



King County

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

PUBLIC RECORDS RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION
King County Council / Auditor's Office

2. DEPARTMENT-DIVISION-SECTION [DDS]
KCC-AUD-(ALL) / 040101

3. TOTAL NUMBER OF PAGES
16

4. DATE LAST MODIFIED
September 5, 2018

5. STATUS
Final

6. VERSION
2

6. SCOPE AND DISCLAIMER

This retention schedule can only be used by the agency listed in section 1. It supersedes any other versions of retention schedules used by the agency and is effective as of the date listed in section 11 on the last page. This schedule is a comprehensive listing of all public records held by the agency and authorizes the destruction or archival transfer of those records as indicated. For guidance about records not listed, please contact the Records Management Program.

Public records covered by record series on this records retention schedule must be retained for the required retention periods as described on this schedule. Public records designated as Permanent or Archival must not be destroyed. Public records designated as Potentially Archival must be appraised by the King County Archivist before disposition. This records retention schedule is subject to revision due to changes to local, state or federal regulations.

Approved documentation is required before any records listed on this records retention schedule can be dispositioned (destroyed or transferred to the King County Archives). Records filed to and managed within the County's Records Management System will be dispositioned from within the system and documentation will be maintained by the Records Management Program. Disposition of records managed outside of the Records Management System must be documented on forms provided by the Records Management Program. Transitory records may be destroyed within the normal course of agency business without the use of any destruction forms.

Glossary

Cutoff: the trigger date on which the retention period *begins*. Until this occurs, the records are still considered active.

Retention: the length of time the records must be retained *after* the cutoff date

Disposition Action: the action that should be taken with the records after they have met their retention period

ESSENTIAL: records identified by the State as being essential to the operation of business and needed to continue operations in the event of an emergency.

7. LIST OF RECORDS SERIES						
7a. ITEM NO.	7b. TITLE/DESCRIPTION	7c. RETENTION	7d. DISPOSITION AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
1.	<p><u>Administrative Procedures and Instructions</u> Documentation of internal office procedures, policies, and guidelines related to routine, day to day operations.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Advisory memos; • Manuals documenting department procedures; • Handbooks, • Desk manuals; • Supporting background materials and related information. 	<p>Cutoff: revised or obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Administrative Procedures and Instruction</p> <p>ACO-03-004</p>	GS50-01-01
2.	<p><u>Audit – Analytical Final Report</u> Final Report of Audit Findings. Final Report records sent/presented to Executive, or Elected Official. Includes Cover Letter. Also includes formal response recommendations, and comments from Executive or Elected Official.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Materials required for the interpretation of Final Report, such as spreadsheets or database record sent as an attachment or addendum to the Final Report • Final presentations provided. • Capital Project Oversight Final Reports (where applicable). <p><i>Note: Includes all Final Report materials related to initial project. Follow-up projects initiating from response and recommendations, such as compliance monitoring, should be retained as a separate Audit Project.</i></p>	<p>Cutoff: audit completion and all required corrective action taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Audit Reports and Findings</p> <p>AUD-01-003</p>	GS50-03F-02

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3.	<p><u>Audit – Analytical Project Files</u> Records – administrative, working, reporting, analysis, and reference materials – created and used during the process of evaluating King County agencies. Includes all records created during the audit survey, as well as records utilized and referenced during audit process which influenced or informed final recommendations and findings. Includes Capital Project Oversight Project Files.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Statement of non-bias • Project Plans/ Plan of Action • Interview and meeting notes • Correspondence • Status Reports • Scope and Objectives • Cumulative data on departments and audit issues created during the survey process • Capital Oversight risk assessments and risk scoring • Work Papers • Presentation development materials • Findings and Recommendations • Project Management Workbook spreadsheet and all quality assessment/Yellow Book standards documentation • Technical Reference Materials • Report Drafting and Technical Review, including notes. • Consultant Contracts, RFPs, procurement documentation. • CPO/non-CPO loan out fund transfer documentation. 	<p>Cutoff: audit completion, project monitoring, peer review and all corrective actions taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Audit Supporting Material</p> <p>AUD-01-002</p>	GS50-03F-01

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4.	<p><u>Budget Development Files</u> Background information and draft documents compiled in the course of budget preparation.</p> <p>May include:</p> <ul style="list-style-type: none"> • Preliminary budgets; • Spreadsheets; • Statistics; • Expenditure reports; • Budget-related work program plans; • Correspondence; • Briefing materials; • Supporting documentation; • Budget monitoring and review <p><i>Note: This record series only applies to the KC Auditor's Office Budget incorporated into the King County Budget. Budget development and budget materials related to specific audit projects should be maintained with that particular Audit Project File.</i></p>	<p>Cutoff: budget adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Budget Development Files</p> <p>BUD-01-001</p>	GS50-03D-03

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5.	<p><u>Communications for Advisory Councils, Commissions, Committees and Boards</u> Communications to or from advisory bodies and its members made or received in the transaction of official county business.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Deferred Compensation Board; Countywide Community Forums Program – Advisory Citizens Councilor Steering Committee • All communication types, regardless of format: <ul style="list-style-type: none"> ○ Texting; ○ Lync Voicemail (where substantive information is relayed); ○ Email; ○ Websites/forms/pages <p>Excludes communications for advisory councils, commissions, committees, or boards NOT related to County business.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Communication for Advisory Councils, Commissions, Committees and Boards</p> <p>ACO-01-014</p>	GS50-01-12R3
6.	<p><u>Continuing Professional Education (PFE)</u> Records documenting accumulation and completion of continuing professional education requirements for Auditors, as stipulated in the Yellow Book or office standards.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Records related to training courses taken or provided • Documentation of staff participation in • Credentialed training or other activities • Tracking spreadsheet • Records of attendance • Records monitoring employee compliance. 	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Continuing Professional Education Records</p> <p>PER-06-007</p>	GS2011-190R2

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7.	<p><u>Countywide Community Forums Program Project Files</u> Records documenting the organization of the Countywide Community forums – participatory educational and informational forums held to discuss current issues and provide feedback to County government. Records document the production of, and the final materials presented, including: reports, surveys, and presentations used at forums. Records document decisions related to forum topics, materials, focus, and pertinence; as well as demonstrate due process/unbiased information presented and analyzed, and participant selection.</p> <p>Records include, but are not restricted to:</p> <ul style="list-style-type: none"> • Survey, questionnaire (“Opinionnaire”) development and participants completed surveys; • Forum organization; • Forum press releases; • Background information including topic videos; • Forum welcome letters; • Certificate of forum participants; • General correspondence related to project; • Education material creation and review process; • Drafts of report; • Program evaluations <p>***Note: Program Discontinued</p>	<p>Cutoff: completion of project and final report produced</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Project Files ACO-02-001</p>	<p>GS50-01-39R1</p>

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8.	<p><u>Countywide Community Forums Program Report - Final</u> Final report produced from Countywide Community Forums project. Records document and analyze information produced and gather from community forum and forum survey. Records created to identify, chronicle, and analyze citizen communication and feedback on topics presented and discussed at Forum.</p> <p>Records include:</p> <ul style="list-style-type: none"> • Final Full Report • Summary Reports • Report Addendum 	<p>Cutoff: report submitted to Council</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Research/Program Reports, Studies, Surveys, Models, and Analyses</p> <p>ACO-02-002</p>	GS50-01-32R1
9.	<p><u>General Office Accounting</u> Office accounting records, including documentation around accounts payable, accounts receivable, and cash/banking activities.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Receipts; • Accounts payable and accounts receivable; • Cash and banking activity documentation; • Invoices; • P-Card records; • Purchase orders; • General and Subsidiary journals; • Bank deposit records. <p>Includes any expense monitoring records.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3

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10.	<p><u>General Office Correspondence, Meetings and Working Files</u> Records created, received and used when communicating within and outside the county on general topics related to the business of the County and the conduct of general office meeting. Includes records made or received in connection with the transaction of public business, <i>and that are not covered by a more specific records series</i>, (for example: Project Files, Audit Project Records, Budget Development, etc.)</p> <p>Includes, but is not limited to: <u>Communication/Correspondence:</u></p> <ul style="list-style-type: none"> • Requests for and provision of information/advice • Agency-initiated information/advice provided • Correspondence, email; • Web sites/forms/pages, social networking posts and comments, etc. • Communication regarding professional associations not specifically related to County business. <p><u>Working, reference, subject files:</u></p> <ul style="list-style-type: none"> • Reference or administrative working files containing information-only reference records. • Mailing and phone lists <p><u>Meeting records:</u></p> <ul style="list-style-type: none"> • Records documenting meetings. May include staff meetings, internal committees/task forces, and other groups that meet for various reasons (to plan activities, coordinate communications, solve problems, employee safety, etc.). Includes, but is not limited to: • Agendas, Meeting Minutes; Notices.; • Audio/visual recordings, transcripts, etc. 	<p>Cutoff: year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>Combo Rule ACO-01-001</p> <p>GS50-01-02 (Administrative Working Files)</p> <p>GS50-01-43R2 (Staff Meetings)</p> <p>GS2010-001R3 (Communications)</p>

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11.	<u>Payroll – Supporting Documents (Secondary)</u> Electronic and paper spreadsheets and other working documents that lead up to the final printed signed time reports, or data entry into PeopleSoft, used for paying employees.	Cutoff: no longer needed for agency business Retention: None	Disposition Action: Non-Archival - Destroy	PeopleSoft system 1/1/2012 to present	Payroll Supporting Documents FIN-08-006	GS50-03E-02R1(S)

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12.	<p><u>Performance Evaluation Background Files</u> Records used by employees with supervisory responsibilities to prepare and support the annual performance evaluations of employees under their supervision. Only includes records needed to support the completion of the performance evaluation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Performance plans • Confirmation of goals • Confirmation of achievements • Samples of work completed • Communication/meeting notes • Documentation of performance issues • Status reports, etc. <p>Excludes records needed to support <i>ongoing</i> supervision of the employee (see Supervisor’s Working Files).</p> <p>Excludes final signed performance evaluations (kept by Human Resources in the official Personnel File.)</p> <p>Note: This series only applies to KC Auditor’s Internal office-wide performance management. Team lead supervisory records associated with employee performance on a particular audit should be managed and maintained as part of the particular project which they are associated with.</p>	<p>Cutoff: Destroy once the performance review has been completed and appeal period has past</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1

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13.	<p>Projects – General Office Miscellaneous office-related projects where not covered by other more specific records series.</p> <p>Project materials may include:</p> <ul style="list-style-type: none"> • Work plans; • Project specific budgets; • Drafts; • Reference materials; • Correspondence; • Notes and documents related to final deliverable. <p>Projects may include:</p> <ul style="list-style-type: none"> • Creation of Capital Oversight Reporting Tools (when not related to particular project) • Review and analysis projects (ex: studies on data reliability, legislation development review, ad-hoc presentations to Council where not related to particular Audit Project. • Phone systems updates; IT software installation projects; <p><i>NOTE: Final project deliverable – such Analytical Reports, Presentation, or Report to Council may need to be retained under their specific records series. Records related to these final deliverables are the project working, development and review documentation.</i></p>	<p>Cutoff: project completed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Project Files ACO-02-001</p>	<p>GS50-01-39R1</p>

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14.	<p>Publications – Master Set Master set of all publications created by the agency, or on the agency’s behalf by a consultant. Also includes source materials (.pdfs, camera-ready copies, original photographs/digital images, etc.).</p> <p>Publications include, but are not limited to:</p> <ul style="list-style-type: none"> • Manuals, brochures; • Newsletters • Magazines, journals; • Maps, plans, charts; • Audio/video recordings and films/presentations published. <p>Excludes Final Reports covered under ACO-02-002 Research/Program Reports, Studies, Survey, Models, and Analyses.</p>	<p>Cutoff: no longer needed for agency business</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Master File of Agency Publications</p> <p>INF-02-001</p>	GS50-06F-04R4
15.	<p>Peer Reviews Reports, reviews, or analyses conducted by other outside professionals analyzing and assessing the performance and professionalism of the King County Auditor’s Office.</p>	<p>Cutoff: peer review complete and subsequent peer review period ends</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Research/ Program Reports, Studies, Surveys, Models, and Analyses</p> <p>ACO-02-002</p>	GS50-01-32R1

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16.	<p><u>Recruitment Files</u> Records documenting the recruitment and selection process for each advertised position.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Announcements; • Job Descriptions and Qualifications; • Working papers and notes; • Applicant list; • Interview questions and notes; • Selection, rating, scoring documentation; <p>Employee applications</p>	<p>Cutoff: end of year in which the successful candidate was chosen</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	HR / Council may also maintain recruitment and selection records for the Auditor's Office	Recruitment Files PER-10-002	GS50-04B-22R1
17.	<p><u>Strategic Plans - Development</u> Records relating to the development of the agency's strategic plan.</p>	<p>Cutoff: planning document finalized</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		Strategic Plans - Development ACO-04-002	GS2010-079
18.	<p><u>Strategic Plans - Final</u> Final version of agency-wide strategic, long-term plan used to align the agency's organizational and budget structure with its priorities, missions, and objectives.</p>	<p>Cutoff: plan revised or obsolete</p> <p>Retention: 2 years</p> <p>Permanent – transfer to the King County Archives</p>	<p>Disposition Action: Archival - Permanent</p>		Strategic Plans – Final ACO-04-003	GS2010-080

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19.	<p>Supervisor's Working Files Records compiled by supervisors about the progress, conduct and performance of employees under their supervision. Records are only used to support the ongoing supervision of the employee and exclude records that belong in the official personnel file; that document misconduct investigations or corrective action; or that document employee complaints/grievances.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Copies of performance evaluations; workplace expectations, documents related to long-term performance or career goals, emergency contact information, employee coaching documentation; advice or guidance <i>received</i> about ongoing issues relating to the employee; performance monitoring, etc. <p>Excludes records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files).</p> <p>Excludes Doctor's notes or any other medical certification, workers compensation claim documents, including the supervisor's report on the injury, any formal or informal legal claim by or about the employee, the employee's i-9 form, any workplace investigation materials regarding the employee, background investigation reports, personality or other test results, any non-job related information/personal information about the employee, etc. These records should be transferred to the Human Resources Office rather than retained in the Supervisor's Working File.</p>	<p>Cutoff: no longer supervising employee</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1A

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20.	<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) • Electronic documents when printed version is finalized with inked signature • General Information – External (FYI information received from external sources) • Unsolicited Materials/publications (Not requested nor used) • Basic/routine short-term communications that do not document decision making or agency actions and not covered by another category, such as – “I am running late this morning” or “Come see me at my desk when you can”) • Internet Browsing History (cookies/cache/temp files on your computer) • Organizing/Monitoring Work In Progress (to-do lists; working notes; status logs) • Records Documented as Part of More Formalized Records (Notes used for data entry; raw stats/survey responses consolidated into a larger report or record if not required for other uses) • Reference Materials (gathered from external sources which do not provide evidence of agency work) • Scheduling of Meetings/Appointments • Secondary (Duplicate) Copies 	<p>Cutoff: Until no longer needed for agency business</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>

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.

Ryan Wadleigh for



5/31/18

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.



08/31/2018

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.



11.17

Kimber Waltmanson

Date

PUBLIC RECORDS COMMITTEE USE ONLY - DO NOT FILL IN BEYOND THIS POINT

11. PRC APPROVAL



9/26/2018

Deborah Kennedy

Date

King County Public Records Committee