



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
King County Executive's Office, Office Of Labor Relations	KCEO-OLR	14	5/4/2020	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: records 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						
Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
1.	<p><u>Budget Development, Working Files and Budget Requests</u></p> <p>Records that document the process of determining estimates of County future revenue and expenditures, and related to budget work for the OLR done by OLR's budget analyst. Budget development and working file provide background for the departmental budget request. Includes the final budget requests, work plans, and business plans sent to the Executives' Office for submission to the King County Council. Includes OLR-specific final budget.</p>	<p>Cutoff: Budget adopted</p> <p>Retention: 4 Years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Development, Working Files and Budget Requests</p> <p>BUD-01-001</p>	GS50-03D-03
2.	<p><u>Budget Forecasts, Status and Financial Reports</u></p> <p>Records that document the status of the County budget and related to budget work for the OLR done by OLR's budget analyst. Includes all types of periodic reports compiled by OLR as per statute, charter or agency policy, as well as ad hoc reports created for research and review. May include: Budget status reports, including reporting on OLR's work plan.</p>	<p>Cutoff: Year End</p> <p>Retention: 3 Years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Forecasts, Status and Financial Reports</p> <p>BUD-01-002</p>	GS50-03D-06

Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
3.	<p>Public Complaints and Requests for Agency Action Documents communications from citizens making a complaint or request for agency action, as well as the OLR's response.</p> <p>May include: Initial complaint; Research into issue; Related work orders implementing agency's action(s); Final response from OLR.</p>	<p>Cutoff: End of year in which issue 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
4.	<p>Contracts, Agreements and Warranties Documents the activity of managing contracts and agreements entered into by OLR and the processes involved in the development of such contracts and agreements, the legal liabilities and responsibilities assigned to OLR.</p> <p>May include: Service Level Agreement; Warranties; Hold Harmless Agreements; Communications recording negotiations including all budgetary and compensation analysis and information requests.</p>	<p>Cutoff: Completion of transaction or termination/expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Contracts, Agreements and Warranties</p> <p>CON-01-001</p>	GS50-01-11R4

Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
5.	<p><u>OLR Employee and Union Grievance</u> Documentation of employee grievances filed by employee or union with representing union regarding unfair firing, labor, condensation practices, etc.</p> <p>May include: Correspondence; Reports of on-going investigation; Request for arbitration; OLR recommendations; Final report at resolution of issue. Information Requests, all supporting documentation for the case. Excludes civil rights violation complaints and appeal hearings records of the local decision-making body.</p>	<p>Cutoff: Case settlement date or date of final decision.</p> <p>Retention: 6 years</p>	<p>Disposition Action Not Archival - Destroy</p>		<p>OLR Employee and Union Grievance</p> <p>PER-08-011</p>	GS50-04E-03R2
6.	<p><u>Employment Eligibility Documents</u> Documents used to verify employment eligibility within the United States.</p> <p><i>Note: Reference 8 CFR §24a.2 (2)(A).</i></p> <p>May include: Federal I-9 forms; Passport copies; Copies of valid driver’s license; Copies of certificate of naturalization.</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employment Eligibility Documents/ Immigration and Naturalization Services (INS) Form I-9</p> <p>PER-10-005</p>	GS50-05A-26R2

Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
7.	<p>Employee Leave Management Records requesting, granting of monitoring family medical leave (FMLA), executive leave, leave donations, and overtime. Records in this category support transactions in the payroll system. Cumulative leave, leave balances, etc. are managed in the County payroll system.</p> <p>May include: Approved or denied leave forms; Approved or denied overtime requests; Completed leave donation forms.</p>	<p>Cutoff: Year end Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Leave Management PER-09-002</p>	<p>Combo Rule PER-09-002</p>
8.	<p>Executive, Agency Directors and Division Directors Communications, Meetings and Working Files Internal and external communications to or from the OLR's executive management, that are made or received in connection with the transaction of public business, and that are not covered by a more specific records series</p> <p>Excludes non-executive communications, public records requests, official meeting minutes and agendas for advisory or governing bodies, and correspondence by Council members or on behalf of Council members.</p> <p>May include: Correspondence/subject/issue files; Social networking posts and comments needed to document County business; Public opinion polls; Informational reports.</p>	<p>Cutoff: Year end Retention: 6 years</p>	<p>Disposition Action: Archival – Appraisal Required</p>		<p>Executive, Agency Directors and Division Directors' Communications, Meetings and Working Files ACO-01-002</p>	<p>Combo Rule ACO-01-002: GS50-01-09R1 (Citizens' Complaints/Requests) GS50-01-12R3 (Communications) GS50-01-02 (Subject and Issue Files)</p>

Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
9.	<p><u>General Advisory Councils, Committees, Commissions and Boards</u> Official records of the activities of advisory councils, committees, commissions and boards.</p> <p>May include: Agenda packets and all related materials; Audio/visual recordings of meetings; Meeting minutes; Documents produced by advisory body, e.g., reports, policy drafts, and transmittals to governing bodies.</p> <p>Excludes members' personal notes, memos and correspondence with the advisory body which should be retained under ACO-01-001: General Office Communications, Meetings and Working Files.</p>	<p>Cutoff: Year-end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival – Appraisal Required</p>		<p>Meetings/Projects – General Advisory Councils, Committees, Commissions and Boards</p> <p>ACO-01-013</p>	<p>GS2012-027</p>
10.	<p><u>General Office Accounting</u> Originals and copies of office accounting records, including documentation around accounts payable, accounts receivable, and cash/banking services.</p> <p>May include: Vouchers; Receipts; Cash account documentation; Petty cash records; Purchase orders; Bank deposit records.</p>	<p>Cutoff: Year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	<p>Combo Rule FIN-01-001:</p> <p>GS2011-184R3 (Financial Transactions - General),</p> <p>GS2011-185 (Banking - Accounts and Transactions)</p>

Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
11.	<p><u>General Office Communications, 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 meetings.</p> <p>Excludes records of executive communications, administration of councils/committee/commissions/board, the official County policies.</p> <p>May include: General correspondence; Meeting minutes and agendas; Administrative procedures and instructions; Forms and templates; Mailing lists; Working/reference files.</p>	<p>Cutoff: Year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>General Office Communications, Meetings and Working Files</p> <p>ACO-01-001</p>	<p>Combo Rule ACO-01-01-001:</p>
12.	<p><u>Labor Agreements – OLR</u> Official labor agreement as approved by King County Council ordinance; includes wage addendums.</p> <p>May include: MOAs bargained in the interim that amend, interpret or alter the current Labor Agreement.</p>	<p>Cutoff: Termination of Contract</p> <p>Retention: 60 years.</p>	<p>Disposition Action: Archival – Appraisal Required</p>		<p>Labor Agreements – Office of Labor Relations</p> <p>PER-01-007</p>	<p>GS50-01-11-R4D</p>

Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
13.	<p><u>Labor Agreement Administration - OLR</u> Documentation of the business activity of administering a labor contracts and agreements.</p> <p>May include: Correspondence; Interpretive guidance regarding contract terms. LMC or special attention meetings not related to grievance or negotiation.</p>	<p>Cutoff: Completion of transaction or termination/ expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Labor Agreement Administration – Office of Labor Relations</p> <p>PER-01-001</p>	GS50-01-11R4
14.	<p><u>Labor Agreement Negotiation, Implementation and Compensation Management - OLR</u> Documents the business activity of negotiation, implementation and compensation for labor agreements.</p> <p>May include: Copies of MOAs being included, multiple redlines including drafts of articles, all proposals and what “if’s”. Market Comp data, personal notes, research, info requests</p>	<p>Cutoff: Termination of contract</p> <p>Retention: 60</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Labor Agreement Negotiation, Implementation and Compensation Management – Office of Labor Relations</p> <p>PER-01-006</p>	GS50-01-11-R4D

Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
15.	<p>Union Arbitration and Litigation Records Records document disputes between the county and unions and settled through arbitration. Includes: Arbitration; Personnel Board hearings; and Public Employment Relations Commission (PERC) hearings.</p> <p>May include: Pleadings; Correspondence; Attorney notes; Research; Exhibits; Case management documents; Orders; Rulings.</p>	<p>Cutoff: Case settlement date or date of final decision.</p> <p>Retention: 10 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>Union Arbitration and Litigation Records</p> <p>PER-01-003</p>	GS50-01-11R4A
16.	<p>Ordinance Development and Transmittal Files Documentation of the analysis and development of ordinances submitted for the approval of the agency's governing council, commission or board.</p>	<p>Cutoff: Approval or decision not to proceed</p> <p>Retention: 3 years</p>	<p>Disposition Action: Archival – Appraisal Required</p>		<p>Ordinance Development and Transmittal Files</p> <p>LES-02-002</p>	GS50-01-25R1
17.	<p>Performance Evaluation Background Files 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: performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports, etc.</p> <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: Once the performance review has been completed and appeal period has ended</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1

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18.	<p>Personnel Files Documents the history of an individual's employment with King County, from the application for a job to termination records.</p> <p>May include: Pre-hire background checks; Identification; Hire letter; Records of employment status; Position description and job classification; Citations; Letters of recommendation; Evaluations of applications of recognition for non-college credit courses; Performance appraisals.</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>Personnel Files</p> <p>PER-06-002</p>	<p>GS50-04B-06R4</p>
19.	<p>Policy Development Files Working files containing correspondence, research and drafts related to the development of agency policy.</p>	<p>Cutoff: Completion of Project</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival – Appraisal Required</p>		<p>Policy Development Files</p> <p>ACO-03-001</p>	<p>GS50-01-39R1</p>

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20.	<p>Project Files Documents miscellaneous projects not covered by more specific categories.</p> <p>Excludes grant funded projects, capital improvements, construction, and water and sewer system projects. NOTE: Final documents may have a longer retention period.</p> <p>May include: Work plans; Budgets; Drafts; Reference materials; Communication logs; Notes and documents related to final deliverables.</p> <p>Examples from OLR: Payroll studies; FLSA surveys; Compensation review reports not associated with negotiations.</p>	<p>Cutoff: Completion of Project</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Project Files ACO-02-001</p>	GS50-01-39R1
21.	<p>Public Disclosure and Records Requests A formal records request, as well as the file that documents the County's response to the request.</p> <p><i>See RCW42-56: Washington State Public Records Act</i></p> <p>May include: Original request and subsequent correspondence with requester; Copies of records disclosed; Copies of records redacted or withheld from disclosure in their entirety; Directives to staff associated with records collection. Some information may be specifically stored with a grievance or negotiation file.</p>	<p>Cutoff: Public records request completed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Public Disclosure and Records Requests INF-01-002</p>	GS2010-014R3

Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
22.	<p>Research/Program Reports, Studies, etc. The final publication in projects where the deliverable (product) is a research/program report, study, survey, model or analyses.</p> <p>This category is for the final publications only. Preliminary work leading to the final report is kept as project files.</p> <p>Examples from OLR: Payroll studies; FLSA surveys; Compensation review reports. Those associated with a negotiation should be kept with the negotiation file</p>	<p>Cutoff: When obsolete or superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival – Appraisal Required</p>		<p>Research/Program Reports, Studies, Surveys, Models and Analyses</p> <p>ACO-02-002</p>	GS50-01-32R1

Item No.	Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
23.	<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. Includes, but is not limited to: 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> <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 staff member or agency that retains your human resources records (including personnel files) 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: Not Archival - Destroy</p>		<p>N/A Records Managed Outside of KC ERMS</p>	<p>GS50-04B-31R1A</p>

Certification

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.

Ellie Browning

5/1/2020

Ellie Browning

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.

Danielle Boucher

May 1, 2020

Danielle Boucher

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.

DocuSigned by:

Janet Parks

4/27/2020

2024 44 388339637

[Manager Name]

Date

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

11. PRC APPROVAL

Deborah Kennedy

May 11, 2020

Deborah Kennedy

Date

King County Public Records Committee