



**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 Executive Services / Records and Licensing
Services Division / Licensing

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

DES-RALS-(LIC) / 010204

**3. TOTAL NUMBER OF
PAGES**

13

**4. DATE LAST
MODIFIED**

September 22, 2017

5. STATUS

Final

6. VERSION

3

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))
OFFICE WIDE						
1	<p><u>Accounting Records</u> Records are used to document payment for goods and services received. May include P-card purchases and those using Oracle financial applications.</p> <p>May include:</p> <ul style="list-style-type: none"> • Invoices; Purchase orders; Vouchers; Receipts; Refunds, Invoices. 	<p>Cutoff: End of year</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>	DES / FBOD / Accounts Payable	<p>General Office Accounting</p> <p>FIN-01-001*</p> <p>* do not file secondary copies to the KC ERMS</p>	GS2011-184R3
2	<p><u>Administrative Procedures and Instructions</u> Documentation of internal office policies, procedures and guidelines related to routine day-to-day operations.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Advisory memos, manuals documenting departmental policies and procedures, handbooks, desk manuals, supporting background materials and related documentation. 	<p>Cutoff: Revised or obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>	GS50-01-01
3	<p><u>Audit Development Files</u> Records used to respond to internal or external audits of county agencies' programs, including audits from the State Department of Licensing.</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 and other cumulative data. 	<p>Cutoff: Completion of audit and corrective action taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Audit Working Files and Supporting Materials</p> <p>AUD-01-002</p>	GS50-03F-01

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4	<p><u>Billing Stubs</u> Records accompanying payments submitted by customers to the agency noting the amounts, methods, and/or details of the payments (billing stubs, remittance advices, payment stubs, etc.).</p>	<p>Cutoff: End of year or until completion of State Auditor's examination report, whichever is sooner</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Billing Stubs FIN-01-027</p>	GS2012-046
5	<p><u>Budget Development Files</u> Records document the development of budgets.</p> <p>May include:</p> <ul style="list-style-type: none"> • Preliminary budget proposals • Spreadsheets • Statistics • Expenditure reports • Correspondence • Briefing materials • Justification documents • Presentations, whitepapers, etc. 	<p>Cutoff: Budget adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Budget Development Files BUD-01-001</p>	GS50-03D-03

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6	<p><u>Communications</u> Internal and external communications to or from employees (includes contractors and volunteers) that are made or received in connection with the transaction of public business, and that are not 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; General information line correspondence and documentation •Web sites/forms/pages, social networking posts and comments, etc. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> •Requests for and provision of information/advice; •Agency-initiated information/advice. <p>Note: Information/advice published online by the agency continues to be “provided” until the date it is removed/withdrawn.</p>	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	GS2010-001R3
7	<p><u>Meetings – Staff</u> Records documenting meetings held by (and/or for) Licensing staff. May include staff meetings, internal committees/task forces, and other groups that meet for various reasons (to plan activities, coordinate communications solve problems, coordinate employee safety, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas • Meeting packets • Sign-in lists, meeting notices, etc. • Minutes, audio/visual recordings, transcripts, etc. 	<p>Cutoff: End of year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	GS50-01-43R2

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8	<p><u>Performance Evaluation Background Files</u> 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: Destroy once the performance review has been completed and appeal period has past</p> <p>Retention: 0 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Filed Outside of KC ERMS</p>	GS50-04B-31R1
9	<p><u>Project Files</u> Records used to document various projects undertaken throughout Licensing. Examples include LEAN deployment projects.</p> <p>May include:</p> <ul style="list-style-type: none"> • Inventory sheets • Correspondence • Meeting records • Substantive drafts • Additional supporting documentation related to a particular project. 	<p>Cutoff: Project completed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Project Files</p> <p>ACO-02-001</p>	GS50-01-39R1

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10	<p><u>Seattle/King County Taxicab Advisory Commission – Meeting Records</u> Records created to document the activities of the Seattle/King County Taxicab Advisory Commission.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas • Minutes • Materials presented • Agenda packets • Testimony • Audio/visual recordings • Member lists • Action items tracking • Sign in sheets • Correspondence, policies, reports, etc. 	<p>Cutoff: End of year</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Meetings/Projects – General Advisory Councils, Commissions, Committees and Boards</p> <p>ACO-01-013</p>	GS2012-027

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11	<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: 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>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: Non-Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1A

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12	<p><u>Transitory Records</u> 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: Dispose of when no longer needed</p> <p>Retention: None</p>	<p>Disposition Action: Non-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>

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For-Hire						
13	<p><u>Process Server Business Licenses</u> Applications for businesses operating within King County's jurisdiction that need to be regulated (i.e. occupations, professional or personal licenses).</p> <p>Files may include:</p> <ul style="list-style-type: none"> • Applications • Background checks • Appeals • Hearings • Suspensions • Photographs. 	<p>Cutoff: Expiration of license</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Business Licenses - Regulatory and Personal</p> <p>LIC-03-002</p>	LP50-12D-12
14	<p><u>Taxicab, For-Hire and TNC Vehicle License Files</u> Taxicab, For-Hire and Transportation Network Company (TNC) license application package for annual renewal, change of owner, change of equipment, change of association, and change of number. Includes taxicab license files for King County as provided by a 1995 cooperative agreement. Application packet includes: license application, vehicle registration, for-hire certificate, safety inspection report issued by ASE-certified mechanic, and evidence of insurance (policy declarations, endorsement, binders).</p> <p>May also include:</p> <ul style="list-style-type: none"> • Interview reports and notes • Required test & associated records • Taxicab license • Release of interest • Power of attorney authorization • License action forms (suspension, denial, revocation). 	<p>Cutoff: Expiration of license</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p>		<p>Taxicab and For-Hire License Files</p> <p>LIC-01-001</p>	LP50-12D-25

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15	<p><u>Taxicab, For-Hire and TNC Industry Enforcement Records</u> Taxicab/For-Hire And Transportation Network Company (TNC) inspection records including: taxicab safety inspections and taximeter tests.</p> <p>Records include:</p> <ul style="list-style-type: none"> • Taxicab field enforcement logs • Notice of violation forms (association, owner, driver) • Summary suspension forms • License action forms • Passenger complaints • Decisions on appeal. 	<p>Cutoff: Completion of suspension</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Taxicab/For-Hire Industry Enforcement Records</p> <p>LIC-01-003</p>	LP50-12D-26
16	<p><u>Taxicab/For-Hire and TNC Red Files</u> Taxicab/For-Hire and Transportation Network Company (TNC) applications denied.</p> <p>File may include but not limited to:</p> <ul style="list-style-type: none"> • Police reports • Records documenting the reason for denial • Certified letters notifying applicant of their rights • Appeal letters and documentation relating to the appeal process. 	<p>Cutoff: Denial of application</p> <p>Retention: 20 years</p>	<p>Disposition Action: Non-Archival – Destroy</p>		<p>Taxicab Applications Denied</p> <p>LIC-01-004</p>	LP50-12D-25A

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Vehicle Licensing						
17	<p>Banking – Deposited Items Negotiable instruments received by the agency and deposited to the bank in a different format.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> •Original paper checks/warrants imaged using Remote Deposit Capture (RDC) or Imaged Cash Letter (ICL), or returned by the bank after redemption • Images of checks/warrants created in lieu of depositing the original item (such as imaged cash letter (ICL)). <p>Excludes checks returned to agency due to non-sufficient funds covered by GS50-03B-14.</p>	<p>Cutoff: Deposit verified by bank</p> <p>Retention: 7 days</p>	<p>Disposition Action: Non-Archival - Destroy</p>		N/A	GS2011-186

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18	<p><u>Vehicle/Vessel Licensing and Permitting</u> Records documenting the licensing and permitting of vehicles and vessels in accordance with RCW 46.01.140 and where the data is transmitted to and retained by the Department of Licensing.</p> <p>Applies to hard copy and PDF scanned electronic versions from sub-agencies.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> •Vehicle/vessel title and registration applications (including supporting documentation, monthly gross weight receipts, etc.); •Vehicle/vessel permits (trip, fuel, 45 days NRM, 3-60-90, off-road vehicle (ORV); 15 days temporary use, no-fee/transit, etc.); •Inventory and reconciliation (certification, batch receipts, batch insufficient reports, assignments and disassignments, monthly reports and verifications, batch receipts, end of day workstation recaps, etc.); •Shipping document lists (title, non-title); •Dishonored check letters, restitution receipts, etc.; •Department of Licensing reports (internal audit, etc.) •Plate reimbursements 	<p>Cutoff: Submitting records to Department of Licensing</p> <p>Retention: 18 months</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Vehicle/Vessel Licensing and Permitting</p> <p>LIC-01-002</p>	AU52-03D-20R1
19	<p><u>Vehicle/Vessel Licensing and Permitting – Financial Records</u> Records may include County deposit by date report, County financial overview report, County daily, weekly, monthly, quarterly and yearly recapitulation remittance.</p>	<p>Cutoff: End of year</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3

<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><i>See original for signature</i> <i>12-19-2014</i></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><i>See original for signature</i> <i>12/31/2014</i></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><i>See original for signature</i> <i>12-18-14</i></p> <hr/> <p>Eddie Cantu Date</p>	
<p>PUBLIC RECORDS COMMITTEE USE ONLY - DO NOT FILL IN BEYOND THIS POINT</p>	
<p>11. PRC APPROVAL</p> <p><i>See original for signature</i> <i>Jan. 21, 2015</i></p> <hr/> <p>Deborah Kennedy Date King County Public Records Committee</p>	