



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 / Human Resources	2. Department/Division/Section (DDS) Number KCIT-HR-(ALL) / 210601	3. TOTAL NUMBER OF PAGES 16	4. DATE SUBMITTED FOR APPROVAL January 21, 2015	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>Administrative Procedures and Instructions</u> Documentation of internal office policies, procedures and guidelines related to routine day-to-day operations such as instructions for “hiring well” and alternative work schedules. Records may include advisory memos, manuals documenting departmental policies and procedures, handbooks, desk manuals, supporting background materials and related documentation.</p> <p>Excludes official agency policies covered by GS50-01-24.</p>	2 years after revised or obsolete			Administrative Procedures and Instructions ACO-03-004	GS50-01-01
3	<p><u>Civil Rights Enforcement Files</u> Documentation of KCIT investigations of complaints of civil rights violations occurring within the county's jurisdiction, where civil litigation has not commenced. Complaints may be made by employees, county contractors, county volunteers, students or the general public. Includes, but is not limited to: Complaints, investigations, witness statements, evidentiary documents; Notifications, communications, contact logs, notes; Findings, settlement agreements, post-finding materials.</p> <p>Excludes Employee Grievances records.</p>	6 years after referral to jurisdictional agency, settlement, withdrawal or closure	Potentially Archival – Appraisal Required	DES / Office of Civil Rights and Open Government	Civil Rights Enforcement Files ACO-05-012	GS50-04C-04 R1

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4	<p><u>Contracts and Agreements</u> Instruments signed by County agencies and one or more parties that set out terms and conditions to which the signing parties agree. Includes contract for background checks.</p> <p>Includes, but is not limited to: Financial reports; And other records needed to administer the contract/agreement and demonstrate compliance with terms; Contract modifications and extensions.</p>	6 years after closeout/termination of contract or agreement			Contracts, Agreements and Warranties CON-01-001	GS50-01-11 R3
5	<p><u>Employee Award Records</u> Records related to employee award tracking programs such as recognition of outstanding performance, merit, length of service, incentive plans, etc. May include recommendations, approved nominations, tracking, appreciation letters and additional related information.</p>	2 years after date of award	Potentially Archival – Appraisal Required		Employee Award Files PER-06-003	GS50-04B-44
6	<p><u>Employee Corrective Action and Probation Documents</u> Records related to investigations and disciplinary actions. May include actions taken to correct employee behaviors that are negatively impacting his or her work. May include non-retaliation agreements, fact finding reports, management recommendations, decision letters, policies and procedures, last chance agreements, reprimands, correspondence, and additional supporting documentation.</p>	7 years after termination of employment			Employee Corrective Action and Probation PER-08-007	GS50-04B-46 R2

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7	<p><u>Employee Leave Records</u> Records documenting requesting, granting or monitoring employee leave; including: family medical leave (FMLA), executive leave, and overtime.</p>	4 years after year end			Employee Leave Management PER-09-002	GS50-04B-09 R1
8	<p><u>Employee Complaints and Grievances</u> Documentation of action and investigation into general complaints and grievances filed by employees.</p> <p>Includes, but is not limited to: Notices of grievance; Discussion notes; Hearing transcripts; Correspondence; Appeal documentation.</p> <p>Excludes grievances filed by unions on behalf of union members (see Labor Agreement Administration).</p>	7 years after termination of employment			Employee Grievances PER-08-001	GS50-04E-03 R1

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9	<p><u>General Communications and Meetings</u> Internal and external communications to or from employees (includes contractors and volunteers) that are made or received in connection with the transaction of KCIT 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; Agency-initiated information/advice about general/non-human resources issues; Consultation with Project Management Office; Meeting Minutes and agendas (including committees and general staff meetings).</p> <p>Note: Information/advice published online by the agency continues to be “provided” until the date it is removed/withdrawn.</p>	2 years after communication received or provided			General Office Communications and Staff Meetings ACO-01-001	GS2010-001 R3 (Communications) GS50-01-43 R1 (Staff Meetings)
10	<p><u>Human Resources Advice Files</u> Communications <i>from</i> Human Resources staff, which provide advice in response to particular human resources issues and questions. Includes, but is not limited to: advice provided on performance appraisal process; human resources policy interpretation; advice on individual reclassification requests, etc.</p>	4 years after year end			Human Resources Advice Files PER-06-011	GS2010-001 R3
11	<p><u>INS I-9 Forms</u> Records document verification of eligibility to work in the United States. May include: Federal I-9 forms; Passport copies; Copies of valid driver’s license; Copies of certificate of naturalization.</p>	3 years after termination of employment			Employment Eligibility Documents Immigration and Naturalization Services (INS) Form I-9 PER-10-005	GS50-05A-26 R1

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12	<p><u>Labor Agreement Administration</u> Documents related to administration and modification of labor agreements. Includes grievances filed by the union on behalf of union members.</p> <p>Excludes secondary copies of records.</p>	6 years after termination of agreement		Office of Labor Relations	Labor Agreement Administration PER-01-001	GS50-01-11 R3
13	<p><u>Meetings – Advisory</u> Records documenting all meetings of KCIT’s advisory bodies. Includes, but is not limited to: agendas, meetings/agenda packets, speaker write-ups, written testimony; audio/visual recordings and transcriptions of proceedings, minutes, indexes and finding aids.</p>	6 years after year end	Potentially Archival – Appraisal Required		Meetings/Projects - General Advisory Councils, Commissions, Committees and Boards ACO-01-013	GS2012-027
14	<p><u>Misconduct Investigation Files – Founded</u> Records related to official investigations of employee misconduct that result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective action, correspondence and notes. Includes, but is not limited to: Non-retaliation agreements; Fact finding reports; Management recommendations; Decision letters; Policies and procedures; Last chance agreements; Written reprimands; Correspondence.</p> <p>Note: the investigative summary report should be filed in the Personnel File, GS50-04B-06.</p>	7 years after termination of employment			Employee Misconduct Investigation Files – Sustained PER-08-005	GS50-04B-46 R2

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15	<p><u>Misconduct Investigation Files - Unfounded</u> Records related to official investigations of employee misconduct that do not result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective action, correspondence, and notes.</p> <p>Excludes investigative summary report covered by GS50-04B-06, Personnel File.</p> <p>Excludes workplace violence case files covered by GS50-05A-24.</p>	4 years after settled			Employee Misconduct Investigation Files – Unfounded PER-08-006	GS50-04B-47 R2
16	<p><u>Personnel Files – Employment History</u> Files contain information related to an employee’s employment and benefit history.</p> <p>Includes, but is not limited to: Application for employment when applicant is hired; Resumes; Background checks; Performance evaluations and awards; Job classifications; Position descriptions; Out-of-class documentation; Confidentiality agreements; Sustained misconduct investigations and disciplinary actions.</p>	7 years after termination of employment			Personnel File PER-06-002	GS50-04B-06 R3

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17	<p><u>Personnel Files - Medical</u> Files contain information related to an employee's on-the-job injury or exposure to hazardous materials.</p> <p>Includes, but is not limited to: Medical information related to the employee's health and ability to perform their job; Incident reports; Modified work forms; ADA cards; Medical evaluation reports; Hearing tests; Claim closure documentation; Doctor's notes.</p>	30 years after termination of employment			Employee Medical Records PER-07-001	GS50-04B-30 R1
18	<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. Examples include: policy development files, organizational development projects; goal setting presentations; ongoing services; classification series or specification reviews and; agency-wide layoff decision making; and integrating Lominger competencies into employee development activities.</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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19	<p><u>Recruitment and Hiring Records</u> Files document the recruitment and selection process for KCIT positions. Includes, but is not limited to: Newspaper announcements; Position descriptions; Applicant lists; Interview questions; Screening criteria; Telephone screening notes; Test results including pass/fail pre-employment physical test results; Background check authorization; Drug test results; Applications and/or resumes for candidates not hired.</p>	3 years after end of year in which the successful candidate was chosen			Recruitment Files PER-10-002	GS50-04B-22
20	<p><u>Requisition/Personnel Action Request</u> May contain position specifications, needs analysis, and authorization signatures.</p>	3 years after year end			Employment Requisition/ Personnel Action Request PER-10-001	GS50-04B-17
21	<p><u>Reporting - Required</u> Reports and plans that are required to be submitted to other agencies, such as the King County Council. Includes, but is not limited to: Equal Employment Opportunity (EEO) reporting.</p>	6 years after report or document submitted	Potentially Archival – Appraisal Required		Reporting/Filing (Mandatory) – Agency Management ACO-02-004	GS2012-028 R1

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22	<p><u>Reporting – Not Required</u> Research/program reports, studies, surveys, model and analyses that are not covered by a more specific record series and that is not related to a specific advisory board. Includes, but is not limited to: metrics and staffing activity reports.</p> <p>Excludes reports, surveys and plans that are mandated/required (see item 21).</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

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23	<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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24	<p><u>Training - Development</u> Records relating to the development of training courses, seminars and/or workshops. Includes research, materials development, etc.</p> <p>Excludes final curriculum and materials covered by GS2011-180, Agency-Provided Training – Certificated, Hours/Credits Earned, or Mandatory</p>	2 years after curriculum no longer provided by agency			<p>Agency-Provided Training – Curriculum and Materials Development</p> <p>ACO-10-002</p>	GS2011-178 R1
25	<p><u>Training – Mandatory</u> Records documenting training courses, seminars and workshops provided by KCIT / Human Resources to the public, customers, contractors, or agency employees where: Certificates/credentials/licenses may be awarded; or, Continuing education hours/credits/points may be earned; or Training is required by federal, state or local statute or by employer.</p> <p>Records include, but are not limited to: Curricula, materials presented, tests administered, etc.; Attendee lists and sign-in sheets, test results, evaluations, etc.</p>	6 years after training provided			<p>Agency-Provided Training – Certification, Continuing Education Credits and Mandatory</p> <p>PER-11-005</p>	GS2011-180 R1

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26	<p><u>Training – Non-Mandatory</u> Records documenting training courses, seminars and workshops provided by KCIT / Human Resources to the public, customers, contractors, or agency employees where: Certificates/credentials/licenses are NOT awarded; and, Continuing education hours/credits/points are NOT earned; and Training is NOT required by federal, state or local statute or by employer. Records include, but are not limited to: Curricula, materials presented, tests administered, etc.; Attendee lists and sign-in sheets, test results, evaluations, etc.</p> <p><i>Excludes:</i> <i>Agency-provided training covered by GS2011-180;</i> <i>Excludes employee training certificates/history retained in the employee's personnel file;</i> <i>Financial records covered in the Financial Management function.</i></p>	3 years after training provided			Agency Provided Training – General ACO-10-001	GS2011-181 R1

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27	<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
28	<p><u>Whistleblower Investigation Reports</u> Records document investigations of allegations of fraud or violations of state laws or regulations. Also includes documentation of investigations into alleged retaliation against individuals making such allegations.</p>	6 years after case closed			Whistleblower Investigation Reports PER-08-008	GS50-04B-25

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29	Work Logs Documentation of day-to-day tasks or projects assigned to and/or completed by individual staff or crews. Includes, but is not limited to tracking special duty and TLT assignments.	3 years after year end			Work Logs PER-02-002	GS50-04B-29
30	Workplace Violence Case Files Case files document incidents involving internal workplace violence. Includes investigation, treatment, follow-up, correspondence, corrective measures, etc. May include secondary copies of documentation filed in an individual's personnel file.	6 years after case closed* <i>*"Case closed" is the point in time when all investigation and follow-up have been resolved, and no further investigation or follow-up is required.</i>			Workplace Violence Case Files PER-08-009	GS50-05A-24

