



Public Records Retention Schedule And Destruction Authorization

Records Management Program
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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 Record: record 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. Administrative Procedures and Instructions Documentation of internal office policies, procedures, and guidelines that are created by the agency and that relate to the agency's routine operations.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Advisory memos • Manuals of departmental policies and procedures • Handbooks and desk manuals • Supporting background documentation <p>This category excludes records related to official adopted policies, procedures, directives, regulations, or rules (GS50-01-24R1 and GS50-06F-03R1).</p>	<p>Cutoff: When the procedures are revised or become obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-03-004 (Administrative Procedures and Instructions)</p>	<p>GS50-01-01 (Administrative Procedures and Instructions)</p>
<p>2. Audit Responses and Supporting Materials Records documenting an internal or external audit of agency services, programs, or practices that are collected by the agency that is the subject of the audit or by the King County Auditor.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Copies of source records, database printouts • Correspondence • Corrective Action work plans • Status reports <p>This category excludes final versions of audit reports (GS50-03F-02).</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The audit, project monitoring, or peer review is completed • Any corrective actions are completed <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>AUD-01-002 (Audit Supporting Materials)</p>	<p>GS50-03F-01 (Audit Subject/Reference Files)</p>

<p>3. Bids and Proposals – Successful Records documenting accepted bids and proposals made by external parties to provide the agency with goods, services, or benefits.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Requests for Proposals (RFPs), Requests for Qualifications and Quotations (RFQQ) • Notices • Bid proposals, applications • Evaluation documents, statements of qualification <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Unsuccessful bids and proposals (item 4) • Final contracts and agreements (item 5) 	<p>Cutoff: When either condition is met:</p> <ul style="list-style-type: none"> • The purchase is completed • The agreement has been fulfilled <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>CON-01-011 (Bids and Proposals – Successful)</p>	<p>GS50-08A-01R1 (Bids and Proposals – Successful)</p>
<p>4. Bids and Proposals – Unsuccessful Records documenting rejected bids and proposals made by external parties to provide the agency with goods, services, or benefits.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Requests for Proposals (RFPs), Requests for Qualifications and Quotations (RFQQ) • Notices • Bid proposals, applications • Evaluation documents, statements of qualification 	<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>CON-01-009 (Bids and Proposals – Unsuccessful)</p>	<p>GS50-08A-11R1 (Bids and Proposals – Unsuccessful)</p>

<p>5. 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"> • Archival transfer agreements (GS2010-021) • Contracts for non-real property capital assets (GS2011-169R2) • Bond, grant, and levy project contracts or agreements (GS2011-183R2) 	<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>
<p>6. Inventory – Capital, Expendable, and Consumable Assets Records inventorying the agency’s non-real property capital, expendable, and consumable assets.</p> <p>Agency capital, expendable, and consumable assets may include:</p> <ul style="list-style-type: none"> • Vehicles, machinery, equipment, furniture • Works of art and historical treasures • Computers, smartphones, and electronic devices • Commodities, supplies • Forms, publications • Spare parts <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Capital asset tracking (GS2011-182) • Surplus property inventories (GS50-08C-06R1) 	<p>Cutoff: When the inventory is completed</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ASM-05-003 (Inventory of Assets (Non-Real Property))</p>	<p>GS50-03A-18R1 (Inventory – Capital, Expendable, and Consumable Assets)</p>

<p>7. Strategic Plan 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>
<p>8. Project Files Records documenting agency projects that are not covered by a more specific category.</p>	<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>
<p>9. 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 (GS2012-028R1) • 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>10. Administrative Procedures and Instructions Documentation of internal office policies, procedures, and guidelines that are created by the agency and that relate to the agency's routine operations.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Advisory memos • Manuals of departmental policies and procedures • Handbooks and desk manuals • Supporting background documentation <p>This category excludes records related to official adopted policies, procedures, directives, regulations, or rules (GS50-01-24R1 and GS50-06F-03R1).</p>	<p>Cutoff: When the procedures are revised or become obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-03-004 (Administrative Procedures and Instructions)</p>	<p>GS50-01-01 (Administrative Procedures and Instructions)</p>
<p>11. Agency-Provided Training – Curriculum Development Records documenting the development of training courses, seminars, and workshops.</p> <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Final curricula (item 12) • Training records (GS2011-180R1) 	<p>Cutoff: When the training is no longer provided</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-10-002 (Agency-Provided Training – Curriculum Development)</p>	<p>GS2011-178R1 (Agency-Provided Training – Curriculum and Materials Development)</p>

<p>12. Agency-Provided Training – General Records documenting training courses, seminars, and workshops provided by the agency to members of the public, customers, contractors, or agency employees.</p> <p>Only file records into this category if:</p> <ul style="list-style-type: none"> • The training is not required by the agency or by federal, state, or local statute • Certificates, credentials, or licenses are not awarded • Continuing education credits are not earned <p>Records may include:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered • Attendee lists and sign-in sheets • Test results, evaluations <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Finances for the training (item 15) • Agency-provided training not meeting the criteria for this category (GS2011-180R1) • Training materials that are retained in each employee’s personnel file (GS50-04B-06R4) • Apprentice certification files (GS50-04B-34R1) 	<p>Cutoff: Date of the training</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-10-001 (Agency-Provided Training – General)</p>	<p>GS2011-181R1 (Agency-Provided Training – General)</p>
<p>13. Audit Responses and Supporting Materials Records documenting an internal or external audit of agency services, programs, or practices that are collected by the agency that is the subject of the audit or by the King County Auditor.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Copies of source records, database printouts • Correspondence • Corrective Action work plans • Status reports <p>This category excludes final versions of audit reports (GS50-03F-02).</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The audit, project monitoring, or peer review is completed • Any corrective actions are completed <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>AUD-01-002 (Audit Supporting Materials)</p>	<p>GS50-03F-01 (Audit Subject/Reference Files)</p>

<p>14. Budget Planning 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>
<p>15. 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 (GS50-01-11R4) • Bond-, levy-, or grant-funded projects (GS2011-183R2) 	<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>

<p>16. 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>Communication may include:</p> <ul style="list-style-type: none"> • Letters • Memoranda • Email • Websites, forums, webpages • Instant Messages • 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>Note: information published online by the agency is provided until the date that it is removed.</p>	<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>
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<p>17. 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"> • Ongoing informal supervision of employees (GS50-04B-31R1A) • Final signed performance evaluations (GS50-04B-06R4) 	<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>
<p>18. Supervisor's Working 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 all conditions are met:</p> <ul style="list-style-type: none"> • The performance review is completed • The appeal period ends • No longer supervising employee <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>

<p>19. Transitory Records Records documenting information of short-term value that do not provide evidence of a business transaction and cannot be filed in a more specific category.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Copies of forms and publications • Brainstorming and collaboration notes • Contact information • Preliminary drafts and revisions • Electronic copies of signed documents • Unsolicited materials and publications • Internet browsing history • Information documented in more formal records • Reference materials • Duplicate copies <p><i>Note: signed destruction authorizations and documentation are not required for transitory records.</i></p>	<p>Cutoff: When the record is no longer needed</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>No Category Assigned</p>	<p>Refer to King County General Schedule for a complete list of DANs.</p>
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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

7/13/2020

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

7/10/2020

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.

Tina Rogers

6/30/2020

[Agency Manager]

Date

Public Records Committee Use Only

12. PRC APPROVAL

Deborah Kennedy

July 23, 2020

Deborah Kennedy

Date

King County Public Records Committee