



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 Department of Executive Services / Finance and Business Operations Division / Director's Office – Business Development and Contract Compliance (BDCC)	2. Department/Division/Section (DDS) Number DES-FBOD-(DIR-BDCC) / 010512	3. TOTAL NUMBER OF PAGES 18	4. DATE SUBMITTED FOR APPROVAL November 25, 2015	5. STATUS Final APPROVED
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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 KC ERMS will be dispositioned from within the KC ERMS and documentation will be maintained by the Records Management Program. Disposition of records managed outside of the KC ERMS must be documented on forms provided by the Records Management Program at <http://kcweb.metrokc.gov/archives/forms.aspx>. Transitory records may be destroyed within the normal course of agency business without the use of any destruction forms.

7. LIST OF RECORDS SERIES						
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1.	<p><u>Advertising and Promotion</u> Records relating to the planning and/or execution of educational or promotional events, campaigns, and contests conducted by the agency to promote the agency's mission or business.</p> <p>Examples: BDCC outreach to small businesses that could benefit by BDCC's programs or networking events where Small Contractors and Suppliers (SCS) businesses can meet with Prime Contractors and County Project Managers</p>	2 years after end of year in which record is superseded or no longer needed	Potentially Archival – Appraisal Required		Advertising, Promotion and Outreach PRE-01-005	GS2011-165
2.	<p><u>Agency Provided Training – General</u> Records documenting training courses, seminars, and workshops provided by the Director's Office to the public, customers, contractors, or agency employees where: certificates/credentials/licenses are NOT awarded; and continuing education hours/credits/points are NOT earned; and training is NOT required by federal, state, or local statute or by employer.</p> <p>Records include, but are not limited to: Test administered, results Attendee lists and sign-in sheets Evaluations, surveys Handouts/materials unique to that particular training session/instance</p> <p>Examples: Small Contractor Supplier (SCS) business training</p> <p>Excludes training and curriculum development covered by GS2011-178R1 and final curriculum materials covered by GS2011-180.</p>	3 years after date training provided			Agency Provided Training – General ACO-10-001	GS2011-181 R1

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3.	<p><u>Agency Provided Training – (Mandatory/Credit Hours)</u> Documents training classes, seminars, workshops, provided by the agency to the public, customers, contractors, or agency employees where certificates/credentials/licenses may be awarded, or continuing education hours/credits/points may be earned, or training that is required by federal, state, or local statute, and or by employer.</p> <p>May include: Curriculum, course materials; Announcements and notifications; Lists of employees, sign-in sheets; Test results, evaluations;</p> <p>Excludes Employee Training History Files retained in PeopleSoft or the Personnel File (pre-1996).</p>	6 years after date training provided			<p>Agency-Provided Training – Certification, Continuing Education Credits and Mandatory</p> <p>ACO-10-006</p>	GS2011-180 R1

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4.	<p><u>Apprenticeship Program Monthly Monitoring Report</u> BDCC manages the apprenticeship program established to maximize the number of apprentices working on county construction projects. Apprenticeship requirements are set on selected public works projects based the total labor hours and training opportunities available. Requirements are then incorporated into the Invitation to Bid and Contract documents based on project review.</p> <p>Records include the tracking and compliance monitoring reports created from CARTS and distributed to the contractors and project managers on a monthly basis.</p> <p>Excludes final annual report retained by the Council and the report development files covered under GS50-01-39R1 (Project Files).</p> <p><i>See the requirements and policy directives for the program in King County Code Chapters 12.16.150 through 12.16.180 (in accordance with K.C.C. chapter 2.98).</i></p>	6 years after obsolete or superseded	Potentially Archival – Appraisal Required		Research/Program Reports, Studies, Surveys, Models and Analyses ACO-02-002	GS50-01-32 R1

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5.	<p><u>Audit Working Files</u> Records used to respond to an internal/external audit of King County agencies program management.</p> <p>Includes, but is not limited to: Copies of original source records Database printouts Correspondence Corrective action work plans Status reports Additional supporting documentation</p> <p>* BDCC assists in responding to audit requests for DNRP/DOT but is not the subject of the audit.</p>	6 years after completion of audit and all corrective action taken			Audit Supporting Material AUD-01-002	GS50-03F-01
6.	<p><u>CARTS Database Application</u> Contract and Apprenticeship Report Tracking System (CARTS) database application developed for BDCC. System contains scanned images as well as keyed-in data from both internal and external users (can be keyed in via a web access report). Data used for monitoring contract compliance, reporting, and tracking Small Contractors and Suppliers (SCS).</p>	<p>6 years after completion/ expiration/ termination of contract*</p> <p>*At present, no procedure for purging the database is in effect.</p> <p>Individual record types and their associated retention are listed on this schedule if/when records can be purged from CARTS.</p>		Data maintained by KCIT	N/A	<p>GS50-01-11 R3 (Contracts - General)</p> <p>GS2011-169 R1 (Contracts - Capital Assets)</p> <p>LP50-12D-12 (Certification Provided by Agency – Approved)</p> <p>GS50-01-09 R1 (Citizens' Complaints/Requests)</p> <p>GS50-08A-02 (Consultant/Contractor Rosters)</p>

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7.	<p><u>Citizens' Complaints/Requests</u> Communications from citizens making a complaint or request for agency action, as well as the associated agency response.</p> <p>May include: Original complaint or request for assistance; Customer Service responses including DBE advice; Research into the situation; Interview notes; Correspondence with complainant or customer and other party(s); Final resolution.</p>	3 years after end of year in which the issue was resolved			Citizens' Complaints and Requests for Agency Action PRE-01-001	GS50-01-09 R1

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8.	<p><u>Contracts and Contract Compliance Review</u> Records documenting the management of contracts and agreements entered into by the agency and one or more parties that set out terms and conditions to which the signing parties agree.</p> <p>May include: Contractor Payment Reports (Monthly monitoring report of contractual payment) Monthly Utilization Reports (Reports showing labor hours for the contractor and each subcontractor they use for the month) Compliance monitoring including reporting and Onsite Reviews Affidavit of Amounts paid Bid Good Faith Effort (GFE) evaluations (USDOT FHWA DBE requirement document); Supporting communications</p> <p>Excludes BDCC secondary copies of contracts printed on an as needed basis to review scope of contract, opportunities for small businesses to participate, and appropriateness for apprenticeships which can be destroyed when no longer needed.</p>	6 years after termination or expiration of contract	Some of these records are retained in CARTS database	Final signed version of the contract retained by DES / FBOD / Procurement	Contracts, Agreements and Warranties CON-01-001	GS50-01-11 R3

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9.	<p><u>Disadvantaged Business Enterprises (DBE) Program Files</u> BDCC is the liaison for Federal contracts and grants involved in Disadvantaged Business Enterprises Programs. These include USDOT programs for work on airports (FAA), transit and ferries (FTA), and roads (FHWA), and EPA and Dept. of Ecology programs geared towards DNRP projects. Firms are certified as a Disadvantaged Business Enterprise (DBE) through State of Washington Office of Minority and Women's Business Enterprises (OMWBE).</p> <p>The EPA sets their requirements for DBE/SBE (Small Business Enterprise – race neutral requirements) and we apply them. The USDOT FHWA reviews project themselves and then informs the agency of their requirements via letter. The agency then submits the letter indicating specific DBE requirements with the SAOW.</p> <p>When working with the USDOT FAA and FTA – they certify our DBE program and allow us to set the requirements we determine necessary. The records included in this series relate to the Certification of our program by the USDOT FAA and FTA which allow us to make those determinations.</p> <p>May include but is not limited to: DBE Program Plan(s); Goal setting documentation; Affidavits of publications for DBE goal-setting;</p> <p><i>See 49 CFR part 26 and Ord. 11032 § 11 (part), 1993</i></p>	6 years after report or document submitted	Potentially Archival – Appraisal Required		Reporting/Filing (Mandatory) – Agency Management ACO-02-004	GS2012-028 R1

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10.	<p><u>Disadvantaged Business Enterprises (DBE) Federal Grant Compliance Records</u></p> <p>Records relating to the compliance monitoring for grant payments include USDOT programs for work on airports (FAA), transit and ferries (FTA), and roads (FHWA), and EPA and Dept. of Ecology programs geared towards DNRP projects</p> <p>Records are maintained chiefly to provide Federal auditors documentation that the County is in compliance with DBE requirements, e.g., contracts contain required language with rules of reporting and necessary regulations, monitoring instructions are followed, appropriate corrective actions are taken when needed.</p> <p>* Contact Grant Administrator in DNRP/DOT prior to records destruction.</p>	<p>6 years after completion of grant project or terms of grant agreement, whichever is later*</p> <p>*DNRP requires 25 year retention per federal regulations based on the EPA Clean Water State Revolving Fund Loan requirements, 40 CFR section 35.</p>	Potentially Archival – Appraisal Required		<p>Grant Reports and Deliverables</p> <p>FIN-05-003</p>	GS50-03C-02 R1

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11.	<p><u>Economic Opportunity and Empowerment Program (EOEP) Advisory Board Communications</u></p> <p>Communications to and from the Advisory Board members made or received in connection with the transaction of official Board business. Includes all communications regardless of format, including: physical correspondence; email; webpages/forms/pages; social networking posts and comments, etc.</p> <p><i>The EOEP Advisor Board will advise King County on ways to engage more minority, women, veteran, and youth workers on the planned Children and Family Justice Center construction project expected to begin in 2016.</i></p>	2 years after year end	Potentially Archival – Appraisal Required		<p>Communications for Advisory Councils, Communications, Committees and Boards</p> <p>ACO-01-014</p>	GS50-01-12 R3

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12.	<p><u>Economic Opportunity and Empowerment Program (EOEP) Advisory Board Meeting and Project Files</u></p> <p>Records documenting all management and meetings of the advisory board including but not limited to: agenda packets and related materials, audio/visual recordings of meetings, correspondence, meeting minutes and documents produced by the advisory board such as reports, policy drafts and transmittals to governing bodies.</p> <p>Excludes the personal notes, memos and correspondence of the Advisory Board members which should be retained as General Office Communications and Staff Meetings, ACO-01-001 (GS2010-001R3)</p> <p>Excludes board member applications retained by the Council.</p> <p><i>The EOEP Advisor Board will advise King County on ways to engage more minority, women, veteran, and youth workers on the planned Children and Family Justice Center construction project expected to begin in 2016.</i></p>	6 years after year end	Potentially Archival – Appraisal Required		Meetings - Advisory ACO-01-013	GS2012-027

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13.	<p><u>General Office Communications, Meetings and Working Files</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 office meetings.</p> <p>As programs and projects develop within the County, it may be necessary to move initial records from this category to business related categories such as project files, contract administration files, personnel actions, etc. that need to be retained with the business activity they support.</p> <p>May include: Administrative procedures and instructions; Outlook Calendars; Internal schedules for equipment replacement; Mailing lists; Staff meeting minutes, agendas Requests to telecommute on a particular day; Standard Work, Desk Manuals</p>	2 years after year end			<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>GS50-01-01 (Procedures and Instructions)</p> <p>GS50-0-02 (Working Files)</p> <p>GS50-01-08 (Chron. Reference Files)</p> <p>GS50-01-36 (Appointment Calendars)</p> <p>GS50-01-43R1 (Staff Meetings)</p> <p>GS2010-001R3 (Communications)</p> <p>GS2011-179R1 (Travel Arrangements)</p>
14.	<p><u>Payroll Supporting Documents</u> Working documents that lead up to the final printed and signed time reports used for paying employees. Documents the status of and adjustments to payroll accounts prior to finalization and are not needed for retirement verification (See FIN-08-002).</p>	4 years after year end			<p>Payroll Supporting Documents</p> <p>FIN-08-006</p>	GS50-03E-25 R1

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15.	<p><u>Performance Evaluation Background Files - Supervisors</u></p> <p>Documentation gathered by employees with supervisory responsibilities to prepare and support performance evaluations of employees under their supervision. Only includes records needed to support the completion of the performance evaluation.</p> <p>Excludes the final signed performance evaluations, official misconduct records, grievances, merit awards, etc. which are sent to the employee's personnel file with Human Resources (GS50-04-06R3).</p>	0 years after evaluation is completed and appeal period has ended			N/A	GS50-04B-31

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16.	<p>Project Files Records for miscellaneous projects not covered by more specific categories. May include work plans, metrics, A3 boards, project charters, budgets, reference materials, communications, notes and documents related to final deliverables etc.</p> <p>Excludes grant funded, capital improvement projects.</p> <p>Examples: BDCC Annual Reports development Files</p> <ul style="list-style-type: none"> • Progress of the King County contracting opportunities program, including SCS Certification (filed by June 30 and covering January through December of the previous year) <i>See King County Code Chapter 4.19.070 (E)</i> • Compliance with King County apprenticeship requirements (filed by April 30 and covering January through December of the previous year) <i>See King County Code Chapter 12.16.175</i> <p>Continuous Improvement Projects</p> <ul style="list-style-type: none"> • Includes: Application for Lean Event Support; Communications with staff throughout the process; Notes and emails re: choosing a Continuous Improvement consultant; Charters; Photos of process mapping activities; work done and outcomes, (e.g., metrics, staff members' written comments, value stream mapping products, etc.) 	6 years after completion of project	Potentially Archival – Appraisal Required		Project Files ACO-02-001	GS50-01-39 R1

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17.	<p><u>Public Disclosure and Records Requests</u> Records relating to requests from the general public for access to the County's public records in accordance with the Washington State Public Records Act (RCW 42.56).</p> <p>May include the original request and all subsequent correspondence with requester, <u>directives to staff associated with records collection</u>, attorney-client privileged communications associated with the public disclosure request, copies of records disclosed, copies of records redacted or withheld from disclosure in their entirety, and withholding and redaction logs.</p>	2 years after end of year in which the request was completed			Public Records Act Requests INF-01-002	GS2010-014 R2

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18.	<p><u>Small Contractors and Suppliers (SCS) Certification – Approved</u></p> <p>BDCC is responsible for the Small Contractors and Suppliers Certification Program. (<i>see King County Code Chapter 4.19</i>) This program provides certification for companies desiring to do business with King County, Port of Seattle, and Metro. Records that document the process of certification include:</p> <p>Applications from small business owners; Required application documents including personal net worth statements, copies of tax returns, business gross receipts, CPA affidavit of net worth; Letters of acceptance; Re-certification reminders, i.e., notices sent 90 days prior to date of 3-year (circa 2015; previously 5-year) recertification requirement; Training completion records or Business Development Tracking; Appeals/protests and related correspondence; Decision by PAO re: appeal or protest; Requests to update information in the SCS Directory (in CARTS database).</p>	6 years after certification expires	Contains financial information that is highly sensitive and confidential and may be exempt from public disclosure		Certification Provided by Agency – Approved CON-01-007	LP50-12D-12

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19.	<p><u>Small Contractors and Suppliers (SCS) Certification – Denied</u> Records documenting requests for certification that were unsuccessful.</p> <p>May include: Applications and supporting documents including personal net worth statements, copies of tax returns, business gross receipts, CPA affidavit of net worth from small business owners; Letters of denial; Appeals/protests and related correspondence; Certifications where contractor refuses the terms of service.</p>	3 years after year end	Contains financial information that is highly sensitive and confidential and may be exempt from public disclosure		Certification Provided by Agency – Denied CON-01-008	GS50-01-09 R1
20.	<p><u>Training Development - Curriculum and Materials</u> Records relating to the development of training courses, seminars, and or workshops.</p> <p>Includes research, materials development, etc.</p> <p>Excludes final curriculum materials covered by GS2011-180 and training/attendance documentation covered by GS2011-181R1</p>	2 year after curriculum no longer provided by agency			Agency-Provided Training – Curriculum and Materials Development ACO-10-002	GS2011-178R1

