



**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 Permitting and Environmental Review /  
Cashiering and Licensing Services

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

DPER-CLS-(ALL) All Sections /  
061101

**3. TOTAL NUMBER OF  
PAGES**

11

**4. DATE LAST  
MODIFIED**

December 13, 2018

**5. STATUS**

FINAL

**6. VERSION**

1

**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. DISPOSITON AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
<b>Cashiering and Business Licensing</b>						
1.	<p><b>All Licenses – Business, Regulatory/Personal and Non-Business</b></p> <p>Approved and issued licenses to operate businesses, regulate occupations and approve non-business activities within DPER's jurisdiction of unincorporated King County. Includes original application, any relevant correspondence acquired throughout the licensing process as well as the license renewal application and approval.</p> <p>Includes, but is not limited to the following license types:</p> <ul style="list-style-type: none"> <li>- All licenses listed using the DPER code as BUSL. Such as Amusement Places; Pawn Brokers; Second Hand Dealer; Marijuana retail.</li> <li>- Licenses related to the regulatory, personal or professional requirements such as Adult Entertainment; Adult Entertainer; and Adult Manager.</li> <li>- Licenses related to non-business activities such as for Charitable Solicitations.</li> </ul>	<p><b>Cutoff:</b> expiration of license</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Potentially Archival - Appraisal Required</p>		<p>Business Licenses</p> <p>LIC-03-001</p>	<p>Combo Rule LIC-03-001</p> <p>LP50-12D-06 (Business Licenses)</p> <p>LP50-12D-12 (Business Licenses – Regulatory or Personal)</p> <p>LP50-12D-10 (Non-Business Licenses and Permits)</p> <p>LP50-12D-23 (License Renewal Files)</p>
2.	<p><b>Check Stubs or Duplicate Copies</b></p> <p>Copies of checks received for payment of fees associated with DPER services to the public, where the originals are sent from DPER to the bank for deposit.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>- Checks received for payment of permit or services related fees;</li> <li>- Refund check for reimbursement of overcharged amount;</li> <li>- Any and all other copies of checks received where original is sent for deposit.</li> </ul>	<p><b>Cutoff:</b> year end</p> <p><b>Retention:</b> 3 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>Check Stubs or Duplicate Copies</p> <p>FIN-04-007</p>	<p>GS50-03B-06</p>

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3.	<p><b><u>Financial Collection and Payment Plan Records</u></b> Records relating to DPER's financial disputes and attempts to collect funds or establish payment plans.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> <li>- Collection or payment plan settlement agreement, confirming that all parties agree to the conditions of the agreement;</li> <li>- Correspondence, notices, invoices/statements of account closure;</li> <li>- Payment fee waivers as approved by DPER CFO;</li> </ul> <p><b><i>Excludes</i></b> collections involving evictions and foreclosure or condemnation of real property covered by GS55-05A-09.</p>	<p><b>Cutoff:</b> issue resolved</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>Collections Files  FIN-01-004</p>	GS50-03B-14R3

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4.	<p><b><u>Financial Guarantees</u></b> Records documenting a permit applicant posting a financial guarantee in the form of check, bank guarantee or via bonding company to DPER. Financial Guarantees are required to ensure that the construction or land development will be completed in a timely manner and in accordance with permit conditions. King County Code Title 27A Financial Guarantees require this.</p> <p>Financial Guarantee records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>- Executed Financial Guarantee Form stating the applicant will provide the financial guarantee and will finish project per conditions of permit;</li> <li>- Bond Quantity Worksheet - stating requirements of financial guarantee;</li> <li>- Release of Guarantee stating instructions for releasing check, bank guarantee or bond.</li> </ul>	<p><b>Cutoff:</b> end of year in which financial gaurantee is released or resolved</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3

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5.	<p><b><u>Financial Refund Records</u></b> Records documenting money expended by DPER in the form of a refund to an applicant. This may result from an applicant overpaying in error or for services not provided by DPER that were paid for in advance.</p> <p>Refund records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>- Copy of summary of charges sent to applicant;</li> <li>- Refund development files sent to FBOD / Accounts Payable required to executed the refund and send applicant the physical refund check;</li> <li>- Related correspondence with FBOD / Accounts Payable.</li> </ul> <p>Note: FBOD / Accounts Payable processes the actual refund and sends physical check. See Office of Primary Copy.</p>	<p><b>Cutoff:</b> year end</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>	<p><b>DPER:</b> <i>Only</i> records of establishing financial guarantee or refund.</p> <p><b>DES / FBOD:</b> Processes and approves refund amount and sends physical check.</p>	<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3
6.	<p><b><u>Financial Transactions – Reports and Reconciliations</u></b> Records documenting all resources received and expended by DPER, excluding receipts and expenditures for bond, grant or levy projects (see category Grant Administration Records on DPER Accounting and Finance Section Schedule)</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>- Daily reconciliation reports generated from Accela for all payments types;</li> <li>- ACA (Accela Citizens Access) Reports of credit card transactions from previous day.</li> </ul> <p><b>Excludes</b> Sensitive Authentication Data covered by GS2014-030, See Item number 12 below.</p>	<p><b>Cutoff:</b> year end</p> <p><b>Retention:</b> 6 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>	<p><b>All Agencies:</b> <i>Only</i> daily reports used for reconciliations and monitoring credit card transactions</p> <p><b>DES / FBOD:</b> All other financial transaction records</p>	<p>General Office Accounting</p> <p>FIN-01-001</p>	GS2011-184R3

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7.	<p><b><u>Packing Slips</u></b>  A record of DPER's receipt of purchased products or equipment from outside vendors. Used by purchasing agent to review purchased product or equipment to ensure everything is accounted for.</p>	<p><b>Cutoff:</b>  confirmation of materials receipt</p> <p><b>Retention:</b> 0 years</p>	<p><b>Disposition Action:</b>  Not Archival - Destroy</p>		<p>Packing Slips   FIN-01-024</p>	<p>GS50-08B-08</p>
8.	<p><b><u>Public Notices – Permits for Construction and Land Development</u></b>  Records documenting public notices published or posted by business licensees and land developers in coordination with DPER, in order to inform the general public of its business responsibilities, land use or development actions. These are published physically in the community where construction or land development is taking place as well as on the DPER website under the “Public Notices” section.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>- Affidavit of mailing, posting or publishing;</li> <li>- Related correspondence with applicant;</li> <li>- Copy of returned mail with public notice documentation enclose, retain as no receipt of notice.</li> </ul>	<p><b>NOTE:</b> These records are filed within the main building permit or land use permit files and are managed according to the retention and disposition requirements of those main file records series and DAN.</p> <p>Please see the DPER/Building and Land Use Retention Schedule. Public Notices are filed with the following main permits files:</p> <ul style="list-style-type: none"> <li>• Building and Construction Permit File covered by LU50-11-05, See item #1;</li> <li>• Clearing and Grading Permits covered by LU50-11-11, see item #7;</li> <li>• Conditional and Special User Permits covered by LU50-16B-04, see item #8;</li> <li>• Critical Area Designation, covered by LU50-11-25, see item #4;</li> <li>• Shoreline Substantial Development Permits covered by LU50-11-15, see item #13.</li> </ul>				

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9.	<p><b><u>Sensitive Cardholder Data - Financial Transactions</u></b>            Specific Sensitive Cardholder Data elements obtained during electronic financial transactions where DPER stores, processes or transmits cardholder data received via point of sale systems, phone, email, internet, paper, etc.</p> <p>Sensitive Cardholder Data elements include:</p> <ul style="list-style-type: none"> <li>- Card Holder Name, address or contact information including email addresses and phone numbers;</li> <li>- Credit or Debit account number and card number;</li> <li>- Card Verification Value (CVV), and Card Validation Code (CVC), the 3 or 4-digit number printed on the front or back of card.</li> </ul> <p><b><i>Excludes</i></b> data elements other than cardholder and payment card information that are received by DPER (such as transaction number, date, amount, etc.), considered Financial Transactions – Reports and Reconciliations covered by GS2011-184, see item number 6 above.</p>	<p><b>Cutoff:</b> completion of transaction</p> <p><b>Retention:</b> none</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		N/A, data not filed in KC ERMS	GS2014-030R1
<b>General Records</b>						

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10.	<p><b><u>Administrative Polices and Standard Operating Procedures (SOPs)</u></b> Documentation of internal policies, procedures and guidelines created by DPER Permitting Services staff, which relate to routine operations of cashiering and business licensing. Records may include standard operating procedures, standard work documents, handbooks, manuals, or any supporting background materials and instructional documentation.</p> <p><b><i>Excludes</i></b> procedures, instructions and advice sent to (received by) the agency from an outside agency or source.</p>	<p><b>Cutoff:</b> revised or obsolete</p> <p><b>Retention:</b> 3 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>	GS50-01-01
11.	<p><b><u>General Communications &amp; Staff Meetings</u></b> Communications to, or from, Permitting Services Staff with DPER or KC employees (includes contractors) that are made or received related to DPER services. And records from recurring staff meetings, such as agendas, meeting minutes.</p> <p>Communications include, but are not limited to:</p> <ul style="list-style-type: none"> <li>- Correspondence and meetings related to internal planning of cashiering or business licensing services, procedures or administrative changes.</li> </ul> <p><b><i>Excludes</i></b> specific communications or meeting files related to projects, incidents, or employees that are covered by a more specific records series. e.g.; meeting about or discussing a specific business license.</p>	<p><b>Cutoff:</b> year end</p> <p><b>Retention:</b> 2 years</p>	<p><b>Disposition Action:</b> 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 (General Communications)</p> <p>GS50-01-43R2 (General Meeting Files)</p>



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12.	<p><b><u>Public Complaints, Requests and Inquiries</u></b>            Communications from members of the public making a general complaint, request or inquiry about DPER or the Permitting Services program policies, rules, regulations as well as the associated response from the DPER Staff.</p> <p><b><i>Excludes</i></b> records covered more specifically on this schedule or covered on other DPER Specific Schedules such as:</p> <ul style="list-style-type: none"> <li>• Complaints, inquiries or requests related to specific licenses or applications, those should be included in license file, see specific license records above in items number 1, 2 and 9;</li> <li>• Complaints, inquiries or requests related to specific permits, those should be included that Permit File, see DPER/Permitting &amp; Technical Review for specific records series.</li> <li>• Complaints, inquiries and requests related to specific Code Enforcement Cases which are covered by GS2012-026, see DPER/Code Enforcement Retention schedule;</li> <li>• Public Records Act Requests covered by GS2010-014 R2, see DPER/Customer Service Retention Schedule.</li> </ul>	<p><b>Cutoff:</b> end of year in which the issue was resolved</p> <p><b>Retention:</b> 3 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		<p>Public Complaints and Requests for Agency Action</p> <p>PRE-01-001</p>	GS50-01-09R2

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13.	<p><b><u>Transitory Records</u></b> 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"> <li>- Agency-Generated Forms and Publications – Copies (Copies of unused forms)</li> <li>- Brainstorming and Collaborating (Notes, white board collaboration notes, post-its, flip charts)</li> <li>- Contact Information (external clients or stakeholders)</li> <li>- Drafting and Editing (Preliminary drafts if they do not document decision making or substantive changes)</li> <li>- Electronic documents when printed version is finalized with inked signature</li> <li>- General Information – External (FYI information received from external sources)</li> <li>- Unsolicited Materials/publications</li> <li>- Basic/routine short-term communications that do not document decision making or agency actions and not covered by another category</li> <li>- Internet Browsing History (cookies/cache)</li> <li>- Organizing/Monitoring Work In Progress (to-do lists; working notes)</li> <li>- Notes used for data entry; raw stats/survey responses consolidated into a larger report or record if not required for other uses</li> <li>- Reference Materials (gathered from external sources which do not provide evidence of agency work)</li> <li>- Secondary (Duplicate) Copies</li> </ul>	<p><b>Cutoff:</b> Retain until no longer needed</p> <p><b>Retention:</b> 0 years</p>	<p><b>Disposition Action:</b> Not Archival - Destroy</p>		Do not file records into KC ERMS	<p>Note: destruction documentation is not required for Transitory Records.</p> <p>Refer to KC General Retention Schedule for entire list of transitory records and DANs.</p>

