



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 / Operations and Business Solutions / Technology Products	<b>2. Department/Division/Section          (DDS) Number</b> KCIT-OBS-(TP) / 211004	<b>3. TOTAL NUMBER OF          PAGES</b> 11	<b>4. DATE SUBMITTED          FOR APPROVAL</b> November 23, 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>Accounting Records - Secondary</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	General Office Communications and Staff Meetings  ACO-01-001	GS2010-001 R3

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2	<p><b><u>Budget Development Records - Secondary</u></b> Background information and draft documents compiled in the course of budget preparation. Records include but are not limited to records about burn rate, radio reserve and excise tax. Includes, but is not limited to: cost benefit analyses, order forms, pricing/rate sheets, budget drafts, responses to questions during review process, etc.</p>	2 years after year end		KCIT / Business and Finance Support	General Office Communications and Staff Meetings  ACO-01-001	GS2010-001 R3
3	<p><b><u>Change Requests – Secondary</u></b> Records documenting request for and confirmation of changes/modifications to configurations and settings of the agency’s applications, databases, and websites.</p>	2 years after year end		KCIT / Strategy and Architecture	General Office Communications and Staff Meetings  ACO-01-001	GS2010-001 R3
4	<p><b><u>Contract Development Records</u></b> Records that are used to facilitate the development and communication about service-related contracts for technologies such as headsets, landlines and other devices, where the contract is managed by KCIT Business and Finance Support (BFS).  Includes, but is not limited to: communications with vendors, evaluations, technical specifications, invoices received, vendor meetings, etc.</p>	2 years after year end		KCIT / Business and Finance Support	General Office Communications and Staff Meetings  ACO-01-001	GS2010-001 R3

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5	<p><b><u>General Communications and Staff Meetings</u></b> Internal communications to or from employees (includes contractors and volunteers) that are made or received in connection with the transaction of county 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; Agency-initiated information/advice; Meeting Minutes and agendas; metrics reported internally; records provided to Public Records Officer in support of a Public Disclosure Request.</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 year end			General Office Communications and Staff Meetings  ACO-01-001	GS2010-001 R3 (Communications)  GS50-01-43 R1 (Staff Meetings)
6	<p><b><u>Knowledge Base Documents</u></b> Documentation of known issues and possible solutions to those issues. Records are used to assist staff in effectively and consistently responding to requests; and to assist county users by providing them resources to resolve issues on their own.</p>	2 years after revised or obsolete			Administrative Procedures and Instructions  ACO-03-004	GS50-01-01
7	<p><b><u>Logs – Call Detail Records (CDR) and Fax</u></b> Logs that document usage of telephones or faxes by county employees.</p>	365 days after date log created			N/A  Records should be managed outside of KC ERMS	GS50-06A-05 R2

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8	<p><b><u>Logs - Other</u></b> Records are computer generated logs that document performance and health monitoring of devices and systems. Includes, but is not limited to: system logs.</p> <p>Note: copies of system logs that were captured in the event of a security breach are transmitted to and retained by the appropriate agency security office.</p> <p><b>Excludes</b> Call Detail Record Logs and Fax Logs (see above).</p>	<p>Destroy when no longer needed for agency business*</p> <p>* data is overwritten routinely during normal system processes</p>			<p>N/A</p> <p>Records should be managed outside of KC ERMS</p>	GS2012-037
9	<p><b><u>Directory Updates</u></b> Records documenting the publishing of the County's online directory.</p> <p>Includes, but is not limited to: Requests/approvals to update directory; Confirmation of updates</p>	<p>1 year after online content is removed</p>			<p>Online Content Management</p> <p>INF-04-006</p>	GS2010-007

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10	<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  Records should be managed outside of KC ERMS	GS50-04B-31

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11	<p><b><u>Project Files – IT Solutions</u></b> Records related to projects that result in proposed IT solutions to business problems. Solutions include, but are not limited to: applications, application modifications, business process improvements, data transmission projects, vendor reviews, interface designs, training, etc.</p> <p>Includes, but is not limited to: requirements development, testing records, training development, cost benefit analyses, business cases, workflow diagrams, specifications, statements of work, etc.</p> <p><b>Excludes</b> projects that lead to, or are related to, Capital Improvement IT Projects.</p> <p><b>Excludes</b> project records that are needed for the ongoing support of the solution for the duration of its use by the agency.</p>	6 years after completion of project	Note: <i>a select few</i> applications have “noteworthy” value; contact the King County Archivist for advice on projects for these applications.		IT Applications – Planning and Review  INF-04-003	GS50-06A-01 R2
12	<p><b><u>Project Files - General</u></b> Records documenting projects and the development and creation of deliverables that are not related to a more specific record series. Includes development of standards and best practices.</p> <p>May include inventory sheets, correspondence, meeting records, substantive drafts, and additional supporting documentation.</p> <p><b>Excludes</b> grant-funded projects, capital projects or infrastructure projects (see IT Projects).</p> <p><b>Excludes</b> projects that result in application development or other IT solutions.</p>	6 years after completion of project	Potentially Archival – Appraisal Required		Project Files  ACO-02-001	GS50-01-39 R1

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13	<b><u>Reporting</u></b> Reports that document the performance of Technological Products or reports that are compiled and sent by the Tech Products team.	1 year after inspection or monitoring completed, and corrective actions taken, if necessary			Inspection/Monitoring Non-Regulated  ASM-14-002	GS2012-037
14	<b><u>Road Maps and Planning</u></b> Records that are used to document internal task planning by the Unified Communications team.	2 years after revised or obsolete			Work Plans  ACO-04-004	GS50-01-38 R1
15	<b><u>Scripts and Architecture Documents</u></b> Records that are essential to support applications and systems for the duration of their use by the agency. Technical scripts are used to perform certain tasks in systems or applications, such as enabling users or pulling data from the system.	Dispose when superseded or when application or version is no longer in use	ESSENTIAL		IT Applications – Technical Design and Implementation  INF-04-001	GS50-06A-03 R2

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16	<p><b>Supervisor's Working Files</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  Records should be managed outside of KC ERMS	GS50-04B-31



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17	<p><b><u>Support Records</u></b> Records used to document support provided to county employees for existing applications or technologies. Includes, but is not limited to: troubleshooting incidents, resolving issues and deploying fixes.</p>	2 years after year end		<p>Helptickets:  KCIT Service Center / LANDesk</p>	<p>General Office Communications and Staff Meetings  ACO-01-001</p>	GS2010-001 R3
18	<p><b><u>System Configuration Records</u></b> Records that document the technical design of any systems or applications used by the agency. Includes, but is not limited to: configuration documentation, source codes, design details, etc.</p>	Dispose when application or version is no longer in use, and all records within the application have been migrated or dispositioned			<p>IT Applications – Technical Design and Implementation  INF-04-001</p>	GS50-06A-03 R2
19	<p><b><u>Templates</u></b> Blank forms, templates and samples used by county employees as reference to aid them in completing future projects and tasks.  <i>Note: copies of records retained as samples or templates should be identified as being reference copies, and searchable data should be redacted or removed from the templates.</i></p>	Destroy when no longer needed			<p>N/A  Records should be managed outside of KC ERMS</p>	GS50-02-02
20	<p><b><u>Training Development</u></b> Records relating to the development of training courses, seminars and/or workshops. Includes research, materials development, etc.  <b>Excludes</b> final curriculum and materials covered by Training Provided (below).</p>	2 years after curriculum no longer provided			<p>Agency-Provided Training – Curriculum and Materials Development  ACO-10-002</p>	GS2011-178 R1

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21	<p><b><u>Training Provided</u></b> Records documenting training courses, seminars and workshops provided to county employees.</p> <p>Records include, but are not limited to: Curricula, materials presented, tests administered, attendee lists, sign-in sheets, test results, evaluations, etc.</p>	3 years after training provided			Agency Provided Training – General  ACO-10-001	GS2011-181 R1
22	<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

**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 12/8/2015

\_\_\_\_\_ Date  
**Gail Snow**

**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 12/16/2015

\_\_\_\_\_ Date  
**Carol Shenk**

**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 12-8-15

\_\_\_\_\_ Date  
**Temujin Baker**

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

**11. PRC APPROVAL**

See original for signature 12-28-15

\_\_\_\_\_ Date  
**Deborah Kennedy**

King County Public Records Committee