



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
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1. AGENCY DEPARTMENT/DIVISION/SECTION

Executive Office/Performance, Strategy, and
Budget/Continuous Improvement

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

KCEO-PSB-(CI)-Continuous
Improvement

**3. TOTAL NUMBER OF
PAGES**

10

**4. DATE SUBMITTED
FOR APPROVAL**

8/20/2018

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. DISPOSITION AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
1.	<p><u>Agency-Provided Training – General</u> Records documenting training courses, seminars and workshops presented to King County employees related to countywide Lean and Continuous Improvement (CI) initiatives.</p> <p>Training topics include Lean and CI basics, Change Management, Teambuilding, etc.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Activities conducted during the training, tests administered, etc.; • Attendee lists and sign-in sheets, evaluations, etc.(not retained by HRD) <p>Excludes:</p> <ul style="list-style-type: none"> • <i>Agency-provided training covered by GS2011-180 R1; Excludes employee training certificates/history retained in the employee’s personnel file</i> 	<p>Cutoff: date training provided</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Agency Provided Training – General</p> <p>ACO-10-001</p>	GS2011-181R1
2.	<p><u>Agency-Provided Training – Curriculum Development</u> Records relating to the development of training courses, seminars and/or workshops related to Lean tools and principles. Includes research, materials development, etc.</p> <p>Examples include: Instructor notes Handouts and worksheets PowerPoint presentations Outline of training</p> <p>Excludes final curriculum and materials for mandatory, certificated or hours/credit earned covered by GS2011-180 R1.</p>	<p>Cutoff: curriculum no longer provided</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Agency-Provided Training – Curriculum and Materials Development</p> <p>ACO-10-002</p>	GS2011-178R1

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3.	<p><u>Communications – General</u> Communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of county business, and that are not covered by a more specific records series. Also includes communications with external individuals or agencies acting as business partners or contractors for the county.</p> <p>Includes records related to coaching staff and leaders; providing advice on Lean, Continuous Improvement and Best Run Government tools and resources, meetings and communications with staff and leadership.</p> <p>Includes all communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, social networking posts and comments, etc.), meeting minutes, scoping notes/agreements.</p> <p>Excludes the provision of routine/administrative information (i.e. office hours or locations) (Transitory).</p> <p>Excludes communications of, or on behalf of, department heads, division heads or elected officials (see category ACO-01-002).</p> <p>Note: Information/advice published online by the agency continues to be “provided” until the date it is removed/withdrawn.</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>	GS2010-001R3

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4.	<p><u>Communications – Division and Deputy Director</u> Communications to and from CI team, primarily with the King County Council.</p> <p>Includes but is not limited to Communications to and from Council related to the status of continuous improvement efforts throughout the County.</p> <ul style="list-style-type: none"> •Requests for and provision of information/advice and county-initiated information/advice, sent or received by elected officials or executive management team. •Meetings held among agency and department directors, as well as councilmembers and independently elected officials. <p>Includes all communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, social networking posts and comments, etc.</p>	<p>Cutoff: Year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Elected Officials, Department and Division Heads Communications, Subject and Issue Files</p> <p>ACO-01-002</p>	<p>Combo Rule ACO-01-002</p> <p>GS50-01-12R3 (Communications – Governing/Executive/Advisory)</p> <p>GS50-01-36 (Appointment Calendars)</p>
5.	<p><u>Lean Project Files</u> Records relating to Lean and continuous improvement projects facilitated by the Continuous Improvement team. Records include project charters, project communications, meeting minutes, assessments, improvement measurement tools, closeout documents.</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>	<p>GS50-01-39R1</p>

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6.	<p><u>Newsletters</u> Master set of all newsletter publications created by the CI team. Records include source materials (.pdfs, camera-ready copies, original photographs/digital images, etc.) Records include newsletter publications regardless of format including Word documents, web pages, blogs, .pdfs, email-based publications, as well as paper format records).</p> <p>Excludes <i>external</i> newsletters covered under GS50-02-03, <u>General Information – External</u>.</p> <p>See also <u>Publications – Master Set</u> for publications which are not newsletters.</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
7.	<p><u>Outreach and Promotion</u> Records related to the planning and/or execution of educational or promotional campaigns to promote Lean, Continuous Improvement, Best-run Government, or other Executive sponsored initiatives in King County.</p> <p>Records may include event programs and schedules, graphics, photographs, PowerPoint slides, audio and visual recordings, posters, brochures, flyers, web-based/social media promotion and advertising, educational resources and correspondence.</p>	<p>Cutoff: end of year in which record is superseded or no longer needed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Advertising, Promotion and Outreach</p> <p>PRE-01-005</p>	GS2011-165

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8.	<p><u>Performance Measures</u> Records created as a result of analyzing, assessing, measuring, or collecting data related to internal process or program performance in an effort to meet the performance goals, and/or as part of the agency's work or strategic plan. May include performance plans, responses to ad hoc requests for performance related data and information requested by Council, statistics and reports used internally, performance related presentations, etc. Information may be used to in an effort to assist with developing the agencies budget or strategic plan. Includes snapshots of Tier 2 and Tier 3 boards.</p> <p>Examples: Vision/mission/goal statements</p> <p>Excludes project-specific records (see Project Files) or final strategic or business plans (see Strategic Plans Final).</p>	<p>Cutoff: revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Performance Measures</p> <p>ACO-01-018</p>	GS50-01-38R2
9.	<p><u>Strategic and Work Plans – Development</u> Records relating to the development of the agency's plans, including strategic plans, work plans and Line of Business (LOB) plans.</p> <p>Records may include meeting agendas and minutes, communications, A3s and substantive drafts of vision/mission/goal statements.</p> <p>Note: Final LOB plans reside with agency and PSB LOB team</p>	<p>Cutoff: completion of plan</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Strategic and Work Plans - Development</p> <p>ACO-04-002</p>	GS2010-079

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10.	<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: 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>	All Agencies: 3 years after no longer supervising employee	Disposition Action: Not Archival - Destroy		N/A Records Managed Outside of KC ERMS	GS50-04B-31R1

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11.	<p><u>Transitory Records</u> Public records that only document information of temporary, short-term value, and do not contain substantive information or other evidence of county business that warrant retention and are not covered by a more specific records series.</p> <p>Some of these types of records may include:</p> <ul style="list-style-type: none"> • Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of community affairs, holidays, etc.); • Preliminary drafts of letters, memoranda, reports, work sheets, spreadsheets, presentations, and informal notes, etc., which do not represent significant basic steps in the preparation of record document(s); • Routing slips used to direct the distribution of documents; • Shorthand notes, stenotype tapes, and mechanical records, after they have been transcribed into typewritten or printed form on paper or microfilm; • Telephone messages (including voicemail, digital voice messages, etc.) which do not contain substantive information or other evidence of county business which warrants retention • Letters of transmittal which do not add any substantive information to the transmitted materials. <p><i>Note: Not all drafts are automatically transitory. Offices responsible for drafting legislation, legal documents, policy, budgets, standards, guidelines, or procedures might need to track the evolution of the final document. These offices may need to keep various drafts, research and working materials in order to have a record of changes that were made and why.</i></p>	Transitory, retain until no longer needed for agency business			N/A Records Managed Outside of KC ERMS	GS50-02-05 R1

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12.	<p>Work Plans Final plans describing work to be performed by the Continuous Improvement Team. Plans may be created annually and updated as needed.</p> <p>Records include timelines and activities, areas of responsibility for specific actions, meeting agenda and minutes, A3s and progress updates.</p> <p><i>Excludes county-wide, department-wide or division-wide strategic plans covered by GS2010-080.</i></p>	<p>Cutoff: When revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Work Plans ACO-04-004</p>	GS50-01-38R2

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 12/19/2018
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.

Jay Mahan 9/10/18
[Manager Name] Date

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL

Deborah Kennedy 12/28/2018
Deborah Kennedy Date
King County Public Records Committee