



**PUBLIC RECORDS RETENTION  
SCHEDULE & DESTRUCTION  
AUTHORIZATION**

**RECORDS MANAGEMENT PROGRAM**

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Email: [records.management@kingcounty.gov](mailto:records.management@kingcounty.gov)  
Mailstop: GBB-ES-0210

**1. AGENCY DEPARTMENT/DIVISION/SECTION**

Natural Resources and Parks/Wastewater  
Treatment/Resource and Energy Recovery

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

DNRP-WTD-RES

**3. TOTAL NUMBER OF  
PAGES**

10

**4. DATE LAST  
MODIFIED**

05/012/2020

**5. STATUS**

Final

**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 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><b><u>Advertising, Promotion and Outreach</u></b> Records relating to the planning and/or execution of educational or promotional events, campaigns, and contests conducted by the Resource and Energy Recovery section to promote its mission or business.</p> <p>Public Relations, marketing and educational materials including photographic materials, videos</p> <p>Record copy only, all other copies or duplicates can be dispositioned under [Item for transitory or duplicate records]</p> <p><b>Examples: Loop swag, Biosolids advertisement and education, reclaimed water marketing</b></p>	<p><b>Cutoff:</b> End of year in which record is superseded or no longer needed</p> <p><b>Retention: 2</b> years</p>	<p><b>Disposition Action:</b> Archival – Appraisal Required</p>		Advertising and Promotion	GS2011-165

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2.	<p><b><u>Contracts and Agreements – General</u></b> Records relating to agreements signed by the county and one or more parties that set out terms and conditions to which the signing parties agree or submit. Includes change orders.</p> <p><b>Includes</b>, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Lease, escrow, and rental agreements;</li> <li>• Lending agreements (facility, equipment, vehicle, etc.);</li> <li>• Liability waivers (hold harmless, insurance, 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;</li> </ul> <p>Examples include:</p> <ul style="list-style-type: none"> <li>• UW Fellowship Program</li> </ul> <p><b>Excludes</b> contracts and agreements covered more specifically by General or Specific Schedules such as: Contracts and agreements relating to real property capital assets (GS55-05A-06 R1) and non-real property capital assets (GS2011-169 R1); Other bond, grant and levy project contracts and agreements covered by GS2011-183 R2; <b>Public records transfer agreements with covered by GS2010-021.</b></p>	<p><b>Cutoff:</b> Completion of transaction or termination / expiration of instrument</p> <p><b>Retention</b> 6 years</p>	<p><b>Disposition Action:</b> Not archival - Destroy</p> <p><b>ESSENTIAL</b></p> <p>*For construction project files see ASM-02-002, Capital Project Records, and contact KC RMP for assistance.</p> <p><i>Note: Agency of origin is responsible for retaining contract administration records needed to document contractor compliance with terms of contract.</i></p>		<p>Contracts, Agreements and Warranties</p> <p>CON-01-001</p>	GS50-01-11R4

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3.	<p><b><u>Research/Program Reports, Studies, Surveys, Models and Analyses</u></b> Master copy of research/program reports, studies, surveys, models, and analyses held by the creating agency.</p> <p>Includes record copy of 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, fact sheets, pamphlets, and brochures.</p> <p>Examples include: Biogas utilization stud, Nitrogen Removal Study, Trace Organics studies and analysis</p> <p><b>Excludes</b> reports covered by GS2012-028 R1 and data extracts/printouts covered by GS50-02-04 R1.</p> <p><b>Excludes</b> reports related to data sharing agreements or grants, which should be managed per the terms of the agreement/grant.</p>	<p><b>Cutoff:</b> Superseded or obsolete, then contact the King County Archives for appraisal and transfer of selected records</p> <p><b>Retention:</b> 6 years after</p>	<p><b>Disposition Action:</b> Archival</p>		<p>Research/Program Reports, Studies, Surveys, Models and Analyses</p> <p>ACO-02-002</p>	GS50-01-32 R1

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4.	<p><b><u>Communications – General</u></b> Internal and external communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of county business, and that are not covered by a more specific records series</p> <p>Includes all communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, instant messages, social networking posts and comments, etc.)</p> <p>Includes but is not limited to requests for and provision of information/advice and county-initiated information/advice.</p> <p><b>Excludes</b> the provision of routine/administrative information (i.e. office hours or locations) (Transitory).</p> <p><b>Excludes</b> communications of, or on behalf of, department heads, division heads or elected officials (see category ACO-01-002).</p> <p><b>Note: Information/advice published online by the agency continues to be “provided” until the date it is removed/withdrawn.</b></p>	<p><b>Cutoff:</b> Year end</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b> Not Archival – Destroy</p>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	GS2010-001R3
5.	<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>Projects may be related to biosolids, energy conservation and generation, recycled water or technology assessments.</p>	<p><b>Cutoff:</b> completion of project</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Archival – Appraisal Required</p>		<p>Project Files</p> <p>ACO-02-001</p>	GS50-01-39R1

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6.	<u>Rate and Billing System Development Documentation</u>	<b>Cutoff:</b> completion of rate  <b>Retention:</b> 6 years	Non-Archival [I didn't look up the DAN, but this would not have historic or research value]		Rate and Billing System Development Documentation  PUT-02-003	UT55-05B-20
7.	<u>Research/Program Reports, Studies, Surveys, Models and Analyses</u> Master copy of research/program reports, studies, surveys, models, and analyses held by the creating agency.  Includes record copy of 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, fact sheets, pamphlets, and brochures.  Examples include: Loop biosolids quality processes report, Energy Status Report, reports related to the removal of water contaminants  <b>Excludes</b> reports covered by GS2012-028 R1 and data extracts/printouts covered by GS50-02-04 R1.  <b>Excludes</b> reports related to data sharing agreements or grants, which should be managed per the terms of the agreement/grant.	<b>Cutoff:</b> Superseded or obsolete, then contact the King County Archives for appraisal and transfer of selected records  <b>Retention:</b> 6 years	<b>Disposition Action:</b> Archival		Research/Program Reports, Studies, Surveys, Models and Analyses  ACO-02-002	GS50-01-32 R1

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8.	<u>Sewage Treatment Plant History Files</u> Documentation of wastewater operations and compliance with state and federal permit requirements.	<b>Cutoff:</b> life of the facility  <b>Retention:</b> 6 years	<b>Disposition Action:</b> Archival – Appraisal Required		History Files Sewage Treatment Plants  PUT-02-011	UT55-06B-07

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9.	<p><b><u>Supervisor's Working Files</u></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: 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><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 staff member or agency that retains your human resources records (including personnel files) 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> <b>Not Archival -</b> Destroy</p>		<p>Supervisor's Working Files</p> <p>PER-06-010</p> <p>Records Managed Outside of Content Manager</p>	GS50-04B-31R1

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10.	<p><b><u>Transitory Records</u></b>  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, memoranda, 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>	<p><b>Cutoff:</b> When no longer needed for agency use, then destroy</p> <p><b>Retention:</b> 0 years</p>	<p><b>Disposition Action:</b>  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>
11.	<p><b><u>Work Plans</u></b>  Plans describing work to be performed by sections and other sub-units of divisions, including timelines and areas of responsibility for specific actions.</p> <p><b>Excludes</b> county-wide, department-wide or division-wide strategic plans covered by GS2010-080.</p>	<p><b>Cutoff:</b> When revised or obsolete</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b>  Not Archival - Destroy</p>		<p>Work Plans  ACO-04-004</p>	GS50-01-38R2

**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.*

**Ellie Browning** Digitally signed by Ellie Browning  
Date: 2020.05.29 12:26:24 -07'00' **5/29/2020**

**Ellie Browning** 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.*

**Danielle Boucher** Digitally signed by Danielle Boucher  
Date: 2020.04.30 13:09:48 -07'00' **04/30/2020**

**Danielle Boucher** 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.*

 **12/20/19**  
[Agency Manager] Date

**PUBLIC RECORDS COMMITTEE USE ONLY**

**11. PRC APPROVAL**

**Kennedy, Deborah** Digitally signed by Kennedy, Deborah  
Date: 2020.06.08 11:46:19 -07'00' **June 8, 2020**

**Deborah Kennedy** Date  
King County Public Records Committee