



Public Records Retention Schedule And Destruction Authorization

Records Management Program
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1. Agency Name	2. Department-Division-Section (DDS)	3. Total Pages	4. Date Last Modified	5. Status	6. Version
Transit Real Estate and Environment	MTD-CD-TREE	12	30 June 2020	Final	Ver. 1

7. 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 of PRC approval 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 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 Content Manager will be dispositioned from within the system and documentation will be maintained by the Records Management Program. Disposition of records managed outside of Content Manager must be documented on forms provided by the Records Management Program. Transitory records may be destroyed in the normal course of agency business and 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.

8. List of Records Series

Title and Description	Retention	Disposition and Remarks	Office of Primary Copy	Category	Disposition Authority Number
<p>1. A&E Master Contracts Records relating to agreements signed by the agency and one or more parties that set out terms and conditions to which the signing parties agree or submit.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Lending agreements • Liability waivers • Loan agreements • Purchase and sales agreements • Vendor bonds • Warranties • Change orders • Successful RFP documentation <p>This category excludes records relating to:</p> <ul style="list-style-type: none"> • Contracts for real property capital assets (item 2) • Unsuccessful RFPs (GS50-08A-11R1) • Contracts for non-real property capital assets (GS2011-169R2) • Archival transfer agreements (GS2010-021) 	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • Completion of the transaction • Termination or expiration of the contract <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>	<p>KCC/COCS: RFP and original contract</p>	<p>CON-01-001 (Contracts, Agreements, and Warranties)</p>	<p>GS50-01-11R4 (Contracts and Agreements – General)</p>

<p>2. Capital Asset (Real Property) Records Records documenting acquisition and ownership of the agency’s capitalized real property assets.</p> <p>Real property capital assets may include:</p> <ul style="list-style-type: none"> • Land, infrastructure • Land divisions • Buildings, leasehold improvements <p>Records may include:</p> <ul style="list-style-type: none"> • Appraisals • Contract and agreement preparation documentation • Purchase offers for agency assets • Road establishment and improvement records • Records of agency-granted easements • Records of agency-granted encroachments • Records of abandoned agency-granted rights-of-way • Survey and environmental site assessment records • Legal ownership documentation, deeds, titles <p>This category excludes records related to easements, encroachments, and rights-of-way granted to the agency (item 3).</p>	<p>Cutoff: When any of the conditions is met:</p> <ul style="list-style-type: none"> • The real property is disposed of • The transaction is completed • The instrument is terminated or expires <p>Retention: 10 years</p>	<p>Disposition Action: Archival: Appraisal Required</p> <p>Essential Record</p>		<p>ASM-02-007 (Capital Assets (Real Property) Files)</p>	<p>GS55-05A-06R1 (Capital Assets (Real Property))</p>
<p>3. Easements, License Agreements, and Leases Records documenting contracts and agreements between the agency and other parties that outline terms and conditions regarding capital asset ownership to which the signatories agree.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Documentation of temporary and permanent easements granted to the agency • Leases • Operating agreements • Documentation of negotiations • Change orders • Compliance monitoring records <p>This category excludes records related to real property capital assets (item 2).</p>	<p>Cutoff: When all of the conditions are met:</p> <ul style="list-style-type: none"> • The transaction is completed • The instrument is terminated or expires • The asset is disposed of <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p> <p>Essential Record</p>		<p>CON-01-010 (Contracts and Agreements – Capital Assets (Non-Real Property))</p>	<p>GS2011-169R2 (Contracts and Agreements – Capital Assets (Non-Real Property))</p>

<p>4. Permit Files – Environmental Records related to mandatory or voluntary environmental licenses, permits, accreditations, certifications, inspections, and other authorizations acquired by the agency for its assets.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Applications and confirmations • Reports, violations, checklists, corrections • Building construction and modification permits and inspections • Federal Emergency Management Agency (FEMA) permits • FTA checklists • Land use and environmental permits • Scoping notices • SEPA determinations of significance or non-significance • Draft, final, and supplemental environmental impact statements <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Authorizations granted by the agency • Real property ownership (item 2) • Hazardous materials (GS55-01M-04R1) 	<p>Cutoff: When all of the conditions are met:</p> <ul style="list-style-type: none"> • Authorization is terminated • Conditions of the authorization are satisfied • Violations are corrected or resolved <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ASM-01-004 (Asset Permits/ Authorizations – Environmental)</p>	<p>GS2012-033A (Authorizations/ Certifications – Assets [Environmental])</p>
<p>5. Permit Files – FTA Triennial Review Copies of permits issued by DES-Facilities Management that are retained with Metro Transit for FTA Triennial Audit reviews.</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • Submittal of quarterly, annual or final expenditure report • Completion of corrective actions <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>AUD-01-001 (Triennial Review Audits)</p>	<p>TR50-31-41 (Triennial Review Audits)</p>

<p>6. Project Files Records documenting agency projects that are not covered by a more specific category.</p> <p>Projects may include:</p> <ul style="list-style-type: none"> • EIS Projects • Non-EIS Projects <p>Records may include:</p> <ul style="list-style-type: none"> • Business cases • Project documentation • Drafts • Project-related budgets and workplans • Related correspondence 	<p>Cutoff: When the project is completed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival: Appraisal Required</p>		<p>ACO-02-001 (Project Files)</p>	<p>GS50-01-39R1 (Project Files (Miscellaneous))</p>
<p>7. Administrative Procedures and Instructions Documentation of internal office policies, procedures, and guidelines that are created by the agency and that relate to the agency's routine operations.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Advisory memos • Manuals of departmental policies and procedures • Handbooks and desk manuals • Supporting background documentation <p>This category excludes records related to official adopted policies, procedures, directives, regulations, or rules (GS50-01-24R1 and GS50-06F-03R1).</p>	<p>Cutoff: When the procedures are revised or become obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-03-004 (Administrative Procedures and Instructions)</p>	<p>GS50-01-01 (Administrative Procedures and Instructions)</p>

<p>8. Agency-Provided Training – Curriculum Development Records documenting the development of training courses, seminars, and workshops.</p> <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Final curricula (item 9) • Training records (GS2011-180R1) 	<p>Cutoff: When the training is no longer provided</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-10-002 (Agency-Provided Training – Curriculum Development)</p>	<p>GS2011-178R1 (Agency-Provided Training – Curriculum and Materials Development)</p>
<p>9. Agency-Provided Training – General Records documenting training courses, seminars, and workshops provided by the agency to members of the public, customers, contractors, or agency employees.</p> <p>Only file records into this category if:</p> <ul style="list-style-type: none"> • The training is not required by the agency or by federal, state, or local statute • Certificates, credentials, or licenses are not awarded • Continuing education credits are not earned <p>Records may include:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered • Attendee lists and sign-in sheets • Test results, evaluations <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Finances for the training (item 12) • Agency-provided training not meeting the criteria for this category (GS2011-180R1) • Training materials that are retained in each employee’s personnel file (GS50-04B-06R4) • Apprentice certification files (GS50-04B-34R1) 	<p>Cutoff: Date of the training</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-10-001 (Agency-Provided Training – General)</p>	<p>GS2011-181R1 (Agency-Provided Training – General)</p>

<p>10. Audit Responses and Supporting Materials Records documenting an internal or external audit of agency services, programs, or practices that are collected by the agency that is the subject of the audit or by the King County Auditor.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Copies of source records, database printouts • Correspondence • Corrective Action work plans • Status reports <p>This category excludes final versions of audit reports (GS50-03F-02).</p>	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The audit, project monitoring, or peer review is completed • Any corrective actions are completed <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>AUD-01-002 (Audit Supporting Materials)</p>	<p>GS50-03F-01 (Audit Subject/Reference Files)</p>
<p>11. Budget Planning Records documenting the preparation of the agency's annual budget.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Preliminary budgets • Budget spreadsheets • Revenue and expense reports and statistics • Correspondence <p>This category excludes final adopted budgets (GS50-03D-08).</p>	<p>Cutoff: When the budget is adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>BUD-01-001 (Budget Development Files)</p>	<p>GS50-03D-03 (Budget Development or Working Files)</p>

<p>12. General Office Accounting Records documenting agency revenues and expenditures.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Purchase orders, bills of sale, receipts • Cash books and receipts • Vouchers • Registers and journals • Gift documentation <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Non-financial agreements (GS50-01-11R4) • Bond-, levy-, or grant-funded projects (GS2011-183R2) 	<p>Cutoff: End of the year in which the record was created</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>FIN-01-001 (General Office Accounting)</p>	<p>GS2011-184R3 (Financial Transactions – General)</p>
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<p>13. General Office Communications and Staff Meetings Internal and external communications to or from employees or external parties acting as business partners for the county that are made or received in connection with the transaction of agency business, and records documenting meetings and the administrative arrangement of meetings held by the staff of the agency.</p> <p>Communication may include:</p> <ul style="list-style-type: none"> • Letters • Memoranda • Email • Websites, forums, webpages • Instant Messages • Social Media posts and comments <p>Meetings may include:</p> <ul style="list-style-type: none"> • Staff Meetings • Internal committees and task forces <p>Records may include:</p> <ul style="list-style-type: none"> • Requests for and provision of information • County-initiated information • Appointment books • Diaries • Calendars • Sign-in lists, meeting notices • Agendas, meeting packets • Minutes, recordings, transcripts • Training date and location scheduling records • Training availability announcements and notices • Participant registration • Arrangement of catering, facilities, and equipment <p>Note: information published online by the agency is provided until the date that it is removed.</p>	<p>Cutoff: End of the year in which the record was created</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>ACO-01-001 (General Office Communications and Staff Meetings)</p>	<p>Combo Rule ACO-01-001</p> <p>GS2010-001R3 (Communications – Non-Executive)</p> <p>GS2011-176R1 (Meetings/Hearings – Arrangements)</p> <p>GS50-01-36 (Appointment Calendars)</p> <p>GS50-01-43R2 (Meetings – Staff and Internal Committees)</p>
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<p>14. Performance Evaluation Background Files Records used by employees to prepare and submit annual performance reviews of any employees under their supervision.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Performance plans, status reports • Confirmation of goals and achievements • Work samples • Documentation of performance issues • Communications <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Ongoing informal supervision of employees (GS50-04B-31R1A) • Final signed performance evaluations (GS50-04B-06R4) 	<p>Cutoff: When both conditions are met:</p> <ul style="list-style-type: none"> • The performance review is completed • The appeal period ends <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>No Category Assigned</p>	<p>GS50-04B-31R1 (Performance Evaluation (Supervisor Preparation))</p>
<p>15. Supervisor’s Working Files Records used by employees to prepare and submit annual performance reviews of any employees under their supervision.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Performance plans, status reports • Confirmation of goals and achievements • Work samples • Documentation of performance issues • Communications <p>This category excludes records related to:</p> <ul style="list-style-type: none"> • Final signed performance evaluations (GS50-04B-06R4) • Ongoing informal supervision of employees (GS50-04B-31R1A) 	<p>Cutoff: When all conditions are met:</p> <ul style="list-style-type: none"> • The performance review is completed • The appeal period ends • No longer supervising employee <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>No Category Assigned</p>	<p>GS50-04B-31R1 (Performance Evaluation (Supervisor Preparation))</p>

<p>16. Transitory Records Records documenting information of short-term value that do not provide evidence of a business transaction and cannot be filed in a more specific category.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Copies of forms and publications • Brainstorming and collaboration notes • Contact information • Preliminary drafts and revisions • Electronic copies of signed documents • Unsolicited materials and publications • Internet browsing history • Information documented in more formal records • Reference materials • Duplicate copies <p><i>Note: signed destruction authorizations and documentation are not required for transitory records.</i></p>	<p>Cutoff: When the record is no longer needed</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival: Destroy</p>		<p>No Category Assigned</p>	<p>Refer to King County General Schedule for a complete list of DANs.</p>
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Certification

9. County Records and Information Manager Signature

My signature certifies the accuracy of this schedule and that the records series as described comply with current federal, state, and local regulations as of the date listed in section 4.



7/13/2020

Ellie Browning

Date

10. County Archivist Signature

My signature certifies that I have reviewed and approved the archival status of the records series as described on this schedule.



07/10/2020

Danielle Boucher

Date

11. Agency Manager Signature

My signature certifies that I have read and understood the requirements of this retention schedule and that I agree to implement it for all records and information within the scope of my responsibility.



6/30/2020

Tina Rogers

Date

Public Records Committee Use Only

12. PRC APPROVAL

Deborah Kennedy

July 23, 2020

Deborah Kennedy

Date

King County Public Records Committee