



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
Department of Information Technology / Chief
Information Officer

**2. DEPARTMENT-DIVISION-
SECTION [DDS]**
KCIT-CIO-(ALL) / 210201

**3. TOTAL NUMBER OF
PAGES**
9

**4. DATE LAST
MODIFIED**
February 28, 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 - Secondary</u> Records are used to document payment for goods and services received. May include: Invoices; Purchase orders; Vouchers; Receipts.</p>	<p>Cutoff: year end Retention: 2 years</p>	<p>Disposition Action:</p>	<p>KCIT / Business and Finance Support</p>	<p>N/A</p>	<p>GS2011-184R2(S)</p>
2	<p><u>General Communications and Meetings (CIO)</u> Internal and external communications to or from the chief information officer (CIO), that are made or received in connection with the transaction of county business, and that are not covered by a more specific record series. Includes communications by supporting staff acting on behalf of chief information officer. Includes, but is not limited to: 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; Received legal advice.</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 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)</p> <p>GS50-01-43R1 (Meetings)</p>

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3	<p><u>General Communications and Meetings (non-CIO)</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 (including internal and external committees and boards).</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>
4	<p><u>Leadership Development and Strategic Alignment Curriculum Materials</u> Records documenting the development of assessments and coaching materials including research, surveys and other template plans.</p>	<p>Cutoff: curriculum no longer provided by agency</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Agency-Provided Training – Curriculum and Materials Development</p> <p>ACO-10-002</p>	<p>GS2011-178R1</p>

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5	<p><u>Leadership Development Training and Assessments</u> Records documenting training provided to employees including presentations and one-one-one coaching sessions. Includes the curricula, materials presented, handouts (introductory and debriefing), and coaching assessment notes.</p> <p>Assessment records are not considered part of the Employee Performance Appraisal but are geared towards coaching communication in alignment with the strategic plan, leadership characteristics and competencies.</p>	<p>Cutoff: training provided</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Agency Provided Training – General</p> <p>ACO-10-001</p>	GS2011-181R1
6	<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. 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: 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 Filed Managed of KC ERMS</p>	GS50-04B-31R1

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7	<p><u>Policy Development Files</u> Files document the development of countywide or departmental policies. Includes drafts, research, supporting documents, correspondence, etc.</p>	<p>Cutoff: policy approved, rejected, or abandoned</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Policy Development Files</p> <p>ACO-03-001</p>	GS50-01-39R1
8	<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. Includes: contract development, Employee Giving Program Initiative development and Equity and Social Justice Initiative development.</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
9	<p><u>Strategic Alignment Models and Metrics</u> Records related to the development and update of department quad charts, Tier boards, and other department metrics showing impediments, progress, and alignment to the strategic plan.</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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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 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-31R1A

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11	<p>Transitory Records 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: Dispose of when 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>

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12	<p><u>Travel Coordination Records</u> Records document time and cost authorization for employee training/travel incurred while conducting county related business. May include: Pre-authorization forms; Approval memos; Initial request from employee; Itineraries; Cost estimates; Request form with supervisor's signature.</p>	<p>Cutoff: year end Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Communications and Staff Meetings ACO-01-001</p>	GS2010-001R3

<p>8. RECORDS AND INFORMATION MANAGER SIGNATURE <i>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.</i></p> <p><i>See original for signature</i> <i>10-31-2014</i></p> <hr style="width: 80%; margin-left: 0;"/> <p>Gail Snow Date</p>	<p>9. COUNTY ARCHIVIST SIGNATURE <i>I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.</i></p> <p><i>See original for signature</i> <i>11/04/2014</i></p> <hr style="width: 80%; margin-left: 0;"/> <p>Carol Shenk Date</p>
<p>10. AGENCY MANAGER SIGNATURE <i>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.</i></p> <p><i>See original for signature</i> <i>10/9/2014</i></p> <hr style="width: 80%; margin-left: 0;"/> <p>Bill Kehoe Date</p>	
<p>PUBLIC RECORDS COMMITTEE USE ONLY - DO NOT FILL IN BEYOND THIS POINT</p>	
<p>11. PRC APPROVAL</p> <p><i>See original for signature</i> <i>11/19/2014</i></p> <hr style="width: 80%; margin-left: 0;"/> <p>Deborah Kennedy Date King County Public Records Committee</p>	