



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Natural Resources and Parks / Water and
Land Resources Division / Director's Office

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

DNRP-WLRD-(DO) / 160414

**3. TOTAL NUMBER OF
PAGES**

12

**4. DATE LAST
MODIFIED**

October 9, 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>Budget Development Files</u> Background information and draft documents compiled in the course of budget preparation.</p> <p>May include:</p> <ul style="list-style-type: none"> • Preliminary budgets, spreadsheets, statistics, expenditure reports, email correspondence, briefing materials and supporting documentation. 	<p>Cutoff: budget adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Development Files</p> <p>BUD-01-001</p>	GS50-03D-03
2.	<p><u>Citizen Inquiries</u> Inquiries received by hard copy and/or email requesting information, communicating a complaint or requesting action from the division. Communications may be received directly from the public or may be forwarded to WLRD by another County agency. Records include original inquiry as well as well as the associated agency response.</p> <p>Excludes Public Records Act Requests covered by GS2010-014 R2</p>	<p>Cutoff: end of year in which the issue was resolved</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Public Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	GS50-01-09R2

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3.	<p><u>General Office Communications & Meetings – Division Director and Deputy Director</u></p> <p>Internal and external communications to or from the division 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.</p> <p>Includes but is not limited to :</p> <ul style="list-style-type: none"> • Communications by supporting staff acting on behalf of elected official or executive. • 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. <p>Includes all communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, text messages, social networking posts and comments, etc.</p> <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>

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4.	<p><u>General Office Communications and Meetings – General Staff</u></p> <p>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> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> • Correspondence, email; • Requests for and provision of information/advice; • Agency-initiated information/advice • Email requests for assistance with administrative tasks such as, scanning, filing • Records documenting regular meetings held by (and/or for) Director’s Office staff. • Staff meetings, internal committees/task forces such as the Grant Work Group who meet to plan activities, coordinate communications solve problems, coordinate employee safety • Agendas, meeting packets, sign-in lists, meeting notices, etc.; • Minutes, audio/visual recordings, etc. 	<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> <p>GS50-01-43R2 (Meetings – Staff)</p> <p>GS2010-001R3 (Non-Executive Communications)</p>

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5.	<p><u>Grant Administration Records</u> Records that document administration of the Flood Reduction, Cooperative Watershed Management and Sub-regional Opportunity Fund grants.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Contracts and agreements with municipalities, grant/scholarship announcements, approved grant application packets, timekeeping tracking forms, invoices, reimbursements etc. • Documentation of all resources received or expended by the county for the grant-funded projects. 	<p>Cutoff: submission of report or for period required by grant/program, <i>whichever is later</i></p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Grant Administration Records</p> <p>FIN-01-017</p>	GS2011-183R2
6.	<p><u>Grant Applications – Not Approved</u> Records relating to unsuccessful grant applications received by WLR that do not meet the eligibility criteria as defined in the inter-local agreement and are not consistent with RCW 86.16, 86.15.035 and RCW39.34.190.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Applications, evaluations, denial notifications, etc. 	<p>Cutoff: year end in which denial was sent or received</p> <p>Retention: 1 year</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Grant/Scholarship Applications – Not Approved</p> <p>FIN-05-005</p>	GS50-03C-07R1
7.	<p><u>Grant Reports and Deliverables</u> Reports relating to the Water and Land Resources Division grant funded projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Bond and levy projects • Progress statements; • Expenditure of funds; • Periodic, annual, special, and final reports KC Flood Control District. 	<p>Cutoff: submission of final report or for period required by grant/program, <i>whichever is later</i></p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Grant Reports and Deliverables</p> <p>FIN-05-003</p>	GS50-03C-02R1

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8.	<p><u>Legislation, Ordinance and Resolution Development and Transmittal Files</u> Documentation of the analysis and development and review of ordinances and/or resolutions submitted for the approval of the King County Council or Executive.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Communications, drafts with substantive changes and final electronic versions of the legislative package. <p>Legislation includes:</p> <ul style="list-style-type: none"> • Internal King County legislation and responses related to State and Federal legislation related to issues affecting the Water and Land Resources Division. <p>Excludes approved legislation, ordinances and resolutions covered by GS50-05A16.</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
9.	<p><u>Line of Business (LOB) Project Records</u> Records related to the creation of WLRD's Line of Business Plan including communications and the development of individual documents that are incorporated into the plan.</p> <p>Records include:</p> <ul style="list-style-type: none"> • Mission Statements • LOB workshop materials • Communications regarding LOB planning • Product lists • SWOT analysis • Alternatives analysis <p>Excludes final LOB plan (see Work Plans).</p>	<p>Cutoff: completion of plan</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Strategic and Work Plans – Development</p> <p>ACO-04-002</p>	GS2010-079

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10.	<p><u>P-Card Records</u> Invoices and related records (credit card statements, documents verifying expenses, receipts) that are used to document payment for goods and services that were purchased using a Purchasing Card (P-Card).</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3
11.	<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: evaluation completed and appeal period past</p> <p>Retention: none</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>N/A</p> <p>Records managed outside of KC ERMS</p>	GS50-04B-31R1
12.	<p><u>Public Outreach, Advertising and Promotion</u> Records are related to the planning and/or execution of educational programs and outreach to inform the public of WLR services, upcoming projects.</p>	<p>Cutoff: end of year in which superseded or no longer needed</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Advertising, Outreach and Promotion</p> <p>PRE-01-005</p>	GS2011-165

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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: Not 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>Surface Water Management Rate and Billing System Development Documentation</u></p> <p>Records relate to the SWM rate calculations and document the development of the rate, billing and collection systems.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Rate Study • SWM rate model • Proposals for funding • Communications regarding rate development 	<p>Cutoff: rate schedule completed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Rate And Billing System Development Documentation</p> <p>PUT-02-003</p>	UT55-05B-20

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15.	<p><u>Transitory Records</u> 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: when no longer needed</p> <p>Retention: None</p>	<p>Disposition Action: Not 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>

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16.	<p>Work Plans Annual work plans describing tasks to be performed in support of WLRD programs. Work plans may include timelines and task assignments for individual staff..</p> <p>Includes records relating to the development of work plans and may include updates to the plan, including the tracking of accomplishments and status updates on specific items.</p>	<p>Cutoff: when revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Work Plans ACO-04-004</p>	<p>GS50-01-38R2A</p>

