



Public Records Retention Schedule And Destruction Authorization

1. Agency Name	2. Department-Division-Section (DDS)	3. Total Pages	4. Date Last Modified	5. Status	6. Version
DJA Administration	DJA-ADMIN-(ALL)	13	28 January 2020	Final	Ver. 1

7. SCOPE AND DISCLAIMER

This retention schedule can only be used by the agency listed in section 1. It supersedes any other versions of retention schedules used by the agency and is effective as of the date of PRC approval on the last page. This schedule is a comprehensive listing of all public records held by the agency and authorizes the destruction or archival transfer of those records as indicated. For guidance about records not listed, please contact the Records Management Program.

Public records covered by record series on this records retention schedule must be retained for the required retention periods as described on this schedule. Public records designated as Archival must be appraised by the King County Archivist before disposition. This records retention schedule is subject to revision due to changes to local, state or federal regulations.

Approved documentation is required before any records listed on this records retention schedule can be dispositioned (destroyed or transferred to the King County Archives). Records filed to and managed within Content Manager will be dispositioned from within the system and documentation will be maintained by the Records Management Program. Disposition of records managed outside of Content Manager must be documented on forms provided by the Records Management Program. Transitory records may be destroyed in the normal course of agency business and without the use of any destruction forms.

Glossary

Cutoff: the trigger date on which the retention period begins. Until this occurs, the records are still considered active.

Retention: the length of time the records must be retained after the cutoff date

Disposition Action: the action that should be taken with the records after they have met their retention period

ESSENTIAL: records identified by the State as being essential to the operation of business and needed to continue operations in the event of an emergency.

8. List of Records Series

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>1. Budget Development Files Records documenting the preparation of the agency's annual budget.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Preliminary budgets • Budget spreadsheets • Revenue and expense reports and statistics • Correspondence <p>This category excludes final adopted budgets (GS50-03D-08).</p>	<p>Cutoff: When the budget is adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>BUD-01-001 (Budget Development Files)</p>	<p>GS50-03D-03 (Budget Development or Working Files)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>2. Contracts and Agreements Records relating to agreements signed by the agency and one or more parties that set out terms and conditions to which the signing parties agree or submit.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Human resources agreements • Lease, escrow, and rental agreements • Lending agreements • Liability waivers • Loan agreements • Master depository contract • Purchase and sales agreements • Vendor bonds • Warranties • Change orders <p>This category excludes records relating to:</p> <ul style="list-style-type: none"> • Bond, grant, and levy project contracts or agreements (item 3) • Contracts for non-real property capital assets (GS2011-169R2) • Archival transfer agreements (GS2010-021) 	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • Completion of the transaction • Termination or expiration of the contract <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>CON-01-001 (Contracts, Agreements, and Warranties)</p>	<p>GS50-01-11R4 (Contracts and Agreements – General)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>3. Director's Files, Communications, and Meetings Subject files containing informational copies of records organized by issue, person, subject, or area of interest; Internal and external communications to or from the county's elected officials, executive management team, or supporting staff acting on their behalf that are made or received in connection with the transaction of agency business; and Records used to plan and schedule meetings, appointments, business travel, and other activities.</p> <p>Communications may include:</p> <ul style="list-style-type: none"> • Letters • Memoranda • Email • Websites, forums, webpages • Social Media posts and comments <p>Records may include:</p> <ul style="list-style-type: none"> • Requests for and provision of information • County-initiated information • Meetings held among agency and department directors, councilmembers, and elected officials • Appointment books • Diaries • Calendars <p>• Note: for information published online by the agency, the cutoff date must be after the online information is removed.</p>	<p>Cutoff: End of the year in which the record was created</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-01-002 (Elected Officials, Department and Division Heads Communications, Subject and Issue Files)</p>	<p>Combo Rule ACO-01-002</p> <p>GS50-01-02 (Administrative Working Files)</p> <p>GS50-01-12R3 (Communications – Governing/ Executive/Advisory)</p> <p>GS50-01-36 (Appointment Calendars)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>4. Employee Complaints and Grievances Records documenting employees' complaints and grievances about agency workplace issues.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Filed complaints and grievances • Supporting documentation • Agency responses and decisions • Legal actions, arbitrations, and mediations • Determinations and appeals <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Grievances filed by unions on behalf of employees • Civil Rights violation complaints (GS50-04C-04R2 and GS2017-002) • Appeals hearings (GS2011-173R2 and GS2011-174R2) 	<p>Cutoff: When employment is terminated</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-08-001 (Employee Complaints and Grievances)</p>	<p>GS50-04E-03R2 (Employee Complaints and Grievances)</p>
<p>5. Employee Medical Records Records documenting the health status of agency employees that are not related to occupational illnesses or injuries.</p> <p>Records may include: Documentation of off-duty injuries and extended illnesses</p> <ul style="list-style-type: none"> • Employee-specific medical records per 49 CFR §382.401(c) • Family and Medical Leave Act (FMLA) records and certificates per RCW 49.78.270 • Onsite first aid treatment per WAC 296-802 • Physical exams and releases • Documentation of disabling conditions, accommodations, and adjustments to leave policies <ul style="list-style-type: none"> • This category excludes records related to employee exposure to hazardous materials or dangerous waste (GS50-04B-30R2). 	<p>Cutoff: When employment is terminated</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-07-001 (Employee Medical Records)</p>	<p>GS2017-015 (Employee Health Records – Routine)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>6. Employee Misconduct Investigation Files – Substantiated Records documenting official investigations of employee misconduct that result in findings of misconduct or in corrective action.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Initial complaints • Investigative reports • Statements, taped information • Documentation of evidence • Correspondence and notes <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Unfounded allegations of misconduct (item 7) • Final reports and corrective actions (item 17) • Workplace violence case files (GS50-05A-24) 	<p>Cutoff: When employment is terminated</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-08-005 (Employee Misconduct Investigation Files – Substantiated)</p>	<p>GS50-04B-46R3 (Employee Misconduct Investigation Files – Founded)</p>
<p>7. Employee Misconduct Investigation Files – Unfounded Records documenting official investigations of employee misconduct that do not result in findings of misconduct or in corrective action.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Initial complaints • Investigative reports • Statements, taped information • Documentation of evidence • Correspondence and notes 	<p>Cutoff: When the case is closed</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-08-006 (Employee Misconduct Investigation Files – Unfounded)</p>	<p>GS50-04B-47R3 (Employee Misconduct Investigation Files – Unfounded)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>8. Grant Administration Records Records documenting agency revenues and expenditures in relation to bond-, levy-, and grant-funded projects.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Checks, credit card slips, project cost records • Finance-related contract and agreement records • Purchase and sale price documentation • Expenditure reports, transaction reports • Grant announcements, applications, evaluations, notifications • Project expenditure tracking records • Registers and journals • Revenue bonds and coupons • Trust indentures, loan agreements <p>This category excludes records related to non-financial agreements (item 2).</p>	<p>Cutoff: When all of the conditions are met:</p> <ul style="list-style-type: none"> • The final bond payment is made • The levy/grant project is completed • The terms of the grant agreement are met <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-01-017 (Grant Administration Records)</p>	<p>GS2011-183R2 (Financial Transactions – Bond, Grant, and Levy Projects)</p>
<p>9. General Office Accounting Records documenting agency revenues and expenditures.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Purchase orders, bills of sale, receipts • Cash books and receipts • Vouchers • Registers and journals • Gift documentation <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Non-financial agreements (item 2) • Bond-, levy-, or grant-funded projects (GS2011-183R2) • Annual financial reports (GS50-03D-02R1) 	<p>Cutoff: End of the year in which the record was created</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-01-001 (General Office Accounting)</p>	<p>GS2011-184R3 (Financial Transactions – General)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>10. General Office Communications and Staff Meetings Internal and external communications to or from employees or external parties acting as business partners for the county that are made or received in connection with the transaction of agency business, and records documenting meetings and the administrative arrangement of meetings held by the staff of the agency.</p> <p>Communications may include:</p> <ul style="list-style-type: none"> • Letters • Memoranda • Email • Websites, forums, webpages • Social Media posts and comments <p>Meetings may include:</p> <ul style="list-style-type: none"> • Staff Meetings • Internal committees and task forces <p>Records may include:</p> <ul style="list-style-type: none"> • Requests for and provision of information • County-initiated information • Appointment books • Diaries • Calendars • Sign-in lists, meeting notices • Agendas, meeting packets • Minutes, recordings, transcripts • Training date and location scheduling records • Training availability announcements and notices • Participant registration • Arrangement of catering, facilities, and equipment <p>This category excludes financial records related to training arrangements (item 9).</p> <ul style="list-style-type: none"> • Note: for information published online by the agency, the cutoff date must be after the online information is removed. 	<p>Cutoff: End of the year in which the record was created</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-01-001 (General Office Communications and Staff Meetings)</p>	<p>Combo Rule ACO-01-001</p> <p>GS2010-001R3 (Communications – Non-Executive)</p> <p>GS2011-176R1 (Meetings/Hearings – Arrangements)</p> <p>GS50-01-36 (Appointment Calendars)</p> <p>GS50-01-43R2 (Meetings – Staff and Internal Committees)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>11. Inter-Agency Meetings Records documenting meetings held between the agency and one or more other agencies.</p> <p>Meetings may include:</p> <ul style="list-style-type: none"> • Multi-agency staff meetings • Multi-agency committee meetings • Multi-agency task force meetings <p>Records may include:</p> <ul style="list-style-type: none"> • Sign-in lists, meeting notices • Agendas, meeting packets • Minutes, recordings, transcripts • Indexes and any finding aids <p>This category excludes records related to meeting arrangements (item 10).</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • End of the year in which the record was created • The project is completed <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-01-006 (Meetings – Inter-Agency, Inter-Local, Inter-Governmental)</p>	<p>GS2011-175R2 (Meetings – Inter-Agency)</p>
<p>12. Inter-Agency Agreements Records documenting contracts and agreements between the agency and other parties that outline terms and conditions to which the signatories agree.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Memoranda of Understanding (MOU) • Service Level Agreements (SLA) <p>• Note: a copy of each agreement must be filed with either the King County Recorder’s Office or sent to DES-RALS-(ARMMS) for online publishing per RCW 39.34.040.</p>	<p>Cutoff: When the instrument is terminated or expires</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p> <p>Essential Record</p>		<p>CON-01-004 (Inter-Agency, Intra-Agency, Inter-Governmental, Inter-Local Agreements)</p>	<p>GS50-01-11R4 (Contracts and Agreements – General)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>13. Payroll Contracts, Agreements, and Authorizations Records documenting agreements and contracts between the agency and its employees that facilitate the processing of payroll functions.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Alternative work agreements • Telecommuting agreements • Payroll deduction authorizations • Union dues deduction authorizations • Direct deposit authorizations 	<p>Cutoff: When the agreement is terminated or expires</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-08-018 (Payroll Contracts and Agreements)</p>	<p>GS50-01-11R4 (Contracts and Agreements – General)</p> <p>GS50-03E-01R1 (Employee Pay – Authorizations and Deductions)</p>
<p>14. Payroll Supporting Documents Records documenting verifying payroll actions, detailing cost distributions, and ensuring accuracy and accountability of reports.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Detail reports • Year-to-date costs and cumulative summary expense reports • Listings of payroll deductions • Account status and adjustments • Payroll distribution logs, warrant distribution logs • Reports submitted to state regulatory agencies • PeopleSoft Payable Status Reports <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Authorizations for deductions from employee pay (item 13) • Employee pay histories (item 16) • Retirement benefit verification (item 21) <ul style="list-style-type: none"> • This category only includes records filed after the agency began using PeopleSoft as its payroll system on 01/01/2012. 	<p>Cutoff: End of the year in which the record was created</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>FIN-08-006 (Payroll Supporting Documents)</p>	<p>GS50-03E-02R1 (Benefit Detail Reports – Payroll)</p> <p>GS50-03E-15R1 (Employee Pay – History)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>15. Performance Evaluation Background Files Records used by employees to prepare and submit annual performance reviews of any employees under their supervision.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Performance plans, status reports • Confirmation of goals and achievements • Work samples • Documentation of performance issues • Communications <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Final signed performance evaluations (GS50-04B-06R4) • Ongoing informal supervision of employees (GS50-04B-31R1A) 	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The performance review is completed • The appeal period ends <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>No Category Assigned</p>	<p>GS50-04B-31R1 (Performance Evaluation (Supervisor Preparation))</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>16. Personnel Files Records documenting an individual's employment with the agency.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Recruitment materials for all positions held by the employee • Final results of medical and background checks or investigations • Non-disclosure agreements signed as a condition of employment • Copies of oaths of office or bonds of officials • Awards and recognitions • Information disclosed to prospective employers per RCW 4.24.730(2) • Employee Assistance Program referral and completion documentation • Training history • Letters and notices of status changes • Letters and notices of disciplinary actions • Departure status and eligibility documentation <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Retirement benefit verification (item 21) • Employee medical records (item 5) • Employee exposure records (GS50-04B-30R2) 	<p>Cutoff: When employment is terminated</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>PER-06-002 (Personnel File)</p>	<p>GS50-04B-06R4 (Employee Work History)</p>
<p>17. Project Files</p> <ul style="list-style-type: none"> • Records documenting agency projects that are not covered by a more specific category. 	<p>Cutoff: When the project is completed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-02-001 (Project Files)</p>	<p>GS50-01-39R1 (Project Files (Miscellaneous))</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>18. Reports, Studies, Surveys, Models, and Analyses Research documents, program reports, studies, surveys, models, and analyses that are not covered by a more specific category.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Reports published by King County agencies • Reports by consultants hired by King County or the agency • Publications of joint projects • Published studies and reports • Pamphlets and brochures <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Mandatory reporting and filing (GS50-04C-05R3) • Data extracts and printouts (GS50-02-04R2) 	<p>Cutoff: When the report, study, survey, model, or analysis is superseded or becomes obsolete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-02-002 (Research/Program Reports, Studies, Surveys, Models, and Analyses)</p>	<p>GS50-01-32R1 (Research/Program Reports, Studies, Surveys, Models, and Analyses)</p>
<p>19. Recruitment Files Records documenting the recruitment, interviewing, selection, and hiring of agency employees.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Requisitions • Personnel action requests • Job announcements and postings • Applications • Resumes • Test results • Applicant lists • Eligibility lists • Interview questions • Selection criteria • Correspondence <p>• Note: Applications and materials for successful applicants should be filed to the employee's personnel file (item 16).</p>	<p>Cutoff: End of the year in which the position is filled or the recruitment process is terminated</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-10-002 (Recruitment Files)</p>	<p>GS50-04B-22R1 (Recruitment)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>20. Requests for Leave and Overtime Records requesting, granting, or monitoring employee leave and overtime that are used to support transactions in the payroll system.</p> <ul style="list-style-type: none"> This category excludes records needed for retirement benefit verification (item 21). 	<p>Cutoff: End of the year in which the record was created</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>PER-09-002 (Employee Leave Management)</p>	<p>GS50-04B-09R2 (Leave/Overtime – Routine)</p> <p>GS2017-010 (Leave/Overtime – Non-Routine)</p>
<p>21. Retirement Benefit Verification Records Records documenting hours worked, pay, and leave of individual employees that are used for the long-term verification of retirement benefit eligibility.</p> <p>Records may include:</p> <ul style="list-style-type: none"> Hire letters Documentation of unpaid leave Time cards and time sheets Furlough calculations Documentation of payroll changes <ul style="list-style-type: none"> This category only includes records filed before the agency began using PeopleSoft as its payroll system on 01/01/2012. 	<p>Cutoff: When employment is terminated</p> <p>Retention: 60 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>FIN-08-002 (Retirement Benefit Verification Records)</p>	<p>GS2017-009 (Employee Retirement/Pension Verification)</p>
<p>22. Strategic and Working Plans – Development Records documenting the development of the agency’s strategic plans and work plans.</p> <p>This category excludes records related to:</p> <ul style="list-style-type: none"> Final strategic plans (GS2010-080) Final work plans (GS50-01-38R2) 	<p>Cutoff: When the plan is completed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-04-002 Strategic and Work Plans – Development)</p>	<p>GS2010-079 (Strategic Plans – Development)</p>

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
23. Whistleblower Investigation Reports <ul style="list-style-type: none"> Agency copies of records of allegations and investigations of violations of regulations or statutes or of retaliation against individuals making allegations. 	Cutoff: When the case is closed Retention: 6 years	Disposition Action: Archival: Appraisal Required		PER-08-008 (Whistleblower Investigation Reports)	GS50-04E-03R2A (Employee Complaints and Grievances (Whistleblower))

Certification

9. County Records and Information Manager Signature
 My signature certifies the accuracy of this schedule and that the records series as described comply with current federal, state, and local regulations as of the date listed in section 4.

Ellie Browning 8/5/2020
 Ellie Browning Date

10. County Archivist Signature
 My signature certifies that I have reviewed and approved the archival status of the records series as described on this schedule.

Danielle Boucher 08/05/2020
 Danielle Boucher Date

11. Agency Manager Signature
 My signature certifies that I have read and understood the requirements of this retention schedule and that I agree to implement it for all records and information within the scope of my responsibility.

Barbara Miner
 Barbara Miner Date

Public Records Committee Use Only

12. PRC APPROVAL

Deborah Kennedy Date
 King County Public Records Committee