



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	2. DEPARTMENT-DIVISION-SECTION [DDS]	3. TOTAL NUMBER OF PAGES	4. DATE LAST MODIFIED	5. STATUS	6. VERSION
Transit-Deputy General Manager's Office-Employment Services (Drug and Alcohol)	TRAN-DGMO-ES(Drug and Alcohol)	10	3/18/2019	FINAL	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. DISPOSITON AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
1.	<p><u>Drug and Alcohol Test Results – Positive Results or Refusal to Test (Agency Employees)</u> Records document drug/alcohol testing with reasonable suspicion of abuse/use of substance, positive results, or refusal to test pursuant to federal requirements 49 CFR § 40.333 (USDOT), § 655.71 (FTA), § 382.401 (FMCSA), 46 CFR § 16.260 (USCG) and King County policy INF 15-1-2 (AEP).</p> <p>This series includes the following:</p> <ul style="list-style-type: none"> • Drug/alcohol testing and all other employee-specific records listed in 49 CFR § 382.401(c)(2) & (4) (excluding negative results) including: <ul style="list-style-type: none"> Documentation of refusal to test; positive test results; substance abuse professional (SAP) reports/assessments and referrals; chain of custody reports, if required; employee dispute records; follow-up tests; return to duty records. • Includes reasonable suspicion observations and testing if required according to PER 15-1-2 (7.1-7.5) • Pre-Employment/Prior-employment: Release of Information/Consent – positive results • Random tests, random blind testing – positive results • Documentation related to false-positive testing or medical explanation of inability to drive. • Shy bladder/shy lung evaluation records required in relation to drug testing. <p><i>(Continued on next page . . .)</i></p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival-Destroy</p>		<p>Drug and Alcohol Test Results- Positive Results or Refusal to Test (Agency Employees)</p> <p>PER-06-005</p>	GS2017-015

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	<p><i>(Continued from previous page.)</i></p> <p>Excludes negative results, including those provided as part of random testing and records of prior-employment drug testing result, pre-employment scanning results. These are retained according to Alcohol Misuse/Controlled Substances Use Prevention Program – Test Results (Negative, Not Positive, Cancelled), GS50-04B-33 R1.</p>					

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2.	<p><u>Drug and Alcohol Test Results – Negative, Not Positive, Cancelled (Agency Employees)</u></p> <p>Records relating to drug and alcohol testing where the results are negative, do not meet the threshold for “positive” (less than 0.02 BAC), or where test is cancelled, pursuant to federal requirements 49 CFR p 40.333 (USDOT), p 655.71 (FTA), p 382.401 (FMCSA), 46 CFR p 16.260 (USCG). This series includes the following:</p> <ul style="list-style-type: none"> • Pre-Employment/Prior-Employment results: Release of Information/Consent - Negative results • Random testing – negative results <p>Note: Negative test results are also required to be available for routine FTA triennial review audits.</p> <p>Excludes records covered by Drug and Alcohol Test Results-Positive Results or Refusal to Test (Agency Employees), GS2017-015</p> <p>State and federal guidelines require negative testing results for 1 year. However, results provided <i>from</i> prior employers, even if negative, are required for 3 years as part of the recruitment background check.</p> <p>Though some of the negative test results are required for recruitment, drug and alcohol testing results must remain separate from the Personnel Files, Employee Medical Files, and Recruitment Riles according to 49 CFR 655.71. Access to drug and alcohol testing results is restricted to the drug and alcohol program manager and their designee(s).</p>	<p>Cutoff: End of year in which results posted and completion of related recruitment action if applicable</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival-Destroy</p>		<p>Drug and Alcohol Test Results – Negative, Not Positive, Cancelled (Agency Employees)</p> <p>PER-10-009</p>	<p>Combo rule PER-10-009</p> <p>GS50-04B-33R1 (Drug and Alcohol Test Results-Negative)</p> <p>GS50-04B-22R1 (Recruitment Files)</p>

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3.	<p><u>Alcohol Misuse and Controlled Substances Use Prevention Program – Administration (Not Archival)</u></p> <p>Records relating to administration of the agency's Alcohol Misuse and Controlled Substances Use Prevention Program. Includes program records required to be maintained according to federal requirements 49 CFR p. 40.333 (USDOT), p. 655.71 (FTA), p. 382.401 (FMCSA), 46 CFR p. 16.260 (USCG).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Administration of the alcohol and controlled substances testing programs: <ul style="list-style-type: none"> ○ Agreements with collection site facilities and laboratories; breath alcohol technicians; screening test technicians; medical review officers; consortia; and third party service providers. Includes bids and proposals (ITB, RFP), successful and unsuccessful ○ Names and positions of officials and their role in the employer's alcohol and controlled substances testing program(s); • Calibration documentation (EBTs, etc.). • Records related to required alcohol and controlled substances collection process. 	<p>Cutoff: End of year, superseded, and no longer needed for agency business</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Alcohol Misuse and Controlled Substances Use Prevention Program – Administration (Not Archival)</p> <p>ACO-02-013</p>	<p>Combo rule ACO-02-013:</p> <p>GS2017-013 (Alcohol Misuse and Controlled Substances Use Prevention Program – Administration)</p> <p>GS2017-014 (Alcohol Misuse and Controlled Substances Use Prevention Program – Collection Process)</p>

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4.	<p><u>Alcohol Misuse and Controlled Substances Use Prevention Program – Administration (Potentially Archival)</u></p> <p>Records relating to administration of the agency’s Alcohol Misuse and Controlled Substances Use Prevention Program required by 49 CFR p. 40.333 (USDOT), p. 655.71 (FTA), p. 382.401 (FMCSA), 46 CFR p. 16.260 (USCG).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Policy development files (PER-15-1-2 (AEP)) • Drug and Alcohol Manual - Final • Required program reporting - Final, including <ul style="list-style-type: none"> ○ MIS Reports ○ Semi-Annual Statistical Summary (MIS) ○ Review and oversight of contractors and clinic records and processes; random selection processes. Includes MIS reports provided from contractors. ○ Laboratory Statistical Reports From Outside Vendor (MIS) 	<p>Cutoff: End of year, superseded, and no longer needed for agency business</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Alcohol Misuse and Controlled Substances Use Prevention Program – Administration (Potentially Archival)</p> <p>ACO-02-014</p>	<p>Combo rule ACO-02-014:</p> <p>GS2017-013A (Alcohol Misuse and Controlled Substances Use Prevention Program – Administration)</p> <p>GS2012-028R1 (Reporting/Filing – Mandatory – Agency Management)</p> <p>GS50-01-01 (Administrative Procedures and Instructions)</p>

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5.	<p><u>Employee Training Records</u> Records documenting employee training over the course of their employment. Training may be required by federal, state or local requirements; job required; job related; or career related. Includes Drug and Alcohol Program staff trainings required by 49 CFR p. 40.333 (USDOT), p. 655.71 (FTA), p. 382.401 (FMCSA), 46 CFR p. 16.260 (USCG). Includes training on:</p> <ul style="list-style-type: none"> • Use of equipment, how to perform testing, all regulated and non-regulated training. • Drug/alcohol training – Employee Awareness • Supervisor (Reasonable Suspicion) 	<p>Cutoff: Termination of Employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Training History File</p> <p>PER-06-012</p>	<p>GS50-04B-06R4</p>
6.	<p><u>Financial Transactions</u> Records documenting general financial transactions, purchasing, and accounting. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Bill backs, intra-agency billing for Drug and Alcohol Services provided to King County departments and divisions. • Purchase orders, invoices, payment documentation for services provided by contracted service providers (US Healthworks, etc.) • Travel documentation provided for reimbursement. 	<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>	<p>Combo rule FIN-01-001</p> <p>GS2011-184R3 (Financial Transactions – General)</p>

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7.	<p><u>General Office Communications and Staff Meetings</u> Records created, received, and used when communicating within and outside the county on general topics related to the business of the county and the conduct of general staff meetings.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Information provided to other King County agencies regarding general information related to drug and alcohol policy and procedure. • Coordination with the Ombudsman • Informational communications related to drug and alcohol grievances • Letters provided to the Marine Division confirming marine crew participation in drug and alcohol testing as required by the US Coast Guard. 	<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>

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8.	<p><u>Transitory Record Types</u> Records include:</p> <p>Forms and publications (copies-not completed) Brainstorming and collaboration records: notes, mind maps, visual displays, visual collaboration / white board notes, virtual collaboration tools, flip-charts, post-its, etc. when</p> <p>General employee or agency contact information and lists.</p> <p>Drafting and editing: drafts with minor/non-substantive changes, thoughts suggestions not included in final draft.</p> <p>General, external information: catalogs, newsletters, bulletins, notices, unsolicited information, spam or junk mail.</p> <p>Informal notifications and communications: Communications that do not document Road Services actions or decisions and are not needed for business purposes: KCIT Help Requests; newsletters; countywide emails received, communications related to birthdays, potlucks, etc.</p> <p>Leave and absence requests; performance appraisals (employee copies).</p> <p>Data entry input records (such as paper forms, handwritten notes, etc.) that have been documented as records within agency information systems (such as databases) provided the original record/form (including any signatures) is not required as evidence or authorization of the transaction.</p> <p>Reference and duplicate copies.</p>	<p>Cutoff: No longer needed for agency use</p> <p>Retention: 0 years</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</p>

8. RECORDS AND INFORMATION MANAGER SIGNATURE

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.

Gail Snow

3/19/19

Gail Snow

Date

9. COUNTY ARCHIVIST SIGNATURE

I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.

A. Demeter

3/21/2019

Amanda Demeter

Date

10. AGENCY MANAGER SIGNATURE

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.

Hoi Jones

2/15/19

[AGENCY MANAGER]

Date

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL

Deborah Kennedy

3/29/2019

Deborah Kennedy

Date

King County Public Records Committee