



**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 / Enterprise Services

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

DNRP-SWD-(ES) / 160205

**3. TOTAL NUMBER OF  
PAGES**

12

**4. DATE LAST  
MODIFIED**

December 16, 2020

**5. STATUS**

Final – Pending  
PRC Approval

**6. VERSION**

3

**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 REMARKSS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
1.	<p><b><u>Asset Acquisition and Ownership Records</u></b> Records documenting acquisition/ownership of the agency's fixed, non-real property assets and noncapital assets that are tagged or tracked (small and attractive assets, etc.). Non-real property capital assets may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Vehicles, machinery, computers, equipment, furniture;</li> <li>• Intellectual property (copyrights, patent rights, trademarks, etc.);</li> <li>• Works of art and historical treasures;</li> <li>• Easements, rights-of-way received by the agency;</li> <li>• Water and timber rights received by the agency.</li> <li>• Appraisals (statement of value);</li> <li>• Purchase offers for agency assets which are declined by agency;</li> <li>• Legal ownership documentation (included copy of vehicle title if original is transferred to new owner.)</li> </ul> <p>Excludes contracts and agreements which are covered by GS2011-169 R2 and GS2011-183 R2. Excludes real property assets covered by GS55-05A-06 R1.</p>	<p><b>Cutoff:</b> disposition of asset or until completion of State Auditor's Examination Report, whichever is sooner</p> <p><b>Retention:</b> 4 years</p>	<p><b>Disposition Action:</b> Not Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Asset Acquisition and Ownership Records</p> <p>ASM-09-008</p>	GS2012-030
2.	<p><b><u>Audit Findings</u></b> Final findings of audits conducted of County services, programs, or practices by internal DNRP Project Control Officer, the King County Auditor (or via contracted company acting on behalf of the County Auditor's Office), or by an outside auditing agency (State, Federal, Independent, etc.)</p> <p><b>Note: This category may also encompass the significant drafts published at periodic intervals by the Auditor's Office.</b></p>	<p><b>Cutoff:</b> completion of report and all corrective action taken</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Potentially Archival - Appraisal Required</p>		<p>Audit Findings</p> <p>AUD-01-003</p>	GS50-03F-02

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3.	<p><b><u>Audit Working Files And Supporting Materials</u></b> Records used to respond to an internal/external audit of King County agencies program management, collected and maintained by agency subject of audit, OR cumulative data on departments or agencies and audit issues collected by King County Auditor.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> <li>• Copies of original source records</li> <li>• Database printouts</li> <li>• Correspondence</li> <li>• Corrective action work plans</li> <li>• Status reports</li> <li>• Additional supporting documentation</li> <li>• Other cumulative data on audit issues.</li> </ul>	<p><b>Cutoff:</b> completion of audit and all corrective action taken</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p>		<p>Audit Working Files and Supporting Material</p> <p>AUD-01-002</p>	GS50-03F-01
4.	<p><b><u>Budget Development or Working Files</u></b> Background information and draft documents compiled in the course of budget preparation.</p> <p>May include:</p> <ul style="list-style-type: none"> <li>• Preliminary budgets</li> <li>• Division or departmental budget requests</li> <li>• Budget related work plans</li> <li>• Spreadsheets, statistics, expenditure reports</li> <li>• Correspondence</li> <li>• Briefing materials and supporting documentation</li> </ul>	<p><b>Cutoff:</b> budget adopted</p> <p><b>Retention:</b> 4 years</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p>		<p>Budget Development Files</p> <p>BUD-01-001</p>	GS50-03D-03

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5.	<p><b>Budget - Final (Secondary)</b> Final budget plans adopted annually for the County. Includes budget allocations for projects, personnel and supporting program costs. Records are used for planning projects and for conducting historical analysis of departmental operation costs.</p>	<p><b>Cutoff:</b> no longer needed for reference purposes</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p>	<p><b>KCC/A/Clerk of the Council:</b> Permanent (as part of the adopting Ordinance file)</p> <p><b>KCEO/OPSB:</b> Permanent</p>	<p>N/A</p> <p>Records Filed Outside of KC ERMS</p>	GS50-03D-08(S)
6.	<p><b>Contracts and Agreements – General</b> Instruments signed by the County and one or more parties that set out terms and conditions to which the signing parties agree or submit.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Invoices, change orders and/or amendments.</li> <li>• Inter-agency, intra-agency, inter-governmental, inter-local agreements;</li> <li>• Lease, escrow, and rental agreements;</li> <li>• Lending agreements (facility, equipment, vehicle, etc.);</li> <li>• Loan agreements (long-term debt, etc.);</li> <li>• Personal service, client service, purchasing agreements;</li> <li>• Purchase and sales agreements (non-capital asset purchases only);</li> <li>• Vendor bonds; Warranties</li> </ul>	<p><b>Cutoff:</b> closeout of contract / agreement</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Contracts, Agreements and Warranties</p> <p>CON-01-001</p>	GS50-01-11R4

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7.	<p><b><u>Customer Service-Inquiries/Requests/Complaints</u></b> Communications from citizens making a complaint or request, as well as the associated agency response.</p> <p>Records may include:</p> <ul style="list-style-type: none"> <li>• Handwritten accounts, email communications, voicemail recordings or letters sent in the mail. Complaints may also be logged in database.</li> </ul> <p><b>Excludes</b> records covered more specifically in the King County General Retention Schedule or Agency Specific Schedules such as:</p> <ul style="list-style-type: none"> <li>• Code Violation Complaints covered by GS2012-026;</li> <li>• Claims for damages covered by GS50-01-010;</li> <li>• Public Disclosure Requests covered by GS2010-014 R2</li> </ul>	<p><b>Cutoff:</b> End of year in which the issue was resolved</p> <p><b>Retention:</b> 3 years</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p>		<p>Public Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	GS50-01-09R2
8.	<p><b><u>Delegation of Authority and Signature Records</u></b> Records of written delegation of authority to specific individuals to sign documents and financial instruments, and to make decisions acting in lieu of a superior officer. Records will include samples of signatures.</p>	<p><b>Cutoff:</b> superseded</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Delegation of Authority and Signature Records</p> <p>ACO-03-003</p>	GS50-01-11R4
9.	<p><b><u>Destruction of Public Records – Agency In-House</u></b> <b><u>Destruction of Non-Archival Records</u></b> Records relating to the destruction of the County’s public records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Destruction logs;</li> <li>• Affidavits;</li> <li>• Agency authorizations;</li> <li>• Certificates/Notices of destruction.</li> </ul> <p><b>Note: From 1/1/2014 to 7/14/2020, DES / RALS / ARMMS was the official record keeper. All destruction forms 7/14/2020 to present are maintained by the agency.</b></p>	<p><b>Cutoff:</b> None</p> <p><b>Retention:</b> Permanent</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Destruction of Public Records</p> <p>INF-03-003</p>	GS50-09-06R1

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10.	<p><b><u>Financial Disputes/Collections - General</u></b> Records relating to the agency's financial disputes and attempts to collect funds, <b><i>where not related to real property ownership</i></b>, and where civil litigation has <b><u>not</u></b> commenced.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Accounts receivable and payable;</li> <li>• Checks/warrants returned due to non-sufficient funds (NSF);</li> <li>• Correspondence, notices, invoices/statements, account closure;</li> <li>• Damage and loss claims (purchasing);</li> <li>• Settlement documentation.</li> </ul> <p><b>Excludes</b> hearing examiner case files covered by GS2011-173. <b>Excludes</b> collections involving real property covered by GS55-05A-09.</p> <p><b>Note: If litigations commences, these records become part of the litigation case file and are covered by GS53-02-04.</b></p>	<p><b>Cutoff:</b> End of year in which issue resolved</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p>		<p>Collections Files</p> <p>FIN-01-004</p>	GS50-03B-14R3

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11.	<p><b>General Office Accounting</b> Records are used to document payment for goods and services distributed or received.</p> <p>May include:</p> <ul style="list-style-type: none"> <li>• Invoices; Purchase orders; Vouchers; Receipts</li> <li>• Materials disbursement, supplies drawn from central stores, stores reports, etc.</li> <li>• Registers and journals (general and subsidiary) for all funds and functions;</li> <li>• Check/warrant registers;</li> <li>• Petty cash.</li> <li>• Check Movement Tracking Records: Includes signature records identifying individuals receiving or delivery checks.</li> <li>• Deposits and withdrawals (including electronic funds transfers (EFT), international money transfers (IMT), automated clearinghouse (ACH), etc.</li> <li>• Statements (bank, dividend, investment, etc.) and reconciliations</li> <li>• Records documenting the status of and adjustments to accounts</li> <li>• Stop payment reports/requests (and supporting documentation)</li> <li>• Checks and warrants issued by the agency (if returned by the bank)</li> <li>• P-Card Records - Records document purchases made using a county credit card. May include credit card statements card, documents verifying expenses, receipts, etc.</li> </ul>	<p><b>Cutoff:</b> end of year</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	<p>Combo Rule FIN-01-001</p> <p>GS2011-184R3 (General Financial Transactions)</p> <p>GS2011-185 (Banking – Accounts and Transactions)</p> <p>GS2012-045 (Use and Dispersal of County Assets)</p>

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12.	<p><b><u>General Office Communications and Meetings</u></b> 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"> <li>• Correspondence, email;</li> <li>• Includes, but is not limited to:</li> <li>• Requests for and provision of information/advice;</li> <li>• Agency-initiated information/advice</li> <li>• Records documenting regular meetings held by (and/or for) Finance and Administration staff</li> <li>• 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.).</li> <li>• Agendas, meeting packets, sign-in lists, meeting notices, etc.;</li> <li>• Minutes, audio/visual recordings, transcripts, etc.</li> </ul>	<p><b>Cutoff:</b> end of year</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b> 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>GS50-01-43R2 (Meetings Staff)</p> <p>GS2010-001R3 (Communications – Non-Executive)</p>
13.	<p><b><u>Grant Administration Records</u></b> Records that document administration of levy, bond or grant funded projects. Includes documentation of all resources received or expended by the county for bond, levy or grant funded projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Contracts and agreements (non-capital assets only), grant/scholarship announcements, approved applications, timekeeping tracking forms, etc.</li> </ul>	<p><b>Cutoff:</b> final bond payment or 6 years after completion of levy/grant project or terms of grant agreement, <i>whichever is later</i></p> <p><b>Retention:</b> 6 years.</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p>		<p>Grant Administration Records</p> <p>FIN-01-017</p>	<p>Combo Rule FIN-05-001</p> <p>GS2011-183R2 (Financial Transactions – Bond, Grant and Levy Projects)</p> <p>GS50-03C-01R1 (Financial Status Reports – Grants)</p>



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14.	<p><b><u>Performance Evaluation Background Files</u></b> Records used by employees with supervisory responsibilities to prepare and support the annual performance evaluations of employees under their supervision. <b>Only</b> 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"> <li>• Performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports, etc.</li> </ul> <p><b>Excludes</b> records needed to support <i>ongoing</i> supervision of the employee (see Supervisor’s Working Files).</p> <p><b>Excludes</b> final signed performance evaluations (kept by Human Resources in the official Personnel File.)</p>	<p><b>Cutoff:</b> performance review has been completed and appeal period has ended</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Filed Outside of KC ERMS</p>	GS50-04B-31R1
15.	<p><b><u>Project Files</u></b> 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"> <li>• Correspondence, meeting records, substantive drafts, and additional supporting documentation.</li> </ul>	<p><b>Cutoff:</b> project completed</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Potentially Archival - Appraisal Required</p>		<p>Project Files</p> <p>ACO-02-001</p>	GS50-01-39R1

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16.	<p><b>Supervisor's Working Files</b> Records compiled by supervisors about the progress, conduct and performance of employees under their supervision. Records are <b>only</b> used to support the ongoing supervision of the employee and <b>exclude</b> 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"> <li>• 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.</li> </ul> <p><b>Excludes</b> records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files).</p> <p><b>Excludes</b> 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><b>Cutoff:</b> No longer supervising employee</p> <p><b>Retention:</b> 3 years</p>	<p><b>Disposition Action:</b> 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><b><u>Transitory Records</u></b> 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"> <li>• <b>Agency-Generated Forms and Publications – Copies</b> (Copies of unused forms)</li> <li>• <b>Brainstorming and Collaborating</b> (Notes, mind maps, white board collaboration notes, post-its, A3, flip charts)</li> <li>• <b>Contact Information</b> (external clients or stakeholders)</li> <li>• <b>Drafting and Editing</b> (Preliminary drafts with only editing suggestions, notes, and related correspondence if they do not document decision making or substantive changes)</li> <li>• <b>Electronic documents when printed version is finalized with inked signature</b></li> <li>• <b>General Information – External</b> (FYI information received from external sources)</li> <li>• <b>Unsolicited Materials/publications</b> (Not requested nor used)</li> <li>• <b>Basic/routine short-term communications</b> 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”)</li> <li>• <b>Internet Browsing History</b> (cookies/cache/temp files on your computer)</li> <li>• <b>Organizing/Monitoring Work In Progress</b> (to-do lists; working notes; status logs)</li> <li>• <b>Records Documented as Part of More Formalized Records</b> (Notes used for data entry; raw stats/survey responses consolidated into a larger report or record if not required for other uses)</li> <li>• <b>Reference Materials</b> (gathered from external sources which do not provide evidence of agency work)</li> <li>• <b>Scheduling of Meetings/Appointments</b></li> <li>• <b>Secondary (Duplicate) Copies</b></li> </ul>	<p><b>Cutoff:</b> no longer needed</p> <p><b>Retention:</b> None</p>	<p><b>Disposition Action:</b> 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>

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18.	<p><b>Work Plans</b> Plans describing work to be performed by divisions and units of the agency, including timelines and areas of responsibility for specific actions. Also includes records relating to the development of work plans.</p> <p><b>Excludes</b> agency-wide strategic plans covered by GS2010-080.</p>	<p><b>Cutoff:</b> plan revised or obsolete</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b> Non-Archival - Destroy</p>		<p>Work Plans</p> <p>ACO-04-004</p>	GS50-01-38R2