



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Natural Resources and Parks / Solid Waste
Division / Director's Office

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

DNRP-SWD-(DIR) / 160206

**3. TOTAL NUMBER OF
PAGES**

13

**4. DATE LAST
MODIFIED**

October 5, 2017

5. STATUS

Final

6. VERSION

2

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>Contracts and Agreements – General</u> Instruments signed by the County and one or more parties that set out terms and conditions to which the signing parties agree or submit. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Technical and Professional contracts • Architectural Engineering contracts • Invoices, change orders and/or amendments. • Lease, escrow, and rental agreements; • Lending agreements (facility, equipment, vehicle, etc.); • Loan agreements (long-term debt, etc.); • Personal service, client service, purchasing agreements; • Purchase and sales agreements (non-capital asset purchases only); • Vendor bonds; Warranties <p>Excludes Inter-agency, intra-agency, inter-governmental, inter-local agreements covered under CON-01-004.</p>	<p>Cutoff: closeout of contract / agreement</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Contracts, Agreements and Warranties</p> <p>CON-01-001</p>	GS50-01-11R4
2.	<p><u>General Office Accounting</u> Records are used to document payment for goods and services received.</p> <p>May include:</p> <ul style="list-style-type: none"> • Invoices; Purchase orders; Vouchers; Receipts • P-Card Records - Records document purchases made using a county credit card (credit card statements card, documents verifying expenses, receipts, etc.) 	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	DES / FBOD / Accounts Payable is the primary office for most account payable records	<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3

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3.	<p><u>General Office Communications & Meetings – Division Director</u> Internal and external communications to or from the county’s elected official(s) and/or executive management team, that are made or received in connection with the transaction of county business, and that are not covered by a more specific record series. Includes communications by supporting staff acting on behalf of elected official or executive.</p> <p>Includes but is not limited to :</p> <ul style="list-style-type: none"> • Requests for and provision of information/advice and county-initiated information/advice, sent or received by elected officials or executive management team. • Meetings held among agency and department directors, as well as councilmembers and independently elected officials. • All communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, instant messages, social networking posts and comments, etc. <p><i>Note: Information/advice published online by the agency continues to be “provided” until the date it is removed/withdrawn.</i></p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Elected Officials, Department and Division Heads Communications, Subject and Issue Files</p> <p>ACO-01-002</p>	<p>Combo Rule ACO-01-002</p> <p>GS50-01-02 (Director/Deputy Administrative Working Files)</p> <p>GS50-01-12R3 (Director/Deputy Communications Governing/Executive/Advisory)</p> <p>GS50-01-43R2 (Director/Deputy Meetings – Staff)</p> <p>GS50-01-36 (Director/Deputy Appointment Calendars)</p>

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4.	<p>General Office Communications and Meetings – General Staff Internal and external 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. • Requests for and provision of information/advice; • Agency-initiated information/advice • Email requests for assistance with administrative tasks such as scanning, filing <p>Records documenting regular meetings held by (and/or for) Director’s Office staff.</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>Cutoff: year end</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>Combo Rule ACO-01-001</p> <p>GS50-01-02 (Administrative Working Files)</p> <p>GS50-01-43R2 (Meetings – Staff)</p> <p>GS50-01-36 (Appointment Calendars)</p> <p>GS2011-179R1 (Training Arrangements)</p> <p>GS2010-001R3 (Non-Executive Communications)</p>

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5.	<p><u>Inter/Intra-agency, Inter-governmental, Inter-local Agreements</u> Instruments signed by county agencies and one or more 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 Memorandum of Understanding (MOU)/Memorandum of Agreement (MOA) and Service Level Agreements (SLA) that document services provided by King County to another government agency.</p> <p><i>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.</i></p>	<p>Cutoff: termination or expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially 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
6.	<p><u>Leadership Development and Strategic Alignment Curriculum Materials</u> Records documenting the development of assessments and coaching materials including research, surveys and other template plans.</p>	<p>Cutoff: curriculum no longer provided by agency</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Agency-Provided Training – Curriculum and Materials Development</p> <p>ACO-10-002</p>	GS2011-178R1

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7.	<p><u>Legislation, Ordinance and Resolution Development and Transmittal Files</u> Documentation of the analysis and development of ordinances and/or resolutions submitted for the approval of the agency's governing council, commission or board. Legislation includes internal King County legislation as well as State and Federal legislation related to Solid Waste.</p> <p>Excludes approved legislation, ordinances and resolutions covered by GS50-05A-16.</p>	<p>Cutoff: approval or decision not to proceed</p> <p>Retention: 3 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Ordinance, Motion and Resolution Development and Transmittal Files</p> <p>LES-02-002</p>	GS50-01-25R1
8.	<p><u>Meetings/Projects – General Advisory Councils, Commissions, Committees, and Boards</u> Records documenting all meetings of the local government agency's advisory bodies.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Meetings regulated by the <i>Open Public Meetings Act</i> (chapter 42.30 RCW), such as regular and special meetings, public hearings, etc.; • Meetings regulated by RCW 70.95.165 and KCC 10.28 • All other meetings (including executive sessions regulated by RCW 42.30.110(2)) • Agendas, meeting/agenda packets (briefs, reference materials, etc.); • Speaker sign-up, written testimony; • Audio/visual recordings and transcripts of proceedings; • Minutes. • Indexes and other finding aids. <p>Example: Solid Waste Advisory Committee (SWAC)</p> <p>Excludes records covered by GS2011-173, GS2011-174, GS2011-175, and GS2011-176.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Meetings/Projects – General Advisory Councils, Commissions, Committees, and Boards</p> <p>ACO-01-013</p>	GS2012-027

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9.	<p>Meetings – Inter-Agency Records documenting all meetings held between the local government agency and one or more other public agencies.</p> <p>May include:</p> <ul style="list-style-type: none"> • Multi-agency staff meetings, committees, task forces that coordinate activities, communications, solutions to problems, etc. • Agendas, meeting packets, sign-in lists, meeting notices. • Minutes, audio/visual recordings, transcripts, etc. • Indexes and other finding aids. • Work Plans • Email communications <p>Example: Metropolitan Solid Waste Management Advisory Committee (MSWAC) records</p> <p>Excludes all meetings regulated by the Open Public Meetings Act (chapter 42.30 RCW)</p> <p>Excludes records covered by other specific Meeting Categories: GS2011-173, GS2011-174, GS2011-175, GS2011-176 & GS2012-027.</p>	<p>Cutoff: year end or completion of project, <i>whichever is later</i></p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Meetings – Inter-Agency, Inter-Local, Inter-Governmental</p> <p>ACO-01-006</p>	GS2011-175R2

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10.	<p><u>Performance Evaluation Background Files</u> Records used by employees with supervisory responsibilities to prepare and support the annual performance evaluations of employees under their supervision. Only includes records needed to support the completion of the performance evaluation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports, etc. <p>Excludes records needed to support <i>ongoing</i> supervision of the employee (see Supervisor’s Working Files).</p> <p>Excludes final signed performance evaluations (kept by Human Resources in the official Personnel File.)</p>	<p>Cutoff: performance review has been completed and appeal period has ended</p> <p>Retention: none</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Filed Outside of KC ERMS</p>	GS50-04B-31R1
11.	<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"> • Correspondence, meeting records, substantive drafts, and additional supporting documentation. <p>Examples: Conference room audio/visual upgrade project</p>	<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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12.	<p><u>Research/Program Reports, Studies, Surveys, Models and Analyses</u> Research/program reports, studies, surveys, models, and analyses where not covered by a more specific records series in King County General Records Retention Schedule or agency specific schedules.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Reports published by county agencies, reports by consultants hired by the county, and publications of joint projects supported by King County Government. <p>Excludes reports covered by GS2012-028 and data extracts/printouts covered by GS50-02-04.</p>	<p>Cutoff: superseded or obsolete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Research/Program Reports, Studies, Surveys, Models and Analyses</p> <p>ACO-02-002</p>	GS50-01-32R1
13.	<p><u>Strategic Alignment Models and Metrics</u> Records related to the development and update of department metrics showing impediments, progress, and alignment to the strategic plan. Also includes strategy documents outlining proposed organizational changes within the division.</p>	<p>Cutoff: Obsolete or superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Research/Program Reports, Studies, Surveys, Models and Analyses</p> <p>ACO-02-002</p>	GS50-01-32R1
14.	<p><u>Strategic Plans – Development</u> Records relating to the development of Solid Waste’s strategic plan.</p>	<p>Cutoff: completion of plan</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Strategic and Work Plans - Development</p> <p>ACO-04-002</p>	GS2010-079

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15.	Strategic Plans – Final Final version of agency-wide strategic, long-term plan used to align the agency’s organizational and budget structure with its priorities, missions, and objectives.	Cutoff: Plan revised or obsolete Retention: 2 years PERMANENT – Transfer to the King County Archives 2 years after plan revised or obsolete	Disposition Action: Archival – Permanent		Strategic Plans – Final Version ACO-04-003	GS2010-080

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16.	<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 Filed Outside of KC ERMS</p>	GS50-04B-31R1A

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17.	<p>Transitory Records Public records that only document information of temporary, short-term value, and provided that the records are not needed as evidence of a business transaction; and, not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency-Generated Forms and Publications – Copies (Copies of unused forms) • Brainstorming and Collaborating (Notes, mind maps, white board collaboration notes, post-its, A3, flip charts) • Contact Information (external clients or stakeholders) • Drafting and Editing (Preliminary drafts with only editing suggestions, notes, and related correspondence if they do not document decision making or substantive changes) • Electronic documents when printed version is finalized with inked signature • General Information – External (FYI information received from external sources) • Unsolicited Materials/publications (Not requested nor used) • Basic/routine short-term communications that do not document decision making or agency actions and not covered by another category, such as – “I am running late this morning” or “Come see me at my desk when you can”) • Internet Browsing History (cookies/cache/temp files on your computer) • Organizing/Monitoring Work In Progress (to-do lists; working notes; status logs) • Records Documented as Part of More Formalized Records (Notes used for data entry; raw stats/survey responses consolidated into a larger report or record if not required for other uses) • Reference Materials (gathered from external sources which do not provide evidence of agency work) • Scheduling of Meetings/Appointments • Secondary (Duplicate) Copies 	<p>Cutoff: no longer needed</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Filed Outside of KC ERMS</p>	<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>

<p>8. RECORDS AND INFORMATION MANAGER SIGNATURE <i>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.</i></p> <p><i>See original for signature</i> <i>04/13/2016</i></p> <hr/> <p>Gail Snow Date</p>	<p>9. COUNTY ARCHIVIST SIGNATURE <i>I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.</i></p> <p><i>See original for signature</i> <i>04/26/2016</i></p> <hr/> <p>Carol Shenk Date</p>
<p>10. AGENCY MANAGER SIGNATURE <i>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.</i></p> <p><i>See original for signature</i> <i>03/28/2016</i></p> <hr/> <p>Pat McLaughlin Date</p>	
<p>PUBLIC RECORDS COMMITTEE USE ONLY - DO NOT FILL IN BEYOND THIS POINT</p>	
<p>11. PRC APPROVAL</p> <p><i>See original for signature</i> <i>05/04/2016</i></p> <hr/> <p>Deborah Kennedy Date King County Public Records Committee</p>	