



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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1. AGENCY DEPARTMENT/DIVISION/SECTION Department of Information Technology / Deputy Chief Information Officer	2. Department/Division/Section (DDS) Number KCIT-DCIO-(ALL) / 212001	3. TOTAL NUMBER OF PAGES 7	4. DATE SUBMITTED FOR APPROVAL October 15, 2014	5. STATUS Final APPROVED
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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 KC ERMS will be dispositioned from within the KC ERMS and documentation will be maintained by the Records Management Program. Disposition of records managed outside of the KC ERMS must be documented on forms provided by the Records Management Program at <http://kcweb.metrokc.gov/archives/forms.aspx>. Transitory records may be destroyed within the normal course of agency business without the use of any destruction forms.

7. LIST OF RECORDS SERIES						
7a. ITEM NO.	7b. TITLE/DESCRIPTION	7c. RETENTION	7d. REMARKS/ARCHIVAL DESIGNATION	7e. OFFICE OF PRIMARY COPY	7f. KC ERMS Category	7g. STATE DISPOSITION AUTHORITY NUMBER (DAN)
1	<u>Accounting Records - Secondary</u> Records are used to document payment for goods and services received. May include: Invoices; Purchase orders; Vouchers; Receipts.	2 years after year end		KCIT / Business and Finance Support	N/A	GS2011-184 R2(S)

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2	<p><u>General Communications and Meeting Files</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. Includes, but is not limited to: Requests for and provision of information/advice; Agency-initiated information/advice; Meeting Minutes and agendas including program and special group staff meetings as well as one-on-one meetings. Note: Information/advice published online by the agency continues to be “provided” until the date it is removed/withdrawn.</p>	2 years after year end			<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>GS2010-001 R3 (Communications)</p> <p>GS50-01-43 R1 (Staff Meetings)</p>
3	<p><u>General Communications (CIO and DCIO)</u> Internal and external communications to or from the Deputy Chief Information Officer (DCIO), employees acting on behalf of the DCIO and for employees acting on behalf of the Chief Information Officer (CIO).</p> <p>Includes all communication types, regardless of format: Correspondence, email. Includes, but is not limited to: Requests for and provision of information/advice; Agency-initiated information/advice; Meeting Minutes and agendas including program and special group staff meetings as well as one-on-one meetings.</p> <p>Note: Information/advice published online by the agency continues to be “provided” until the date it is removed/withdrawn.</p>	6 years after year end	Potentially Archival – Appraisal Required		<p>Elected Officials, Department and Division Heads Communications, Subject and Issue Files</p> <p>ACO-01-002</p>	<p>GS50-01-12 R3 (Communications)</p> <p>GS50-01-43 R1 (Meetings)</p>

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4	<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>	Destroy once the performance review has been completed and appeal period has past			N/A Records Managed Outside of KC ERMS	GS50-04B-31
5	<p><u>Policy Development Files</u> Files document the development of countywide or departmental policies. Includes drafts, research, supporting documents, correspondence, etc.</p>	6 years after policy approved, rejected, abandoned	Potentially Archival – Appraisal Required		Policy Development Files ACO-03-001	GS50-01-39 R1
6	<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>	6 years after completion of project	Potentially Archival – Appraisal Required		Project Files ACO-02-001	GS50-01-39 R1

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7	<p><u>Reporting – Not Required</u> Research/program reports, studies, surveys, model and analyses that are not covered by a more specific record series. Includes, but is not limited to: metrics; activity reports such as annual summary of travel; high level conceptual review reports</p> <p>Excludes reports, surveys and plans that are mandated/required (GS2012-028).</p>	6 years after obsolete or superseded	Potentially Archival – Appraisal Required		Research/Program Reports, Studies, Surveys, Models and Analyses ACO-02-002	GS50-01-32 R1
8	<p><u>Strategic Plan Development</u> Records relating to the development of the agency strategic plan.</p>	2 years after completion of plan			Strategic Plans – Development ACO-04-002	GS2010-079

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9	<p><u>Supervisor's Working Files</u> 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>	3 years after no longer supervising employee			N/A Records Managed Outside of KC ERMS	GS50-04B-31

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10	<p><u>Transitory Records</u> Transitory records contain information that is required for only a short period of time to facilitate the completion of a routine action or the preparation of a subsequent record. Transitory records are not required to document the County's decisions, actions, or legal obligations. Includes, but is not limited to: Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of community affairs, employee meetings, 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; Data entry forms, notes, tapes, and mechanical records, after they have been transcribed into typewritten or printed form on paper or microfilm; Letters of transmittal, which do not add any information to the transmitted materials.</p>	Dispose of when no longer needed			N/A	GS50-02-05 R1
11	<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>	2 years after year end			General Office Communications and Staff Meetings ACO-01-001	GS2010-001 R3

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.

See original for signature *10-31-2014*

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.

See original for signature *11/04/2014*

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.

See original for signature *10/16/2014*

Jayne Pendergast **Date**

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

11. PRC APPROVAL

See original for signature *12/12/14*

Deborah Kennedy **Date**

King County Public Records Committee