



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Permitting and Environmental Review /
Code Enforcement

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

DPER-CE-(ALL) All Sections /
060601

**3. TOTAL NUMBER OF
PAGES**

8

**4. DATE LAST
MODIFIED**

September 18, 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 AUTHORITY (DISPOSITION AUTHORITY NUMBER(S)) |
| Code Enforcement Records | | | | | | |
| 1. | <p>Code Enforcement Case Files Records relating to the enforcement of King County Code under DPER Code Enforcement Officer jurisdiction including; zoning, housing and building, shorelines, and critical areas violations in unincorporated King County. Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Complaints, dispute resolution, investigations, warnings, notices, appeals, staff reports; - Inspections, assessments, citations (i.e.; Violation 1, 2, 3 or 6), statements of required corrective action; - Resolutions, hearing examiner records, Settlement Agreement, Judgement, Voluntary Compliance Agreement (VCA), Compliance Certificates, Non-Compliance Certificates; - Related communications, such as correspondence with the PAO; - Legal Notice In Order, Stop Work Order, Do Not Enter/Occupy. <p>Note: If litigation commences, copies of these records may become part of the Litigation Case File managed by the PAO and covered by GS53-02-04R2.</p> <p>Excludes Reference Copies of Litigation Case Files used by DPER Code Enforcement Team to follow up with cases and covered by GS2012-026R1, see</p> | <p>Cutoff: issue resolved or closed including related litigation action if applicable</p> <p>Retention: 6 years</p> | <p>Disposition Action: Not Archival - Destroy</p> | | <p>Code Enforcement ACO-05-002</p> | <p>GS2012-026R1</p> |

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| 2. | <p><u>Inventory of Closed CE Case Files</u> Records documenting the inventory and organization of Code Enforcement Case Files that have been closed and are retained on premises.</p> <p>Includes, but is not limited to: - Inventories of case files or records, that include: file location and description of contents.</p> | <p>Cutoff: no longer needed for agency business</p> <p>Retention: 0 years</p> | <p>Disposition Action: Not Archival - Destroy</p> | | <p>Records Control INF-03-002</p> | <p>GS50-09-02R2</p> |
| 3. | <p><u>Legal Issues/Advice Files - Received from Attorneys</u> Documentation regarding legal advice received by Code Enforcement Team from KC attorneys. These documents are primarily kept as reference files used to refer back to past issues or cases handled.</p> | <p>Cutoff: revised or obsolete</p> <p>Retention: 3 years</p> | <p>Disposition Action: Not Archival - Destroy</p> | | <p>Administrative Procedures and Instructions ACO-03-004</p> | <p>GS50-01-01</p> |
| General Records | | | | | | |

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| 4. | <p><u>Administrative Procedures and Instructions</u> Documentation of internal Code Enforcement policies, procedures and guidelines, which relate to the routine operations.</p> <p>Records may include manuals or handbooks documenting code enforcement policies and procedures, such as how to issue violations, respond to public inquiries about code enforcement issues, Settlement Agreement, Judgement, submit and finalize Voluntary Compliance Agreement (VCA) or Compliance Certificates, Non-Compliance Certificates, etc.</p> <p><i>Excludes</i> procedures, instructions and advice sent to (received by) the agency from an outside agency or source.</p> | <p>Cutoff: revised or obsolete</p> <p>Retention: 3 years</p> | <p>Disposition Action: Not Archival - Destroy</p> | | <p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p> | GS50-01-01 |

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| 5. | <p><u>General Communications & Staff Meetings</u> Communications to or from Code Enforcement Staff with DPER or KC employees (includes contractors) that are made or received related to DPER services. And records from recurring staff meetings, such as agendas, meeting minutes.</p> <p>Communications include, but are not limited to:</p> <ul style="list-style-type: none"> - Correspondence and meetings related to internal planning of Code Enforcement program, procedures or administrative changes, as well as tracking overall caseloads. <p><i>Excludes</i> specific communications or meeting files related to projects, incidents, or employees that are covered by a more specific records series. e.g.; meeting about or discussing a specific case with individuals.</p> | <p>Cutoff: year end</p> <p>Retention: 2 years</p> | <p>Disposition Action: Not Archival - Destroy</p> | | <p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p> | <p>Combo Rule ACO-01-001</p> <p>GS2010-001R3 (General Communications)</p> <p>GS50-01-43R2 (General Meeting Files)</p> |
| 6. | <p><u>Program/Case Status Reports</u> Reports created by Code Enforcement staff about the progress of specific cases or the overall program.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - program administration reports and summary reports, reports on incoming or outgoing cases as well as case backlog or reports that are forwarded to Head of Code Enforcement and are added to Tier 4 board for further review. | <p>Cutoff: year end</p> <p>Retention: 2 years</p> | <p>Disposition Action: Potentially Archival – Appraisal Required</p> | | <p>Informational Reports</p> <p>ACO-02-003</p> | <p>GS50-06F-03R1</p> |

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| 7. | <p><u>Public Complaints, Requests and Inquiries</u> Communications from members of the public making a complaint, request or inquiry about general DPER or the Code Enforcement program's services or policies as well as the associated response from the Code Enforcement Staff.</p> <p>These public requests, inquiries and complaints may be related to Cases but ONLY when they are received after the case in question has been closed.</p> <p>This covers general complaints that are received about a Code Enforcement Case and its outcome.</p> <p>Excludes records covered more specifically on this schedule or covered on other DPER Specific Schedules such as:</p> <ul style="list-style-type: none"> Complaints, inquiries and requests related to specific Code Enforcement issues that results in Cases being investigated and pursued, which are covered by GS2012-026, see item number 1 above; Public Records Act Requests covered by GS2010-014 R2, see DPER/Customer Service Retention Schedule. | <p>Cutoff: end of year in which the issue was resolved</p> <p>Retention: 3 years</p> | <p>Disposition Action: Not Archival - Destroy</p> | | <p>Public Complaints and Requests for Agency Action</p> <p>PRE-01-001</p> | GS50-01-09R2 |

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| 8. | <p><u>Transitory Records</u> 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, white board collaboration notes, post-its, flip charts) - Contact Information (external clients or stakeholders) - Drafting and Editing (Preliminary drafts 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 - Basic/routine short-term communications that do not document decision making or agency actions and not covered by another category - Internet Browsing History (cookies/cache) - Organizing/Monitoring Work In Progress (to-do lists; working notes) - 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: 0 years</p> | <p>Disposition Action: Not Archival - Destroy</p> | | Do not file records into KC ERMS | 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

12/14/2018

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

12/18/2018

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.

Sheryl Lux

4/13/18

Sheryl Lux

Date

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL

Deborah Kennedy

12/28/2018

Deborah Kennedy

Date

King County Public Records Committee