



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION Department of Natural Resources and Parks / Human Resources	2. DEPARTMENT-DIVISION-SECTION [DDS] DNRP-DIR-(HR) / 160102 DNRP-PKS-(HR) / 160506 DNRP-SWD-(HR) / 160203 DNRP-WLRD-(HR) / 160411 DNRP-WTD-(HR) / 160411	3. TOTAL NUMBER OF PAGES 13	4. DATE LAST MODIFIED October 3, 2017	5. STATUS Final	6. VERSION 2
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6. SCOPE AND DISCLAIMER

This retention schedule can only be used by the agency listed in section 1. It supersedes any other versions of retention schedules used by the agency and is effective as of the date listed in section 11 on the last page. This schedule is a comprehensive listing of all public records held by the agency and authorizes the destruction or archival transfer of those records as indicated. For guidance about records not listed, please contact the Records Management Program.

Public records covered by record series on this records retention schedule must be retained for the required retention periods as described on this schedule. Public records designated as Permanent or Archival must not be destroyed. Public records designated as Potentially Archival must be appraised by the King County Archivist before disposition. This records retention schedule is subject to revision due to changes to local, state or federal regulations.

Approved documentation is required before any records listed on this records retention schedule can be dispositioned (destroyed or transferred to the King County Archives). Records filed to and managed within the County’s Records Management System will be dispositioned from within the system and documentation will be maintained by the Records Management Program. Disposition of records managed outside of the Records Management System must be documented on forms provided by the Records Management Program. Transitory records may be destroyed within the normal course of agency business 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.

7. LIST OF RECORDS SERIES						
7a. ITEM NO.	7b. TITLE/DESCRIPTION	7c. RETENTION	7d. DISPOSITION AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
1	<p><u>ADA Claims and Accommodations</u> Records relating to the agency's compliance with Section 504 of the <i>Rehabilitation Act of 1973</i> which requires that qualified individuals with disabilities have equal opportunity to benefits and services.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Applications, agreements, surveys, reports, notifications, meetings, communications, training materials, etc. <p>Excludes:</p> <ul style="list-style-type: none"> • Civil rights violation complaints covered by GS50-04C-04; • Equal employment reports covered by GS50-04C-05. 	<p>Cutoff: Completion or denial of communication</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>ADA Claims and Accommodations</p> <p>PER-04-004</p>	GS50-04C-01R2A

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2	<p><u>Agency-Provided Training – General</u> Records documenting training courses, seminars and workshops provided by the local government agency to the public, customers, contractors, or agency employees where:</p> <ul style="list-style-type: none"> • Certificates/credentials/licenses are NOT awarded; and, • Continuing education hours/credits/points are NOT earned; and • Training is NOT required by federal, state or local statute or by employer. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered, etc.; • Attendee lists and sign-in sheets, test results, evaluations, etc. <p>Excludes:</p> <ul style="list-style-type: none"> • Agency-provided training covered by GS2011-180; • Apprentice certification files covered by GS50-04B-34 • Employee training certificates/history retained in the employee’s personnel file; • Financial records covered in the Financial Management function. 	<p>Cutoff: Training provided</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Agency Provided Training – General</p> <p>ACO-10-001</p>	GS2011-181R1
3	<p><u>Collective Bargaining Agreements - Secondary</u> Finalized labor agreements between County departments and employee unions.</p>	<p>Cutoff: Termination of agreement</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		N/A	GS50-01-11R4D(S)

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4	<p><u>Employee Grievances</u> Records relating to complaints and grievances relating to workplace issues filed with the local government agency by its employees.</p> <p>Excludes:</p> <ul style="list-style-type: none"> • Appeal hearings records of the local decision-making body covered by GS2011-173. • Civil rights violation complaints covered by GS50-04C-04. 	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		Employee Grievances PER-08-001	GS50-04E-03R2
5	<p><u>Employee Medical Records – General</u> Records documenting the medical condition of employees (includes contractors and volunteers), their physical condition, the effects of workplace conditions on their health, and their physical ability to perform essential job functions.</p> <p>Excludes hazardous materials exposure records covered by GS2011-177, Accidents/Incidents (Hazardous Materials) – Human Exposure.</p> <p>Note: Reference 29 CFR § 1910.1020(14)(d)(i) and WAC 296-802-20005. Health insurance claims records maintained separately from 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.</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		Employee Medical Records PER-07-001	GS2017-015

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6	<p><u>Employee Misconduct Investigation Files - Unfounded</u></p> <p>Documentation compiled in official investigations of employee misconduct that do not result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective action, correspondence and notes.</p> <p><i>Note: Collective bargaining agreements and civil service rules & regulations may require a longer minimum retention period.</i></p>	<p>Cutoff: Investigation closed</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Employee Misconduct Investigation Files – Unfounded</p> <p>PER-08-006</p>	GS50-04B-47R3

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7	<p><u>Family Medical Leave Act (FMLA) Records</u> Records pertaining to an employer’s obligations under FMLA in accordance with the recordkeeping requirements of the Fair Labor Standards Act (FLSA).</p> <p>Records may include but not limited to:</p> <ul style="list-style-type: none"> • Basic payroll and identifying information (including name, address, and occupation) • Rate or basis of pay • Terms of compensation • Daily and weekly hours worked per pay period • Additions to or deductions from wages • Total compensation paid <p>In addition, covered employers who have eligible employees must also maintain records detailing:</p> <ul style="list-style-type: none"> • Dates of FMLA leave taken by FMLA eligible employees. Leave must be designated in records as FMLA leave, and may not include leave required under state law or an employer plan which is not also covered by FMLA. • Hours of FMLA leave taken by FMLA eligible employees, if leave is taken in increments of less than one full day • Copies of employee notices of leave furnished to the employer • Copies of all written notices given to employees as required under FMLA • Documents describing employee benefits or employer paid and unpaid leave policies and practices • Premium payments of employee benefits • Records of disputes between the employer and the employee regarding FMLA 	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Family Medical Leave Act (FMLA) Records</p> <p>PER-09-011</p>	GS2017-015

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8	<p><u>General Office Communications and Meetings</u> Internal and external communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of county business, and that are not covered by a more specific records series.</p> <p>Includes all communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, instant messages, social networking posts and comments, etc.)</p> <p>Records documenting meetings held by (and/or for) general staff of DNRP.</p> <p>May include:</p> <ul style="list-style-type: none"> • Staff meetings, internal committees/task forces, and other groups that meet for various reasons (to plan activities, coordinate communications, solve problems, coordinate employee safety, etc.). • Agendas, meeting packets, sign-in lists, meeting notices, etc.; • Minutes, audio/visual recordings, transcripts, etc. <p>Excludes meetings regulated by the Open Public Meetings.</p> <p>Excludes meetings and Communications related to executives, advisory bodies, governing councils, department and agency directors, county councilmembers and independently elected officials.</p> <p>Note: Information/advice published online by the agency continues to be "provided" until the date it is removed/withdrawn.</p>	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>GS2010-001R3 (Communications)</p> <p>GS50-01-43R2 (Staff Meetings)</p>

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9	<p><u>Personnel File</u> May include, but is not limited to:</p> <ul style="list-style-type: none"> • Application for employment when hired, start of employment, identification; • Citations, letters of recommendation; • Criminal history, background checks and investigations; • Employment status, position descriptions and job classifications, personal history cards, raises, etc.; • Evaluation of applications of recognition or non-college credit courses; • Oaths of office and bonds of officials (elected and appointed); • Retirement or disability resulting in employment termination; • Summary report of employee misconduct investigations (sustained only). <p><i>Note: Collective bargaining agreements and civil service rules & regulations may require a longer minimum retention period.</i></p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Personnel File</p> <p>PER-06-002</p>	GS50-04B-06R4
10	<p><u>Project Files</u> Records relating to agency projects where not covered by a more specific records series in King County General Retention Schedule or agency specific schedules.</p> <p>May include:</p> <ul style="list-style-type: none"> • Inventory sheets, correspondence, meeting records, substantive drafts, and additional supporting documentation. 	<p>Cutoff: Project completed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Project Files</p> <p>ACO-02-001</p>	GS50-01-39R1

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11	<p><u>Recruitment Files</u> Documents 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.</p> <p><i>Note: Per RCW 4.16.080, the statute of limitations for the commencement of actions for equal employment opportunity discrimination complaints (injury to the rights of others) is 3 years.</i></p>	<p>Cutoff: End of year position is filled or termination of recruitment process</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Recruitment Files</p> <p>PER-10-002</p>	<p>GS50-04B-22R1</p>
12	<p><u>Temporary Agency Worker Accounts</u> Tracks temporary agency workers hired using original request forms moved to individual departments.</p> <p><i>Note: Electronic Information not maintained in an Access database should be stored in KC ERMS. Access data may be stored in the database until the end of its retention period then purged.</i></p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Temporary Agency Worker Accounts</p> <p>PER-06-001</p>	<p>GS50-04B-06R4</p>

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13	<p>Supervisor's Working Files Records compiled by supervisors about the progress, conduct and performance of employees under their supervision. Records are only used to support the ongoing supervision of the employee and exclude records that belong in the official personnel file; that document misconduct investigations or corrective action; or that document employee complaints/grievances.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Copies of performance evaluations; workplace expectations, documents related to long-term performance or career goals, emergency contact information, employee coaching documentation; advice or guidance <i>received</i> about ongoing issues relating to the employee; performance monitoring, etc. <p>Excludes records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files).</p> <p>Excludes Doctor's notes or any other medical certification, workers compensation claim documents, including the supervisor's report on the injury, any formal or informal legal claim by or about the employee, the employee's i-9 form, any workplace investigation materials regarding the employee, background investigation reports, personality or other test results, any non-job related information/personal information about the employee, etc. These records should be transferred to the Human Resources Office rather than retained in the Supervisor's Working File.</p>	<p>Cutoff: No longer supervising employee</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1A

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14	<p><u>Transitory Records</u> Transitory records contain information that is required for only a short period of time to facilitate the completion of a routine action or the preparation of a subsequent record. Transitory records are not required to document the County's decisions, actions, or legal obligations.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Periodicals and other reference material • Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of community affairs, employee meetings, holidays, etc.) • Preliminary drafts of letters, memoranda, reports, work sheets, spreadsheets, presentations, and informal notes, etc., which do not represent significant basic steps in the preparation of record document(s) • Routing slips used to direct the distribution of documents • Data entry forms, notes, tapes, and mechanical records, after they have been transcribed into typewritten or printed form on paper or microfilm • Letters of transmittal, which do not add any information to the transmitted materials. 	<p>Cutoff: No longer needed</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		N/A	<p>Refer to General Records Retention Schedule for complete list of DANs in this series.</p> <p>Note: destruction documentation is not required for Transitory Records.</p>
15	<p><u>Whistleblower Investigation Reports</u> 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.</p>	<p>Cutoff: Case closed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Whistleblower Investigation Reports</p> <p>PER-08-008</p>	GS50-04E-03R2A

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16	<p><u>Workplace Violence Case Files</u> Case files document incidents involving internal workplace violence.</p> <p>Includes:</p> <ul style="list-style-type: none"> Investigation, treatment, follow-up, correspondence, corrective measures, etc. May include secondary copies of documentation filed in an individual's personnel file. 	<p>Cutoff: Case is closed*</p> <p>Retention: 6 years</p> <p>*"Case closed" is the point in time when all investigation and follow-up have been resolved, and no investigation or follow-up is required.</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Workplace Violence Case Files</p> <p>PER-08-009</p>	GS50-04B-46R3

8. RECORDS AND INFORMATION MANAGER SIGNATURE

I hereby certify that the records series as described comply with current federal, state, and local regulations as of the date listed in section 4, and I ensure the accuracy of this schedule.

Ryan Wadleigh for



5/22/18

Gail Snow

Date

9. COUNTY ARCHIVIST SIGNATURE

I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.



08/31/2018

Carol Shenk

Date

10. AGENCY MANAGER SIGNATURE

I certify that I have read and understood these records retention requirements and agree to implement the records retention schedule for all records and information within the scope of my responsibility.



10/24/17

Christine Ynzunza

Date

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

11. PRC APPROVAL



9/26/2018

Deborah Kennedy

Date

King County Public Records Committee