



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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<b>1. AGENCY DEPARTMENT/DIVISION/SECTION</b> Department of Information Technology / IT Service Delivery Managers	<b>2. Department/Division/Section (DDS) Number</b> [all KCIT-ITSDMS offices: DAJD, DCHS, DES, DNRP, DOT, DPD, DPER, DPH, KCC, KCDC, KCIT]	<b>3. TOTAL NUMBER OF PAGES</b> 8	<b>4. DATE SUBMITTED FOR APPROVAL</b> July 27, 2015	<b>5. STATUS</b> 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	<b><u>Accounting Records - Secondary</u></b> 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><b><u>Advertising and Promotions</u></b> Records include outreach materials for KCIT promotions including Service Day events.</p>	2 years after end of year in which record is superseded or no longer needed	Potentially Archival – Appraisal Required		Advertising, Promotion and Outreach  PRE-01-005	GS2011-165
3	<p><b><u>Contracts, Agreements, and Warranties</u></b> Instruments signed by the county and one or more parties that set out terms and conditions to which the signing parties agree or submit. Includes change orders. Includes, but is not limited to Inter-agency, intra-agency, inter-governmental, inter-local agreements.</p> <p>Records include Service Level Agreements between KCIT and other King County Agencies as well as agreements made between KCIT services.</p>	6 years after completion of transaction or termination / expiration of instrument			Contracts, Agreements and Warranties  CON-01-001	GS50-01-11 R3
4	<p><b><u>General Office Communications and Staff Meetings</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 KCIT business, and that are <b>not 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; Assistance with eDiscovery and public disclosure; Agency-initiated information/advice; Meeting Minutes and agendas (including 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)

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5	<p><b>IT Projects</b> Records that document the operations and oversight or governance of IT Projects from initial planning and design through final design, implementation and closeout processes. Includes all IT Projects or initiatives efforts over 80 hours of time, Capital Improvement or small Projects as well as major/enterprise IT Projects, infrastructure, funded from other sources, including grants. Including operational, PRB, Department oversight projects.</p> <p>Includes, but is not limited to: requests for proposals, change orders; schedules; staff reports; reports to Council; funding release requests; contracts; budget, project plans and procurement information; project communications with the Office of Labor Relations, the Prosecuting Attorney's Office, customers, partner jurisdictions (when applicable); strategy; metrics, cost-benefit analysis (CBA), Benefits Achievement Plan (BAP), etc.</p>	10 years after completion of project or terms of grant agreement, whichever is later	Potentially Archival – Appraisal Required		<p>IT Projects INF-04-014</p> <p>Note: IT Projects must be filed in the KCIT-ITP- (ITP) DDS / 213001</p>	GS50-18-10 R1

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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: performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports, etc.</p> <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>	Destroy once the performance review has been completed and appeal period has ended			N/A	GS50-04B-31
7	<p><b><u>Policy Development Files</u></b> Files document the development of countywide or departmental policies regarding KCIT services and capacities, gaps in Federal and County Law concerning technological changes, agency needs, etc.</p> <p>Includes drafts, research, supporting documents, correspondence, etc.</p>	6 years after policy approved	Potentially Archival – Appraisal Required		Policy Development Files  ACO-03-001	GS50-01-39 R1

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8	<p><b><u>Project Files</u></b> Records documenting projects and the development and creation of deliverables that are not related to a more specific record series. Includes: conceptual review, budget review, design and implementation.</p> <p>May include inventory sheets, correspondence, meeting records, substantive drafts, cost-benefit analyses, and additional supporting documentation.</p> <p><b>Excludes</b> IT Projects (see item 5).</p>	6 years after completion of project	Potentially Archival – Appraisal Required		Project Files  ACO-02-001	GS50-01-39 R1
9	<p><b><u>Research, Reports, Studies, and Analyses</u></b> Research/program reports, studies, surveys, models and analyses that are not covered by a more specific record series. Includes, but is not limited to: metrics; service owner reports, presentations to Council, etc.</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
10	<p><b><u>Security Incidents and Investigations</u></b> Records Documenting security incidents and investigations relating to KCIT infrastructure, vehicles, equipment, supplies, electronic systems, networks, applications, and electronic records/data.</p> <p>May include, but is not limited to: incident reports, reports of theft or loss, police reports, service logs, browser histories, cloned copies of hard drives, correspondence, notes, actions taken and analyses.</p>	6 years after investigation completed or matter resolved, whichever is later			Security Monitoring - Incident  INF-04-010	GS2010-008 R1

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11	<p><b><u>Supervisor's Working Files</u></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: 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><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>	3 years after no longer supervising employee			N/A	GS50-04B-31

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12	<p><b><u>Training and Education</u></b> Records documenting training provided to employees including presentations and one-one-one education sessions concerning KCIT topics. Includes the curricula, materials presented, and handouts.</p>	3 years after training provided			Agency Provided Training – General  ACO-10-001	GS2011-181 R1
13	<p><b><u>Transitory Records</u></b> 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

