



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Information Technology / Business and
Finance Support

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

KCIT-BFS-(ALL) / 210101

**3. TOTAL NUMBER OF
PAGES**

13

**4. DATE LAST
MODIFIED**

February 23, 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>Accounting Records</u> Records documenting all resources received and expended by the agency; where KCIT is the primary record-keeper.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Billing authorizations, procurement request forms (PRF), initiation forms (IF), invoices, vouchers, receipts, deposit slips, purchasing card (p-card) records, journal entries, statements, justifications, notifications, and reports. 	<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
2	<p><u>Accounting Records – Grants</u> Records documenting all resources received and expended by the agency for bond, levy or grant-funded projects; where KCIT is the primary record-keeper.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Billing authorizations, procurement request forms (PRF), initiation forms (IF), invoices, vouchers, receipts, deposit slips, purchasing card (p-card) records, journal entries, statements, justifications, notifications, and reports. 	<p>Cutoff: final bond payment, completion of levy/grant project or terms of grant agreement , <i>whichever is later</i></p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Financial Transactions – Bond, Grant and Levy Projects</p> <p>FIN-01-017</p>	<p>Combo Rule FIN-05-001</p> <p>GS2011-183R2</p>
3	<p><u>Asset Inventories</u> Annual inventories of the County’s IT Assets. Records used to support the information security program and for resource management and planning purposes. Information may include asset type, equipment identification/serial/model numbers, vendor and licensing information, asset location, etc.</p>	<p>Cutoff: completion of inventory</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Inventory of Assets (Non-Real Property)</p> <p>ASM-05-003</p>	GS50-03A-18R1

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4	<p><u>Audit Development Records</u> Records used to respond to an internal/external audit of King County agencies' program management. Includes, but is not restricted to: Copies of original source records; database printouts; correspondence; corrective action work plans; status reports; additional supporting documentation; other cumulative data on audit issues.</p>	<p>Cutoff: completion of audit, 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 Materials</p> <p>AUD-01-002</p>	GS50-03F-01
5	<p><u>Audit Reports</u> Final findings of audits conducted of County services, programs, or practices by the King County Auditor (or via contracted company acting on behalf of the County Auditor's Office), or by an outside auditing agency (State, Federal, Independent, etc.)</p>	<p>Cutoff: audit reported completed and all corrective actions taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>	The King County Auditor retains the primary copy of audits conducted by the county	<p>Audit Reports and Findings</p> <p>AUD-01-003</p>	GS50-03F-02
6	<p><u>Bids and Proposals – Successful</u> Records documenting bids and proposals made by other parties to provide the agency with goods, services, revenue, or other benefits which are accepted by the agency. Includes, but is not limited to: Request for proposal or bid (RFP), request for qualifications/quotations (RFQQ), specifications, etc.; Notices (filed with county clerk, newspaper, etc.); Bid proposals, evaluation documents, statements of qualification, applications, etc.</p> <p>Excludes primary copies retained by DES / FBOD / Procurement and Contract Services.</p>	<p>Cutoff: completion of purchase or fulfillment of contract</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	DES / FBOD / Procurement and Contract Services	<p>Bids and Proposals – Successful</p> <p>CON-01-011</p>	GS50-08A-01R1

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7	<p><u>Bids and Proposals – Unsuccessful</u> Records documenting bids and proposals to provide the agency with goods, services, revenue, or other benefits, which are not accepted by the agency. Includes bid proposals, evaluation documents, statements of qualification, applications, etc. If agency decides not to proceed with purchase or agreement, records also include: request for proposal or bid (RFP), request for qualifications/quotations (RFQQ), specifications, etc.</p> <p>Excludes primary copies retained by DES / FBOD / Procurement and Contract Services.</p>	<p>Cutoff: year end</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	DES / FBOD / Procurement and Contract Services	<p>Bids and Proposals – Unsuccessful</p> <p>CON-01-009</p>	GS50-08A-11R1
8	<p><u>Budget Development Records</u> Background information and draft documents compiled in the course of budget preparation. Records include but are not limited to provisioning, strategic map rates for the KCIT Biennial budget and various mid-year supplemental budget requests. Includes, but is not limited to: cost benefit analyses, order forms, pricing/rate sheets, budget drafts, responses to questions during review process, final copy of budget sent to KCEO/PSB.</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
9	<p><u>Budget Status Reports</u> Records include period budget status reports for proposed and actual spending. Includes reports, revisions, comments, and monitoring records.</p>	<p>Cutoff: year end or completion of State Auditor’s examination report</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Budget Status Reports</p> <p>BUD-01-002</p>	GS50-03D-06

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10	<p><u>Contracts – Primary</u> Instruments signed by the county and one or more parties that set out terms and conditions to which the signing parties agree or submit where KCIT / BFS retains the primary copy. Includes, but is not limited to I-Net contracts and service level agreements with title companies. Specific records may include the signed instrument, change orders, amendments, certificates of insurance and administrative records needed to document the signatories' compliance with the terms of the contract.</p>	<p>Cutoff: closeout/termination of contract or agreement</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Contracts, Agreements and Warranties</p> <p>CON-01-001</p>	GS50-01-11R4
11	<p><u>Contracts – Secondary</u> Instruments signed by the county and one or more parties that set out terms and conditions to which the signing parties agree or submit where the original is held and managed by Procurement and Contract Services, including vendor contracts. Includes, but is not limited to: copies of contract, verifications, waivers, RFP development and correspondence. Specific records may include the signed instrument, change orders, amendments, certificates of insurance and administrative records needed to document the signatories' compliance with the terms of the contract.</p>	<p>Cutoff: Dispose of when no longer needed for agency business, but retain no longer than 6 years after closeout/termination of contract or agreement *</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>*Records needed to document contract compliance and administration, where FBOD is NOT the primary record keeper, should be retained by KCIT under series <u>Contracts - Primary</u></p>	DES / FBOD / Procurement and Contract Services	N/A	GS50-01-11R4 (S)

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12	<p><u>General Communications and Meeting Files (Internal)</u> 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 not covered by a more specific records series. 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; Agency-initiated information/advice; Meeting Minutes and agendas; Records sent to FBOD</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: 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>GS2010-001R3 (Communications)</p> <p>GS50-01-43R2 (Staff Meetings)</p>
13	<p><u>Leases – Primary</u> Official documentation of leases for property or equipment leased by and from other parties and agency property leased to the public.</p> <p>Note: Includes records needed to document administration of lease, where FMD or FBOD is NOT the primary record keeper.</p>	<p>Cutoff: termination of lease</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>	<p>Real property: DES / FMD / RES</p> <p>Equipment: DES / FBOD / PCCS</p>	<p>Leases</p> <p>ASM-06-001</p>	<p>GS50-01-11R4</p>

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14	<u>Leases – Secondary</u> Secondary copies of lease documentation for property or equipment leased by and from other parties and agency property leased to the public.	Cutoff: Dispose of when no longer needed for agency business Retention: No longer than 6 years after termination of lease*	Disposition Action: Non-Archival – Destroy *Records needed to document administration of lease, where FMD or FBOD is NOT the primary record keeper, should be retained by KCIT under series <u>Leases - Primary</u>	Real property: DES / FMD / RES Equipment: DES / FBOD / PCCS	N/A	GS50-01-11R4(S)
15	<u>Legislative Development Project Files</u> Files document KCIT involvement in the legislative process. Records include but are not limited to analysis, comments, and position documentation/presentations to Council.	Cutoff: approval or decision not to proceed Retention: 3 years	Disposition Action: Potentially Archival – Appraisal Required		Ordinance, Motion and Resolution Development and Transmittal Files LES-02-002	GS50-01-25R1
16	<u>Online Directory Updates</u> Records documenting the publishing of the County's online directory. Includes, but is not limited to: Requests/approvals to update directory; Confirmation of updates	Cutoff: online content is removed Retention: 1 year	Disposition Action: Non-Archival - Destroy		Online Content Management INF-04-006	GS2010-007

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17	<u>Payroll – Direct Deposit Authorization and Cancellation</u> Records that authorize the use of paying an employee’s wages by direct deposit, rather than a traditional check and related cancellation authorization.	Cutoff: cancellation of direct deposit Retention: 6 years	Disposition Action: Non-Archival - Destroy	2012-present: PeopleSoft System	Direct Payroll Deposit Authorization and Cancellation FIN-08-011	GS50-03E-01R1
18	<u>Payroll – IRS Forms</u> Various Internal Revenue Service forms necessary for processing payroll. Includes, but is not limited to: W-2, W-4, W-9, 1099 and INT 941.	Cutoff: year end Retention: 5 years	Disposition Action: Non-Archival - Destroy	2012-present: PeopleSoft System	Tax Forms – Federal FIN-08-007	GS50-03A-17R1
19	<u>Payroll – Leave Donation Records</u> Records that authorize leave to be donated to another employee’s payroll account.	Cutoff: expiration of leave period Retention: 6 years	Disposition Action: Non-Archival - Destroy	2012-present: PeopleSoft System	Leave Donations FIN-08-004	Combo Rule PER-09-002 GS2017-010 (Leave Non-Routine) GS50-04B-09R2 (Leave- Routine)
20	<u>Payroll – PeopleSoft Reports and Updates</u> Reports generated from PeopleSoft that are used to verify, modify and authorize payroll processing. Includes <i>Time Entry Reports</i> and <i>Payroll Status Reports</i> . Also includes requests for and updates to Reports To and Combo Code fields in PeopleSoft.	Cutoff: year end Retention: 4 years	Disposition Action: Non-Archival - Destroy		Payroll Supporting Documentation FIN-08-006	Combo Rule FIN-08-006 GS50-03E-15R1 (Employee Pay History) GS50-03E-02R1 (Payroll Processing, Distribution and Reporting)

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21	<p><u>Project Files</u> Records documenting projects and the development and creation of deliverables that are not related to a more specific record series.</p> <p>May include inventory sheets, correspondence, meeting records, substantive drafts, and additional supporting documentation.</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
22	<p><u>Reports, Surveys, and Analyses</u> Research/program reports, studies, surveys, models and analyses. Includes but is not limited to reports submitted to Council and cost-benefit analyses for departmental projects.</p> <p>Excludes Budget Development reports covered by GS50-03D-03 and records managed in Innotas.</p>	<p>Cutoff: obsolete or superseded</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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23	<p><u>Retirement Benefit Verification Records</u> Records that are used for verification of eligibility for retirement benefits. Records include information for individual employees that describe hours worked per month, compensation earned per month, hourly rate of pay, and break in service dates. Records also describe dates and types of leaves and lump sum payments.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> • Payroll register, individual employee pay history, payroll reports, and other records that include the information listed above. • Application for enrollment/participation/elections/extensions • Determination and notification of eligibility or ineligibility • Contract/agreement • Appointment letters, salary and employment dates <p>Contains records from GS50-03E-22 (Payroll Register), GS50-003E-15 (Individual Employee Pay History – Retirement Related), GS50-03E-04 (Time Cards/Time Sheets)</p>	<p>Cutoff: Termination of employment or year end (depending on agency record organization)</p> <p>Retention: 60 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Retirement Benefit Verification Records</p> <p>FIN-08-002</p>	GS2017-009

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24	<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 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-31R1C

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25	<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: Retain until no longer needed</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

2/26/2018

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

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.

Christine Chou

Christine Chou

Date

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

11. PRC APPROVAL

Deborah Kennedy

9/26/2018

Deborah Kennedy

Date

King County Public Records Committee