



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

Phone: (206) 477-6889
Email: records.management@kingcounty.gov
Mailstop: GBB-ES-0210

1. AGENCY DEPARTMENT/DIVISION/SECTION Department of Natural Resources and Parks / Water and Land Resources Division / Finance and Administration	2. DEPARTMENT-DIVISION-SECTION [DDS] DNRP-WLRD-(FA) / 160401	3. TOTAL NUMBER OF PAGES 14	4. DATE LAST MODIFIED October 11, 2017	5. STATUS Final	6. VERSION 2
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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>Access Authorizations</u> Requests for access to EBS Financial System. Hard copy forms that are signed by a manager and submitted to the Finance section to request employee access to various modules in the EBS system.</p>	<p>Cutoff: termination of user's access, or system or asset is no longer in use, whichever is sooner</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Access Authorizations</p> <p>INF-04-002</p>	GS2010-002R1
2.	<p><u>Administrative Procedures and Instructions</u> Documentation of internal office policies, procedures and guidelines <i>created by</i> the agency. Sometimes referred to as Standard Operating Procedures (SOP), records may include how-to guides, manuals documenting departmental policies and procedures, handbooks and desk manuals, which relate to WLRD's routine day-to-day operations.</p> <p>Examples include: WLRD overtime approval policy, Check log policy, WLRD EBS review procedures, Cell Phone policy etc.</p> <p>Excludes procedures, instructions and advice sent to (received by) the agency from an outside agency or source.</p> <p>Excludes officially adopted policies, procedures, directives, regulations or rules covered by GS50-01-24 R1.</p>	<p>Cutoff: when obsolete or superseded</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>	GS50-01-01

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3.	<p><u>Audit Supporting Materials</u> Records used to respond to an internal/external audit of the water and Land Resources Division Finance 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 limited to:</p> <ul style="list-style-type: none"> • Copies of original source records • Database printouts • Correspondence • Corrective action work plans • Status reports • Additional supporting documentation 	<p>Cutoff: completion of audit and all corrective action taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Audit Supporting Materials</p> <p>AUD-01-002</p>	GS50-03F-01
4.	<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 • Meeting minutes from budget meetings. 	<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
5.	<p><u>Budget Reports</u> Files are used to develop ad hoc financial reports and/or forecasts for specific activities and projects conducted by the department.</p> <p>May include:</p> <ul style="list-style-type: none"> • Equipment usage cost, spreadsheets, pivot tables, correspondence, budget reports, etc. <p>Information may be pulled from Hyperion, Oracle, PRISM or PIC system.</p>	<p>Cutoff: year end</p> <p>Retention: 1 year</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Budget Forecast Reports</p> <p>BUD-01-007</p>	GS50-03D-04

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6.	<p><u>Cell Phone Certifications</u> Inventory conducted annually to track all cell phones in WLRD. The inventory is certified by section Admin acknowledging the number of cell phones assigned to the group and to whom they are assigned to.</p>	<p>Cutoff: year end Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Inventory of Assets (Non-Real Property) ASM-05-003</p>	GS50-03A-18R1
7.	<p><u>Customer Service</u> Inquiries are primarily received by web form on the Water and Land Resources Division internet page but may also be received through the mail or via email. Customers may be 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 issue is resolved Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Public Complaints and Requests for Agency Action PRE-01-001</p>	GS50-01-09R2

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8.	<p>General Communications and Meeting Files Communications to or from employees within the County that are made or received in connection with the transaction of public business, and that are not related to a specific project or 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 information/advice; • Agency-initiated information/advice; • Meeting minutes and agendas (staff meetings, non-project related, non-committee related), proxy tracking spreadsheets. 	<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>GS2010-001R3 (Communications – Non-Executive)</p> <p>GS50-01-43R2 (Staff Meetings)</p>

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9.	<p>General Office Accounting Records are used to document payment for goods and services received. 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. <ul style="list-style-type: none"> ○ Credit card statements, documents verifying expenses, receipts, etc. • Check Movement Tracking Records <ul style="list-style-type: none"> ○ Signature records identifying individuals receiving or delivery checks. • Deposits and withdrawals (including electronic funds transfers (EFT)) <p>Note: some records in this category may be secondary (copies) records. If the primary (original) is sent to the Finance and Business Operations Division (FBOD) for processing, that agency is considered the office of primary copy.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>	DES: FBOD: Accounts Payable	General Office Accounting FIN-01-001	<p>Combo Rule FIN-01-001</p> <p>GS2011-184R3 (Financial Transactions-General)</p> <p>GS2011-185 (Banking – Accounts and Transactions)</p>
10.	<p>Grant Administration Records Records that document financial reporting, tracking and administration of the Water and Land Resources Division's grant funded projects.</p> <p>Grants include:</p> <ul style="list-style-type: none"> • Flood Reduction, Cooperative Watershed Management and Sub-regional Opportunity Fund grants. <p>Includes:</p> <ul style="list-style-type: none"> • Financial status reports, expenditure reports and all supporting documents as required by the grant. 	<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>		Grant Administration Records FIN-01-017	GS2011-183R2

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11.	<p>Inter-governmental or Inter-local Agreements Instruments signed by the Water and Land Resources Division with one or more county, city, tribal other or external agencies, to which the signing parties agree or submit.</p> <p>Agreements are created for the interest of cooperatively sharing resources for the mutual benefit of all parties, and more specifically, where there is a surface water or watershed benefit.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Inter-local agreements for SWM billing and agreements for the purposes of watershed basin planning and conservation <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: 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

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12.	<p>Payroll Authorizations and Agreements Agreements and authorizations that are used to assist with the processing of payroll functions.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> • Alternative work schedule agreements • Direct Deposit authorizations • Authorizations to deduct union dues 	<p>Cutoff: termination of agreement</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Payroll Contracts and Agreements</p> <p>FIN-08-018</p>	<p>Combo Rule FIN-08-018</p> <p>GS50-01-11R4 (Contracts and Agreements – General)</p> <p>GS50-03E-01R1 (Employee Pay - Authorizations and Deductions)</p>

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13.	<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:</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 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

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14.	<p>Public Records Act Requests Records relating to requests from the general public for access to the agency's public records in accordance with chapter 42.56 RCW.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Internal and external correspondence relating to the request; • Records documenting the public records provided to the requestor (copies or lists of the records provided, etc.); • Records documenting the public records (or portions) withheld (exemption logs, copies of portions redacted, etc.); • Records documenting administrative reviews relating to the request. <p>Excludes the original records that are the subject of the public records request (which must be retained in accordance with the applicable records series).</p> <p>Note: Response is considered complete when all complaints, appeals, or challenges related to the request have been resolved.</p>	<p>Cutoff: public records request complete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Public Records Act Requests</p> <p>INF-01-002</p>	GS2010-014R3

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15.	<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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16.	<p><u>Surface Water Management – Financial Transactions and Reports</u> Records that document billing activities related to Surface Water Management (SWM) accounts and the billing system.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> • Billing statements; • Billing summaries (registers/ledgers); • Adjustments to accounts (error corrections, overpayment refunds, conservation rebates, etc.); • Delinquent accounts lists; • Financial statements and reports • Excel Spreadsheets • Communications between SWM Billing program Manager and Cities related to billing accounts within the city’s boundary. 	<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

<p>17. Transitory Records</p>	<p>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 for agency business</p> <p>Retention: none</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>N/A</p> <p>Records Managed 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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<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>See original for signature 10/14/2016</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>See original for signature 10/26/2016</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>See original for signature 9/30/16</p> <hr/> <p>Kathy Waymire Date</p>	
<p>PUBLIC RECORDS COMMITTEE USE ONLY - DO NOT FILL IN BEYOND THIS POINT</p>	
<p>11. PRC APPROVAL</p> <p>See original for signature November 3, 2016</p> <hr/> <p>Deborah Kennedy Date King County Public Records Committee</p>	