



King County

Department of Executive Services
Records and Licensing Services Division
Archives, Records Management and Mail
Services Section

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 / Project Management Office

2. DEPARTMENT-DIVISION- SECTION [DDS]

DNRP-SWD-PMO

3. TOTAL NUMBER OF PAGES

10

4. DATE LAST MODIFIED

December 16, 2020

5. STATUS

Final – Pending
PRC Signature

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 *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>Authorizations/Certifications/Permits – Assets - Environmental</p> <p>Records relating to environmental-related licenses, permits, accreditations, certifications, inspections, and other authorizations acquired by Solid Waste in relation to its assets, where not covered by a more specific records series.</p> <p>Assets include:</p> <ul style="list-style-type: none"> • Landfills; recycling facilities; sewage sludge sites; transfer stations etc. <p>Records include:</p> <ul style="list-style-type: none"> • Application/filing & confirmation, • Violations/corrections, • Reports, related correspondence, and all other records as required by the permit. • Spill prevention countermeasure and control plans <p>Permits Include but are not limited to:</p> <ul style="list-style-type: none"> • Industrial Stormwater Permit/Department of Ecology • Title V Air operating permits Puget Sound Clean Air Agency • Wastewater Discharge Permits/King County Industrial Waste • Solid Waste Facility Permit/Public Health Seattle and King County 	6 years after authorization terminated <u>and</u> conditions of authorization satisfied <u>and</u> violation (if any) corrected/ resolved.	Potentially Archival – Appraisal Required		Asset Permits/Authorizations – Environmental ASM-01-004	GS2012-033

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2.	<p>Authorizations/Certifications/Permits – Assets – Non-Environmental</p> <p>Records relating to licenses, permits, accreditations, certifications, inspections, and other authorizations acquired by Solid Waste in relation to its assets, where not covered by a more specific records series and that do not have an environmental impact.</p> <p>Assets include:</p> <ul style="list-style-type: none"> • Landfills; recycling facilities; sewage sludge sites; transfer stations etc. <p>Records include:</p> <ul style="list-style-type: none"> • Application/filing & confirmation, • Violations/corrections, • Reports, related correspondence, and all other records as required by the permit. • Spill prevention countermeasure and control plans <p>Permits Include but are not limited to:</p> <ul style="list-style-type: none"> • Fire and life safety permits/inspections (fire extinguishers, alarms, sprinklers, suppression systems); heating, ventilation, air conditioning [HVAC] systems; boilers/hot water tanks, elevators, etc.); • Vehicle/Vessel registration/tabs, emissions testing, USDOT number, etc., for motor pool/fleet, garbage/recycling trucks 	6 years after authorization terminated <u>and</u> conditions of authorization satisfied <u>and</u> violation (if any) corrected/ resolved.			Asset Permits/Authorizations – Non-Environmental ASM-01-005	GS2012-033

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3.	<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"> • Invoices, change orders and/or amendments. • Inter-agency, intra-agency, inter-governmental, inter-local agreements; • 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 	6 years after closeout of contract / agreement	ESSENTIAL		Contracts, Agreements and Warranties CON-01-001	GS50-01-11R3
4.	<p><u>Destruction of Public Records – Agency In-House</u> <u>Destruction of Non-Archival Records</u> Records relating to the destruction of the County’s public records. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Destruction logs; • Affidavits; • Agency authorizations; • Certificates/Notices of destruction. <p><i>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.</i></p>	<p>Cutoff: None</p> <p>Retention: Permanent</p>	<p>Disposition Action: Non-Archival - Destroy</p> <p>ESSENTIAL</p>		Destruction of Public Records INF-03-003	GS50-09-06R1

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5.	<p><u>General Office Communications and Meetings</u> 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; • Includes, but is not limited to: • Requests for and provision of information/advice; • Agency-initiated information/advice <p>Records documenting regular meetings held by (and/or for) Finance and Administration staff. May include 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.).</p> <p>Includes, but is not limited to: Agendas, meeting packets, sign-in lists, meeting notices, etc.; Minutes, audio/visual recordings, transcripts, etc.</p>	2 years after year end			General Office Communications and Staff Meetings ACO-01-001	GS50-01-43R1 (Meetings Staff) GS2010-001R3 (Communications – Non-Executive)
6.	<p><u>Grant Administration Records</u> 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. Includes, but is not limited to: contracts and agreements (non-capital assets only), grant/scholarship announcements, approved applications, timekeeping tracking forms, etc.</p>	6 years after final bond payment or 6 years after completion of levy/grant project or terms of grant agreement, <i>whichever is later.</i>			Grant Administration Records FIN-01-017	GS2011-183R2 (Financial Transactions – Bond, Grant and Levy Projects) GS50-03C-01R1 (Financial Status Reports – Grants)

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7.	<p>Landfill / Transfer Station History Files Contains background information and historical data collected on each site. Records may include deeds, contracts, surveys, weather station data, maps, sketches, plans, permanent rights of way, field notes, volume calculations and legal descriptions, submittals documents that set out facilities standards and specs, manuals prepared by contractors for use of King County in maintaining equipment installed in landfills or transfer stations, operations and maintenance manuals etc.</p>	Permanent	ESSENTIAL		Landfill/ Transfer Station History Files ASM-04-021	UT50-26-05
8.	<p>Performance Evaluation Background Files 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: performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports, etc.</p> <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>	Destroy once the performance review has been completed and appeal period has ended			N/A	GS50-04B-31

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9.	<p>Project Files 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, correspondence, meeting records, substantive drafts, and additional supporting documentation.</p>	6 years after project completed	Potentially Archival - Appraisal Required		Project Files ACO-02-001	GS50-01-39R1
10.	<p>Research/Program Reports, Studies, Surveys, Models and Analyses 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 reports published by county agencies, reports by consultants hired by the county, and publications of joint projects supported by King County Government. Examples include published studies and reports, pamphlets, and brochures.</p> <p><i>Excludes reports covered by GS2012-028 and data extracts/printouts covered by GS50-02-04.</i></p>	6 years after superseded or obsolete	Potentially Archival - Appraisal Required		Research/Program Reports, Studies, Surveys, Models and Analyses ACO-02-002	GS50-01-32R1
11.	<p>Secondary (Duplicate) Copies Copies of records (created or received), provided that the agency retains the primary record in accordance with the current approved minimum retention period.</p> <p>Includes, but is not limited to, data extracts and printouts from agency electronic information systems, provided that the:</p> <ul style="list-style-type: none"> Records within the database are retained for their minimum retention period; and, Data extracts/printouts are NOT required to substantiate "point-in-time" evidence of business transactions. 	Retain until no longer needed for agency business			N/A	GS50-02-04R1

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12.	<p><u>Solid Waste Capital Contract/Project Records</u> Records documenting Solid Waste’s capital projects through the planning, preliminary design, final design, implementation and closeout process. Documents are related to scope, schedule and budget.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Quality Assurance/Quality Control records • Successful bid documents • Temporary right-of-way, easements and permitting required for the duration of the project (does not include permanent easements, right-of-way or land acquisitions) • Solicitation/Requests for Proposal or Qualification • Negotiation • Contract • Change Orders/Amendment • Resumes • Affidavit of Publication • Scope of Work • Certificate of Insurance • Invoices • Submittals • Specifications • Deliverables 	10 years after project completed	Potentially Archival - Appraisal Required		Solid Waste Division CIP Projects CIP-01-007	GS50-18-10R1

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13.	<p><u>Supervisor's Working Files</u> 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: 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> <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>	3 years after no longer supervising employee			N/A	GS50-04B-31

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14.	<p>Transitory Records 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: 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, 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>	Dispose of when no longer needed			N/A	GS50-02-05R1
15.	<p>Work Plans 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><i>Excludes agency-wide strategic plans covered by GS2010-080.</i></p>	2 years after plan revised or obsolete			Work Plans ACO-04-004	GS50-01-38R1