



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 Department of Transportation / Marine Division	2. DEPARTMENT-DIVISION-SECTION [DDS] DOT-MD-(ALL) / 170601	3. TOTAL NUMBER OF PAGES 31	4. DATE LAST MODIFIED November 6, 2017	5. STATUS Final	6. VERSION 2
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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 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))
1.	<p><u>Budget Development, Working Files & Requests</u> Background information and draft documents compiled in the course of budget preparation.</p> <p>May include, but is not restricted to:</p> <ul style="list-style-type: none"> • Monthly “Budget vs. Actual” reports and spreadsheets • Biennial budget development • Budget development spreadsheet (data entered into Hyperion) • All final data entered/completed in Hyperion • Final budget draft documents • Includes final budget - Final Budget submitted to and retained by Ferry District 	<p>Cutoff: budget adopted</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Budget Development Files</p> <p>BUD-01-001</p>	GS50-03D-03
2.	<p><u>Capital Asset Tracking Records</u> Tracking record created by the Marine Division for each of its capital assets as required in accordance with RCW 43.09.200.</p> <p>Includes information summarizing:</p> <ul style="list-style-type: none"> • Acquisition (when & how purchased or constructed, purchase price); • Improvements; • Depreciation; • Deductions; • Disposal (when & how disposed of, expenses related to the sale, etc.). <p><i>Note: Current Capital Asset Reporting forms maintained on network drive and not yet required to be forwarded to KC FBOD & Fleet Administration should be retained according to this series.</i></p>	<p>Cutoff: disposition of asset</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Capital Asset Record</p> <p>FIN-01-022</p>	GS2011-182

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3.	<p><u>Capital Construction/Project Files</u> Records document the Marine Division’s Capital Program’s planning, design, construction and preservation of Marine Division’s structures and infrastructure. Structures and infrastructure may include Ferry Terminals/docks, vessels, etc.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • As-designed drawings (provided that as-built drawings are retained in accordance with GS50-18-06); • Design and décor documentation for historical reference (paint colors, building material and fixture descriptions, etc.); • Public feedback (input, support, opposition, etc.); • Public meeting materials (handouts, comments, etc.); • Photographs, official dedication/opening, etc.; • Preliminary drawings and specifications; • Schedules, calendars, construction logs, quality control reports; • Related communications (with contractors, consultants, attorneys, regulatory agencies, municipalities, etc.); • Contracts and Agreements, RFQ, Bids and Proposals, and the final awarded contract which meet requirement of project scope. • If Major Maintenance and Repair work is considered Capital Project, these records may be retained as such. • Grant or Federally Funded Project Reporting may require longer retention periods. 	<p>Cutoff: completion of project or terms of grant agreement, <i>whichever is later</i></p> <p>Retention: 10 years after</p> <p>Note: Some records, such as environmental assessments and permitting may need to be retained for longer periods of time. For example, some permitting and authorizations need to be retained for 6 years after disposal of vessel. These records should be identified and retained separately from the construction project files. Long term moorage and maintenance records, including contract and agreements, should also be maintained separately from project files.</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Capital Project Records – General</p> <p>CIP-01-006</p>	GS50-18-10R1

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4.	<p><u>Citizens' Complaints and Requests for Agency Action</u> Communications (includes emails, voicemails, comment cards and other recorded forms of communication) from citizens making a complaint or request, as well as associated response.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Correspondence in Water Taxi customer communications email account (includes any communications via staff Outlook accounts). Includes tracking spreadsheet. • Correspondence/answers to media request for information • Water Taxi Phone Line • Voicemail with substantive information, complaint or request. • Alert notifications issued through the GovDelivery system • Bus stop and Water Taxi notifications. • Letters regarding comp and replacement tickets. • Replacement tickets documentation provided in response to citizen complaints or requests. 	<p>Cutoff: end of year in which issue resolved</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Public Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	<p>GS50-01-09R2</p>

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5.	<p><u>Contracts and Agreements – General</u> Instruments signed by the agency and one or more parties that set out the terms and conditions to which the signing parties agree or submit, and that do not establish, alter, abolish, transfer ownership of capital assets such as vessels. Contracts and agreements records may include negotiations, change orders, compliance monitoring, etc.</p> <p>Include, but is not limited to:</p> <ul style="list-style-type: none"> • Fidelity and surety coverage bonds; • Lease, escrow, and rental agreements; Lending agreements (facility, equipment, vehicle, etc.); • Liability waivers (hold harmless, insurance, etc.); Loan agreements (long-term debt, etc.); • Master depository contract (banking); • Ongoing exemptions/discounts/rate reductions (utilities, property taxes, etc.); • Personal service, client service, purchasing agreements; Purchase and sales agreements (non-capital asset purchases only); • Vendor bonds; Warranties. <p>Excludes contracts & agreements covered more specifically by other records series, such as:</p> <ul style="list-style-type: none"> • Inter/Intra-agency, Inter-governmental, Inter-local Agreements covered by CON-01-004; • Contracts and agreements relating to non-real property capital assets (GS2011-169); • Other bond, grant and levy project financial transaction contracts and agreements covered by GS2011-183. 	<p>Cutoff: completion of transaction or termination/ expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Contracts, Agreements and Warranties</p> <p>CON-01-001</p>	GS50-01-11R4

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6.	<p><u>Director's Communications and Subject Files</u> Internal and external communications to or from the agency director that are made or received in connection with the transaction of public business, and that are not covered by a more specific record series.</p> <p>Includes ALL communication types, regardless of format, including: correspondence, email, text messages, websites, social networking.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for/provision of advice/information; • Agency initiated advice/information; • Correspondence files, including: intergovernmental and other associations; • Minutes and files of office meetings; • Speeches, newsletters, articles , and other public records; • Appointment calendars; Mailing lists; Informational reports, etc. <p>Excludes Public Records Requests, Advisory Bodies minutes and meetings.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival - Appraisal Required</p>		<p>Elected Officials, Department and Division Heads Communications, Subject and Issue Files</p> <p>ACO-01-002</p>	<p>Combo Rule ACO-01-002</p> <p>GS50-01-02 (Administrative Working Files)</p> <p>GS50-01-12R3 (Communications)</p> <p>GS50-01-43R2 (Meetings)</p>
7.	<p><u>Emergency/Disaster Preparedness And Recovery Plans</u> Emergency and disaster preparedness, response, and recovery plans prepared for any aspect of Marine's assets or operations.</p>	<p>Cutoff: obsolete or superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Emergency/Disaster Security, Preparedness and Recovery Plans</p> <p>ACO-06-001</p>	<p>GS50-14-03R2</p>

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8.	<p><u>Emergency/Disaster Response/Recovery – Routine Or Minor</u> Record relating to actions taken by Marine Division in response to routine or minor natural or manmade disasters/emergencies (inclement weather responses, vandalism, medical response, flooding, etc.) where recovery is managed with minimal assistance and/or disruption to normal agency operations.</p>	<p>Cutoff: issue resolved/recovery complete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Emergency/ Disaster Response/ Recovery – Routine Or Minor</p> <p>ACO-06-007</p>	GS2012-025
9.	<p><u>Employee/Vendor/Contractor – Access Codes and Authorizations</u> Records documenting the authorization of employees (including contractors and vendors) access to agency structures, equipment, supplies, vaults, etc., where required by Marine Division. Includes requests and approval for access and other documentation.</p> <p>May include:</p> <ul style="list-style-type: none"> • Vault access codes and combination change signature pages; • Loomis logs if final copies are maintained with Marine; • Vessel access when recorded. 	<p>Cutoff: year end, or last log entry</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Security Monitoring – Employee/Public/ Visitor Access</p> <p>ASM-10-007</p>	GS50-06B-20R1

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10.	<p><u>Final Adopted Policy</u> Officially adopted policies, procedures, or rules affecting the entire Marine Division and activated through Marine Division Director's signature.</p> <p>Includes signed original policy only.</p> <p><i>Note: Final Policies for the Ferry District to be retained with Ferry District Administrator.</i></p>	<p>Cutoff: policy superseded or obsolete</p> <p>Retention: 2 years</p> <p>Permanent – Transfer to the King County Archives</p>	<p>Disposition Action: Archival – Permanent Transfer</p> <p>ESSENTIAL</p>	<p>Final policies for the Ferry District to be retained by the Ferry District.</p>	<p>Final Adopted Policy</p> <p>ACO-03-002</p>	<p>GS50-01-24R1</p>

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11.	<p>Financial Transactions –Grant And Levy Projects Records documenting all resources received and expended by the agency for bond-, levy-, and/or grant-funded projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Cancelled (and voided) checks, credit card slips, project cost record, etc., for capital assets constructed by the local government agency; Contracts and agreements (for non-capital assets only); includes negotiations, compliance monitoring, etc.; Documents supporting purchase/acquisition/construction and disposition/sales prices; Financial statements and reports (cash receipts transmittals, daily cash report/summary, expenditure transactions, treasurer/finance officer reports, etc.); Grant/scholarship announcements, applications, evaluation summaries, award notifications, etc., for funds awarded or received by the local government agency; Project cost/expenditure tracking record (staff time, etc.); Registers and journals for all funds and functions (including numerical listing of checks/warrants/vouchers, etc.); <p>Excludes: Contracts and agreements involving the agency’s capital assets which are covered by GS55-05A-06 and GS2011-169; General and subsidiary ledgers covered by GS50-03A-15; Unsuccessful grant/scholarship applications covered by GS50-03C-07.</p>	<p>Cutoff: completion of levy/grant project or for terms of grant agreement, <i>whichever is later</i></p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Grant Administration Records</p> <p>FIN-01-017</p>	GS2011-183R2

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12.	<p>General Office Accounting Originals and copies of office accounting records, including documentation around accounts payable, accounts receivable, and cash/banking activities.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Receipts; vouchers; • Accounts payable/accounts receivable and supporting documents; • Cash account documentation; • Uniform purchasing and allowance records • Purchasing records, such as manual supply order form and original invoice (originals not retained with/sent to Procurement) • Fare/ORCA revenue reporting/ tracking • General/subsidiary journals; • Bank deposit records; • P-Card TWIC card records when original is retained in office. • Uniform ordering and allowance records • Records documenting accounting, budgeting, or funds associated with the promotional materials supplies, promotional events and giveaways provided. • Vault cash handling audits and reports. <p>Excludes: Levy and grant-funded transactions covered by GS2011-183; General and subsidiary ledgers covered by GS50-03A-15; Contracts and agreements; Mandatory financial reporting records to regulatory agencies covered by GS2011-189 Annual financial reports covered by GS50-03D-02 (CFO report to Commissioner/Council.</p>	<p>Cutoff: year end and payment reimbursements by Ferry District confirmed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-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> <p>GS2011-185 (Banking- Accounts and Transactions)</p>

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13.	<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 agency, and where not covered in any other category</p> <p>May include:</p> <ul style="list-style-type: none"> • General correspondence (includes all formats, e.g. email); • Meeting minutes and agendas (original copies only); • Calendars (generally retained by Outlook); • Administrative procedures and instructions (does not include operating manuals for equipment, vessels or machinery or official agency policies); • Working files containing copies of information for reference purposes or to accumulate data on small office projects such as phone system updates; • Agency-provided training arrangements; • Labor negotiation advice files; • Vessel Communications – communications between staff in vessel email accounts. • Executive’s Weekly Report <p><i>NOTE: Some records from this category may result in more complex uses and should eventually be retained as such with the business activity they support. For example, some records may become official projects files, may become final contract administration documents, or may be utilized for personnel actions, etc. This series covers temporary or reference use copies only.</i></p>	<p>Cutoff: year end</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>	<p>Combo Rule ACO-01-001</p> <p>GS50-01-02 (Administrative Working Files)</p> <p>GS50-01-43R2 (Meetings – Staff)</p> <p>GS50-01-36 (Appointment Calendars)</p> <p>GS2010-001R3 (Communications)</p>

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14.	<p><u>Grant and Levy Project Reporting</u> Reports relating to bond, grant (non-continuing), and levy projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Progress statements; • Expenditure of funds; • Periodic, annual, special, and final reports. 	<p>Cutoff: submission of final report, or for period required by grant/ program agreement, <i>whichever is later</i></p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Grant Reports and Deliverables</p> <p>FIN-05-003</p>	GS50-03C-02R1
15.	<p><u>HR Subject and Advice Files</u> Communications from Human Resources staff or agency attorneys, which provide advice and guidance about particular human resource issues. Includes advice on general as well as special issues</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Advice from the Public Attorney’s Office • Jones Act legal advice • Includes advice and reference files and correspondence only. <p>Excludes claim files, employee misconduct investigation files, or other items retained in Personnel File or Supervisory File with agency HR.</p>	<p>Cutoff: year end</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Human Resources Advice Files</p> <p>PER-06-011</p>	GS2010-001R3

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16.	<p><u>Inter/Intra-Agency, Inter-governmental, Inter-local Agreements</u> Instruments signed by county agencies and one or more external agencies, to which the signing parties agree or submit. Agreements are created for the interest of cooperatively sharing resources for the mutual benefit of all parties, in accordance with RCW 39.34.</p> <p><i>Note: Per RCW 39.34.040, a copy of each of the county's interlocal agreements must either be filed with the King County Recorder's Office or sent to DES / RALS / Archives, Records Management and Mail Services for publishing on the internet. This should happen before the agreement has been entered into force.</i></p>	<p>Cutoff: termination or expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p> <p>ESSENTIAL</p>		<p>Inter-Agency, Intra-Agency, Inter-Governmental, Inter-Local Agreements</p> <p>CON-01-004</p>	GS50-01-11R4

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17.	<p><u>Maintenance – Major and/or Regulated</u> Records documenting all major maintenance AND regulated maintenance (required by regulatory agencies and/or local, state or federal stature) which is performed on assets whether owned, used, leased, or maintained by the agency. Includes maintenance to ensure full useful life of the agency’s structures and infrastructure including roads, bridges, vessels, equipment, etc. Includes work performed by contractors.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Instructions and manuals; • Repair history logs/summaries/reports; • Vessel dry docking maintenance records; • Original defect and inspection reports; • Service, repair and maintenance records (regulated and major); • Work orders; correspondence. <p>Excludes: Capital improvements (redesigns, remodels, renovations, improvements, betterments) covered under Capital Project Records. Contracts and agreements (to be retained under GS2011-169 R1; Financial records.</p>	<p>Cutoff: asset no longer owned or leased by the agency</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Maintenance – Major and/or Regulated</p> <p>ASM-07-006</p>	GS2012-039

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18.	<p><u>Maintenance – Minor (Non-Regulated)</u> Records documenting maintenance performed on assets owned, used, or maintained by the agency that is minor in nature and NOT required by a regulatory agency. Includes minor maintenance on structures and infrastructure (buildings, roads, bridges, equipment, vehicles/vessels/aircraft, IT hardware, etc.). Includes work performed by contractors.</p> <p>Minor non-regulated maintenance may include, but is not limited to:</p> <ul style="list-style-type: none"> • Non-regulated vessel, facility, infrastructure maintenance and cleaning; • Non-regulated vessel, facility, infrastructure maintenance; • Service, repair and maintenance records (minor non-regulated). • Work Orders • Related correspondence, lists/logs, and reports. <p>Excludes: Capital improvements (redesigns, remodels, renovations, improvements, betterments, and increases in efficiency) covered by GS50-18-10, Construction Project Files; Contracts and agreements covered in the Contracts/Agreements section; Financial records covered in the Financial Management section.</p>	<p>Cutoff: year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Maintenance – Minor/Non-Regulated</p> <p>ASM-07-007</p>	GS2012-040

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19.	<p><u>Marine Inventory</u> Records relating to the inventorying by Marine Division of assets owned by the Ferry District in accordance with County policy (such as FES-10-1-2), ordinance, or resolution.</p> <p>Capital assets may include, but are not limited to:</p> <ul style="list-style-type: none"> • Maintenance & Moorage Barge; • Master Tool Set; • Vessels, equipment, or other machinery; • Computers, smart phones, or other devices and systems; • Consumable assets may include, but are not limited to: • Supplies; • Parts (for vessels, machines, etc.). <p>Records include, but are not restricted to:</p> <ul style="list-style-type: none"> • Inventory list approved by division director. 	<p>Cutoff: inventory approved by director and submitted, or until disposition of asset, whichever is sooner</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>County Asset Inventory</p> <p>ASM-05-008</p>	GS50-03A-18R1
20.	<p><u>Official Vessel Log Book</u> Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Daily record of activity; • Navigation Data; Crew Lists; Local Weather Conditions; Security Measures; Emergency Drills; Descriptions of any incidents or accidents involving passengers or crew. <p>Note: Log Book will remain with Marine/King County after lease expires for leased vessels.</p>	<p>Cutoff:</p> <p>Retention: Life of vessel plus 6 years, or for 75 years, whichever is later*</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		TBD	<p>TBD</p> <p>* No records will be dispositioned until the state has issued a valid disposition authority number</p>

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21.	<p><u>On Time Performance Reports and Statistics</u> Reports used to measure on-time performance of Marine Division Water Taxis. May identifies level of success of service and schedule adherence.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Spreadsheet monitoring on-time performance throughout the year • Trip Navigation Logs 	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Ridership Counts and Performance Records – FTA and NTD Required</p> <p>TRA-01-011</p>	<p>Combo Rule TRA-01-011</p> <p>TR50-31-20 (On-Time Performance Reports)</p> <p>TR50-31-30 (Ridership Reports)</p>
22.	<p><u>Payroll – Supporting Documentation and Reports</u> Documentation of status of and adjustments to payroll accounts.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Request for time-off • Adjustments not required for retirement verification. Includes minor daily/hourly adjustments. <p>NOTE: If records are used to verify retirement – or may be used as such – then they should be retained under category FIN-08-001, Payroll Timesheets.</p>	<p>Cutoff: year end</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Payroll Supporting Documents</p> <p>FIN-08-006</p>	<p>Combo Rule FIN-08-006</p> <p>GS50-03E-02R1</p>

7. LIST OF RECORDS SERIES						
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23.	<p><u>Payroll Timesheets (Pre-2012)</u> Daily, weekly, or monthly time sheets or reports used to track staff and crew time accumulations.</p> <p>Original records used to track:</p> <ul style="list-style-type: none"> • Crew accumulated hours used to calculate days of service; • Vacation accrual; • Banked holiday hours' accrual • Includes original signed summary reports. • May include payroll adjustment documents only if needed for retirement verification. <p><i>Note: Final timesheets signed by supervisors to be retained only. Crew copies sent to supervisor are considered transitory and should be deleted once received by supervisor.</i></p> <p>Excludes timesheets dated 2012 and later (see Payroll Supporting Documents).</p>	<p>Cutoff: year end</p> <p>Retention: 60 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>Retirement Benefit Verification Records</p> <p>FIN-08-002</p>	GS2017-009

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))
24.	<p><u>Permits, Inspections, Registrations - Environmental</u> Records relating to licenses, permits, accreditations, certifications, inspections, and other authorizations acquired by the county in relation to its assets, that also have <i>environmental implications</i>. Includes authorization required by and/or received from regulating authorities (local, state, federal agencies).</p> <p>Includes:</p> <ul style="list-style-type: none"> King County Waste Water permits, inspections, etc. 	<p>Cutoff: permit, inspection, or authorization superseded, terminated or otherwise no longer valid and conditions of authorization satisfied and violations (if any) corrected / resolved</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Asset Permits/Authorizations - Environmental</p> <p>ASM-01-004*</p> <p>* Records may be maintained with Capital Projects (CIP-01-006) if Authorization/Certification is superseded or terminated on or before project close-out. Permits with cut-off periods past the Project Close should be maintained according to this series.</p>	GS2012-033A

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))
25.	<p><u>Permits, Inspections, Registrations – Non-Environmental</u> Records relating to licenses, permits, accreditations, certifications, inspections, and other authorizations acquired by the local government agency in relation to its assets, that <i>do NOT have environmental implications</i>. Includes authorization required by and/or received from regulating authorities (local, state, federal agencies).</p> <p>Includes:</p> <ul style="list-style-type: none"> • US Coast Guard Certification of Inspection • Fire and life safety permits/inspections (fire extinguishers, alarms, etc.) • Vehicle/vessel registration/tabs. 	<p>Cutoff: permit, inspection, or authorization superseded, terminated or otherwise no longer valid and conditions of authorization satisfied and violations (if any) corrected / resolved.</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Asset Permits/Authorizations – Non-Environmental</p> <p>ASM-01-005*</p> <p>* Records may be maintained with Capital Projects (CIP-01-006) if Authorization/Certification is superseded or terminated on or before project close-out. Permits with cut-off periods past the Project Close should be maintained according to this series.</p>	GS2012-033
26.	<p><u>Policy Development Files</u> Working files containing correspondence, research and drafts related to the development of division policy.</p> <p>Includes policy development records for both the Marine Division and the Ferry District.</p>	<p>Cutoff: completion of project</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Policy Development Files</p> <p>ACO-03-001</p>	GS50-01-39R1

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))
27.	<p><u>Press Releases</u> All final copies of press releases created by Marine Division.</p> <p>Excludes press releases created by DOT Communications/Media Relations where original /final copy resides with that office.</p>	<p>Cutoff: no longer needed for agency business</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>	<p>This records series applies only to Press Releases created/issued by the Marine Division where not issued through DOT-Public Relations</p>	<p>Press Releases PRE-01-014</p>	<p>GS50-06F-07R1</p>
28.	<p><u>Publications (Master Set)</u> Publications created by the agency. Includes source materials (.pdfs, original photographs/images)</p> <p>Publications may include:</p> <ul style="list-style-type: none"> • Brochures; • Water Taxi Newsletters; • Route maps or charts. <p>Excludes published Water Taxi Route Schedules. See Water Taxi Schedules/Timetable category, TRA-01-010.</p>	<p>Cutoff: no longer needed for agency business</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>	<p>DOT-Media Relations retains original copies of some publications.</p>	<p>Master File of Agency Publications INF-02-001</p>	<p>GS50-06F-04R4</p>

7. LIST OF RECORDS SERIES						
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29.	<p><u>Reporting/Filing (Mandatory) – Agency Management</u> Reporting records relating to the Marine Division’s general functions which are required to be submitted to an outside agency (including legislative authority/Ferry District) by federal, state, or local law, and <i>where not covered by a more specific records series such as Reporting/Filing Financial (Mandatory) Management and Grant Reporting.</i></p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Reports/forms/certificates/lists; • Submission confirmation, correspondence, inquiries, etc. <p>Reports include:</p> <ul style="list-style-type: none"> • Final Reports to Director’s Office <ul style="list-style-type: none"> ○ Quarterly, Monthly, or Annual Reports submitted to Box.com. 	<p>Cutoff: report or documents submitted</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Reporting/Filing (Mandatory) - Agency Management</p> <p>ACO-02-004</p>	GS2012-028R1
30.	<p><u>Reporting/Filing (Mandatory) – Financial Management</u> Records relating to financial management and submitted to regulatory agencies as <i>required by federal, state or local law, where not covered by a more specific records series such as Grant Reporting – Financial.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Financial invoicing and reporting required by Ferry District. • Reports, confirmation of submission, correspondence, inquiries, etc. 	<p>Cutoff: submitted to regulatory agency</p> <p>Retention: 4 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Reporting/Filing (Mandatory) – Financial Management</p> <p>FIN-02-003</p>	GS2011-189R1

7. LIST OF RECORDS SERIES						
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31.	<p><u>Research/Program Reports, Studies, Surveys, Models and Analyses</u> Research/program reports, studies, surveys, models, and analyses, where not covered by a more specific records series. Standalone reports not related to Capital Projects.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Reports published by county agencies, reports by consultants hired by the county, and publications of joint projects supported by King County Government. <ul style="list-style-type: none"> ○ Pamphlets, brochures, presentations, etc., associated with a particular study, report, survey, etc. • Consultant surveys and research reports not related to a specific capital project. <p>Excludes Mandatory Reporting, Annual Reports, Grant or Project Reporting to outside agencies.</p>	<p>Cutoff: superseded or obsolete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Research/Program Reports, Studies, Surveys, Models and Analyses</p> <p>ACO-02-002</p>	GS50-01-32R1
32.	<p><u>Sea-Service Letter (“Days Underway”)</u> Crew sea-time letters required by the Coast Guard identifying individual job-duties, days at specific duties and calculated time accrual. Used to evaluate sea service hours credited for professional qualifications.</p> <p>Includes reports, confirmation of submission correspondence, inquiries, etc.</p>	<p>Cutoff: submitted to Coast Guard/ credentials updated</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Reporting/Filing (Mandatory) - Human Resources</p> <p>PER-12-002</p>	GS50-04C-05R3

7. LIST OF RECORDS SERIES						
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33.	<p><u>Special Projects Records</u> 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>May include:</p> <ul style="list-style-type: none"> • Crew Manual Development Records • Records Management Initiative Records • Work plans, business cases, drafts, reference materials, correspondence, communication logs, notes, and documents related to final deliverables. <p><i>Note: Final documents (such as final Administrative Manuals or Published Reports) may have a longer retention period. Examples of project deliverables include: final research/program reports, studies, surveys, models and analyses, IT design and implementation. Contact Records Management when starting a new project if you are uncertain if Project Files category applies to your project.</i></p> <p>Excludes Capital Project Records.</p>	<p>Cutoff: completion of project</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Project Files ACO-02-001</p>	<p>GS50-01-39R1</p>

7. LIST OF RECORDS SERIES						
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34.	<p><u>Standards and Specifications Manuals</u> Design and development standards and specifications approved by the agency's governing body for the construction, operation and maintenance of structures and infrastructure within the agency's jurisdiction – owned, leased, or otherwise occupied by the county.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Barge Manual <p>Excludes development records, which may be retained under Capital Project Records if Manual originated from a project.</p> <p>Note: Manuals will remain with vessel after lease expires or is terminated.</p>	<p>Cutoff: life of asset or when superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p> <p>ESSENTIAL</p>		<p>Standards and Specifications Manuals</p> <p>ASM-02-003</p>	GS55-05G-04R1

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35.	<p><u>Supervisor's Working Files</u> 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:</p> <ul style="list-style-type: none"> • 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>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

7. LIST OF RECORDS SERIES						
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36.	<p><u>Traffic Statistics (Fare Count and Ridership)</u> Records documenting the number of passengers and vehicles (where applicable) carried by vessel, route, and sailing. Allows staff to determine traffic volumes, trends, and overloads.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Passenger Count Report and data spreadsheets. (Information and reports may be used to create Monthly Ferry District Report.) 	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Ridership Counts and Performance Records – FTA and NTD Required</p> <p>TRA-01-011</p>	<p>Combo Rule TRA-01-011</p> <p>TR50-31-30 (On-Time Performance Reports)</p> <p>TR50-31-30 (Ridership Reports)</p>

7. LIST OF RECORDS SERIES						
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37.	<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: Retain until 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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38.	<p><u>Usage and Dispersal – Assets</u> Records relating to the usage of agency’s assets. Includes all assets owned, rented, leased or maintained by the agency.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Fuel/oil usage and dispersal data; • Pump tank reports; • Mileage data, etc. 	<p>Cutoff: year end, or for period required by FTA</p> <p>Retention: 4 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Asset Use Records</p> <p>ASM-12-002</p>	GS2012-045
39.	<p><u>Water Taxi Route Schedule/Timetable</u> Official and supporting records documenting finalized schedule of timetable of vessels arrivals and departures</p>	<p>Cutoff: superseded or for period required by FTA</p> <p>Retention: 3 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>Transportation Route Schedules/ Time-Tables</p> <p>TRA-01-010</p>	TR50-31-07

7. LIST OF RECORDS SERIES						
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40.	<p><u>Water Taxi Incident Report Form (Secondary)</u> Water taxi document used to report and describe accident or incident which occurred upon vessel where no official claim had been filed.</p> <p>Includes accident reports for accidents involving minors</p>	<p>Cutoff: no longer needed for agency purpose</p> <p>Retention: None</p>	<p>Disposition Action: Non-Archival - Destroy</p>	<p>Office of Risk Management (Primary copy is retained 3 years after individual reaches age 18 or 3 years after date of claim, whichever is later)</p>	<p>N/A</p> <p>Records managed outside of the KC ERMS</p>	<p>GS2010-081R2(S) (Accidents/Incidents – 18+)</p> <p>GS50-06C-03R3(S) (Accidents/Incidents – under 18)</p>

<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>04/23/2015</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>04/29/2015</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>04/21/2015</i></p> <hr/> <p>Paul Brodeur 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>05/27/2015</i></p> <hr/> <p>Deborah Kennedy Date King County Public Records Committee</p>	