



# 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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Email: [records.management@kingcounty.gov](mailto:records.management@kingcounty.gov)  
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#### 1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Information Technology / Business Analysis  
Service

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

KCIT-BAS-(ALL) / 212201

#### 3. TOTAL NUMBER OF PAGES

9

#### 4. DATE LAST MODIFIED

February 22, 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><b><u>Accounting Records - Secondary</u></b> Records are used to document payment for goods and services received.</p> <p>May include:</p> <ul style="list-style-type: none"> <li>• Invoices; Purchase orders; Vouchers; Receipts.</li> </ul>	<p><b>Cutoff:</b> year end</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b></p>	KCIT / Business and Finance Support	N/A	GS2011-184R3(S)
2	<p><b><u>Business Analysis Projects – non-CIP</u></b> Business Analysis projects that result in proposed IT solutions to business problems. Solutions include, but are not limited to: applications, application modifications, business process improvements, data transmission projects, vendor reviews, interface designs, training, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Requirements development, testing records, training development, cost benefit analyses, business cases, workflow diagrams, specifications, road maps, statements of work, etc.</li> </ul> <p><b>Excludes</b> projects that lead to, or are related to, Capital Improvement IT Projects (see item 3 below).</p>	<p><b>Cutoff:</b> completion of project</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Note: <i>a select few</i> applications have “noteworthy” value; contact the King County Archivist for advice on projects for these applications.</p>		IT Applications – Planning and Review  INF-04-003	GS50-06A-01R3

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3	<p><b><u>Business Analysis Projects – CIP</u></b> Business Analysis projects that result in proposed IT solutions to business problems. This series is specific to Business Analysis Service projects that directly relate or lead to <b>Capital Improvement IT Projects</b>.</p> <p>Solutions include, but are not limited to: applications, application modifications, business process improvements, data transmission projects, vendor reviews, interface designs, training, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Requirements development, testing records, training development, cost benefit analyses, business cases, workflow diagrams, specifications, road maps, statements of work, etc.</li> </ul>	<p><b>Cutoff:</b> completion of project or terms of grant agreement, whichever is later</p> <p><b>Retention:</b> 10 years</p>	<p><b>Disposition Action:</b> Potentially Archival – Appraisal Required</p>		<p>IT Projects</p> <p>INF-04-014</p> <p>Note: IT Projects must be filed in the KCIT-ITP-(ITP) DDS / 213001</p>	GS50-18-10R1
4	<p><b><u>Business Analysis Service Maturity Files</u></b> Records documenting projects and the development and creation of deliverables that are <b>not related to a more specific record series</b>.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Development of methodologies and best practices not related to a specific BA project; Business Analysis Service development.</li> </ul> <p>May include inventory sheets, correspondence, meeting records, substantive drafts, and additional supporting documentation.</p> <p><b>Excludes</b> projects for the individual engagement of Business Analysis Service (see items 2 and 3).</p>	<p><b>Cutoff:</b> completion of project</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Potentially Archival – Appraisal Required</p>		<p>Project Files</p> <p>ACO-02-001</p>	GS50-01-39R1

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5	<p><b><u>General Communications and Meeting Files</u></b> Internal and external communications to or from employees (includes contractors and volunteers) that are made or received in connection with the transaction of public business, and that are <b>not related to a specific project or covered by a more specific records series</b>. Includes all communication types, regardless of format: Correspondence, email; Web sites/forms/pages, social networking posts and comments, etc. Includes, but is not limited to: Requests for and provision of information/advice that do not result in BA engagement; Agency-initiated information/advice; Meeting minutes and agendas.</p> <p><i>Note: Information/advice published online by the agency continues to be "provided" until the date it is removed/withdrawn.</i></p>	<p><b>Cutoff:</b> communication received or provided</p> <p><b>Retention:</b> 2 years</p>	<b>Disposition Action:</b>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>Combo Rule ACO-01-001</p> <p>GS2010-001R3 (Communications)</p> <p>GS50-01-43R2 (Staff Meetings)</p>

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6	<p><b><u>Performance Evaluation Background Files</u></b> Records used by employees with supervisory responsibilities to prepare and support the annual performance evaluations of employees under their supervision. <b>Only</b> 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"> <li>• Performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports, etc.</li> </ul> <p><b>Excludes</b> records needed to support <i>ongoing</i> supervision of the employee (see Supervisor’s Working Files).</p> <p><b>Excludes</b> final signed performance evaluations (kept by Human Resources in the official Personnel File.)</p>	<p><b>Cutoff:</b> performance review has been completed and appeal period has past</p> <p><b>Retention:</b> None</p>	<b>Disposition Action:</b>		N/A  Records Managed Outside of KC ERMS	GS50-04B-31R1

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7	<p><b>Supervisor's Working Files</b> Records compiled by supervisors about the progress, conduct and performance of employees under their supervision. Records are <b>only</b> used to support the ongoing supervision of the employee and <b>exclude</b> 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"> <li>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.</li> </ul> <p><b>Excludes</b> records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files).</p> <p><b>Excludes</b> 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><b>Cutoff:</b> no longer supervising employee</p> <p><b>Retention:</b> 3 years</p>	<p><b>Disposition Action:</b> Non-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>Transitory Records</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>• <b>Agency-Generated Forms and Publications – Copies</b> (Copies of unused forms)</li> <li>• <b>Brainstorming and Collaborating</b> (Notes, mind maps, white board collaboration notes, post-its, A3, flip charts)</li> <li>• <b>Contact Information</b> (external clients or stakeholders)</li> <li>• <b>Drafting and Editing</b> (Preliminary drafts with only editing suggestions, notes, and related correspondence if they do not document decision making or substantive changes)</li> <li>• <b>Electronic documents when printed version is finalized with inked signature</b></li> <li>• <b>General Information – External</b> (FYI information received from external sources)</li> <li>• <b>Unsolicited Materials/publications</b> (Not requested nor used)</li> <li>• <b>Basic/routine short-term communications</b> 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”)</li> <li>• <b>Internet Browsing History</b> (cookies/cache/temp files on your computer)</li> <li>• <b>Organizing/Monitoring Work In Progress</b> (to-do lists; working notes; status logs)</li> <li>• <b>Records Documented as Part of More Formalized Records</b> (Notes used for data entry; raw stats/survey responses consolidated into a larger report or record if not required for other uses)</li> <li>• <b>Reference Materials</b> (gathered from external sources which do not provide evidence of agency work)</li> <li>• <b>Scheduling of Meetings/Appointments</b></li> <li>• <b>Secondary (Duplicate) Copies</b></li> </ul>	<p><b>Cutoff:</b> Dispose of when no longer needed</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b> 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>

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9	<p><b><u>Veteran Mentorship Records</u></b> Records documenting mentorship provided to military veteran cohorts through county-sponsored program. Includes, but is not limited to: meeting notes and veteran profile information.</p> <p><i>Note: these records are not related to a function of the KCIT Business Analysis office. They are records held by a single employee of the Business Analysis office, for a program managed by King County DES / Human Resources Division.</i></p>	<p><b>Cutoff:</b> case closed</p> <p><b>Retention:</b> 6 years</p>	<b>Disposition Action:</b>	DES / Human Resources Division	<p>N/A</p> <p>These records should be managed outside of the KC ERMS</p>	SS50-25-08



