



**PUBLIC RECORDS RETENTION  
SCHEDULE & DESTRUCTION  
AUTHORIZATION**

**RECORDS MANAGEMENT PROGRAM**

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**1. AGENCY DEPARTMENT/DIVISION/SECTION**

Department of Permitting and Environmental Review /  
Customer Services

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

DPER-CS-(ALL) All Sections /  
060601

**3. TOTAL NUMBER OF  
PAGES**

16

**4. DATE LAST  
MODIFIED**

May 29, 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))
<b>Customer Service Team</b>						
1.	<p><b><u>Appointment Requests &amp; Call Center Records</u></b>            Communications from members of the public requesting appointments with DPER staff, making inquiries about information related to permitting review and services or general complaints about DPER, as well as the associated response from DPER staff.</p> <p>Includes any type of request, inquiry or complaint received via the Call Center hotline or the shared Appointment email inbox in Outlook, such as:</p> <ul style="list-style-type: none"> <li>- Scheduling a preliminary pre application meeting;</li> <li>- Asking about information related to permits and codes;</li> <li>- Describing a general complaint related to involves DPER services or staff.</li> </ul> <p><b>Excludes</b> the Customer Service Assignment/Appointment Schedules or Logs covered by GS2010-001R3C, see item number 2 below.</p>	<p><b>Cutoff:</b> end of year in which the issue was resolved</p> <p><b>Retention:</b> 3 years</p>	<p><b>Disposition Action:</b> 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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2.	<p><b><u>Customer Service Assignment/Appointment Schedules or Logs</u></b> Documentation of day-to-day appointments, tasks, or projects assigned to and/or completed by individual DPER staff or crews.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>- Appointment Logs of staff assigned to visiting members of the public, for assistance on a permit or project. Logs are recorded either on paper or in CATS digital customer registration system;</li> <li>- Voicemails and calls received via Call Center and assigned to DPER staff. Messages are recorded in SharePoint list and once call is returned then assignment is listed as complete.</li> </ul> <p><b><i>Excludes</i></b> statistical reports generated from CATS customer registration system used to show metrics on customer visits, frequency and reason for visit that are filed in Customer Service Summary Reports covered by GS50-06F-03R1, see Item number 3 below.</p>	<p><b>Cutoff:</b> year end</p> <p><b>Retention:</b> 3 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>Work Logs</p> <p>PER-02-002</p>	<p>GS2010-001R3C</p> <p>*this rule with a "C" extension was created to provide a longer retention period for work logs, as requested by the County Records and Information Manager</p>

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3.	<p><b><u>Customer Service Summary Reports</u></b> Reports created by DPER Customer Service Staff used for planning and coordination of services.</p> <p>Includes, but is not limited to, statistical reports generated from CATS customer registration system used to show metrics on customer visits, frequency and reason for visit.</p> <p><b><i>Excludes</i></b> Customer Service Assignment /Appointment Schedules or Logs that are not generated in a report format with data and information exported from CATS system or paper appointment logs, covered by GS2010-001R3C, see item number 2 above.</p>	<p><b>Cutoff:</b> year end</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b> Potentially Archival – Appraisal Required</p>		<p>Informational Reports</p> <p>ACO-02-003</p>	GS50-06F-03R1

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4.	<p><b><u>General Communications &amp; Staff Meetings</u></b>            Communications to or from Customer Service staff (includes contractors and volunteers) with DPER or KC employees that are made or received related to DPER services. And records from recurring Customer Service staff meetings, such as agendas, meeting minutes.</p> <p>Communications include, but are not limited to:</p> <ul style="list-style-type: none"> <li>- Referrals from other KC Agencies that direct members of the public to DPER for services;</li> <li>- And communications with ImageNet discussing scanning or requesting pick up of records.</li> </ul> <p><b>Excludes</b> specific communications or meeting files related to projects or permits that are covered by a more specific records series. e.g.; meeting about or discussing financial arrangements with ImageNet.</p> <p><b>Excludes</b> Appointment Inbox &amp; Call Center Requests for Services covered by GS50-01-09R2, see item number 1 above.</p>	<p><b>Cutoff:</b> year end</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b>            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>

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5.	<p><b><u>Handouts &amp; Brochures for the Public – Master Set</u></b> Master set of all handouts, brochures and informational guides created by the DPER and placed on shelves in lobby for public.</p> <p>Include, but are not limited to:</p> <ul style="list-style-type: none"> <li>- brochures listing variety of permits and services;</li> <li>- informational guides of environmental codes and policies;</li> <li>- and handouts used to explain permitting process workflow.</li> </ul> <p><b><i>Excludes</i></b> Newsletters published by DPER covered by GS50-06F-04R4, see KC General Retention Schedule.</p>	<p><b>Cutoff:</b> no longer needed for agency business</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b> Potentially Archival – Appraisal Required</p>		<p>Master File of Agency Publications</p> <p>INF-02-001</p>	GS50-06F-04R4

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6.	<p><b><u>Performance Evaluation - Background Use Files</u></b> Records used by Customer Services Supervisor to prepare for annual performance evaluations of employees. Only includes records needed to support the completion of the performance evaluation.</p> <p>Includes, but is not limited to: performance plans; confirmation of goals; confirmation of achievements; communication/meeting notes; documentation of performance issues, etc.</p> <p><b>Excludes</b> records needed to support ongoing supervision of the employee, Supervisor's Working Files covered by GS50-04B-31R1, see item number 7 below.</p> <p><b>Excludes</b> final signed performance evaluations in the official Personnel File, see DPER/Human Resource Retention Schedule.</p>	<p><b>Cutoff:</b> performance review has been completed and appeal period has passed</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1

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7.	<p><b><u>Supervisor's Working Files</u></b> Records compiled by the Customer Service Supervisor about the progress, conduct and performance of employees. Records are only used to support the ongoing supervision of the employee and exclude records that belong in the official personnel file; that document misconduct investigations or corrective action; or that document employee complaints/grievances.</p> <p>Includes, but is not limited to: copies of performance evaluations; workplace expectations, documents related to long-term performance or career goals, employee development plans, emergency contact information, employee coaching documentation; advice or guidance received about ongoing issues relating to the employee; performance monitoring, etc.</p> <p><b>Excludes</b> records needed to support completion of annual performance evaluations, Performance Evaluation Background Files covered by GS50-04B-31R1, see item number 6 above.</p> <p><b>Excludes</b> any records such as Employee Medical Files, Personnel Files or Recruitment Files that are specifically listed on the DPER/Human Resources Retention Schedule that should be managed separately rather than retained in the Supervisor's Working File.</p>	<p><b>Cutoff:</b> no longer supervising employee</p> <p><b>Retention:</b> 3 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1A



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8.	<p><b><u>Transitory Records</u></b> 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"> <li>- DPER Generated Forms and Publications – Copies (Copies of unused forms)</li> <li>- Brainstorming and Collaborating (Notes, white board collaboration notes, post-its, flip charts)</li> <li>- Contact Information (external clients or stakeholders)</li> <li>- Drafting and Editing (Preliminary drafts if they do not document decision making or substantive changes)</li> <li>- Electronic documents when printed version is finalized with inked signature</li> <li>- General Information – External (FYI information received from external sources)</li> <li>- Unsolicited Materials/publications</li> <li>- Basic/routine short-term communications that do not document decision making or agency actions and not covered by another category</li> <li>- Internet Browsing History (cookies/cache)</li> <li>- Organizing/Monitoring Work In Progress (to-do lists; working notes)</li> <li>- Notes used for data entry; raw stats/survey responses consolidated into a larger report or record if not required for other uses</li> <li>- Reference Materials (gathered from external sources which do not provide evidence of agency work)</li> <li>- Secondary (Duplicate) Copies</li> </ul>	<p><b>Cutoff:</b> retain until no longer needed</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	<p>Note: destruction documentation is not required for Transitory Records.</p> <p>Refer to KC General Retention Schedule for entire list of transitory records and DANs.</p>

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<b>Records Team Only</b>						
9.	<p><b>Converted/Migrated Records - Originals</b>  Non-paper-based (digital &amp; magnetic media) original DPER records which have been migrated to another digital format or to another information system such as the Accela permitting system or SharePoint:</p> <ul style="list-style-type: none"> <li>- Digital records which are migrated to another digital format or information system; i.e.; original TIFF files converted to PDF or original PDF's on SharePoint migrated into Accela.</li> <li>- Media formats include microfilm, reel to reel tapes and other magnetic media records which are migrated to another magnetic or a digital format.</li> </ul> <p><b>Note:</b> this series is only intended for the originals, provided that the converted/migrated records are retained in accordance with an appropriate approved records retention schedule based on their record type.</p> <p><b>Excludes</b> paper and film-based records such as:  -Scanned/Digitized Records - Archival Originals records covered by DANs GS2010-017 R2, see item number 13 below;  -Scanned/Digitized Records - Non-Archival Originals records covered by DGS50-09-14 R3, see item number 14 below.</p>	<p><b>Cutoff:</b>  verification of successful conversion</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b>  Not Archival - Destroy</p>		<p>Source Records – Migrated</p> <p>INF-05-003</p>	GS2010-018

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10.	<p><b><u>Destruction of Public Records - Agency/In-House Destruction Forms</u></b> Records relating to and documenting the appropriate destruction of DPER's public records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>- Agency Destruction Form;</li> <li>- Physical or digital inventory of specific records;</li> <li>- Agency authorizations;</li> <li>- Certificates/Notices of destruction.</li> </ul>	<p><b>Cutoff:</b> None</p> <p><b>Retention:</b> Permanent</p>	<p><b>Disposition Action:</b> Not Archival</p> <p><b>ESSENTIAL</b></p> <p>For records dated 12/31/2013 and prior, DPER must retain records of destruction for the life of the County, unless destruction records are transferred to DES / RALS /</p>	<p><b>12/31/2013 and prior:</b> DPER /Customer Services /Records Team</p> <p><b>01/01/2014 to present:</b> DES / RALS / ARMMS</p>	<p>Destruction of Public Records</p> <p>INF-03-003</p>	GS50-09-06R1

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11.	<p><b>Public Records Requests</b> Records relating to requests from the public to access DPER's public records in accordance with chapter 42.56 RCW.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>- Internal and external correspondence relating to the request;</li> <li>- Records documenting the public records provided to the requestor (copies or lists of the records provided, etc.);</li> <li>- Records documenting the public records (or portions) withheld (exemption logs, copies of portions redacted, etc.);</li> <li>- Records documenting administrative reviews relating to the request;</li> <li>- legal advice/opinions;</li> <li>- tracking logs.</li> </ul> <p><b>Note:</b> Response are complete when all complaints, appeals, or challenges related to the request have been resolved.</p> <p><b>Excludes</b> the public records themselves that are the subject of the public records request, which must be retained in accordance with the applicable records series.</p>	<p><b>Cutoff:</b> public records request complete</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>Public Records Act Requests</p> <p>INF-01-002</p>	GS2010-014R3

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12.	<p><b><u>Records Inventory Lists</u></b>  Records relating to the organization and control of the DPER's records and file room, including, but not limited to:</p> <ul style="list-style-type: none"> <li>- Files plans;</li> <li>- Essential records lists;</li> <li>- File Room/Records Center Inventories;</li> <li>- Inventory of files transferred to Archives or Disposed of via Agency or Records Center Destruction Form;</li> <li>- Interactive HTML file room map.</li> </ul> <p><b>Note:</b> For archival records, indexes, master lists, tracking systems and other finding aids should be transferred along with the records to the King County Archives.</p>	<p><b>Cutoff:</b> no longer needed for agency business</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b>  Not Archival - Destroy</p>		<p>Records Control</p> <p>INF-03-002</p>	<p>GS50-09-02R2</p>

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13.	<p><b><u>Scanned/Digitized Records - Archival Originals</u></b> Original physical records which have been deemed archival and must be transferred to the King County Archives and have been digitized or scanned either in house or by outside vendor (currently ImageNet) using any of the following processes:</p> <ul style="list-style-type: none"> <li>- Digitized in accordance with a valid Disposition After Digitization (DAD) Application Form approved by the King County Records Management Program in accordance with WAC 434-663 or,</li> <li>- Microfilmed in accordance with Washington State Standards for the Production and Use of Microfilm or,</li> <li>- Provided that the original records themselves are retained in accordance with a current approved records retention schedule.</li> </ul> <p><b>Excludes</b> Scanned/Imaged Records - Non-Archival Originals covered by GS50-09-14R3, see item number 14 below.</p>	<p><b>Cutoff:</b> verification of successful conversion as stipulated in approved KC DAD application</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b> Potentially Archival – Appraisal Required</p> <p>*Per approved KC DAD Number 12DAD-004 only <i>Approved Construction Drawings, Plans, and Specifications &amp; Critical (Sensitive) Area Designation</i> records are archival. <b>DAD expires on 12/12/2018.</b></p>		<p>Source Records – Imaged (Archival)</p> <p>INF-05-004</p>	GS2010-017R2

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14.	<p><b><u>Scanned/Digitized Records - Non-Archival Originals</u></b> Original physical records which are deemed not archival and have been digitized using any of the following processes:</p> <ul style="list-style-type: none"> <li>- Digitized in accordance with a valid Disposition After Digitization (DAD) Application Form approval by the King County Records Management Program in accordance with WAC 434-663 or,</li> <li>- Microfilmed in accordance with Washington State Standards for the Production and Use of Microfilm</li> </ul> <p><b><i>Excludes</i></b> Scanned/Imaged Records - Archival Originals covered by GS2010-017R2, see item number 13 above.</p>	<p><b>Cutoff:</b> verification of successful conversion as stipulated in approved KC DAD application</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>Source Records – Imaged (Non-Archival)</p> <p>INF-05-005</p>	GS50-09-14R3

<p><b>8. RECORDS AND INFORMATION MANAGER SIGNATURE</b>  <i>I hereby certify that the records series as described comply with current federal, state, and local regulations as of the date listed in section 4, and I ensure the accuracy of this schedule.</i></p> <p style="text-align: right; margin-right: 50px;"><i>Ryan Wadleigh for</i></p> <p><i>[Signature]</i> _____ <i>6/5/18</i>  <b>Gall Snow</b> <span style="float: right;">Date</span></p>	<p><b>9. COUNTY ARCHIVIST SIGNATURE</b>  <i>I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.</i></p> <p style="text-align: right; margin-right: 50px;"><i>Carol Shenk</i></p> <p>_____ <i>06/26/2018</i>  <b>Carol Shenk</b> <span style="float: right;">Date</span></p>
<p><b>10. AGENCY MANAGER SIGNATURE</b>  <i>I certify that I have read and understood these records retention requirements and agree to implement the records retention schedule for all records and information within the scope of my responsibility.</i></p> <p><i>[Signature]</i> _____ <i>5/29/18</i>  <b>Kim Laymen</b> <span style="float: right;">Date</span></p>	
<p><b>PUBLIC RECORDS COMMITTEE USE ONLY</b></p>	
<p><b>11. PRC APPROVAL</b></p> <p><i>[Signature]</i> _____ <i>9/21/2018</i>  <b>Deborah Kennedy</b> <span style="float: right;">Date</span>  King County Public Records Committee</p>	