



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

Phone: (206) 477-6889
Email: records.management@kingcounty.gov
Mailstop: GBB-ES-0210

1. AGENCY DEPARTMENT/DIVISION/SECTION King County Council / Board of Appeals and Equalization	2. DEPARTMENT-DIVISION-SECTION [DDS] KCC-BOE-(ALL) / 040201	3. TOTAL NUMBER OF PAGES 12	4. DATE LAST MODIFIED January 29, 2018	5. STATUS Final	6. VERSION 2
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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</u> Internal instructions that provide guidance on any routine administrative procedure or protocol required for day to day operations. Includes work assignments to staff.</p> <p>Excludes official agency adopted policies covered by ACO-03-002.</p>	<p>Cutoff: revised or obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>	GS50-01-01

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2.	<p><u>Board of Appeals & Equalization Case Files</u> Records documenting the adjudicative proceedings of the King County Board of Appeals. Includes hearings and quasi-judicial actions which determine the legal rights, duties, or privileges of specific parties in a hearing or other contested case proceeding where NO land use decision is being appealed.</p> <p><u>Board of Appeals Case Files:</u></p> <ul style="list-style-type: none"> • Case files involving orders issued for violations of animal control laws, • Appeals of certain business license decisions; • Appeals of violations of minor zoning regulations; • Appeals of fire marshal decisions regarding fireworks permits; • Council authorized assessments for the lake management districts. <p><u>Board of Equalization Case Files:</u></p> <ul style="list-style-type: none"> • Changes to real and personal property valuations; • Denials of senior citizen/disabled persons exemptions; • Denials of home improvement exemptions; • Decisions regarding historic property; • Forest land classification determinations; • Current use determinations; • Destroyed property determinations; • Claims for either real or personal property tax exemptions. <p><u>Personnel Board Case Files:</u> Appeals hearing of any King County Career service member, initiated from any action pertaining to the methods of examination, appointment, or promotion; from any suspension for more than sixty days, reduction in rank or pay, or removal; and from any classification or reclassification of positions.</p> <p><i>(Continued on next page....)</i></p>	<p>Cutoff: case closed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival (Appraisal Required)*</p> <p>ESSENTIAL</p> <p>* The County Archivist has appraised Personnel Board Case Files as non-archival, and they will not be accessioned to the King County Archives.</p>		<p>Board of Appeals and Equalization Case Files</p> <p>ASR-02-001</p>	GS2011-173R2

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	<p><i>(Continued from previous page.)</i></p> <p>Record types may include:</p> <ul style="list-style-type: none"> • Case files, decisions/orders/rulings, minutes (if taken); • Oral and written testimony, exhibits, etc.; • Agendas, meeting/agenda packets (briefs, reference materials, etc.); • Audio/visual recordings and transcripts of proceedings. <p><u>Withdrawal and Stipulation – Requests/Communications</u></p> <ul style="list-style-type: none"> • This category also includes requests to withdraw case and case stipulation communications. These records (email communications indicate a request for closure of a case and are considered part of the case file. <p><u>Board Hearings Audio Recordings</u></p> <ul style="list-style-type: none"> • Audio file recordings of the Boards of Appeals, Equalization, and Personnel. <p><i>Note: Cases also managed electronically in KC Assessment’s Petition Case File Oracle Database. Records should be purged from database according to this schedule when capabilities become available.</i></p>					

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3.	<p>Contracts Original instruments signed by the Board of Appeals/Equalization and one or more parties which set out the terms and conditions to which the signing parties agree or submit, and that relate to capital asset ownership.</p> <p>Records may include but are not restricted to:</p> <ul style="list-style-type: none"> • Purchase agreements for postage machine service. • Lending agreements for equipment. <p>Excludes contracts where original retained with KCC / Administration.</p>	<p>Cutoff: completion of transaction or termination/ expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>	KCC / Administration may retain primary copies of some contracts or agreements.	Contracts, Agreements and Warranties CON-01-001	GS50-01-11R4

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4.	<p><u>General Office Communications and Staff Meetings</u> Records created, received, and used when communicating within and outside the county on general topics related to the business of the County general office meetings. 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. • Includes general advice provided to petitioners. • Agency-initiated information/advice provided • 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"> • Staff meetings, • Agendas, Meeting Minutes; Notices. 	<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>GS2011-179R1 (Training Arrangements)</p> <p>GS2010-001R3 (Communications)</p>

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5.	<p><u>Official Board Procedural Rules</u> Officially adopted policies, procedures, or rules affecting the scope of the Boards of Appeals/ Equalization or Personnel Board functions, duties, or authority. Includes changes in agency operations related to core functions or objectives.</p> <p>Rules or policies affected include:</p> <ul style="list-style-type: none"> • Rules of Practice and Procedures. <p>Records include:</p> <ul style="list-style-type: none"> • Policies or rules affecting the scope, focus, or type of hearings conducted. • Policies or rules affecting methods and decision making process in the appeals and hearings processes. • Policies or rules affecting the appointment or dismissal process of board members. 	<p>Cutoff: policy superseded or obsolete</p> <p>Retention: None</p> <p>Permanent-Transfer to the King County Archives</p>	<p>Disposition Action: Archival – Permanent Transfer</p> <p>ESSENTIAL</p>		<p>Final Adopted Policy ACO-03-002</p>	GS50-01-24R1
6.	<p><u>Payroll – Per Diem Sign-In Sheets - Secondary</u> Monthly sign-in sheets used to calculate per-diem for board members.</p>	<p>Cutoff: no longer needed for agency business</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival – Destroy</p>	Original copies retained with KCC / Administration	N/A – Should not be filed into KC ERMS	GS50-03E-02R1(S)

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7.	<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. <i>Only</i> 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>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 should be managed outside of KC ERMS</p>	GS50-04B-31R1
8.	<p><u>Project Files</u> Records documenting miscellaneous office project not covered by more specific categories.</p> <p>Records may include, but are not restricted to:</p> <ul style="list-style-type: none"> • Work plans, business cases, budgets, drafts, reference materials, correspondence, communication logs, notes and documents related to final deliverable. <p>Note: Final documents can have a longer retention period. Examples of project deliverables include final research/program reports, studies, surveys, models and analyses.</p>	<p>Cutoff: completion of project</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival (Appraisal Required)</p>		<p>Project Files</p> <p>ACO-02-001</p>	GS50-01-39R1

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9.	<p><u>Public Communications</u> Communications with members of the public making a complaint or request. Includes associated response.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Communications with the public regarding case information. • Communications include requests sent to the Board of Equalization and Personnel Board email boxes. <p>Excludes email related to case closures: withdrawal requests and stipulations which should be filed under category ASR-02-001.</p>	<p>Cutoff: year end in which issue resolved</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Public Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	GS50-01-09R2
10.	<p><u>Requests for Time Off</u> Original records requesting, granting or monitoring of family medical leave (FMLA), executive leave, leave donations, and overtime. Cumulative leave, leave balances, etc. are managed in the county payroll system. Records in this category support transactions in the payroll system.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Leave Management</p> <p>PER-09-002</p>	<p>Combo Rule PER-09-002</p> <p>GS50-04B-09R2 (Leave – Routine)</p> <p>GS2017-010 (Leave- Non-Routine)</p>
11.	<p><u>Security Card Applications</u> Records documenting the security badges issued to Board of Appeals/Equalization employees working for the agency and/or board member volunteers.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Request and approvals for access. <p>Excludes temporary cards if ever issued.</p>	<p>Cutoff: termination of user’s access or system no longer in use.</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Security ID Badge Application</p> <p>ASM-10-001</p>	GS2010-002R1

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12.	<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. (transfer to Human Resources Office)</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 should be managed outside of KC ERMS</p>	GS50-04B-31R1A

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13.	<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, 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: 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.

Gail Snow

2/2/2018

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

3/2/2018

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.

*JMG
3/18/18*

Michelle Geiger

Date

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

11. PRC APPROVAL

Deborah Kennedy

March 30, 2018

Deborah Kennedy

Date

King County Public Records Committee