



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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Email: records.management@kingcounty.gov
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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Natural Resources and Parks / Water and
Land Resources Division/ Ecological Restoration and
Engineering Services

**2. DEPARTMENT-DIVISION-
SECTION [DDS]**

DNRP-WLRD-(ERES) Ecological
Restoration and Engineering
Services

**3. TOTAL NUMBER OF
PAGES**

14

**4. DATE LAST
MODIFIED**

6/3/19

5. STATUS

Final

6. VERSION

1

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 by agency (WLRD) *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>Facility Inspections and Maintenance Records documenting all major maintenance AND all regulated maintenance (required by regulatory agencies and/or local, state or federal statute and/or court order/rule) which is performed on assets owned, used, or maintained by the WLR Division in order to ensure the full useful life of the structures.</p> <p>Includes work performed by contractors.</p> <p>Structures include levees and revetments.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> •Site Management Plans (SMP), Instructions, maintenance manuals; • Maintenance/repair history (logs, summaries, reports, photographs etc.); •Original defect and inspection reports; •Service, repair and maintenance records (regulated and/or major); •Work orders; •Related correspondence <p>Excludes:</p> <ul style="list-style-type: none"> •Capital improvements (redesigns, remodels, renovations, improvements, betterments, and increases in efficiency) covered by GS50-18-10 R1, Capital Improvement Project Files •Contracts and agreements covered in the Contracts/Agreements section | <p>Cutoff: asset no longer maintained by the County</p> <p>Retention: 6 years</p> | <p>Disposition Action: Archival – Appraisal Required</p> <p>ESSENTIAL</p> | | <p>River Facility Inspections and Maintenance</p> <p>ASM-07-009</p> | <p>GS2012-039A</p> <p>An extension “A” was added to provide a different archival status for county assets managed by the Rivers and Floodplain Management Program</p> |

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| 2. | <p><u>General Office Communications and Meetings – General Staff</u> Internal communications to or from employees (includes volunteers), that are made or received in connection with the transaction of public business, and that are not covered by a more specific records series.</p> <p>Includes all communication types, regardless of format:</p> <ul style="list-style-type: none"> • Correspondence, email; • Web sites/forms/pages, social networking posts and comments, etc. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for and provision of information/advice; • Agency-initiated information/advice • Email requests for assistance with administrative tasks such as, scanning, filing • Routine work products <p>Section-wide/unit meetings.</p> <p>Includes, but is not limited to: Agendas, meeting packets, sign-in lists, meeting notices, etc.;</p> <p>Minutes, audio/visual recordings, etc.</p> | <p>Cutoff: Year End</p> <p>Retention: 2 years</p> | <p>Disposition Action: Not Archival - Destroy</p> | | <p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p> | <p>Combo Rule ACO-01-001:</p> <ul style="list-style-type: none"> • GS50-01-43 R1 (Meetings – Staff) • GS2010-001 R3 (Non-Executive Communications) |

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| 3. | <p><u>Grant Reports and Deliverables</u> Reports relating to the ERES Section grant funded projects.</p> <p>May also include bond and levy projects. Includes, but is not limited to: Progress statements; Expenditure of funds; Monitoring records Periodic, annual, special, and final reports</p> | <p>Cutoff: submission of report <u>or after required monitoring period closes</u>, <i>whichever is later</i></p> <p>Retention: 6 years</p> | <p>Disposition Action: Archival – Appraisal Required</p> | | <p>Grant Reports and Deliverables</p> <p>FIN-05-003</p> | <p>Combo Rule FIN-05-003:</p> <ul style="list-style-type: none"> • GS50-03C-02 R1 (Bond, Grant and Levy Project Reports) • GS50-03C-01 R1 (Continuing Grants – Annual Financial Status Reports) |

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| 4. | <p><u>Habitat Restoration – Construction Design and Implementation Records</u> Records documenting the planning, design, and construction of WLR Division facilities. Includes construction, redesigns, remodels, renovations and other capital improvements in County river basins.</p> <p>Projects may include the construction of levees, revetments etc. May also include records related to flood events and responses.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> • Monitoring plans other plans to measure effectiveness of the project • SEPA • Final record drawings <p>Monitoring, test and sample data collected by WLR to characterize physical conditions within the basin, Includes but not limited to:</p> <ul style="list-style-type: none"> • Discharge data, monitoring well data, stormwater monitoring data, etc. <p>Technical or Planning Reports, Studies, Models and Analysis records may include but not be limited to:</p> <ul style="list-style-type: none"> • Geomorphic studies, Geotechnical studies • Wetland report | <p>Cutoff: Basin no longer under County jurisdiction</p> <p>Retention: 2 years</p> | <p>Disposition Action: Archival – Appraisal Required</p> <p>*Contact King County Archives for an appraisal of records once project is completed or records become inactive. Provide the archives with copies of records selected for the archives collection. In some instances, WLR and Archives may hold duplicate documents, depending on WLR needs for long-term retention of specific document type.</p> | | <p>River Basin and Watershed History Files</p> <p>PUT-05-003</p> | UT50-27-05 |

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| 5. | <p>Habitat Restoration Projects -Administrative Records documenting general administration of ERES section CIP projects. Records include those that document scope, schedule, budget and non-substantive day-to-day administrative efforts.</p> <p>Project may include the construction of levees, revetments etc.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> ● Budget and general accounting documentation ● Photographs ● Project deliverables ● Permit documents ● Project schedules ● Project specific public outreach including public meeting notices, meeting minutes, mailing lists, sign-in sheets, ● Temporary/Special use permits needed only for the duration of the project ● Field notes/Inspection Daily Reports ● Invoice and payment records ● CIP contract administration records, including Const. Mgmt file ● Consultant deliverables and correspondence ● As-designed drawings <p>Grant Deliverables and Reports records (see Item 3 - Grant Reports and Deliverables Above)</p> | <p>Cutoff: Completion of project or terms of grant agreement, whichever is later</p> <p>Retention: 10 years</p> | <p>Disposition Action: Archival – Appraisal Required</p> | | <p>Capital Project Records – General</p> <p>CIP-01-006</p> | GS50-18-10 R1 |

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| <p>6.</p> | <p>Hazardous Materials/Dangerous Waste – Abatement and Remediation Records relating to hazardous materials clean-up actions and investigations of incidents and/or disasters occurring within the agency’s jurisdiction and completed by or on behalf of the agency.</p> <p>Projects include, but are not limited to:</p> <ul style="list-style-type: none"> •Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) Superfund projects; sites listed on the Department of Ecology’s Hazardous Sites List (WAC 173-340-330); •Abatement, remediation, removal of potentially hazardous materials such as asbestos, lead paint, contaminated soil, storage tanks (under or above ground), etc.; •Clean-up of spills and releases of hazardous materials. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> •Preliminary assessment/site inspection reports, remedial investigation/feasibility studies and reports, risk and endangerment assessment, health and safety plans, etc.; •Notifications (such as Emergency Release Notification of an Extremely Hazardous Substance (EHS) in accordance with Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), or asbestos removal/disturbance notification required of local education agencies by the Asbestos National Emissions Standards for Hazardous Air Pollutants (NESHAP) in accordance with 40 CFR § Part 61, Subpart M.) •Contracts, abatement permits, consent agreements, record of decision (ROD), administrative orders, plans (project operations, work, community relations, quality assurance, etc.); •Sampling data, chemical analysis services, surveys, applicable or relevant and appropriate requirements (ARARs), enforcement action, operation & maintenance, monitoring & review; •(Potentially) responsible party searches and investigations; consent decrees; •Alert notifications (email, web post, tweet, RSS feed, etc.). | <p>Cutoff: Closure of site or incident/project completed</p> <p>Retention: 10 years then Transfer to King County Archives for appraisal and selective retention and Retain records not selected for permanent preservation for 50 years pursuant to 42 USC § 9603 (d)(2).</p> | <p>Disposition Action: Archival – Appraisal Required</p> | | <p>Hazardous Materials/ Dangerous Waste – Abatement and Remediation</p> <p>ASM-04-001</p> | <p>GS50-19-15 R1</p> |
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| 7. | <p><u>Inter/Intra-agency, Inter-governmental, Inter-local Agreements</u> Instruments signed by county agencies with one or more county or external agencies, to which the signing parties agree or submit. Agreements are created for the interest of cooperatively sharing resources for the mutual benefit of all parties, in accordance with RCW 39.34. Includes Memorandums of Understanding (MOU) and Service Level Agreements (SLA) for services provided by the agency to external agencies.</p> <p>Agreements include:</p> <ul style="list-style-type: none"> ● ILAs, MOUs, and Project Cooperation Agreements (US Army Corps of Engineers). <p>Note: Per RCW 39.34.040, a copy of each of the county's interlocal agreements must either be filed with the King County Recorder's Office or sent to DES / RALS / Archives, Records Management and Mail Services (ARMMS) for publishing on the internet. This should happen before the agreement has been entered into force.</p> | <p>Cutoff: completion of transaction or termination/expiration of instrument</p> <p>Retention: 6 years</p> | <p>Disposition Action: Archival – Appraisal Required</p> <p>ESSENTIAL</p> | | <p>Inter-Agency, Intra-Agency, Inter-Governmental, Inter-Local Agreements</p> <p>CON-01-004</p> | GS50-01-11R4 |
| 8. | <p><u>Monitoring, Test and Sample Data</u></p> <p>See Item 4 – Habitat Restoration –Construction Design and Implementation Records Above</p> <p>Note: Records in this series have a minimum retention period of 6 years. However, because of many records document impacts to the environment; <i>most</i> records should be retained in perpetuity. Please move all environmental records to <u>Basin History Files category once records have reached their cutoff.</u></p> | <p>Cutoff: Completion of sampling/testing or monitoring</p> <p>Retention: 6 years</p> | <p>Disposition Action: Archival - Appraisal Required</p> | | <p>Monitoring, Test And Sample Data</p> <p>PUT-05-004</p> | UT50-27-10 |

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| 9. | <p><u>Operations and Maintenance Manuals</u> Typically, these will be associated with Flood District facilities that have been modified for the purpose of restoration, and only during a warranty period.</p> | <p>Cutoff: Disposition of asset</p> <p>Retention: 0 years</p> | <p>Disposition Action: Not Archival - Destroy</p> | | <p>ASM-07-001 Operating Manuals</p> | <p>GS50-06B-09 R1</p> |
| 10. | <p><u>Public Outreach, Advertising and Promotion</u> Records related to the planning and/or execution of educational programs and outreach to inform the public of WLR services, upcoming projects.</p> <p>Records may include: PowerPoint Presentations, brochures and information flyers, audio/visual materials, etc.</p> | <p>Cutoff: superseded or no longer needed</p> <p>Retention: 2 years</p> | <p>Disposition: Archival – Appraisal Required</p> | | <p>Advertising, Outreach and Promotion PRE-01-005</p> | <p>GS2011-165</p> |
| 11. | <p><u>Record Drawings – Archival Transfer Set</u></p> <p>See Item 4 – Habitat Restoration –Construction Design and Implementation Records above</p> <p>Note: Records in this series are archival. <u>Transfer a set of drawings to the King County Archives 2 years after project closeout.</u> The ERES Unit may elect to retain a second set of drawings to document substantive environmental changes to the river basin. This second set of drawings should be moved from the project file to the in the Basin History Files category and Implementation Records file once records have reached their cutoff.</p> | <p>Cutoff: completion of project</p> <p>Retention: 2 years</p> | <p>Disposition Action: Archival – Appraisal Required</p> | | <p>Record Drawings – Archival ASM-02-008</p> | <p>GS50-18-06 R1</p> |

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| 12. | <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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| 13. | <p><u>Technical or Planning Reports, Studies, Models and Analysis</u></p> <p>See Item 4 – Habitat Restoration – Construction Design and Implementation Records</p> <p>Note: Records in this series have a minimum retention period of 6 years. However, because of many records document impacts to the environment; most records should be retained in perpetuity. Please move all environmental records <u>to Basin History Files category once records have reached their cutoff.</u></p> | <p>Cutoff: obsolete or superseded</p> <p>Retention: 6 years</p> | <p>Disposition Action: Archival – Appraisal Required</p> | | <p>Research/Program Reports, Studies, Surveys, Models and Analyses</p> <p>ACO-02-002</p> | GS50-01-32 R1 |

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| 14 | <p><u>Transitory and Secondary 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. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • 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>Secondary Records Includes:</p> <ul style="list-style-type: none"> • Duplicate copies of original records • Documents or emails that you are carbon copied on "cc" • Materials used for reference only. May include information from sources outside of the County. | <p>Cutoff: no longer needed</p> <p>Retention: 0 years</p> | <p>Disposition Action: Destroy</p> | | N/A | GS50-02-05 R1 |

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| 15 | <p><u>WSDA Herbicide Application Records</u> Records documenting the local government agency's application of herbicide to agricultural land, roadsides, and/or landscapes as regulated by RCW 17.21.100 and WAC 16-228-1320.</p> | <p>Cutoff: End of year in which herbicide/ pesticide applied</p> <p>Retention: Permanent * *Transfer to King County Archives 7 years after year end for permanent retention and preservation</p> | <p>Disposition Action: Permanent Archival</p> | | <p>WSDA Herbicide/Pesticide Application Records ASM-04-026</p> | <p>GS50-18-43R1</p> |

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.



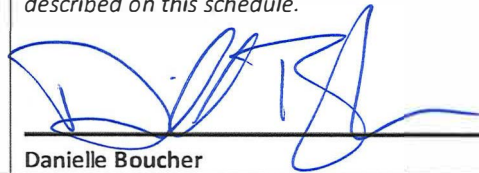
8/15/2019

Ellie Browning

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.



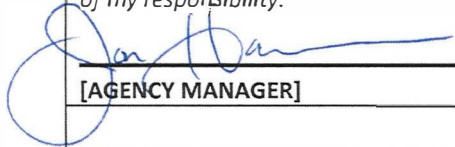
8/6/19

Danielle Boucher

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.



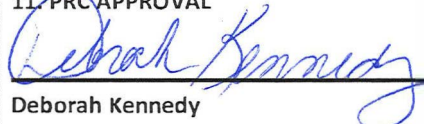
7/2/19

[AGENCY MANAGER]

Date

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL



8/19/19

Deborah Kennedy

Date

King County Public Records Committee