW 42.56 disclosure; Sealed- seals from disclosure of court records.</p> <p>Part of Case File - See appropriate case file type for retention</p>	<p>Cutoff: Case closed</p> <p>Retention: 2 years</p>	<p>Disposition</p> <p>Action: Not Archival - Destroy</p>		<p>General Office Communications and Staff Meetings ACO-01-001</p>	<p>GS2010-001R3</p>
<p>14.</p>	<p>Expert Service Request Records – Expert Master</p> <p>A group of records submitted to obtain approval through the Expert Services Process with decisions made by the Expert Masters. This category is not just limited to requests for experts, but includes supplemental requests, deposition requests, and any other requests that are approved through this process. Records are received from counsel or the court and processed by the Director’s Office. Records include motions, orders, and communications generated by the procedures and the approval process.</p> <p>Master copy is held in the Client Case File. Copies in Director’s Office are retained for attorney communications.</p> <p>Protective order- sealed from RCW 42.56 disclosure; Sealed- seals from disclosure of court records.</p> <p>Part of Case File - See appropriate case file type for retention</p>	<p>Cutoff: Year end</p> <p>Retention: 2 years</p>	<p>Disposition</p> <p>Action: Not Archival: Destroy</p>		<p>ACO-01-001 (General Office Communications and Staff Meetings)</p>	<p>GS2010-001R3 (Communications – Non-Executive)</p>

15.	<p>Payment Affidavit and Supporting Documentation Payment Affidavit Form, timesheets, receipts for reimbursable costs and supporting documents submitted by counsel and Experts for billing and payment purposes. Completed by the Expert or Assigned Counsel documenting time spent on a case. Includes details and descriptions of case activity limited to protect client confidentiality. Once these documents are submitted by the servicer, the Finance team submits them to FBOD for processing and payment.</p> <p>From Assigned Counsel Policy:</p> <p><i>Timesheets should include a one- or two-word description of each case activity by date, along with the amount of time for each case activity. Payment Affidavits can be considered matters of public record. Short case activity descriptions are necessary to protect client confidences. Timesheets from the Assigned Counsel's own billing system may be used provided they do not disclose client confidences.</i></p>	<p>Cutoff: Year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-01-001 (General Office Accounting)</p>	<p>GS2011-184R3 (Financial Transactions – General)</p>
16.	<p>Pro-Se File Records received and created to process a Pro-Se request. Includes letters and correspondence.</p>	<p>Cutoff: Case closed</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PRE-01-001 (Public Complaints/Requests)</p>	<p>GS50-01-09R2 (Citizen Complaints/Requests)</p> <p>SS50-25-08 (Client Case Files – Support Services)</p>
17.	<p>Unsuccessful Assigned Counsel File For unsuccessful candidates we hold the application form, reference checks, and any other supporting documents. The file is held for a total of 2 years after the date of the application.</p>	<p>Cutoff: Year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-10-002 (Recruitment Files)</p>	<p>GS50-04B-22R1 (Recruitment)</p>

HUMAN RESOURCES

18.	<p>Employee Complaints and Grievances Records documenting employees' complaints and grievances about agency workplace issues.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Filed complaints and grievances • Supporting documentation • Agency responses and decisions • Legal actions, arbitrations, and mediations • Determinations and appeals <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Grievances filed by unions on behalf of employees • Civil Rights violation complaints Appeals hearings (GS2011-173R2 and GS2011-174R2) 	<p>Cutoff: When employment is terminated</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-08-001 (Employee Complaints and Grievances)</p>	<p>GS50-04E-03R2 (Employee Complaints and Grievances)</p>
19.	<p>Employee Medical Records Records documenting the health status of agency employees that are not related to occupational illnesses or injuries.</p> <p>Records may include: Documentation of off-duty injuries and extended illnesses</p> <ul style="list-style-type: none"> • Employee-specific medical records per 49 CFR §382.401(c) • Family and Medical Leave Act (FMLA) records and certificates per RCW 49.78.270 • Onsite first aid treatment per WAC 296-802 • Physical exams and releases • Documentation of disabling conditions, accommodations, and adjustments to leave policies <p>This category excludes records related to employee exposure to hazardous materials or dangerous waste</p>	<p>Cutoff: When employment is terminated</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-07-001 (Employee Medical Records)</p>	<p>GS2017-015 (Employee Health Records – Routine)</p>

20.	<p>Employee Misconduct Investigation Files - Unfounded Records documenting official investigations of employee misconduct that do not result in findings of misconduct or in corrective action.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Initial complaints • Investigative reports • Statements, taped information • Documentation of evidence • Correspondence and notes 	<p>Cutoff: When the case is closed</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-08-006 (Employee Misconduct Investigation Files – Unfounded)</p>	<p>GS50-04B-47R3 (Employee Misconduct Investigation Files – Unfounded)</p>
21.	<p>Employment Eligibility Verification – US Citizenship and Immigration Services (USCIS) Records verifying individuals’ identities and employment eligibility in the United States per 8 CFR §274a.2.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • USCIS form I-9 • Copies of passports or permanent resident cards 	<p>Cutoff: When employment is terminated</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-10-005 (Employment Eligibility Documents – Immigration and Naturalization Services (INS) Forms)</p>	<p>GS50-05A-26R2 (Employment Eligibility Verification – US Citizenship and Immigration Services (USCIS))</p>
22.	<p>Employment Inquiries Records documenting unsolicited applications for employment or job opportunities that are not part of an official agency recruitment.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Applications, resumes, letters of inquiry • Requests for position or test announcements <p>This category excludes records related to agency recruitment efforts</p>	<p>Cutoff: When either condition is met:</p> <ul style="list-style-type: none"> • The inquiry is received • The response is completed <p>Retention: 1 year</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-10-006 (Employment Inquiries)</p>	<p>GS50-04A-05R1 (Employment Inquiries)</p>
23.	<p>Employment Requisitions and Staff Planning Records documenting requests of workforce changes that require formal approval and that result in either recruitment efforts or changes to the employment or payroll status of current agency employees.</p> <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Employee work histories • Agency recruitment efforts 	<p>Cutoff: Year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-10-001 (Employment Requisitions)</p>	<p>GS50-04B-17R1 (Staff Planning/Staffing)</p>

24.	<p>Human Resources Advice Files Communications from Human Resources staff that provide the agency advice and guidance on general and specific human resources issues.</p>	<p>Cutoff: End of the year in which the issue is resolved</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-06-011 (Human Resources Advice Files)</p>	<p>GS2010-001R3 (Communications – Non-Executive)</p>
25.	<p>Organization Charts Records containing representation of the county agency structure and internal reporting relationships.</p>	<p>Cutoff: When the chart is superseded or becomes obsolete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival - Appraisal Required</p>		<p>PER-03-007 (Organizational Charts)</p>	<p>GS50-06F-02R1 (Establishment/ Development of Agency/Programs)</p>
26.	<p>Performance Evaluation Background Files Records used by employees to prepare and submit annual performance reviews of any employees under their supervision.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Performance plans, status reports • Confirmation of goals and achievements • Work samples • Documentation of performance issues • Communications <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Final signed performance evaluations • Ongoing informal supervision of employees 	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The performance review is completed • The appeal period ends <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-02-001 (Performance Appraisals and Merit Awards)</p>	<p>GS50-04B-31R1 (Performance Evaluation (Supervisor Preparation))</p>

27.	<p>Personnel Files Records documenting an individual’s employment with the agency.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Recruitment materials for all positions held by the employee • Final results of medical and background checks or investigations • Non-disclosure agreements signed as a condition of employment • Copies of oaths of office or bonds of officials • Awards and recognitions • Information disclosed to prospective employers per RCW 4.24.730(2) • Employee Assistance Program referral and completion documentation • Training history • Letters and notices of status changes • Letters and notices of disciplinary actions • Departure status and eligibility documentation <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Retirement benefit verification • Employee medical records • Employee exposure records 	<p>Cutoff: When employment is terminated</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>PER-06-002 (Personnel File)</p>	<p>GS50-04B-06R4 (Employee Work History)</p>
28.	<p>Position Descriptions Records describing or altering agency jobs and positions, their duties and responsibilities, their required skills and abilities, and their salaries or pay scales.</p>	<p>Cutoff: When the description is superseded or becomes obsolete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-03-004 (Job Descriptions)</p>	<p>GS50-04B-05R1 (Position Description and Classification)</p>

29.	<p>Recruitment Files Records documenting the recruitment, interviewing, section, and hiring of agency employees.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Requisitions • Personnel action requests • Job announcements and postings • Applications • Resumes • Test results • Applicant lists • Eligibility lists • Interview questions • Selection criteria • Correspondence <p><i>Note: Applications and materials for successful applicants should be filed to the employee's personnel file.</i></p>	<p>Cutoff: End of the year in which the position is filled or the recruitment process is terminated</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-10-002 (Recruitment Files)</p>	<p>GS50-04B-22R1 (Recruitment)</p>
30.	<p>Retirement Benefit Verification Records Records documenting hours worked, pay, and leave of individual employees that are used for the long-term verification of retirement benefit eligibility.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Hire letters • Documentation of unpaid leave • Time cards and time sheets • Furlough calculations • Documentation of payroll changes 	<p>Cutoff: When employment is terminated</p> <p>Retention: 60 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>FIN-08-002 (Retirement Benefit Verification Records)</p>	<p>GS2017-009 (Employee Retirement/Pension Verification)</p>

31.	<p>Supervisor's Working Files Records compiled by supervisors to monitor the progress, conduct, and performance of employees under their supervision.</p> <ul style="list-style-type: none"> Records may include: <ul style="list-style-type: none"> Copies of performance evaluations Workplace expectation documentation Performance or career goal documentation Employee coaching documentation Advice or guidance received about the employee <p>This category excludes records related to:</p> <ul style="list-style-type: none"> Employee misconduct investigations Employee medical records Employee exposure records Materials in the employee's personnel file 	<p>Cutoff: When no longer supervising the employee</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-06-010 (Supervisor's Working Files)</p>	<p>GS50-04B-31R1A (Performance Evaluation (Supervisor Preparation (Working File)))</p>
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FINANCE

32.	<p>Budget Development Files Records documenting the preparation of the agency's annual budget.</p> <p>Records may include:</p> <ul style="list-style-type: none"> Preliminary budgets Budget spreadsheets Revenue and expense reports and statistics Correspondence <p>This category excludes final adopted budgets.</p>	<p>Cutoff: When the budget is adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>BUD-01-001 (Budget Development Files)</p>	<p>GS50-03D-03 (Budget Development or Working Files)</p>
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33.	<p>Budget Forecast Reports Records documenting the development of ad hoc financial reports and budget forecasts for specific agency activities and projects.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Personnel reports • Equipment usage and cost statistics • Budget spreadsheets <p>Correspondence</p>	<p>Cutoff: Year end</p> <p>Retention: 1 year</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>BUD-01-007 (Budget Forecast Reports)</p>	<p>GS50-03D-04 (Budget Forecast Reports)</p>
34.	<p>Contracts and Agreements – General Records documenting contracts and agreements between the agency and other parties that outline terms and conditions to which the signatories agree.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Human resources agreements • Lease, escrow, and rental agreements • Facility, equipment, and vehicle lending agreements • Liability waivers • Loan agreements • Master depository contracts • Personal service agreements • Non-capital asset purchase and sales agreements • Vendor bonds • Warranties <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Contracts for real property capital assets • Construction project files • Contracts for non-real property capital assets • Bond, grant, and levy project contracts and agreements <p>Archival transfer agreements</p>	<p>Cutoff: When either condition is met:</p> <ul style="list-style-type: none"> • The transaction is completed • The instrument is terminated or expires <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>CON-01-001 (Contracts, Agreements, and Warranties)</p>	<p>GS50-01-11R4 (Contracts and Agreements – General)</p>

35.	<p>Financial Transactions – General Records documenting agency revenues and expenditures.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Purchase orders, bills of sale, receipts • Cash books and receipts • Vouchers • Registers and journals • Gift documentation <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Non-financial agreements • General and subsidiary ledgers • Unsuccessful scholarship applications • Bond-, levy-, or grant-funded projects • Cardholder identification • Annual reports • Annual financial reports (GS50-03D-02R1) <p><i>Note: p-card voucher and invoice backups that relate to confidential transactions, grants, settlements, payroll, or benefits are managed by the creating agency rather than DES-FBOD.</i></p>	<p>Cutoff: Year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-01-001 (General Office Accounting)</p>	<p>GS2011-184R3 (Financial Transactions – General)</p>
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36.	<p>Grant Administration Records Records documenting agency revenues and expenditures in relation to bond-, levy-, and grant-funded projects.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Checks, credit card slips, project cost records • Finance-related contract and agreement records • Purchase and sale price documentation • Expenditure reports, transaction reports • Grant announcements, applications, evaluations, notifications • Project expenditure tracking records • Registers and journals • Revenue bonds and coupons • Trust indentures, loan agreements • Continuing Grants – Annual Financial Statements <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Non-financial agreements. • Cardholder identification. 	<p>Cutoff: When all of the conditions are met:</p> <ul style="list-style-type: none"> • The final bond payment is made • The levy/grant project is completed • The terms of the grant agreement are met <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-01-017 (Grant Administration Records)</p>	<p>GS2011-183R2 (Financial Transactions – Bond, Grant, and Levy Projects)</p>
37.	<p>Grant and Scholarship Applications – Not Approved Records documenting unsuccessful grant and scholarship applications submitted or received by the agency.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Applications • Evaluations • Denial notifications 	<p>Cutoff: End of the year in which denial was sent or received</p> <p>Retention: 1 year</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-05-005 (Grant/Scholarship Applications – Not Approved)</p>	<p>GS50-03C-07R1 (Grant/Scholarship Applications – Not Approved)</p>
38.	<p>Leave Donations and Sharing Authorization Records authorizing donations of leave time from one employee’s account to that of another.</p>	<p>Cutoff: End of the year in which the leave donation was made</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-09-002 (Employee Leave Management)</p>	<p>GS2017-010 (Leave/Overtime – Non-Routine)</p>

39.	<p>Leave Donations and Sharing Authorization Records authorizing donations of leave time from one employee's account to that of another.</p>	<p>Cutoff: End of the year in which the leave donation was made</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-09-002 (Employee Leave Management)</p>	<p>GS2017-010 (Leave/Overtime – Non-Routine)</p>
40.	<p>Non-Continuing Grant, Bond, and Levy Project Reports Records summarizing and detailing grant- bond- or levy project-related agency expenditures.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Progress statements • Analyses of expenditures • Periodic, annual, special, and final reports <p>This category excludes continuing grant reports.</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The report is submitted • The period required by the grant or program has ended, if any <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>FIN-05-003 (Grant Reports and Deliverables)</p>	<p>GS50-03C-02R1 (Bond, Levy, and Grant Project Reports)</p>
41.	<p>Time Cards/Time Sheets – pre-PeopleSoft Daily, weekly, or monthly time accumulation reports. Dated before agency began using PeopleSoft as payroll system.</p> <p>DPD Timesheets include legacy Public Defender time information provided from Public Defender non-profits, pre-2012.</p> <p>DPD Records authorizing leave to be donated to another employee's account. Payroll administrator retains forms for to reference for PeopleSoft entries.</p>	<p>Cutoff: year end</p> <p>Retention: 60 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>ESSENTIAL</p>		<p>FIN-08-002 (Retirement Benefit Verification Records)</p>	<p>GS2017-009 (Employee Retirement/Pension Verification)</p>

LITIGATION AND POLICY

42.	Legal Issues/Advice Files - Received from Attorneys Documentation regarding legal advice received from agency attorneys. These documents are primarily kept as reference files.	Cutoff: revised or obsolete Retention: 3 years	Disposition Action: Not Archival - Destroy		LGL-03-001 (Legal Issues and Advice Files)	GS50-01-01 (Legal Issues / Advice Files – Received from Attorneys)
43.	Litigation Case Files Records relating to cases litigated directly by DPD or outside counsel, and not represented by the PAO. NOTE: DO NOT DESTROY RECORDS ON LEGAL HOLD. Once hold is lifted, original retention period of records should resume.	Cutoff: case closed Retention: 10 years	Disposition Action: Potentially Archival – Appraisal Required		LGL-01-001 (Litigation Case Files)	GS53-02-04R2 (Litigation Case Files)
44.	Research Records created or obtained for research purposes that do not result in a more formal category or litigation.	Cutoff: When the record is no longer needed for agency business Retention: 0 years	Disposition Action: Not Archival: Destroy		None Assigned	GS2016-004 (Drafting and Editing)

TRAINING

45.	Agency-Provided Training – Curriculum Development Records documenting the development of training courses, seminars, and workshops. This category excludes records related to: <ul style="list-style-type: none"> • Final curricula • Training records 	Cutoff: When the training is no longer provided Retention: 2 years	Disposition Action: Not Archival: Destroy		ACO-10-002 (Agency-Provided Training – Curriculum Development)	GS2011-178R1 (Agency-Provided Training – Curriculum and Materials Development)
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46.	<p>Agency-Provided Training – General Records documenting training courses, seminars, and workshops provided by the agency to members of the public, customers, contractors, or agency employees.</p> <p>Only file records into this category if:</p> <ul style="list-style-type: none"> • The training is not required by the agency or by federal, state, or local statute • Certificates, credentials, or licenses are not awarded • Continuing education credits are not earned <p>Records may include:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered • Attendee lists and sign-in sheets • Test results, evaluations <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Finances for the training • Training materials that are retained in each employee’s personnel file • Agency-provided training not meeting the criteria for this category • Hazardous materials handling and exposure training • Apprentice certification files (GS50-04B-34R1) 	<p>Cutoff: Date of the training</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-10-001 (Agency-Provided Training – General)</p>	<p>GS2011-181R1 (Agency-Provided Training – General)</p>
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ADMINISTRATION

47.	<p>Administrative Procedures and Instructions Documentation of internal office policies, procedures, and guidelines that are created by the agency and that relate to the agency's routine operations.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Advisory memos • Manuals of departmental policies and procedures • Handbooks and desk manuals • Supporting background documentation <p>This category excludes records related to official adopted policies, procedures, directives, regulations, or rules.</p>	<p>Cutoff: When the procedures are revised or become obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-03-004 (Administrative Procedures and Instructions)</p>	<p>GS50-01-01 (Administrative Procedures and Instructions)</p>
48.	<p>Advertising, Promotion, and Outreach Records documenting the planning and execution of education or promotional events, advertising campaigns, and contests conducted by the agency pursuant to its business or mission.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Programs and schedules • Passes • News clippings, copies of ads • Drawings, photographs, slides, audiovisual recordings • Posters, brochures, flyers • Web-based promotion and advertising 	<p>Cutoff: End of the year in which the materials are superseded or no longer needed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>PRE-01-005 (Advertising, Promotion, and Outreach)</p>	<p>GS2011-165 (Advertising and Promotion)</p>
49.	<p>Advisory Body Development Files Records documenting the development and operational history of the Public Defense Advisory Board.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Bylaws • Member listings • Rules and policies • Related correspondence and documentation 	<p>Cutoff: When the record is no longer needed for agency business</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-01-015 (Historical Files of the Agency)</p>	<p>GS50-06F-02R1 (Establishment/ Development History of Agency/Programs)</p>

50.	<p>Agency-Provided Training – Certificated, Hours or Credits Earned, or Mandatory Records documenting training courses, seminars, and workshops provided by the agency to employees or members of the public.</p> <p>Only file records into this category if:</p> <ul style="list-style-type: none"> • Certificates, licenses, or credentials may be awarded • Continuing education hours or credits may be earned • Training is required by the employer or by statute <p>Records may include:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered • Attendee lists and sign-in sheets • Test results, evaluations <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Agency-provided training not meeting the criteria for this category • Finances for the training • Training materials that are retained in each employee’s personnel file • Hazardous materials handling and exposure training • Apprentice certification files (GS50-04B-34R1) 	<p>Cutoff: Date of the training</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-10-006 (Agency-Provided Training – Certification, Continuing Education Credits, and Mandatory)</p>	<p>GS2011-180R1 (Agency-Provided Training – Certified, Hours/Credits Earned, or Mandatory)</p>
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51.	<p>Asset Acquisition and Ownership Records Records documenting acquisition and ownership of the agency's capitalized non-real property assets and any non-capital assets that are tagged or tracked.</p> <p>Non-real property capital assets may include:</p> <ul style="list-style-type: none"> • Vehicles, machinery, computers, equipment, furniture • Copyrights, patent rights, trademarks • Works of art and historical treasures • Easements or rights-of-way received by the agency • Water and timber rights received by the agency <p>Records may include:</p> <ul style="list-style-type: none"> • Appraisals • Declined purchase offers for agency assets • Legal ownership documentation and titles <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Real property assets • Contracts and agreements • Grant administration records 	<p>Cutoff: When either condition is met:</p> <ul style="list-style-type: none"> • The asset is disposed of • The State Auditor's Examination Report is completed <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>ASM-09-008 (Asset Acquisition and Ownership Records)</p>	<p>GS2012-030 (Capital Assets (Other) and Non-Capital Tracked Assets)</p>
52.	<p>Audit Supporting Materials Records documenting an internal or external audit of agency services, programs, or practices that are collected by the agency that is the subject of the audit or by the King County Auditor.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Copies of source records, database printouts • Correspondence • Corrective Action work plans • Status reports <p>This category excludes final versions of audit reports.</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The audit, project monitoring, or peer review is completed • Any corrective actions are completed <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>AUD-01-002 (Audit Supporting Materials)</p>	<p>GS50-03F-01 (Audit Subject/Reference Files)</p>

53.	<p>Charter and Bylaws – Development Records documenting the development of charters defining the scope of the agency and its rights, responsibilities, and authority and any written bylaws for the agency and its decision-making bodies.</p> <p>This category excludes adopted charters and bylaws.</p>	<p>Cutoff: When the charter or bylaw is adopted</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-04-005 (Charter and Bylaws – Development)</p>	<p>GS50-05A-07R1 (Charter and Bylaws – Development)</p>
54.	<p>Civil Rights – Compliance (Section 504 Accommodations) Records documenting agency compliance with Section 504 of the Rehabilitation Act.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Applications • Surveys, reports • Notifications • Meetings, communications, training materials <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Civil rights violation complaints • Equal employment opportunity reports 	<p>Cutoff: When employment is terminated</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-04-004 (ADA Claims and Accommodations – Employees)</p>	<p>GS50-04C-01R2A (Civil Rights – Compliance (Section 504 Accommodations (Human Resources)))</p>
55.	<p>Claims for Damages Records relating to claims for damages filed either against the agency by other parties, or by the agency against other parties.</p> <p>Excludes workers’ compensation claims covered by GS50-06C-27 R1 Excludes litigation case files covered by GS53-02-04 R1.</p>	<p>Cutoff: claim closed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>ACO-06-012 (Incident and Accident Claims)</p>	<p>GS50-01-10R2 (Claims for Damages)</p>

56.	<p>Communications – Advisory Councils, Commissions, Committees, and Boards</p> <p>Communications to or from advisory bodies and their members that are made or received in connection with the transaction of official business.</p> <p>Communications may include:</p> <ul style="list-style-type: none"> • Letters • Memoranda • Email • Instant Messages • Websites, forums, webpages • Social Media posts and comments 	<p>Cutoff: Year end</p> <p>Retention: 6 years</p>	<p>Disposition</p> <p>Action: Archival: Appraisal Required</p>		<p>ACO-01-014 (Communications for Advisory Councils, Commissions, Committees, and Boards)</p>	<p>GS50-01-12R3 (Communications – Governing/ Executive/ Advisory)</p>
57.	<p>Delegation of Authority and Signature Records</p> <p>Records granting specific individuals the authority to sign documents and financial instruments and to make decisions in lieu of a superior officer.</p> <p>Records may include samples of signatures.</p>	<p>Cutoff: When the record is superseded</p> <p>Retention: 6 years</p>	<p>Disposition</p> <p>Action: Not Archival: Destroy</p> <p>Essential</p>		<p>ACO-03-003 (Delegation of Authority and Signature Records)</p>	<p>GS50-01-11R4 (Contracts and Agreements – General)</p>

58.	<p>Elected Officials, Department and Division Heads Communications, Subject and Issue Files Internal and external communications to or from the Director or Deputy Director of the Department of Local Services made or received in connection with the transaction of public business. <i>Includes communications and other records created or received by staff acting on behalf of the Director or Deputy.</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Request for and provision of information/advice; inter-governmental correspondence; appointment arrangements; etc. • Fiscal monitoring communications; • Correspondence related to state legislation; • Speaking engagement materials retained, such as communications, notes, speaking points, briefing materials, etc. • Communications, reports, or documents for committees, task forces, board, etc. • Policy, ordinance, and legislation development and communications. • Subject Files 	<p>Cutoff: Year End</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-01-002 (Elected Officials, Department and Division Heads Communications, Subject and Issue Files)</p>	<p>Combo Rule ACO-01-002</p> <p>GS50-01-12R3 (Director/Deputy Communications Governing/ Executive/ Advisory)</p> <p>GS50-01-43R2 Director/Deputy Meetings – Staff)</p> <p>GS50-01-36 Director/Deputy Appointment Calendars)</p>
59.	<p>Emergency/Disaster Security, Preparedness, and Recovery Plans Records related to the agency’s emergency and disaster preparedness, repose, and recovery plans prepared for any of the agency’s operations or assets.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Employee emergency plans and fire prevention plans per WAC 296-24-567 • Essential records lists <p>This category excludes records related to hazardous materials/dangerous waste management plans (GS50-19-08).</p>	<p>Cutoff: When the plan is superseded or becomes obsolete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>ACO-06-001 (Emergency/Disaster Security, Preparedness, and Recovery Plans)</p>	<p>GS50-14-03R2 (Emergency/Disaster Preparedness and Recovery Plans)</p>

60.	<p>Ergonomic Files Records documenting analysis and actions taken by the agency to reduce the risk of work-related injuries.</p> <p>This category excludes records related to adjustments made for Section 504 compliance</p>	<p>Cutoff: Year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-07-002 (Ergonomic Files)</p>	<p>GS2017-016 (Occupational Health and Safety Program – Administration)</p>
61.	<p>Facility Systems/Equipment Documentation of systems or equipment installed in facilities owned, leased, or maintained by the agency.</p> <p>This category only applies to systems and equipment that are not integral to the structure of the facility and can be replaced, including:</p> <ul style="list-style-type: none"> • Audiovisual systems • Fire and life safety systems • Heating, ventilation, and air conditioning systems • Information technology infrastructure • Security systems <p>Records may include:</p> <ul style="list-style-type: none"> • Installation drawings • System layout descriptions and specifications • Warranties 	<p>Cutoff: When the asset or system is disposed of or replaced</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ASM-07-005 (Installed Equipment and System Documentation)</p>	<p>GS50-06B-22R1 (Facilities Systems/Equipment)</p>

62.	<p>General Office Communications and Staff Meetings Records created, received, and used when communicating within the county on general topics related to the business of the county and the conduct of general office staff meetings. Includes all communications types regardless of format (examples: letters, memos, email, web-sites/forms/pages, social networking posts and comments; etc.) Also includes communications with contactors when not related to other records series on this schedule.</p> <p>Communications include, but are not restricted to:</p> <ul style="list-style-type: none"> • Includes communications with prospective clients such as questions and complaints. Where individuals go on to become clients, these communications should be moved to the client case file. • Includes case assignment communications and requests for assignment from external parties. • Review and editing advice and communications provided which are <i>not</i> final versions nor part of other categories such as project files. • Staff meetings minutes and agendas where covered by other categories. Example includes Emergency Management Team meeting minutes & agendas. • Administrative procedures and instructions (excluding official agency policies). • Training arrangements; mailing lists; etc. • Appointment Calendars <p>Excludes records covered under ACO-01-002, Elected Officials, Department and Division Heads Communications, Subject, and Issue Files.</p>	<p>Cutoff: end of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>ACO-01-001 (General Office Communications and Staff Meetings)</p>	<p>Combo Rule ACO-01-001</p> <p>GS50-01-43R2 (Meetings – Staff)</p> <p>GS2010-001R3 (Non-Executive Communications)</p> <p>GS2011-179R1 (Agency Provided Trainings – Arrangements)</p> <p>GS50-01-36 Appointment Calendars</p>
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63.	<p>Historical Files of the Agency Records documenting the planning, establishment, and development of the agency and its programs.</p> <p>Significant events documented in the records may include:</p> <ul style="list-style-type: none"> • Agency mergers and divisions • Creation and combination of divisions • Major changes in agency functions <p>Records may include:</p> <ul style="list-style-type: none"> • Yearly listings of staff and officials • Biographical files of notable staff • Transitional documentation • Historical organizational charts depicting major changes • Summaries and histories • Scrapbooks, clippings, audiovisual materials 	<p>Cutoff: When the record is longer needed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-01-015 (Historical Files of the Agency)</p>	<p>GS50-06F-02R1 (Establishment/Development History of Agency/Programs)</p>
64.	<p>Inter-Agency, Intra-Agency, Inter-Governmental, and Inter-Local Agreements Records documenting contracts and agreements between the agency and other parties that outline terms and conditions to which the signatories agree.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Memoranda of Understanding (MOU) • Service Level Agreements (SLA) <p><i>Note: a copy of each agreement must be filed with either the King County Recorder's Office or sent to DES-RALS-(ARMMS) for online publishing per RCW 39.34.040.</i></p>	<p>Cutoff: When the instrument is terminated or expires</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p> <p>Essential Record</p>		<p>CON-01-004 (Inter-Agency, Intra-Agency, Inter-Governmental, Inter-Local Agreements)</p>	<p>GS50-01-11R4 (Contracts and Agreements – General)</p>

65.	<p>Inventory – Capital, Expendable, and Consumable Assets (Non-Real Property) Records inventorying the agency’s non-real property capital, expendable, and consumable assets.</p> <p>Agency capital, expendable, and consumable assets may include:</p> <ul style="list-style-type: none"> • Vehicles, machinery, equipment, furniture • Works of art and historical treasures • Computers, smartphones, and electronic devices • Commodities, supplies • Forms, publications • Spare parts <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Hazardous materials inventories • Capital asset tracking • Tree inventories (GS50-06B-25R1) • Surplus property inventories (GS50-08C-06R1) 	<p>Cutoff: When the inventory is completed</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ASM-05-003 (Inventory of Assets (Non-Real Property))</p>	<p>GS50-03A-18R1 (Inventory – Capital, Expendable, and Consumable Assets)</p>
66.	<p>IT Applications – Technical Design and Implementation Records documenting the technical design and deployment of agency software applications, databases, and websites.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Design documentation • Databases • Source code • System and program change descriptions and authorizations • Development plans • Release notes • Operational and user instructions • Acceptance testing <p>This category excludes records related to the planning and post-implementation review of agency software applications, databases, and websites.</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The application or version is no longer needed • All records stored within the application have been migrated or dispositioned in accordance with an approved schedule <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>INF-04-001 (IT Applications – Technical Design and Implementation)</p>	<p>GS50-06A-03R3 (IT Applications – Technical Design and Implementation)</p>

67.	<p>Line of Business Project Records Records documenting the creation of Line of Business (LOB) Plans.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Copies of mission statements • LOB workshop materials • Communications • Product lists • SWOT analyses • Alternatives analyses <p>This category excludes final LOB Plans.</p>	<p>Cutoff: When the plan is completed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-04-002 (Strategic and Work Plans – Development)</p>	<p>GS2010-079 (Strategic Plans – Development)</p>
68.	<p>Media Releases and Coverage Records documenting external media coverage of agency activities and accomplishments.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Agency-issued press releases • Audiovisual recordings and transcripts of conferences or speeches • Copies of guest editorials • News clippings 	<p>Cutoff: Year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>PRE-01-014 (Press Releases)</p>	<p>GS50-06F-07R1 (Media Releases and Coverage)</p>

69.	<p>Meetings – Inter-Agency, Inter-Local, Inter-Governmental Records documenting meetings held between the agency and one or more other agencies.</p> <p>Meetings may include:</p> <ul style="list-style-type: none"> • Multi-agency staff meetings • Multi-agency committee meetings • Multi-agency task force meetings <p>Records may include:</p> <ul style="list-style-type: none"> • Sign-in lists, meeting notices • Agendas, meeting packets • Minutes, recordings, transcripts • Indexes and any finding aids <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Meeting arrangements • Meetings regulated by the Open Public Meetings Act • Appeals hearings (GS2011-173R2 and GS2011-174R2) 	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • Year end • The project is completed <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-01-006 (Meetings – Inter-Agency, Inter-Local, Inter-Governmental)</p>	<p>GS2011-175R2 (Meetings – Inter-Agency)</p>
70.	<p>Meetings – Safety Committee Records documenting meetings held by safety committees and similar bodies.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Sign-in lists, meeting notices • Agendas, meeting packets • Minutes, recordings, transcripts 	<p>Cutoff: Year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-07-007 (Safety Committee Records)</p>	<p>GS2017-016 (Occupational Health and Safety Program – Administration)</p>

71.	<p>Meetings/Projects –Advisory Boards Records documenting all meetings of the advisory-board.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Meetings regulated by the <i>Open Public Meetings Act</i> (chapter 42.30 RCW), such as regular and special meetings, public hearings, etc.; • All other meetings (including executive sessions regulated by RCW 42.30.110(2)). • Agendas, meeting/agenda packets (briefs, reference materials, etc.); • Speaker sign-up, written testimony; • Audio/visual recordings and transcripts of proceedings; • Minutes. <p>Includes indexes and other finding aids.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Meetings/Projects – General Advisory Councils, Commissions, Committees, and Boards</p> <p>ACO-01-013</p>	<p>GS2012-027 (Meetings/Projects – General Advisory Councils, Commissions, Committees, and Boards)</p>
72.	<p>Newsletters All newsletters published by the agency for distribution to other King County agencies and any source materials used to prepare them.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Paper newsletters • Web pages, blogs, email communications • Photographs, copies • Significant drafts <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Non-newsletter publications • External-facing publications 	<p>Cutoff: When the record is no longer needed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>INF-02-001 (Master File of Agency Publications)</p>	<p>GS50-06F-04R4 (Publications – Master Set)</p>

73.	<p>Official Public Notice Records of public notices posted or published by the agency to inform the general public of its actions, decisions, or services.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Affidavit of mailing, posting, or publishing • Notices of elections, ordinances, auctions, meetings, or hearings <p>This category excludes records related to public notice of requests for proposals.</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • Notice is published • The event is completed <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PRE-01-011 (Public Notice (Official))</p>	<p>GS2012-016 (Public Notice (Official))</p>
74.	<p>Packing Slips Records documenting departmental receipt of goods and equipment from outside vendors.</p>	<p>Cutoff: When receipt is confirmed</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-01-024 (Packing Slips)</p>	<p>GS50-08B-08 (Packing Slips)</p>
75.	<p>Performance Measures – Not Employee-Related Records analyzing, assessing, measuring, or collecting data about internal processes, program performance goals, or the agency’s work plan, budget, or strategic plan.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Performance plans • Responses to Council and external requests • Statistics and reports • Presentations • Tier 2 and 3 boards <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Specific projects • Final strategic or business plans 	<p>Cutoff: When the measures are revised or become obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-01-018 (Performance Measures)</p>	<p>GS50-01-38R2 (Work Plans)</p>
76.	<p>Project Files Records documenting agency projects that are not covered by a more specific category.</p>	<p>Cutoff: When the project is completed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-02-001 (Project Files)</p>	<p>GS50-01-39R1 (Project Files (Miscellaneous))</p>

77.	<p>Public Complaints/Requests Records documenting complaints or requests communicated by members of the general public and the agency's responses.</p> <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Claims for damages • Public Records Act requests • Code violation complaints 	<p>Cutoff: End of the year in which the issue is resolved</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PRE-01-001 (Public Complaints and Requests for Agency Action)</p>	<p>GS50-01-09R2 (Citizen Complains/Requests)</p>
78.	<p>Public Records Act Requests Records documenting agency receipt of and response to requests for access to records by the general public per RCW 42.56.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Communications • Copies or lists of records • Exemption logs, copies of redacted portions • Documentation of administrative review • Legal advice and opinions • Tracking logs <p>This category excludes records that are the subject of the request.</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The request is responded to • Any complaints, appeals, or challenges are resolved <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>INF-01-002 (Public Records Act Requests)</p>	<p>GS2010-014R3 (Public Disclosure/Records Requests)</p>
79.	<p>Publications – Master Set All non-required publications created by the agency or by an external party working on the agency's behalf and source materials used in their preparation.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Reports, manuals, brochures • Magazines, journals • Maps, plans, charts • Audiovisual materials • Films, presentations <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Newsletters • Annual reports 	<p>Cutoff: When the record is no longer needed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>INF-02-001 (Master File of Agency Publications)</p>	<p>GS50-06F-04R4 (Publications – Master Set)</p>

80.	<p>Records Control Documents supporting the agency’s physical and intellectual control of its materials.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • File classification schemes and guidelines • Essential records lists • Record inventories • Indexes, registers, databases, and finding aids for non-archival records <p>This category excludes records related to custody of records.</p> <p>Indexes, registers, databases, and finding aids for archival records should be transferred to the King County Archives along with the materials they describe.</p>	<p>Cutoff: When the record no longer needed</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>INF-03-002 (Records Control)</p>	<p>GS50-09-02R2 (Records Control)</p>
81.	<p>Research/Program Reports, Studies, Surveys, Models, and Analyses Research documents, program reports, studies, surveys, models, and analyses that are not covered by a more specific category.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Reports published by King County agencies • Reports by consultants hired by King County or the agency • Publications of joint projects • Published studies and reports • Pamphlets and brochures <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Mandatory reporting and filing • Data extracts and printouts 	<p>Cutoff: When the report, study, survey, model, or analysis is superseded or becomes obsolete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-02-002 (Research/Program Reports, Studies, Surveys, Models, and Analyses)</p>	<p>GS50-01-32R1 (Research/Program Reports, Studies, Surveys, Models, and Analyses)</p>

82.	<p>Security Incidents and Investigations Records documenting security incidents and investigations involving agency assets, systems, and data.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Event logs, entry logs • Surveillance recordings, photographs • Statements • Reports to law enforcement or regulatory agencies • Documentation of corrective actions • Correspondence, notes <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Incidents involving hazardous materials • Non-security incidents • Incidents in which injury claims were filed 	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The investigation is completed • The issue is resolved <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>INF-04-010 (Security Monitoring – Incident)</p>	<p>GS2010-008R1 (Security Incidents and Investigations)</p>
83.	<p>Security Monitoring – Employee, Public, and Visitor Access Records documenting employee, public, and visitor access to agency facilities, equipment, or networks.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Access or entry logs, card swipe data • Information system login records, audit logs <p>This category excludes records related to a security incident (GS2010-008R1).</p>	<p>Cutoff: When either of the conditions is met:</p> <ul style="list-style-type: none"> • Year end • The date of the last log entry <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ASM-10-007 (Security Monitoring – Employee/Public/Visitor Access)</p>	<p>GS50-06B-20R1 (Security Monitoring – Employee and Public Access)</p>
84.	<p>Strategic and Working Plans – Development Records documenting the development of the agency’s strategic plans and work plans.</p> <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Final strategic plans • Final work plans 	<p>Cutoff: When the plan is completed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-04-002 (Strategic – Development)</p>	<p>GS2010-079 (Strategic Plans – Development)</p>

85.	<p>Strategic Plans – Final Final versions of agency-wide strategic, long-term plans to align the agency’s budget and organizational structure with its priorities, missions, and objectives.</p> <p>Plans may include:</p> <ul style="list-style-type: none"> • County-, department-, or division-wide strategic plans • Final agency Line of Business (LOB) plans <p>This category excludes records related to project-specific work plans.</p>	<p>Cutoff: When the plan is revised or becomes obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival: Permanent Transfer</p>		<p>ACO-04-003 (Strategic Plans – Final Version)</p>	<p>GS2010-080 (Strategic Plans – Final Version)</p>
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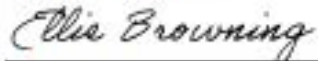
86.	<p>Transitory Records Public records that only document information of temporary, short-term value, and provided that the records are not needed as evidence of a business transaction; and, not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency-Generated Forms and Publications – Copies (Copies of unused forms) • Brainstorming and Collaborating (Notes, mind maps, white board collaboration notes, post-its, A3, flip charts) • Contact Information (external clients or stakeholders) • Drafting and Editing (Preliminary drafts with only editing suggestions, notes, and related correspondence if they do not document decision making or substantive changes) • 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 such as – “I am running late this morning” or “Come see me at my desk when you can”) • 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) • Secondary (Duplicate) Copies 	<p>Cutoff: Retain until no longer needed</p> <p>Retention: None</p>	<p>Disposition Action: Non-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>
87.	<p>Whistleblower Investigation Reports Agency copies of records of allegations and investigations of violations of regulations or statutes or of retaliation against individuals making allegations.</p>	<p>Cutoff: When the case is closed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		PER-08-008 (Whistleblower Investigation Reports)	GS50-04E-03R2A (Employee Complaints and Grievances (Whistleblower))

88.	<p>Work Plans Plans outlining work to be performed by sections and other subunits of divisions, including timelines and areas of responsibility for specific actions.</p> <p>This category excludes records related to county-department-, or division-wide plans.</p>	<p>Cutoff: When the plan is revised or becomes obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-04-004 (Work Plans)</p>	<p>GS50-01-38R2 (Work Plans)</p>
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Certification

9. County Records and Information Manager Signature

My signature certifies the accuracy of this schedule and that the records series as described comply with current federal, state, and local regulations as of the date listed in section 4.



5/1/2020

Ellie Browning

Date

10. County Archivist Signature

My signature certifies that I have reviewed and approved the archival status of the records series as described on this schedule.



May 1, 2020

Danielle Boucher

Date

11. Agency Manager Signature

My signature certifies that I have read and understood the requirements of this retention schedule and that I agree to implement it for all records and information within the scope of my responsibility.



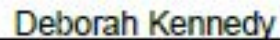
April 23, 2020

Anita Khandelwal, Director
King County Department of Public Defense

Date

Public Records Committee Use Only

12. PRC APPROVAL



May 11, 2020

Deborah Kennedy
King County Public Records Committee

Date