



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

Phone: (206) 477-6889
Email: records.management@kingcounty.gov
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1. AGENCY DEPARTMENT/DIVISION/SECTION

Department of Transportation / Transit Division /
General Manager's Office / Strategy & Performance

**2. Department/Division/Section
(DDS) Number**

DOT-TRAN-(GMO-S&P) / 170315

**3. TOTAL NUMBER OF
PAGES**

18

**4. DATE LAST
MODIFIED**

October 31, 2017

5. STATUS

Final

6. VERSION

2

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. 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>Citizens' Complaints and Requests for Agency Action</u> Communications with citizens making a complaint or request for action by Strategy and Performance staff, as well as associated agency response.</p> <p>Retention of these records should be delegated to the responding agency.</p> <p>May include, but is not restricted to:</p> <ul style="list-style-type: none"> • Requests from the media, or other local governments, for general information or data related to Metro's performance such as ad-hoc queries regarding ridership. • "Ad-Hoc" requests for information from external agencies (city; other county, etc.) and requests from citizens. <ul style="list-style-type: none"> ○ Original request and response should be retained in this category. Data compiled and created and used to create final response is considered a transitory record. <p>Excludes communications or requests related to Strategy and Performance coordinated projects including communications with contractors (see related category).</p> <p>Excludes temporary data files created used to produce final responses.</p>	<p>Cutoff: end of year in which the issue was resolved</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>Public Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	GS50-01-09R2

7. LIST OF RECORDS SERIES						
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2.	<p><u>Civil Rights Compliance (Title 6)</u> Records relating to the agency's efforts to comply with federal, state, and local statute governing employee (including contractors and volunteers), student, and the general public's civil rights. May include surveys, reports, notifications, communications, meetings, agreements, training materials, etc.</p> <p>Excludes the Rehabilitation Act of 1973 Section 504 accommodations covered by GS50-04C-01; civil rights violations complaints covered by GS50-04C-04; equal employment reports covered by GS50-04-05.</p>	<p>Cutoff: Year-end reporting or projects complete, or conditions of grant satisfied, whichever is later</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Civil Rights Compliance Files</p> <p>ACO-05-011</p>	GS2011-171R1
3.	<p><u>Contract Files</u> Records resulting from the activity of managing contracts and agreements entered into by the agency and one or more parties that set out the terms and conditions to which the signing parties agree or submit.</p> <p>Includes:</p> <ul style="list-style-type: none"> RFQ (may also be publicized); insurance certificates related to term of contract; final service contract; work orders; all post-award records needed to interpret, modify, adjust, monitor, or further negotiate original contract; final bid/proposal record of successful bidder. <p>Excludes: Unsuccessful contract proposals (see Bids and Proposals – Unsuccessful, CON-01-009). Inter-Local, Inter-Agency Contracts & Agreements (see CON-01-004).</p>	<p>Cutoff: completion of transaction or termination/ expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Contracts, Agreements, and Warranties</p> <p>CON-01-001</p>	GS50-01-11R4

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4.	<p><u>Final Adopted Policy – Agency Maintenance Copy</u> Officially adopted directives (including policies, rules, orders and regulations) affecting the Transit Division as a whole. These are activated through department or division head signature.</p> <p><i>Note: The agency is still responsible for maintaining the policy after its enactment and transfer to ARMMS.</i></p> <p>The maintenance includes, but is not limited to:</p> <ul style="list-style-type: none"> Tracking its expiration date (five years after the effective date); preparing revised or replacement policies; providing communications about policy changes; and ensuring that appendices to the policy are current. 	<p>Cutoff: policy obsolete or superseded</p> <p>Retention: 0 years*</p> <p>*Per Executive Policy INF-7-4-EP, the original signed policy must be transmitted to DES-RALS-ARMMS immediately after signature for permanent preservation at the King County Archives.</p>	<p>Disposition Action: Not Archival - Destroy</p>		Do not file to KC ERMS	GS50-02-04R2

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5.	<p><u>General Office Communications</u> Records created, received and used when communicating within and outside the county on general topics related to county business.</p> <p>Communications generally include, but are not restricted to:</p> <ul style="list-style-type: none"> • Response to ad-hoc questions providing others with information, advice, and review of work products as requested often in assistance to other sections, divisions, or county employees; communications documenting day-to-day work not covered by other categories; general administrative working files; non-executive communications. <p>May include, but is not restricted to:</p> <ul style="list-style-type: none"> • Employee engagement planning and communications, all-staff meeting minutes or agendas; response to inquiries such as transit and bus service performance data provided as requested. <p>Excludes communications related to work product you are responsible for developing, or that are required as part of your body of work or job functions. (See related category).</p> <p>Excludes transitory records (see Transitory Records).</p>	<p>Cutoff: year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>Combo Rule ACO-01-001</p> <p>GS2010-001R3 (Communications – Non-Executive)</p> <p>GS50-01-02 (Administrative Working Files)</p>
6.	<p><u>Informational Reports</u> General reports created by Strategy and Performance staff <i>not covered by other categories</i>.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Internal use informational reports, program status or update reports, program administration related reports and summary reports. 	<p>Cutoff: year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Informational Reports</p> <p>ACO-02-003</p>	<p>GS50-06F-03R1</p>

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7.	<p><u>Long-Range Asset Plan (Metro Connects) - Production</u> Records relating to the design and production of Metro's long-range plan.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • All records used in the development process, such as: forecasting, needs assessment, feasibility studies, surveys and reports; goals and objectives, long-range vision statement, annual reviews, major drafts, input and feedback from the public, meeting records, presentations, review and coordination with consultants, etc. <p>Excludes the final version of long-range asset plan (see Long-Range Asset Plans – Final, ASM-08-003).</p> <p>Excludes records created in an effort to provide advice and assistance on external (non-county) long-range planning projects, or review, advice, and assistance for other staff members' long-range planning efforts (if not part of the long-rang planning group) (see General Office Communications, ACO-01-001).</p>	<p>Cutoff: Once final version superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Metro Long-Range Plan (Metro Connects) – Production Files</p> <p>ASM-08-005</p>	<p>GS2012-042A</p> <p>*this rule with an "A" extension was created to provide a longer retention period than the state minimum because these records are required for the development of future strategic planning efforts, as well as for the plan implementation processes, until plan is superseded</p>

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8.	<p><u>Long-Range Asset Plans – Final Version</u> Final version of Metro Connects, Transit’s long-range plan for the management of its assets. Also includes any other long-range comprehensive plans such as plans approved through legislation in accordance with RCW 35.77.010. Includes Facilities Master Plan related or resulting from the Long-Range Plan.</p>	<p>Cutoff: when superseded</p> <p>Retention: 2 years</p> <p>One copy directly transferred to the Archives upon completion; a record copy should be retained in the office and then may be destroyed or retained as reference <i>once retention requirements fulfilled.</i></p>	<p>Disposition Action: Potentially Archival – Pre-Appraised Archival</p>		<p>Long-Range Asset Plans – Final Version (Appraised Archival)</p> <p>ASM-08-004</p>	<p>GS51-07-15R1A</p> <p>*this rule with an "A" extension was created to provide a different archival status (pre-appraised archival instead of appraisal required) based on appraisal by King County Archivist Carol Shenk</p>
9.	<p><u>National Transit Database (NTD) Reporting</u> Records document a wide variety of operational and financial statistics related to the operation of service by King County Metro.</p> <p>Records may include:</p> <ul style="list-style-type: none"> • Reports, raw data, statistics, or other documentation if used to support, provide evidence of, or accumulate information for data entry into NTD reporting site, or provided as required by NTD Policy Manuals and Federal Transit Administration for grant related reporting purposes. 	<p>Cutoff: period required by grant*</p> <p>Retention: 6 years</p> <p>*completion of Triennial Review Audit</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Grant Reports and Deliverables</p> <p>FIN-05-003</p>	<p>GS50-03C-02R1</p>

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10.	<p><u>Ordinance, Motion, and Resolution Development and Transmittal Files</u></p> <p>Documentation of the analysis and development of ordinances, resolutions, and motions submitted for approval by King County Council. Includes transmittals prepared and sent.</p>	<p>Cutoff: after approval, or decision not to proceed</p> <p>Retention: 3 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Ordinance, Motion, and Resolution Development and Transmittal Files</p> <p>LES-02-002</p>	GS50-01-25R1

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11.	<p>Performance Measures Records created as a result of analyzing, assessing, measuring, or collecting data related to internal work performance in an effort to meet the performance goals, and/or as part of the agency's work or strategic plan.</p> <p>May include:</p> <ul style="list-style-type: none"> • Performance plans; responses to ad-hoc requests for performance related data and information requested by Council; statistics and reports used internally; performance related presentations, etc. Information may be used in an effort to assist with developing the agencies budget or strategic plan. Includes Tier 2 and Tier 3 boards. <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • IBBG data prepared as part of determining Metro Transit's performance in relation to peer agencies; Ridership, on-time performance, and other data when used in relation to internal performance analysis. May include charts, visual management tools developed, reports, presentations, etc. • Reporting related specifically to performance metrics and measurements, ad-hoc or on a regular basis. <p>Excludes brainstorming and short-term/temporary records such as notes, mind maps, white board collaboration notes, post-its, A3, flip charts etc. when substantive or formalized information is transferred and retained elsewhere (see transitory records, item 18)</p> <p>Excludes project-specific records (see Project Files, ACO-02-001).</p>	<p>Cutoff: when revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required*</p> <p>*This rule with an "A" extension was created to provide a different archival status (potentially archival instead of non-archival on state schedule) as requested by the King County Archivist, Carol Shenk</p>		<p>Performance Measures – DOT-Transit Division</p> <p>ACO-01-019</p>	GS50-01-38R2A

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12.	<p><u>Policy Development</u> Records that document the development of Transit policies.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Correspondence, review, models and analyses used specifically to inform policy guidance and suggestions, research and drafts. <p>Excludes communications feedback provided as review or recommendation for other sections' policy development (see General Communications, ACO-01-001).</p>	<p>Cutoff: Once policy completed and adopted</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

<p>13.</p>	<p>Project Files Records related to county projects not covered by more specific record series. Records are generally a substantive body of work resulting from efforts to research, analyze, study, coordinate or plan in relation to functions or programs.</p> <p>Strategy and Performance projects include, but are not restricted to:</p> <ul style="list-style-type: none"> • Sustainability/Zero Emissions Projects, such as PSE Renewable Wind Project; SCAP Implementation efforts • Grants projects - development and applications review • One City Center • ESJ program implementation and management • Research, & Analysis Projects: Efforts to identify and conduct various studies, research projects, create plans, studies, or final analysis. May relate to fare policy, market analysis, focus groups or customer service, efforts to assist PSRC projects and studies, Equity and Social Justice, etc. • Long Range & Strategic planning program development, implementation and management • Long Range & Strategic planning projects, such as regional coordination projects related to major infrastructure efforts; Records documenting coordinated efforts to assist and provide guidance on other local governments' long-range planning efforts, such as Redmond's Long Range Plan, Renton's Master Plan, and providing guidance on Puget Sound Regional Councils regional planning efforts. <p>NOTE: Efforts of projects may result in final deliverable, such as final Reports, Plans, Studies, Analysis or Survey Reports, etc. Final deliverable should be retained in related category.</p> <p>Excludes Transit Long Range Asset Plan Development and Implementation Projects; Strategic Planning Projects; Ordinance or Policy Development (see related category).</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>
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14.	<p><u>Reporting (Required/Mandatory) – Final</u> Reports and supporting documentation required to be submitted to an outside agency (including the legislative authority) by federal, state or local law, or by court order/rule, where not covered by a more specific record series. Includes submission confirmation, correspondence, inquiries, etc.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Transit Integration Reports and Transportation Development Plans, required by RCW 35.58.2796 or other RCW. • Annual Construction Plan (ACP) • WSDOT Corridor Capacity Report (includes required information submitted to WSDOT to be included in final reports). • Title VI reporting. <p>Excludes: Required NTD reports and related reporting data filed under NTD Reporting: Grant Reports and Deliverables, FIN-05-003;</p> <ul style="list-style-type: none"> • Final Triennial Review Audit Reports, see AUD-01-006. • Non-required research reports and studies such as Research/Program Reports, ACO-02-002; • Non-mandatory reports to council, the General Managers Office, external agencies, etc. see Informational Reports, ACO-02-003. 	<p>Cutoff: after report or document 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

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15.	<p><u>Research/Program - Reports, Studies, Surveys, Models, and Analyses</u> Research or program reports, studies, surveys, models, and analyses <i>not covered by a more specific category</i>. This category holds only the final publication or production of the report resulting from the activity of studying, surveying, modeling, and analyzing agency program data and research.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Marketing research reports and final surveys, such as final focus group survey results; • Fare Policy models and structure analyses; Fare model spreadsheet; • Ad-Hoc or annual formalized final reports resulting from research or analysis efforts. <p>Excludes:</p> <ul style="list-style-type: none"> • Required/mandatory reporting required by regulations, laws, code, etc., see Reporting/Filing (Mandatory) – Agency Management, ACO-02-004. • Data used for NTD required reporting NTD Reporting: Grant Reports and Deliverables, FIN-05-003; • Background research, drafts, and working files related to the final report should be retained as a Project Files, ACO-02-002, or under the category Performance Measures, ACO-01-018. • Ad-hoc or regular internal use informational reports retained as Informational Reports, ACO-02-003. • Reports, studies, models, surveys, analyses used for long-range or strategic planning development, or created to be used specifically to support the efforts of a more comprehensive project. 	<p>Cutoff: obsolete or superseded</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

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16.	<p><u>Route History Documentation</u> Records documenting long-term Metro transit route history, including ridership and performance records.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Performance and ridership data stored in the APC Database (archive of service ridership levels per season); including route, trip, and stop information. Used as historical data to monitor long-term trends and resurrecting old route or route information • CSV file data received and retained related to historical on-time performance, also used to monitor long-term trends. 	<p>Cutoff: upon end of route life</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Route History Documentation</p> <p>TRA-01-012</p>	TR50-31-33
17.	<p><u>Strategic Plans – Development</u> Records related to the development of Metro's final strategic plans.</p> <p>Includes, but is not restricted to:</p> <ul style="list-style-type: none"> • Records used or created in the production of Metro's Strategic Plans or Metro's Service Guidelines. 	<p>Cutoff: final plan superseded</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Metro Strategic Plans – Development</p> <p>ACO-04-006</p>	<p>GS2010-079A</p> <p>*This rule with an "A" was created to provide a longer retention period for these records as requested by the agency because the records are required for the development of additional strategic planning efforts which is currently on a 3 year revision cycle</p>

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18.	<p><u>Strategic Plans – Final Version</u> Final version of the agency-wide (all Metro) strategic, long term plan used to align the organizational and budget structure with priorities, missions, and objectives. Guides policy and advises budgetary decisions.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Metro Strategic Plans and Metro Service Guidelines. <p><i>Note: One copy directly transferred to the Archives upon completion; a record copy should be retained in the office and then may be destroyed or retained as reference once retention requirements fulfilled.</i></p>	<p>Cutoff: plan revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Archival – Permanent Transfer</p>		<p>Strategic Plans – Final Version</p> <p>ACO-04-003</p>	GS2010-080

<p>19.</p>	<p>Transitory Records Public records that only document information of temporary, short-term value, and provided that the records do not document any substantive decision making processes, not needed as evidence of business transaction, and are not covered by any more specific record 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 – Meetings/Appointments • Secondary (Duplicate) Copies 	<p>Cutoff: until no longer needed for agency business*</p> <p>Retention: none</p> <p>*includes verification of successful conversion of information for records documented as part of more formalized records.</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Do not file records to KC ERMS</p>	<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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20.	<p><u>Triennial Review Audits – Reports and Findings</u> Final reports received related to the Federal Transit Administration (FTA) Triennial Review Audits, an audit required of grantees/ recipients of FTA Section 5307 Urbanized Areas Formula Grants.</p> <p>May include:</p> <ul style="list-style-type: none"> • Final report, Requests for action, audit findings (if issued); documentation of actions taken in response to final report/audit. 	<p>Cutoff: submittal or receipt of report and all correction action taken, if necessary</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Audit Reports and Findings – Triennial Review Audits</p> <p>AUD-01-006</p>	TR50-31-41
21.	<p><u>Unsuccessful Bids and Proposals</u> Records documenting bids and proposals to provide the Transit with goods, services, revenue, or other benefits, which are not accepted.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Bid proposals, bid (RFP), request for qualifications/quotations (RFQ), specifications, etc. evaluation documents, statements of qualification, applications, etc. <p>Excludes successful bids and proposals (see Contracts, Agreements, and Warranties, CON-01-001).</p>	<p>Cutoff: year end</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Bids and Proposals – Unsuccessful</p> <p>CON-01-009</p>	GS50-08A-11R1

<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>2-22-2017</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>03/07/2017</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>2/17/17</i></p> <hr/> <p>Christina O’Claire 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>March 20, 2017</i></p> <hr/> <p>Deborah Kennedy Date King County Public Records Committee</p>	