

	Retention Schedule Report (by Category)	Print Date: 09/23/09
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Category Code Level 1: ACO-Administration Coordination: The functions related to county organization, administration, and delegation of authority, particularly those that cross functional lines defined by other primary classification.

Category Code Level 2: 01-General Administration: The activities associated with the day-to-day operations of the county. Includes short-term records that can be disposed of as part of normal administrative practice.

Category Code Level 3: ACO-01-001

Category Title: General Office Communications, Meetings and Working Files

Category Description (Description of activity): This category represents records created, received and used related to the activities of communicating within and outside the county on general topics related to the business of the county and conduct of general office meetings. As programs and projects develop within the county, it may be necessary to copy initial records from this category to business related categories such as project files, contract administration files, personnel actions, etc. to be retained with the business activity that they support.

Category Notes (Examples of records in this category): Records may include but not limited to: general correspondence (not executive or department heads); meeting minutes and agendas (not governing or advisory council, commission or board); calendars; administrative procedures and instructions (not official agency policy); working files containing copies of information for reference (not governing, advisory, executive); forms and templates; training availability announcements and notices; mailing lists.

Rule Number (DAN): Combo Rule ACO-01-001

Cutoff: Year end

Retention Period: 2 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to this category ACO-01-001

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Facilities Management-(FA)
Finance and Administrative Services

Executive Services (Department of) -Finance and Business Operations-
(DIR) Director's Office

Executive Services (Department of) -Human Resources-(BU&HRI)
Benefits & Health Reform Initiative

Executive Services (Department of) -Human Resources-(CMS)
Compensation Management Services

Executive Services (Department of) -Human Resources-(CS) Civil
Service

Executive Services (Department of) -Human Resources-(DIR)
Director's Office

Executive Services (Department of) -Human Resources-(DMS)
Diversity, Affirmative Action & Recruitment

Executive Services (Department of) -Human Resources-(EAP)
Employee Assistance Program

Executive Services (Department of) -Human Resources-(IT) I.T.
Services

Executive Services (Department of) -Human Resources-(Labor) Labor
Relations

Executive Services (Department of) -Human Resources-(OS)
Employment Services

Executive Services (Department of) -Human Resources-(RDQAT)
Research, Development & Quality Assurance Team

Executive Services (Department of) -Human Resources-(S&C) Safety,
Claims & Disability Services

Executive Services (Department of) -Human Resources-(TOD)
Training & Organizational Development

Executive Services (Department of) -Records and Licensing Services-(ARMMS) Archives, Records Management and Mail Services

Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office

Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: ACO-Administration Coordination: The functions related to county organization, administration, and delegation of authority, particularly those that cross functional lines defined by other primary classification.

Category Code Level 2: 01-General Administration: The activities associated with the day-to-day operations of the county. Includes short-term records that can be disposed of as part of normal administrative practice.

Category Code Level 3: ACO-01-002

Category Title: Executive Communications, Meetings, and Working Files

Category Description (Description of activity): This category represents records created, received and used by executives, department directors, and certain division directors, related to the activities of communicating within and outside the county on general topics related to the business of the county and conduct of general office meetings.

Category Notes (Examples of records in this category): Includes subject or topic files related to participation on external boards, councils and committees.

Rule Number (DAN): Combo Rule ACO-01-002

Cutoff: Year end

Retention Period: 2 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to this category ACO-01-002

Archival Status: Potentially Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(DIR)
Director's Office

Executive Services (Department of)-Director's Office-(DIR) Executive
Services Director's Office

Executive Services (Department of)-Facilities Management-(DIR)
Director's Office

Category Code Level 1: ACO-Administration Coordination: The functions related to county organization, administration, and delegation of authority, particularly those that cross functional lines defined by other primary classification.

Category Code Level 2: 02-Projects: The activity of managing county projects.

Category Code Level 3: ACO-02-001

Category Title: Project Files

Category Description (Description of activity): Miscellaneous projects; can include, work plans, business cases, budgets, drafts, reference materials, correspondence, communication logs, notes and final deliverables. NOTE: Final documents can have a longer retention period.

Category Notes (Examples of records in this category): Example of project deliverable: Final research/program reports, studies, surveys, models, and analyses; Information technology design and implementation

Rule Number (DAN): GS50-01-39

Cutoff: Completion of project

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to these categories: ACO-02-001, ACO-03-001, PER-03-003, PER-04-003, PER-10-003.

Archival Status: Potentially Archival

Archival Remarks: Records from this series may be selected for inclusion in the county's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Facilities Management-(FA)

Finance and Administrative Services
Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office
Executive Services (Department of) -Human Resources-(BU&HRI) Benefits & Health Reform Initiative
Executive Services (Department of) -Human Resources-(CMS) Compensation Management Services
Executive Services (Department of) -Human Resources-(CS) Civil Service
Executive Services (Department of) -Human Resources-(DIR) Director's Office
Executive Services (Department of) -Human Resources-(DMS) Diversity, Affirmative Action & Recruitment
Executive Services (Department of) -Human Resources-(EAP) Employee Assistance Program
Executive Services (Department of) -Human Resources-(IT) I.T. Services
Executive Services (Department of) -Human Resources-(Labor) Labor Relations
Executive Services (Department of) -Human Resources-(OS) Employment Services
Executive Services (Department of) -Human Resources-(RDQAT) Research, Development & Quality Assurance Team
Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services
Executive Services (Department of) -Human Resources-(TOD) Training & Organizational Development
Executive Services (Department of) -Records and Licensing Services-(ARMMS) Archives, Records Management and Mail Services
Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office
Executive Services (Department of)-Facilities Management-(DIR)

Director's Office

Category Code Level 1: ACO-Administration Coordination: The functions related to county organization, administration, and delegation of authority, particularly those that cross functional lines defined by other primary classification.

Category Code Level 2: 02-Projects: The activity of managing county projects.

Category Code Level 3: ACO-02-002

Category Title: Research/Program Reports, Studies, Surveys, Models and Analyses

Category Description (Description of activity): This category holds the final publication of the report resulting from the activity of researching, studying, surveying, modeling and analyzing agency program data. Background research, drafts, and working files related to the final report should be retained as a project file under ACO-02-001. Contact Records Management if there are specific requirements to retain records longer. In certain cases the topic and/or a contract require longer retention of the records in this category.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-01-32

Cutoff: Date of publication.

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: The retention period of 6 years after the cutoff date was assigned to this series to be consistent with Project Files, GS50-01-39. This is in excess of the State minimum retention period. The State retention schedule allows for immediate destruction of records, once obsolete or superseded. This rule is assigned to ACO-02-002.

Archival Status: Potentially Archival

Archival Remarks: Records from this series may be selected for inclusion in the County's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Facilities Management-(FA)
Finance and Administrative Services

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office
Executive Services (Department of) -Human Resources-(BU&HRI) Benefits & Health Reform Initiative
Executive Services (Department of) -Human Resources-(CMS) Compensation Management Services
Executive Services (Department of) -Human Resources-(CS) Civil Service
Executive Services (Department of) -Human Resources-(DIR) Director's Office
Executive Services (Department of) -Human Resources-(DMS) Diversity, Affirmative Action & Recruitment
Executive Services (Department of) -Human Resources-(EAP) Employee Assistance Program
Executive Services (Department of) -Human Resources-(IT) I.T. Services
Executive Services (Department of) -Human Resources-(Labor) Labor Relations
Executive Services (Department of) -Human Resources-(OS) Employment Services
Executive Services (Department of) -Human Resources-(RDQAT) Research, Development & Quality Assurance Team
Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services
Executive Services (Department of) -Human Resources-(TOD) Training & Organizational Development
Executive Services (Department of) -Records and Licensing Services-(ARMMS) Archives, Records Management and Mail Services
Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office
Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: ACO-Administration Coordination: The functions related to county organization, administration, and delegation of authority, particularly those that cross functional lines defined by other primary classification.

Category Code Level 2: 03-Policies and Procedures: The activity of creating systematic approaches to operations and processes.

Category Code Level 3: ACO-03-001

Category Title: Policy Development Files

Category Description (Description of activity): Working files containing correspondence, research and drafts related to the development of agency policy.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-01-39

Cutoff: Completion of project

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to these categories: ACO-02-001, ACO-03-001, PER-03-003, PER-04-003, PER-10-003.

Archival Status: Potentially Archival

Archival Remarks: Records from this series may be selected for inclusion in the county's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(DIR)
Director's Office

Executive Services (Department of) -Human Resources-(RDQAT)
Research, Development & Quality Assurance Team

Category Code Level 1: ACO-Administration Coordination: The functions related to county organization, administration, and delegation of authority, particularly those that cross functional lines defined by other primary classification.

Category Code Level 2: 03-Policies and Procedures: The activity of creating systematic approaches to operations and processes.

Category Code Level 3: ACO-03-002

Category Title: Final Adopted Policy

Category Description (Description of activity): Officially adopted policies, procedures or public rules affecting the entire agency. Activated through executive or department head signature, ordinance or resolution.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-01-24

Cutoff: None

Retention Period: Permanent

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: Essential Record - Needs security microfilm backup. This rule is assigned to ACO-03-002.

Archival Status: Potentially Archival

Archival Remarks: Potentially Archival: Records from this series may be selected for inclusion in the county's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(DIR)
Director's Office

Executive Services (Department of) -Human Resources-(RDQAT)
Research, Development & Quality Assurance Team

Category Code Level 1: BUD-Budget Management: The functions related to budget preparation, review, and management.

Category Code Level 2: 01-Budget: The activity of determining estimates of the county's future revenue and expenditures.

Category Code Level 3: BUD-01-001

Category Title: Budget Development, Working Files and Budget Requests

Category Description (Description of activity): The activity of determining estimates of King County future revenue and expenditures.

Category Notes (Examples of records in this category): Budget development and working files that provide background for the departmental budget request. Also includes the final budget requests, work plans, and business plans sent to the Executives' Office for submission to the King County Council, Office of Management and Budget.

Rule Number (DAN): Combo Rule BUD-01-001

Cutoff: Year end
Retention Period: 2 years
Cross Reference:
Essential Record: No
Rule Status: Active
Rule Remarks: This rule is assigned to category BUD-01-001
Archival Status: Not Archival
Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(DIR) Director's Office

Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office

Category Code Level 1: BUD-Budget Management: The functions related to budget preparation, review, and management.

Category Code Level 2: 01-Budget: The activity of determining estimates of the county's future revenue and expenditures.

Category Code Level 3: BUD-01-002

Category Title: Budget Forecasts, Status and Financial Reports

Category Description (Description of activity): The activity of reporting on the status of the county budget.

Category Notes (Examples of records in this category): Includes all types of periodic reports compiled by all agencies as per statute, charter or agency policy. Examples are budget forecast reports, budget status reports (includes reporting on agency work plan), and financial reports.

Rule Number (DAN): Combo Rule BUD-01-002

Cutoff: Year end or until completion of State Auditor's examination report, whichever is longer

Retention Period: 3 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to category BUD-01-002

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:
Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office
Executive Services (Department of) -Human Resources-(DIR) Director's Office
Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office
Category Code Level 1: CON-Contracting, Procurement, and Sales Management: The functions related to contracting, procurement, and sale of materials and services.
Category Code Level 2: 01-Contracts, Agreements, and Warranties: The activity of managing contracts and agreements entered into by the county and the processes involved in the development of such contracts and agreements.
<p>Category Code Level 3: CON-01-001</p> <p>Category Title: Contracts, Agreements and Warranties</p> <p>Category Description (Description of activity): The activity of managing contracts and agreements entered into by the agency and processes involved in the development of such contracts and agreements. Includes but not limited to general contracts, agreements and warranties that document legal obligations and responsibilities of the county.</p> <p>Category Notes (Examples of records in this category):</p> <p>Rule Number (DAN): GS50-01-11</p> <p>Cutoff: Termination</p> <p>Retention Period: 6 years</p> <p>Cross Reference:</p> <p>Essential Record: No</p> <p>Rule Status: Active</p> <p>Rule Remarks: This rule is assigned to CON-01-001 category.</p> <p>Archival Status: Not Archival</p> <p>Archival Remarks:</p>
Department, Division, Sections (DDS) with access to this category:
Executive Services (Department of) -Facilities Management-(FA) Finance and Administrative Services
Executive Services (Department of) -Finance and Business Operations-

(DIR) Director's Office
Executive Services (Department of) -Human Resources-(BU&HRI) Benefits & Health Reform Initiative
Executive Services (Department of) -Human Resources-(CMS) Compensation Management Services
Executive Services (Department of) -Human Resources-(CS) Civil Service
Executive Services (Department of) -Human Resources-(DIR) Director's Office
Executive Services (Department of) -Human Resources-(DMS) Diversity, Affirmative Action & Recruitment
Executive Services (Department of) -Human Resources-(EAP) Employee Assistance Program
Executive Services (Department of) -Human Resources-(IT) I.T. Services
Executive Services (Department of) -Human Resources-(Labor) Labor Relations
Executive Services (Department of) -Human Resources-(OS) Employment Services
Executive Services (Department of) -Human Resources-(RDQAT) Research, Development & Quality Assurance Team
Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services
Executive Services (Department of) -Human Resources-(TOD) Training & Organizational Development
Executive Services (Department of) -Records and Licensing Services-(ARMMS) Archives, Records Management and Mail Services
Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office
Executive Services (Department of)-Facilities Management-(DIR) Director's Office
Category Code Level 1: FIN-Financial Management: The functions related

to the accounting, fiscal management, and the collection, investment, and disbursement of funds.

Category Code Level 2: 01-Accounting: The activity related to the creation of financial records of county business transactions and the preparation of statements concerning the assets, liabilities, and performance of the county.

Category Code Level 3: FIN-01-001

Category Title: General Office Accounting

Category Description (Description of activity): Originals and copies of office accounting records, including documentation around accounts payable, accounts receivable, and cash/banking activities.

Category Notes (Examples of records in this category): Records may include but are not limited to: receipts, vouchers, accounts payable/accounts receivable supporting documents, cash account documentation, petty cash records, and bank deposit records.

Rule Number (DAN): Combo Rule FIN-01-001

Cutoff: Completion of State Audit

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to category FIN-01-001. This combo rule combines DAN(s) with 3 and 6 year retention periods. For ease of filing, the DAN(s) with a 3 year retention period will be increased to 6 years.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Facilities Management-(FA)
Finance and Administrative Services

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(BU&HRI)
Benefits & Health Reform Initiative

Executive Services (Department of) -Human Resources-(CMS)
Compensation Management Services

Executive Services (Department of) -Human Resources-(CS) Civil
Service

Executive Services (Department of) -Human Resources-(DIR) Director's Office
Executive Services (Department of) -Human Resources-(DMS) Diversity, Affirmative Action & Recruitment
Executive Services (Department of) -Human Resources-(EAP) Employee Assistance Program
Executive Services (Department of) -Human Resources-(IT) I.T. Services
Executive Services (Department of) -Human Resources-(Labor) Labor Relations
Executive Services (Department of) -Human Resources-(OS) Employment Services
Executive Services (Department of) -Human Resources-(RDQAT) Research, Development & Quality Assurance Team
Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services
Executive Services (Department of) -Human Resources-(TOD) Training & Organizational Development
Executive Services (Department of) -Records and Licensing Services- (ARMMS) Archives, Records Management and Mail Services
Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office
Executive Services (Department of)-Facilities Management-(DIR) Director's Office
Category Code Level 1: FIN-Financial Management: The functions related to the accounting, fiscal management, and the collection, investment, and disbursement of funds.
Category Code Level 2: 01-Accounting: The activity related to the creation of financial records of county business transactions and the preparation of statements concerning the assets, liabilities, and performance of the county.
Category Code Level 3: FIN-01-002 Category Title: Accounts Payable and Accounts Receivable Category Description (Description of activity): Category Notes (Examples of records in this category): May

include...

Rule Number (DAN): Combo Rule FIN-01-002

Cutoff: Year End

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This combo rule combines DAN(s) with 3 and 6 year retention periods. For ease of filing, the DAN(s) with a 3 year retention period will be increased to 6 years.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Facilities Management-(FA)
Finance and Administrative Services

Category Code Level 1: FIN-Financial Management: The functions related to the accounting, fiscal management, and the collection, investment, and disbursement of funds.

Category Code Level 2: 01-Accounting: The activity related to the creation of financial records of county business transactions and the preparation of statements concerning the assets, liabilities, and performance of the county.

Category Code Level 3: FIN-01-004

Category Title: Collections Files

Category Description (Description of activity): Documents efforts to collect payment on outstanding invoices, or on checks returned because of insufficient funds.

Category Notes (Examples of records in this category): May include past due statements, penalty calculations, copies of invoices, correspondence, logs of collections, actions, write off lists, and supporting documentation.

Rule Number (DAN): Combo Rule FIN-01-004

Cutoff: Resolution or closure

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks:

Archival Status: Not Archival

Archival Remarks:**Department, Division, Sections (DDS) with access to this category:**

Category Code Level 1: FIN-Financial Management: The functions related to the accounting, fiscal management, and the collection, investment, and disbursement of funds.

Category Code Level 2: 08-Payroll: The activities relating to the monetary compensation of employees on a periodic basis.

Category Code Level 3: FIN-08-001

Category Title: Payroll - Cards/ Time Sheets

Category Description (Description of activity): The function of this category is to capture time records in order to determine retirement eligibility, and provide back-up for research when hours and earnings do not match up. The records are also important when an employee is trying to buy service credits for a period of temporary duty disability or an authorized leave of absence.

Category Notes (Examples of records in this category): Description of records in this category: Paper report transmittal sent by departments for each pay period noting pay due employees and the signed authorization. Includes original paper; time sheets, overtime reports, and absence requests submitted and signed by employees and managers. Records in this category are paper only. If you have an electronic database for time tracking or a digital imaging system, please contact Records Management to discuss retention of the electronic record. Electronic spreadsheets and other working documents that lead up to the final printed and signed report should be retained under FIN-08-007, Payroll Supporting Documents.

Rule Number (DAN): GS50-03E-04

Cutoff: Year end

Retention Period: 60 years if used for retirement verification. If NOT used for retirement verification - 4 years - see Remarks. Time records subject to federal audit should be retained per federal requirements.

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: Retain for 60 years if employee pay histories or payroll registers are not used for retirement verification. The information in this records series should be protected from loss or damage by offsite storage of a security microfilm backup at State Archives. Security

microfilm must meet Washington State Archives technical standards.
This rule is assigned FIN-08-001 Category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Category Code Level 1: FIN-Financial Management: The functions related to the accounting, fiscal management, and the collection, investment, and disbursement of funds.

Category Code Level 2: 08-Payroll: The activities relating to the monetary compensation of employees on a periodic basis.

Category Code Level 3: FIN-08-002

Category Title: Payroll Register (used for retirement verification)

Category Description (Description of activity):

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-03E-22

Cutoff: Year end

Retention Period: 60 years if used for retirement verification. If not used for retirement verification - 3 years. See remarks

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: Either the individual employee pay history or the payroll register must be kept for long-term verification of retirement eligibility. The information in this records series should be protected from loss or damage by offsite storage of a security microfilm backup at State Archives. Security microfilm must meet Washington State Archives technical standards. This rule is assigned to FIN-08-002 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Category Code Level 1: FIN-Financial Management: The functions related to the accounting, fiscal management, and the collection, investment, and disbursement of funds.

Category Code Level 2: 08-Payroll: The activities relating to the monetary compensation of employees on a periodic basis.

Category Code Level 3: FIN-08-003

Category Title: Individual Employee Pay History - Retirement Related

Category Description (Description of activity): Payroll that is managed by employee name, related to retirement benefits verification.

Category Notes (Examples of records in this category): Records giving evidence of the pay history of an employee needed to verify retirement benefits for the Washington State Department of Retirement Systems. Examples of these records are: 1. Employee Changes Authorizations: New hires, successful completion of probation, acting/special duty appointments, promotion, transfer, demotion, reclassification, documentation approval, and termination 2. Employee Changes Implementing Documents: MSA turnaround document, MSA personnel transfer form, metro employee change notice, ISI new employee record, MSA requests for personnel, ISI personnel action form (PAF), personnel change notice

Rule Number (DAN): GS50-03E-15

Cutoff: Year End

Retention Period: 60 Years

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: ESSENTIAL RECORD used for retirement verification for the Washington State Department of Retirement Systems - Record series needs security backup. Primary record holder is the employee's King County Department. This rule is assigned to FIN-08-003 category.

Archival Status: Not Archival

Archival Remarks: This record holds private information and should be confidentially recycled. Individual Employee Pay History records must be removed from Personnel records at employee termination. Go to the DES-Human Resources Policies & Guidelines in the Public Folders to view the Personnel Records Management Guidelines. Storage of Terminated Employee Personnel Files explains the procedure of removing Individual Employee Pay History records from the Personnel record.

Department, Division, Sections (DDS) with access to this category:

Category Code Level 1: FIN-Financial Management: The functions related to the accounting, fiscal management, and the collection, investment, and disbursement of funds.

Category Code Level 2: 08-Payroll: The activities relating to the monetary compensation of employees on a periodic basis.

Category Code Level 3: FIN-08-004

Category Title: Leave Donations

Category Description (Description of activity):

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-03E-18

Cutoff: Year End

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to FIN-08-004 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Category Code Level 1: FIN-Financial Management: The functions related to the accounting, fiscal management, and the collection, investment, and disbursement of funds.

Category Code Level 2: 08-Payroll: The activities relating to the monetary compensation of employees on a periodic basis.

Category Code Level 3: FIN-08-006

Category Title: Payroll Supporting Documents

Category Description (Description of activity): Electronic and paper spreadsheets and other working documents that lead up to the final printed and signed time reports used for paying employees.

Category Notes (Examples of records in this category): Includes but isn't limited to: Benefit Detail Reports This category does not include the paper copy of the signed official payroll time report transmittal sent by departments for each pay period noting pay due employees and the signed authorization. The official paper time record should be retained under category FIN-08-001, Payroll - Time Cards/Time Sheets.

Rule Number (DAN): GS50-03E-25

Cutoff: Year end (Note: Do not fill in this date until the State Auditor has completed the audit.)

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: NOTE: The retention period for this record series has

been increased from 3 years to 6 years. This change accomodates any audit, local, or federal requirements for time records.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(DIR) Director's Office

Category Code Level 1: INF-Information Management: The functions related to the control, recording, processing, distribution, storage, and retrieval of information.

Category Code Level 2: 01-Public Disclosure: The activity of responding to requests for access to the public records of the county in accordance with RCW 42.56.

Category Code Level 3: INF-01-001

Category Title: Public Disclosure and Information Requests - Up to and Including 7/23/2005

Category Description (Description of activity): PUBLIC DISCLOSURE REQUEST: A formal records request, as well as the file that documents the county's response to the request, filed under the Washington State Public Records Act (RCW 42.56). Content examples include original request and all subsequent correspondence with requester, directives to staff associated with records collection, attorney-client privileged communications associated with the public disclosure request, copies of records disclosed, copies of records redacted or withheld from disclosure in their entirety, and withholding and redaction logs. INFORMATION REQUEST: Information requests as well as, the county's response or request to clarify such inquiries. Examples include, but are not limited to: "Please provide information regarding..." questions pertaining to department policy or protocol; and routine requests for department publications. Over-the-counter requests that do not produce a written record are excluded.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-09-04A

Cutoff: Closed

Retention Period: 5 Years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: Records Committee reduced the retention from 6 years per RCW 40.14.060(b) on 8/30/2001. Agencies should retain an inventory or list of copies produced. Agencies shall retain copies of redacted records produced This rule is assigned INF-01-001.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office

Category Code Level 1: INF-Information Management: The functions related to the control, recording, processing, distribution, storage, and retrieval of information.

Category Code Level 2: 01-Public Disclosure: The activity of responding to requests for access to the public records of the county in accordance with RCW 42.56.

Category Code Level 3: INF-01-002

Category Title: Public Disclosure and Information Requests - From 7/24/2005 to Present

Category Description (Description of activity): PUBLIC DISCLOSURE REQUEST: A formal records request, as well as the file that documents the county's response to the request, filed under the Washington State Public Records Act (RCW 42.56). Content examples include original request and all subsequent correspondence with requester, directives to staff associated with records collection, attorney-client privileged communications associated with the public disclosure request, copies of records disclosed, copies of records redacted or withheld from disclosure in their entirety, and withholding and redaction logs. INFORMATION REQUEST: Information requests as well as, the county's response or request to clarify such inquiries. Examples include, but are not limited to: "Please provide information regarding..." questions pertaining to department policy or protocol; and routine requests for department publications. Over-the-counter requests that do not produce a written record are excluded.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-09-04B

Cutoff: When public disclosure request is complete and privilege logs

(if any) are provided.

Retention Period: 1 Year

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: RCW 42.17.340 [2005 c 274 § 289; 1995 c 397 § 16.] Recodified as RCW 42.56.560 pursuant to 2005 c 274 § 103, effective July 1, 2006. RCW 42.56.560(6) Actions under this section must be filed within one year of the agency's claim of exemption or the last production of a record on a partial or installment basis. Agencies should retain an inventory or list of copies produced. Agencies shall retain copies of redacted records produced. This rule is assigned INF-01-002.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(Labor) Labor Relations

Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office

Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: INF-Information Management: The functions related to the control, recording, processing, distribution, storage, and retrieval of information.

Category Code Level 2: 02-Publications: The activity of drafting, producing, marketing, and supplying the county's publications.

Category Code Level 3: INF-02-001

Category Title: Master File of Agency Publications

Category Description (Description of activity): Master file contains one copy of the current final publication for the agency.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-06F-04

Cutoff: When obsolete or superseded

Retention Period: 0

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to INF-02-001.

Archival Status: Potentially Archival

Archival Remarks: Potentially Archival: Records from this series may be selected for inclusion in the County's historical records collection.

Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(RDQAT)
Research, Development & Quality Assurance Team

Executive Services (Department of) -Human Resources-(TOD)
Training & Organizational Development

Category Code Level 1: LES-Legislative Management: The functions related to the legislative process in the county and other jurisdictions.

Category Code Level 2: 02-Boards, Councils, and Committees: The activity of documenting the business of advisory bodies and the administrative arrangements and support provided them.

Category Code Level 3: LES-02-001

Category Title: General Advisory Councils, Commissions, Committees and Boards

Category Description (Description of activity): Bodies that provide guidance on development of King County programs and policies.

Category Notes (Examples of records in this category): This category contains official records kept by the entity providing administrative support to the advisory body. Advisory body member's personal notes, memos and correspondence (e-mail) with the advisory body should be retained as ACO-01-001, General Office Communications, Meetings, and Working Files. Can include: agenda packets, audio/video digital tape recordings* of meetings, correspondence, minutes, reports submitted to governing council, commission, committee, board, or executive by the advisory body. * Contact Records Management if you plan to store digital recordings in FileSurf.

Rule Number (DAN): Combo Rule LES-02-001

Cutoff: Year end

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to categories LES-02-001, LES-01-001

Archival Status: Potentially Archival

Archival Remarks: Potentially Archival: Records from this series may be selected for inclusion in the County's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(DIR)
Director's Office

Executive Services (Department of) -Human Resources-(EAP)
Employee Assistance Program

Executive Services (Department of) -Human Resources-(Labor) Labor
Relations

Executive Services (Department of) -Human Resources-(TOD)
Training & Organizational Development

Category Code Level 1: LES-Legislative Management: The functions related to the legislative process in the county and other jurisdictions.

Category Code Level 2: 02-Boards, Councils, and Committees: The activity of documenting the business of advisory bodies and the administrative arrangements and support provided them.

Category Code Level 3: LES-02-002

Category Title: Ordinance Development and Transmittal Files

Category Description (Description of activity): Documentation of the analysis and development of ordinances submitted for the approval of the agency's governing council, commission, or board.

Category Notes (Examples of records in this category): Examples include transmittals prepared for and sent to council.

Rule Number (DAN): GS50-01-25

Cutoff: Year end

Retention Period: 3 years - Potential archival value - See remarks

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: Records from this series may be selected for inclusion

in the county's historical records collection. Please contact the County Archivist for an appraisal.

Archival Status: Potentially Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(DIR) Director's Office

Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office

Category Code Level 1: LES-Legislative Management: The functions related to the legislative process in the county and other jurisdictions.

Category Code Level 2: 03-Lobbyist and External Regulation: The activity of documenting the county's role in reviewing, monitoring, and influencing external legislation.

Category Code Level 3: LES-03-002

Category Title: Election and Disclosure Complaint and Investigation Files

Category Description (Description of activity): Records document financial contributions, in kind contributions and activities related to political campaigns, lobbyists and King County Elections Division as required by King County Code. Includes but not limited to documentation of monitoring, investigations, hearings, judgments and penalties.

Category Notes (Examples of records in this category):

Rule Number (DAN): 06-06-0293R

Cutoff: Case Closed

Retention Period: 6 Years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: As of 10/2/2008 the following King County Offices hold records from this series: * Lobbyist Disclosure, KCC 1.07 - Ombudsman's Office * Limits on Campaign Contributions, KCC 1.05 - Department of Executive Services, Records, Archives and Licensing Services Division * Political Contributions to King County Elections by

Charitable Organizations, KCC 1.06 - Department of Executive Services, Elections Division

Archival Status: Potentially Archival

Archival Remarks: Potentially Archival: Records from this series may be selected for inclusion in the County's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office

Category Code Level 1: LES-Legislative Management: The functions related to the legislative process in the county and other jurisdictions.

Category Code Level 2: 03-Lobbyist and External Regulation: The activity of documenting the county's role in reviewing, monitoring, and influencing external legislation.

Category Code Level 3: LES-03-003

Category Title: External Legislation

Category Description (Description of activity): This category covers functions in King County to monitor and comment on external legislative issues that affect King County. Also includes legislation promoted by King County to external legislative bodies either directly or through lobbyists.

Category Notes (Examples of records in this category): Examples of records for this category: Analysis, comments from affected agencies, final approved position documents.

Rule Number (DAN): GS50-01-25

Cutoff: Year end

Retention Period: 3 years - Potential archival value - See remarks

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: Records from this series may be selected for inclusion in the county's historical records collection. Please contact the County Archivist for an appraisal.

Archival Status: Potentially Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office

Category Code Level 1: LGL-Legal Management: The functions related to litigation and legal opinions.

Category Code Level 2: 01-Civil Litigation: The activity of managing the county's legal affairs regarding civil litigation.

Category Code Level 3: LGL-01-001

Category Title: Litigation Case Files

Category Description (Description of activity): Documentation of a civil suit by the agency against another party or defense of the agency and/or agency employee against suit by another party.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS53-02-04

Cutoff: Case closed

Retention Period: 10 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: Primary copies of official court documents are held permanently by the Clerk of Superior Court, or 10 years by the District or Municipal Court Administrator. This rule is assigned to LGL-01-001.

Archival Status: Potentially Archival

Archival Remarks: Contact the King County Archivist before disposing of this record. Records from this series may be selected to be transferred to and preserved at the King County Archives.

Department, Division, Sections (DDS) with access to this category:

Category Code Level 1: LGL-Legal Management: The functions related to litigation and legal opinions.

Category Code Level 2: 03-Legal Opinions, Issues, and Advice: The activity of documenting the county's legal opinions, issues, and advice.

Category Code Level 3: LGL-03-001

Category Title: Legal Issues and Advice Files

Category Description (Description of activity): Documentation regarding legal advice from agency attorneys, summaries of judgments against the agency, etc. These documents are primarily kept as reference files.

Category Notes (Examples of records in this category): This category allows retention cutoff dates to be populated on either the matter or

folder. If the matter cutoff date is populated, all folders under the matter will begin the retention period count down. Folder cutoff date will initiate the retention period for the folder only.

Rule Number (DAN): GS53-02-05

Cutoff: When obsolete or superseded

Retention Period: 0

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks:

Archival Status: Archival

Archival Remarks: 06/23/2009 The county archivist has designated this category as archival.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(Labor) Labor Relations

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 01-Labor Relations: The activity of managing relationships dealing with the negotiation of labor.

Category Code Level 3: PER-01-001

Category Title: Labor Agreement Administration

Category Description (Description of activity): Documentation of the business activity of administering a labor agreement.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-01-50

Cutoff: Folder or Matter Cutoff: Termination of Contract

Retention Period: 6 years

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: ESSENTIAL RECORD - Needs security backup -- The information in this records series should be protected from loss or damage by offsite storage of a security microfilm backup at State Archives. Security microfilm must meet Washington State Archives technical standards. This rule is assigned to PER-01-001 and PER-01-002.

Archival Status: Not Archival

Archival Remarks: 06/23/2009 The King County Archivist appraised this record series and determined the records to be "not archival".

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(Labor) Labor Relations

Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 01-Labor Relations: The activity of managing relationships dealing with the negotiation of labor.

Category Code Level 3: PER-01-002

Category Title: Labor Agreements

Category Description (Description of activity): Official labor agreement as approved by King County Council ordinance; includes wage addendum

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-01-50

Cutoff: Folder or Matter Cutoff: Termination of Contract

Retention Period: 6 years

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: ESSENTIAL RECORD - Needs security backup -- The information in this records series should be protected from loss or damage by offsite storage of a security microfilm backup at State Archives. Security microfilm must meet Washington State Archives technical standards. This rule is assigned to PER-01-001 and PER-01-002.

Archival Status: Not Archival

Archival Remarks: 06/23/2009 The King County Archivist appraised this record series and determined the records to be "not archival".

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(Labor) Labor Relations

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 01-Labor Relations: The activity of managing relationships dealing with the negotiation of labor.

Category Code Level 3: PER-01-003

Category Title: Litigation

Category Description (Description of activity): Arbitration, Personnel Board hearings and Public Employment Relations Commission (PERC) hearings

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04E-06

Cutoff: Resolution

Retention Period: 10 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: NOTE1: The retention period for this record series has been increased from 6 to 10 years. This change accommodates the occasional litigation case related to employment handled by Labor Relations. See GS53-02-04, Litigation Case Files. NOTE2: Cutoff date was changed from "Settlement" to "Resolution" to better describe the final action that triggers the retention period to start counting. This rule assigned to PER-01-003 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(Labor) Labor Relations

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 01-Labor Relations: The activity of managing relationships dealing with the negotiation of labor.

Category Code Level 3: PER-01-004

Category Title: Labor Agreement Negotiation, Implementation and Compensation Management

Category Description (Description of activity): Documents the business activity of negotiation, implementation and compensation for labor agreements.

Category Notes (Examples of records in this category): Can include; copies of compensation and benefit surveys, reports and analysis. Correspondence between internal and external agencies for example, Joint Labor Insurance Management Committee for the purpose of receiving input into the development of labor agreements.

Rule Number (DAN): GS50-04B-07

Cutoff: Folder Cutoff: Year End

Retention Period: 60 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule has been amended to extend the retention period from 6 to 60 years. The limitations of actions for gender and wage discrimination was extended by the Ledbetter Act passed in January 2009.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(Labor) Labor Relations

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 02-Performance Management: The activity of assessing and directing employee progress toward performance goals.

Category Code Level 3: PER-02-001

Category Title: Performance Appraisals and Merit Awards

Category Description (Description of activity):

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04A-08

Cutoff: Completion of Evaluation

Retention Period: Completion of Evaluation plus 3 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks:

<p>Archival Status: Not Archival Archival Remarks:</p>
<p>Department, Division, Sections (DDS) with access to this category:</p>
<p>Executive Services (Department of) -Human Resources-(DIR) Director's Office</p>
<p>Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.</p>
<p>Category Code Level 2: 02-Performance Management: The activity of assessing and directing employee progress toward performance goals.</p>
<p>Category Code Level 3: PER-02-002 Category Title: Work Logs Category Description (Description of activity): Work assignment record, schedules or logs - documentation of day-to-day tasks or projects assigned to and/or completed by individual staff or crews. Category Notes (Examples of records in this category): Rule Number (DAN): GS50-04B-29 Cutoff: Year end Retention Period: 3 years Cross Reference: Essential Record: No Rule Status: Active Rule Remarks: This rule assigned to PER-02-002 category. Archival Status: Not Archival Archival Remarks:</p>
<p>Department, Division, Sections (DDS) with access to this category:</p>
<p>Executive Services (Department of) -Human Resources-(CMS) Compensation Management Services</p>
<p>Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.</p>
<p>Category Code Level 2: 03-Position Development/Staff Structure: The activity of structuring and organizing human resources.</p>
<p>Category Code Level 3: PER-03-001 Category Title: Classification and Compensation Category Description (Description of activity): Reviews are requests by individual or agency to reclassify a position or review a salary range and may include Position Description Questionnaire (PDQ), speedi-peedis, recommendation, allocation report, copies of position</p>

specifications. Studies are details on specific role and position of classification titles, duties and obligations and may include Position Description Questionnaire (PDQ), surveys, audit form, reports, and other supporting documentation. Specifications are details on the function of position, including special duties, requirements, and qualifications for each position. Includes benefits and salary surveys and studies; spreadsheets and reports from Human Resources Data Repository (HRDR) and Fair Labor Standards Act (FLSA) audits.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-07

Cutoff: Folder Cutoff: Year End

Retention Period: 60 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule has been amended to extend the retention period from 6 to 60 years. The limitations of actions for gender and wage discrimination was extended by the Ledbetter Act passed in January 2009.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(CMS)
Compensation Management Services

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 03-Position Development/Staff Structure: The activity of structuring and organizing human resources.

Category Code Level 3: PER-03-002

Category Title: Reclassification

Category Description (Description of activity): Reviews are requests by individual or agency to reclassify a position or review a salary range and may include Position Description Questionnaire (PDQ), speedi-peedis, recommendation, allocation report, copies of position specifications. Studies are details on specific role and position of classification titles, duties and obligations and may include Position Description Questionnaire (PDQ), surveys, audit form, reports, and other supporting documentation. Specifications are details on the

function of position, including special duties, requirements, and qualifications for each position. Includes benefits and salary surveys and studies; spreadsheets and reports from Human Resources Data Repository (HRDR) and Fair Labor Standards Act (FLSA) audits.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-07

Cutoff: Folder Cutoff: Year End

Retention Period: 60 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule has been amended to extend the retention period from 6 to 60 years. The limitations of actions for gender and wage discrimination was extended by the Ledbetter Act passed in January 2009.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(CMS)
Compensation Management Services

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 04-EEO/Affirmative Action: The activity of ensuring fairness and equal opportunities for all employees.

Category Code Level 3: PER-04-001

Category Title: Affirmative Action Plan Working Files

Category Description (Description of activity): The Affirmative Action Plan is adopted by the King County Council and sets out the guidelines for county policy and compliance. The records in this category represent the development of this plan.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04C-03

Cutoff: Superseded

Retention Period: 6 years

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: ESSENTIAL RECORD: The information in this

records series should be protected from loss or damage by offsite storage of a security microfilm backup at State Archives. Security microfilm must meet Washington State Archives technical standards. This rule is assigned to PER-04-001, & PER-04-002 categories.

Archival Status: Potentially Archival

Archival Remarks: Records from this series may be selected for inclusion in the County's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(DMS)
Diversity, Affirmative Action & Recruitment

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 04-EEO/Affirmative Action: The activity of ensuring fairness and equal opportunities for all employees.

Category Code Level 3: PER-04-002

Category Title: Affirmative Action Plan

Category Description (Description of activity): The Affirmative Action Plan is adopted by the King County Council and sets out the guidelines for county policy and compliance.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04C-03

Cutoff: Superseded

Retention Period: 6 years

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: ESSENTIAL RECORD: The information in this records series should be protected from loss or damage by offsite storage of a security microfilm backup at State Archives. Security microfilm must meet Washington State Archives technical standards. This rule is assigned to PER-04-001, & PER-04-002 categories.

Archival Status: Potentially Archival

Archival Remarks: Records from this series may be selected for inclusion in the County's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(DMS)
Diversity, Affirmative Action & Recruitment

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 04-EEO/Affirmative Action: The activity of ensuring fairness and equal opportunities for all employees.

Category Code Level 3: PER-04-003

Category Title: EEO Project Files

Category Description (Description of activity): Projects include EEO forecasts, studies, and reports. This category also includes; Compliance Reports for King County contracts, the creation and implementation of EEO/Affirmative Action training programs, and diversity and other initiatives.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-01-39

Cutoff: Completion of project

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to these categories: ACO-02-001, ACO-03-001, PER-03-003, PER-04-003, PER-10-003.

Archival Status: Potentially Archival

Archival Remarks: Records from this series may be selected for inclusion in the county's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(DMS)
Diversity, Affirmative Action & Recruitment

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 04-EEO/Affirmative Action: The activity of ensuring fairness and equal opportunities for all employees.

Category Code Level 3: PER-04-004

Category Title: ADA Claims and Accommodations

Category Description (Description of activity):

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-06

Cutoff: Folder Cutoff: Termination of employment

Retention Period: 6 years

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: Retention may be subject to restrictions provided by collective bargaining contracts and agreements. This record should be protected from damage or loss by off-site storage of a security copy, or by keeping a list that identifies the location of other copies inside and outside the agency. This rule is assigned to PER-06-002 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 04-EEO/Affirmative Action: The activity of ensuring fairness and equal opportunities for all employees.

Category Code Level 3: PER-04-005

Category Title: EEO Complaints

Category Description (Description of activity): Documents EEO investigations regarding allegations of employment discrimination including harassment and retaliation.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04C-04

Cutoff: Case Closed (Resolution)

Retention Period: Resolution plus 10 years - Potential archival value - See remarks;

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This record series is retained in excess of the state minimum of 6 years to accommodate limitations of actions for civil litigation.

Archival Status: Potentially Archival

Archival Remarks: Contact your Regional Archivist before disposing

of this record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch subject to Equal Employment Opportunity rules and regulations.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(DMS)
Diversity, Affirmative Action & Recruitment

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 04-EEO/Affirmative Action: The activity of ensuring fairness and equal opportunities for all employees.

Category Code Level 3: PER-04-006

Category Title: Employment Studies and Reports Related to Protected Classes

Category Description (Description of activity):

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-01-54

Cutoff: Year end

Retention Period: 5 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks:

Archival Status: Potentially Archival

Archival Remarks: Contact your Regional Archivist before disposing of this record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 05-Industrial Insurance: The activities relating to the coverage of medical expenses and salary compensation for work related injuries and illness.

Category Code Level 3: PER-05-001

Category Title: Worker's Compensation Claim Files

Category Description (Description of activity):

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-06C-27

Cutoff: Close of claim

Retention Period: 75 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: *All files of defaulting self-insured employers shall be transferred to and retained by L&I for 75 years after close of claims.

This rule is assigned to PER-05-001.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 05-Industrial Insurance: The activities relating to the coverage of medical expenses and salary compensation for work related injuries and illness.

Category Code Level 3: PER-05-002

Category Title: Employer's Quarterly Report for Industrial Insurance (Workers Compensation)

Category Description (Description of activity):

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-06C-06

Cutoff: Year end

Retention Period: Retain 1 copy for 3 years. All other copies destroy when obsolete or superseded.

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to PER-05-002 category.

Department of Labor and Industries retains primary copy 6 years.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 05-Industrial Insurance: The activities relating to the coverage of medical expenses and salary compensation for work related injuries and illness.

Category Code Level 3: PER-05-003

Category Title: Claims Costs Reports and Statements

Category Description (Description of activity): Compilation of costs of processing claims against self-insured liabilities.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-06C-24

Cutoff: Superseded

Retention Period: 4 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to PER-05-003 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(BU&HRI)
Benefits & Health Reform Initiative

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 06-Personnel Records: The activity of documenting an individual's employment with the county. Includes volunteers.

Category Code Level 3: PER-06-001

Category Title: Temporary Agency Worker Accounts

Category Description (Description of activity): Tracks temporary agency workers hired using original request forms moved to individual departments. New Series 05/04

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-23

Cutoff: Termination of employment

Retention Period: Termination of employment plus 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to PER-06-001 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(RDQAT)
Research, Development & Quality Assurance Team

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 06-Personnel Records: The activity of documenting an individual's employment with the county. Includes volunteers.

Category Code Level 3: PER-06-002

Category Title: Personnel File

Category Description (Description of activity): May include but is not limited to: Application for employment when hired; start of employment, identification, oaths of officials elected and appointed; bonds of officials elected and appointed; criminal history, background checks and investigations; records of employment status, position description and job classification; citations; letters of recommendation; personal history cards, raises; retirement or disability resulting in employment termination; evaluation of applications of recognition or non-college credit courses.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-06

Cutoff: Folder Cutoff: Termination of employment

Retention Period: 6 years

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: Retention may be subject to restrictions provided by collective bargaining contracts and agreements. This record should be protected from damage or loss by off-site storage of a security copy, or by keeping a list that identifies the location of other copies inside and outside the agency. This rule is assigned to PER-06-002 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 07-Occupational Health and Safety: The activity of creating and maintaining a safe and healthy work environment for employees.

Category Code Level 3: PER-07-001

Category Title: Employee Medical and Exposure Records

Category Description (Description of activity): File includes pre-employment information sheet, medical exam report and general correspondence. Documentation of on-the-job exposure of agency employees to hazardous materials, as well as medical information compiled and maintained by the agency on individual employees to document their physical condition, the effects of work place conditions on their health, and their physical ability to perform essential job functions.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-30

Cutoff: Termination of employment

Retention Period: 30 years

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: Reference 29CFR1910.1020, WAC 296-800-20005, and WAC 296-800-20010. Health insurance claims records maintained separately from your medical program records, and records of first-aid treatment made on-site by a non-physician and filed separately from the employee medical records, are not required to be retained for 30 years after termination of employment, and thus are not considered part of this records series by WAC 296-800-20005. This rule is assigned to PER-07-001 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 07-Occupational Health and Safety: The activity of creating and maintaining a safe and healthy work environment for employees.

Category Code Level 3: PER-07-002

Category Title: Ergonomic Files

Category Description (Description of activity): Ergonomic files document the analysis, action, and measures taken to adjust workplace environment to help prevent work-related injuries. Files include name of employee, supervisor, organization unit, location, and action taken to adjust workstation or environment.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS51-05D-11

Cutoff: Last action taken

Retention Period: 3 Years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to PER-07-002 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 07-Occupational Health and Safety: The activity of creating and maintaining a safe and healthy work environment for employees.

Category Code Level 3: PER-07-004

Category Title: Safety Training Files - General

Category Description (Description of activity): Documentation of safety training classes (except for hazardous materials - see Remarks), some of which may be required by specific job classifications. May include lists of job required training for specific labor categories, training calendars, course info, vendor documentation, course materials, attendance logs and correspondence. New Series - 12/06

Category Notes (Examples of records in this category):

Rule Number (DAN): GS51-05D-12

Cutoff: Date of training

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: If the training is for handling hazardous materials see the Hazardous Materials Admin Section GS50-19-09 and GS50-19-17.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(S&C) Safety, Claims & Disability Services

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 08-Misconduct, Discipline, and Grievances: The activity of investigating and responding to employee misconduct, grievances, and disciplinary matters.

Category Code Level 3: PER-08-001

Category Title: Employee Grievances

Category Description (Description of activity): Documentation of employee grievances, investigation, appeals and final decisions.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04E-03

Cutoff: Resolution

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned PER-08-001.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(Labor) Labor

Relations
Executive Services (Department of)-Facilities Management-(DIR) Director's Office
Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.
Category Code Level 2: 08-Misconduct, Discipline, and Grievances: The activity of investigating and responding to employee misconduct, grievances, and disciplinary matters.
<p>Category Code Level 3: PER-08-002</p> <p>Category Title: Minutes of Civil Service Commission Proceedings, Approved and Signed</p> <p>Category Description (Description of activity): Official account of Civil Service Commission meetings. Includes agendas and all referenced and attached documents. Essential Record - Needs security microfilm back-up.</p> <p>Category Notes (Examples of records in this category):</p> <p>Rule Number (DAN): GS50-05A-13</p> <p>Cutoff: None</p> <p>Retention Period: Permanent</p> <p>Cross Reference:</p> <p>Essential Record: Yes</p> <p>Rule Status: Active</p> <p>Rule Remarks: The information in this records series should be protected from loss or damage by storage of a security microfilm backup at the State Archives. Security microfilm must meet Washington State Archives technical standards. This rule is assigned to PER-08-002 category.</p> <p>Archival Status: Archival</p> <p>Archival Remarks: Archival: One copy should be transferred to the King County Archives. Please contact the archives for instructions for transfer.</p>
Department, Division, Sections (DDS) with access to this category:
Executive Services (Department of) -Human Resources-(CS) Civil Service
Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.
Category Code Level 2: 08-Misconduct, Discipline, and Grievances: The

activity of investigating and responding to employee misconduct, grievances, and disciplinary matters.

Category Code Level 3: PER-08-003

Category Title: Civil Service Commission Case Files and Investigation Files

Category Description (Description of activity): Documentation of cases of violations or disciplinary actions submitted to the Civil Service Commission. Also documents the investigation of improper hiring decisions and practices.

Category Notes (Examples of records in this category):

Rule Number (DAN): Combo Rule PER-08-003

Cutoff: Case Closed

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to category PER-08-003.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(CS) Civil Service

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 08-Misconduct, Discipline, and Grievances: The activity of investigating and responding to employee misconduct, grievances, and disciplinary matters.

Category Code Level 3: PER-08-004

Category Title: Civil Service Commission Case Files - Not Heard

Category Description (Description of activity): Documents cases not heard by the Civil Service Commission. Cases may not be heard for the following reasons: unprepared, resolved, referred to another jurisdiction, ineligible employees, withdrawn.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-45

Cutoff: Administrative Closure

Retention Period: 3 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to PER-08-005 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(CS) Civil Service

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 08-Misconduct, Discipline, and Grievances: The activity of investigating and responding to employee misconduct, grievances, and disciplinary matters.

Category Code Level 3: PER-08-005

Category Title: Employee Misconduct Investigation Files - Sustained

Category Description (Description of activity): Documentation compiled in official investigations of employee misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective actions, correspondence, and notes. This series only covers investigation records; the final report of misconduct and any reprimands are placed in the employee's personnel file.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-46

Cutoff: Case Closed

Retention Period: 3 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: Investigative summary report goes in the employee's Personnel File. See also State Law Enforcement/Administrative and Operational Records retention schedule for Internal Investigations (Sustained) and Internal Investigations (Unfounded) L03-01-23 and L03-01-24, respectively. Consistent with RCW 41.06.450 and WAC 357-22-040 for civil service retention rules for non-represented employees. Reference relevant collective bargaining agreements for retention conditions for represented employees. This rule is assigned to PER-08-005 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 08-Misconduct, Discipline, and Grievances: The activity of investigating and responding to employee misconduct, grievances, and disciplinary matters.

Category Code Level 3: PER-08-006

Category Title: Employee Misconduct Investigation Files - Unfounded

Category Description (Description of activity): Documentations compiled in official investigations of employee misconduct by the employee that do not result in the findings of misconduct by the employee. Which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective actions, correspondence, and notes.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-47

Cutoff: Case Closed

Retention Period: 0

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: Consistent with RCW 41.06.450 and WAC 357-22-040 for civil service retention rules for non-represented employees.

Reference relevant collective bargaining agreements for retention conditions for represented employees. This rule is assigned to PER-08-006 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of)-Facilities Management-(DIR)
Director's Office

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 08-Misconduct, Discipline, and Grievances: The activity of investigating and responding to employee misconduct, grievances, and disciplinary matters.

Category Code Level 3: PER-08-007

Category Title: Employee Corrective Action and Probation

Category Description (Description of activity): Documentation regarding employee corrective actions or probations.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-15

Cutoff: After completion of probation or disciplinary action, or destroy according to the provisions of collective bargaining contracts and agreements

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks:

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of)-Facilities Management-(DIR)
Director's Office

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 08-Misconduct, Discipline, and Grievances: The activity of investigating and responding to employee misconduct, grievances, and disciplinary matters.

Category Code Level 3: PER-08-008

Category Title: Whistleblower Investigation Reports

Category Description (Description of activity): Agency copies of 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.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-25

Cutoff: Case closed

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks:

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 08-Misconduct, Discipline, and Grievances: The activity of investigating and responding to employee misconduct, grievances, and disciplinary matters.

Category Code Level 3: PER-08-009

Category Title: Workplace Violence Case Files

Category Description (Description of activity): Documentation of 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.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-05A-24

Cutoff: Case closed

Retention Period: Case closed plus 6 years*

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: *"Case closed" is intended to mean that point in time when all investigation and follow-up have been resolved, and no

investigation or follow-up are required.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 09-Benefits: The activity of compensating employees via means other than salaries and wages.

Category Code Level 3: PER-09-001

Category Title: Unemployment Insurance Claims of Individual Employees

Category Description (Description of activity): Records document the monitoring by Human Resources Division of the third party administration of unemployment insurance claims.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04D-05

Cutoff: Claim closed

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to PER-09-001 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(RDQAT) Research, Development & Quality Assurance Team

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 09-Benefits: The activity of compensating employees via means other than salaries and wages.

Category Code Level 3: PER-09-002

Category Title: Requests for Leave/Overtime

Category Description (Description of activity): Records requesting, granting or monitoring of family medical leave (FMLA), executive leave, leave donations, and overtime. Cumulative leave, leave balances, etc are managed in the county payroll system. Records in this category support transactions in the payroll system.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04B-09

Cutoff: Year end of year when leave or overtime request is completed.

Retention Period: 3 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: Family and Medical Leave Act of 1993 (FMLA) is a federal statute that requires records retention of 3 years.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 09-Benefits: The activity of compensating employees via means other than salaries and wages.

Category Code Level 3: PER-09-003

Category Title: Benefits Studies and Surveys

Category Description (Description of activity): Documentation regarding benefits studies and surveys.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04D-01

Cutoff: Project completion

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: The retention period for this rule was increased from no

retention (the state's retention period) to 6 years after completion of the study or survey. This rule is assigned to PER-09-003 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(BU&HRI)
Benefits & Health Reform Initiative

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 09-Benefits: The activity of compensating employees via means other than salaries and wages.

Category Code Level 3: PER-09-004

Category Title: Employee Benefit Contracts, Policies, and Procedures

Category Description (Description of activity): Documents the contracts, policies, and procedures regarding insurance, deferred compensation, health care, etc.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04D-02

Cutoff: Until superseded or coverage lapses

Retention Period: Until superseded or coverage lapses plus 6 years

Cross Reference:

Essential Record: Yes

Rule Status: Active

Rule Remarks: This record should be protected from damage or loss by off-site storage of a security copy, or by keeping a list that identifies the location of other copies inside and outside the agency. This rule is assigned to PER-09-004 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(BU&HRI)
Benefits & Health Reform Initiative

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 09-Benefits: The activity of compensating employees via means other than salaries and wages.

Category Code Level 3: PER-09-005

Category Title: Monthly Statement of Employee Benefits Paid
Category Description (Description of activity): Documentation of the monthly statements of employee benefits paid.
Category Notes (Examples of records in this category):
Rule Number (DAN): Combo Rule PER-09-005
Cutoff: Year end
Retention Period: 6 years
Cross Reference:
Essential Record: No
Rule Status: Active
Rule Remarks: This rule is assigned to category PER-09-005
Archival Status: Not Archival
Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(BU&HRI)
Benefits & Health Reform Initiative

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 09-Benefits: The activity of compensating employees via means other than salaries and wages.

Category Code Level 3: PER-09-007

Category Title: Employee Assistance Program Case Files

Category Description (Description of activity): Confidential personal records of the diagnosis of disabling personal problems and recommended professional treatment or problem solving plan together with a history of implementation of the plan.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-04A-06

Cutoff: Last treatment or session

Retention Period: 8 Years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: PUBLIC DISCLOSURE: This record series has information that is exempted from disclosure under RCW 41.04.730 Employee assistance program - Information confidential - Exceptions. Please contact the public disclosure officer regarding requests for these records. RETENTION: RCW 4.16.350: Action for injuries resulting

from health care or related services - Physicians, dentists, nurses, etc. - Hospitals, clinics, nursing homes, etc. REMARKS: The closed case files containing, "substance abuse professional assessments, recommendations, treatment monitoring and outcomes provided by the Employee Assistance Program for those employees who are confirmed positive or refuse testing required by 49 CFR Part 40 Regulations", are sent to King County Department of Transportation, Transit Division, Deputy General Manager, Human Resources for primary retention. The Employee Assistance Program does not retain a copy. This rule is assigned to PER-09-007 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(EAP)
Employee Assistance Program

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 10-Recruitment and Hiring: The activity of screening, selecting, and employee individuals. Includes volunteers.

Category Code Level 3: PER-10-001

Category Title: Employment Requisition and Personnel Action Requests

Category Description (Description of activity): This category covers all requests for job positions in the county, and the associated background support documents.

Category Notes (Examples of records in this category): Examples of records covered by this category: position specifications, needs analysis, and authorization signatures; Term-Limited Temporaries (TLT); Short-Term Temporary (STT); Administrative Interns (AI)

Rule Number (DAN): GS50-04B-17

Cutoff: Year end

Retention Period: 3 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to PER-10-001 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(RDQAT) Research, Development & Quality Assurance Team

Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 10-Recruitment and Hiring: The activity of screening, selecting, and employee individuals. Includes volunteers.

Category Code Level 3: PER-10-002

Category Title: Recruitment Files

Category Description (Description of activity): The activity of screening, selecting and employing of individuals.

Category Notes (Examples of records in this category): Documents the recruitment and selection process for each advertised position, including newspaper announcement, job description, working papers/notes, applicant list, interview questions and notes, selection documents, and employee applications. All consumer reports (which include background checks, credit reports and criminal history reports) for applicants not hired should be retained in a separate file. All consumer reports for hired employees should be maintained as part of the official personnel file, but kept in a separate "confidential" file (see Personnel Files PER-06-002 for further details). For Civil Service Administration, log of requisitions and certifications, copies of certification documents and actions taken, hired, rejected, etc.

Rule Number (DAN): Combo Rule PER-10-002

Cutoff: Year end

Retention Period: 3 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: RCW 4.16.080 (2) Limitation of action for EEO discrimination complaints is 3 years. This rule is assigned to category PER-10-002.

Archival Status: Not Archival

Archival Remarks:
Department, Division, Sections (DDS) with access to this category:
Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office
Executive Services (Department of) -Human Resources-(CS) Civil Service
Executive Services (Department of) -Human Resources-(DIR) Director's Office
Executive Services (Department of) -Human Resources-(DMS) Diversity, Affirmative Action & Recruitment
Executive Services (Department of)-Facilities Management-(DIR) Director's Office
Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.
Category Code Level 2: 10-Recruitment and Hiring: The activity of screening, selecting, and employee individuals. Includes volunteers.
<p>Category Code Level 3: PER-10-004</p> <p>Category Title: Eligibility Lists</p> <p>Category Description (Description of activity): Listings of individuals eligible to fill specific positions. Also includes examinations of those applicants that are on eligibility lists but have not been hired.</p> <p>Category Notes (Examples of records in this category):</p> <p>Rule Number (DAN): Combo Rule PER-10-004</p> <p>Cutoff: Superseded</p> <p>Retention Period: 10 years</p> <p>Cross Reference:</p> <p>Essential Record: No</p> <p>Rule Status: Active</p> <p>Rule Remarks: NOTE 1:The retention period for this record series has been increased from 2 years to 10 years. This change accomodates Civil Service Administration needs to review previous lists for a longer period of time. NOTE 2:This rule is assigned to category PER-10-004.</p> <p>Archival Status: Not Archival</p> <p>Archival Remarks:</p>
Department, Division, Sections (DDS) with access to this category:
Executive Services (Department of) -Finance and Business Operations-

(DIR) Director's Office
Executive Services (Department of) -Human Resources-(CS) Civil Service
Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.
Category Code Level 2: 11-Staff Development and Training:The activity of enhancing employees' competencies and skills through programs and training.
<p>Category Code Level 3: PER-11-001</p> <p>Category Title: Training Availability Announcements / Notices</p> <p>Category Description (Description of activity): The activity of communicating training opportunities to county employees.</p> <p>Category Notes (Examples of records in this category):</p> <p>Rule Number (DAN): GS50-04G-03</p> <p>Cutoff: When obsolete or superseded</p> <p>Retention Period: 2 Years</p> <p>Cross Reference:</p> <p>Essential Record: No</p> <p>Rule Status: Active</p> <p>Rule Remarks: The retention period of 2 years after the cutoff date was assigned to this series to be consistent with ACO-01-001, General Office Communications, Meetings and Working Files. This is in excess of the State minimum retention period. The State retention schedule allows for immediate destruction of records, once obsolete or superseded. This rule is assigned to PER-11-001 category. This rule is also part of Combo Rule ACO-01-001.</p> <p>Archival Status: Not Archival</p> <p>Archival Remarks:</p>
Department, Division, Sections (DDS) with access to this category:
Executive Services (Department of) -Human Resources-(TOD) Training & Organizational Development
Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.
Category Code Level 2: 11-Staff Development and Training:The activity of enhancing employees' competencies and skills through programs and training.
Category Code Level 3: PER-11-002

Category Title: Training Curriculum and Administration Records

Category Description (Description of activity): The activity of documenting training curriculum, enrollment, attendance and successful completion of training.

Category Notes (Examples of records in this category): This category includes but is not limited to training curriculum or summary; class enrollment, attendance and completion documents. Official Employee Training History Files, GS50-04G-01 are not included in this category. The official employee training history file (GS50-04G-01) has been maintained by the PeopleSoft system since 1/1/1996. Department of Executive Services, Human Resource Division, Training section maintains paper rosters dating back to 1979 that are not in the PeopleSoft system. The official employee history file is managed in place by the PeopleSoft system and in paper by the Training Section.

Rule Number (DAN): GS50-04G-02

Cutoff: Cutoff is year end for training/class completion reports and superseded date for training curriculum.

Retention Period: 3 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to PER-11-002 category.

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(TOD)
Training & Organizational Development

Executive Services (Department of)-Director's Office-(DIR) Executive
Services Director's Office

Category Code Level 1: PER-Personnel Management: The functions related to all phases of personnel administration.

Category Code Level 2: 12-Human Resources Quality Assurance: The activity of studying human resource practices and reporting on performance and development of best practices.

Category Code Level 3: PER-12-001

Category Title: Quality Assurance Audits and Reports

Category Description (Description of activity): Includes reports and publications on human resource performance audits, reporting on body

of work for the Career Service Review Committee, HR Checkup publications and other reports.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-03F-02

Cutoff: Completion of report

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: This rule is assigned to PER-12-001.

Archival Status: Potentially Archival

Archival Remarks: Records from this series may be selected for inclusion in the county's historical records collection. Please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Human Resources-(RDQAT)
Research, Development & Quality Assurance Team

Category Code Level 1: PHL-Public Health Management: The functions related to public health care.

Category Code Level 2: 01-Administrative-Business Office: The activity of managing the administrative functions of public health management.

Category Code Level 3: PHL-01-001

Category Title: Encounter Forms

Category Description (Description of activity): These are fiscal forms originating in the clinics when a client/patient receives medical or dental services. There are separate forms for Pediatrics, Family Health, Immunizations, Refugee Screening, etc. They basically document the same information including patient name and other identifiers, diagnoses and procedure codes, as well as program, grant, homeless and statistical information. Providers circle the codes on paper copies and enter the information into various patient electronic management systems. The paper forms remain at the clinics as a backup for audit purposes but are not the primary record. The electronic information is accessible to centralized administration staff and the clinic. Payment can be either self-pay or third party billing.

Category Notes (Examples of records in this category):

Rule Number (DAN): Combo Rule PHL-01-001

Cutoff: Year End

Retention Period: 6 years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: NOTE 1: These forms contain "protected health information (PHI)" and require confidential destruction. Check department policy for the method of destruction. NOTE 2: Primary or original paper copies are located in the clinics until they are sent to inactive storage at the Records Center. NOTE 3: This rule is assigned to category PHL-01-001

Archival Status: Not Archival

Archival Remarks:

Department, Division, Sections (DDS) with access to this category:

Category Code Level 1: PRE-Public Relations Management: The functions related to general public relations activities.

Category Code Level 2: 01-Community Relations: The activity around the county's interaction with the community.

Category Code Level 3: PRE-01-001

Category Title: Citizens' Complaints and Requests for Agency Action

Category Description (Description of activity): Communications from citizens making a complaint or request for agency action, as well as the associated agency response. NOTE: See INF-01-001 and INF-01-002 For Public Disclosure and Information Requests.

Category Notes (Examples of records in this category):

Rule Number (DAN): GS50-01-09

Cutoff: Matter closed

Retention Period: 3 Years

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: The retention of Citizens' Complaints and Requests can be delegated to the responding agency. The responding agency will retain the original request along with the response. This rule is assigned to PRE-01-001 category.

Archival Status: Potentially Archival

Archival Remarks: Constituent Complaint/Requests to county council members are potentially archival. In general constituent files are not considered an archival records. Exceptions to this do occur. If the

council member considers these files to have historical value please contact the County Archivist for an appraisal.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of) -Finance and Business Operations-(DIR) Director's Office

Executive Services (Department of) -Human Resources-(Labor) Labor Relations

Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office

Executive Services (Department of)-Facilities Management-(DIR) Director's Office

Category Code Level 1: PRE-Public Relations Management:The functions related to general public relations activities.

Category Code Level 2: 01-Community Relations: The activity around the county's interaction with the community.

Category Code Level 3: PRE-01-002

Category Title: Public Relations and Information

Category Description (Description of activity): This category contains records related to community relations and information released to the public. This can include: biographical files, historical files of an agency, newspaper clippings, photographs, audio/visual materials, press releases, speeches by officials and staff representing an agency, and scrapbooks or albums.

Category Notes (Examples of records in this category):

Rule Number (DAN): Combo Rule PRE-01-002

Cutoff: Year end

Retention Period: 1 year

Cross Reference:

Essential Record: No

Rule Status: Active

Rule Remarks: For purposes related to King County business processes, the retention period for this rule was increased from destroy after superseded or obsolete to retain 1 year after year end. This rule is assigned to category PRE-01-002

Archival Status: Potentially Archival

Archival Remarks: Contact your Regional Archivist before disposing of this record. Records from this series may be selected for transfer to

and preservation at a Regional Archives branch.

Department, Division, Sections (DDS) with access to this category:

Executive Services (Department of)-Director's Office-(DIR) Executive Services Director's Office