



PUBLIC RECORDS RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION

RECORDS MANAGEMENT PROGRAM

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1. AGENCY DEPARTMENT/DIVISION/SECTION	2. DEPARTMENT-DIVISION-SECTION (DDS)	3. TOTAL NUMBER OF PAGES	4. DATE LAST MODIFIED	5. STATUS	6. VERSION
King County Metro Transit Department/ Rail Division	MTD-RAIL-(ALL) /170314	10	23 July, 2020	Final	1

7. 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 of PRC approval 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 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 Content Manager will be dispositioned from within the system and documentation will be maintained by the Records Management Program. Disposition of records managed outside Content Manager must be documented on forms provided by the Records Management Program. Transitory records may be destroyed in 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.

8. LIST OF RECORDS SERIES						
8a. ITEM NO.	8b. TITLE/DESCRIPTION	8c. RETENTION	8d. DISPOSITION AND REMARKS	8e. OFFICE OF PRIMARY COPY	8f. CATEGORY	8g. RULE (DISPOSITION AUTHORITY NUMBER(S))
1.	<p><u>Call Sheets/Planner Documentation</u> Records documenting work assignments when staff are absent and their shifts must be covered by others. Sheets include the name of the person absent, the name of the person performing the work, and what work is being covered.</p>	<p>Cutoff: End of the year</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>PER-02-002 (Work Logs)</p>	<p>GS2010-001R3C</p>
2.	<p><u>Civil Rights Violation – Complaints</u> Records relating to the agency’s investigations of complaints of civil rights violations occurring within the agency’s jurisdiction made by employees (including contractors and volunteers), students, or the general public., when civil litigation has not commenced.</p> <p>Violations may include, but are not limited to:</p> <ul style="list-style-type: none"> • Americans with Disabilities Act (ADA) Title II • Civil Rights Act Titles VI and VII • Federal Fair Housing Amendments Act • Health Insurance Portability and Accountability Act (HIPAA), • Rehabilitation Act section 504 accommodations <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Complaints, investigations, witness statements, evidentiary documents • Notifications, communications, contact logs, notes • Findings, settlement agreements, post-finding materials <p>Excludes other employee grievance records covered under GS50-04E-03R2 (see item 5).</p> <p>Note: If litigation commences, these records become part of the litigation case file and are covered by GS53-02-04R1.</p>	<p>Cutoff: When no longer needed</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival – Destroy</p>	<p>Office of Risk Management Services</p>	<p>ACO-05-012 (Civil Rights Enforcement Files)</p>	<p>GS50-04C-04R2 (1985 and earlier)</p> <p>GS2017-002 (1986 and later)</p>

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3.	<p><u>Contracts, Agreements, and Warranties</u> Instruments signed by the agency and one or more parties that set out terms and conditions to which the signing parties agree or submit. Includes change orders.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Inter-agency, intra-agency, inter-governmental, inter-local agreements • Lease, escrow, and rental agreements • Lending agreements (facility, equipment, vehicle) • Liability waivers (hold harmless, insurance) • Loan agreements • Master depository contract (banking) • Personal service, client service • Non-capital asset purchase and sales agreements • Vendor bonds • Warranties 	<p>Cutoff: Termination/expiration of contract or agreement</p> <p>Retention: 6 years</p>	<p>Disposition Action: Non-Archival – Destroy</p> <p>ESSENTIAL</p>		<p>CON-01-001 (Contracts, Agreements and Warranties)</p>	GS50-01-11R4
4.	<p><u>Defect Cards</u> Records that are filed by operations staff when there is a breakdown or maintenance problem with a rail vehicle and that are used to generate work orders and track repairs.</p>	<p>Cutoff: End of the year</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>ASM-07-007 (Maintenance – Minor/Non-Regulated)</p>	GS2012-040
5.	<p><u>Employee Grievances</u> Documentation of action and investigation into general complaints and grievances filed by employees.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Notices of grievance • Discussion notes • Hearing transcripts • Correspondence • Appeal documentation <p>Excludes civil rights violation complaints covered by GS50-04C-04 (see item 2).</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>PER-08-001 (Employee Grievances)</p>	GS50-04E-03R2

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6.	<p><u>Employee Leave Management</u> Records documenting requesting, granting, or monitoring employee leave, including family medical leave (FMLA), executive leave, and overtime.</p> <p>Excludes leave records needed for retirement benefit verification.</p>	<p>Cutoff: End of the year</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>PER-09-002 (Employee Leave Management)</p>	<p>GS50-04B-09R2 (Leave – Routine)</p> <p>GS2017-009 (Leave – Non-Routine)</p>
7.	<p><u>General Office Accounting</u> Records documenting all resources received and expended by the agency, if receipts and expenditures are not for bond, grant or levy projects.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Purchase orders, bills of sale, receipts, cash books, remittance advices, vouchers, fiscal purchasing/receiving documents • Cash receipts transmittals, daily cash report/summary, expenditure transactions • Registers and journals (general and subsidiary) for all funds and functions • Check/warrant registers • Petty cash <p>Excludes levy-, grant-, and bond-funded transactions covered by GS2011-185, general and subsidiary ledgers covered by GS50-03A-15R1, contracts and agreements involving the agency’s capital assets are covered by GS55-05A-06R1 and GS2011-169R2, unsuccessful grant/scholarship applications covered by GS50-03C-07R1, and annual financial reports covered by GS50-03D-02R1.</p>	<p>Cutoff: End of the year</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>FIN-01-001 (General Office Accounting)</p>	<p>GS2011-184R3 (Financial Transactions)</p> <p>GS2011-185 (Banking – Accounts and Transactions)</p> <p>GS2012-045 (Usage and Dispersal of Assets)</p>

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8.	<p><u>General Office Communications and Staff Meetings</u> Internal and external communications of any format to or from employees (including 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>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Requests for and provision of information/advice • Agency-initiated information/advice • Records of staff meetings, internal committees/task forces, and other groups that plan activities, coordinate communications, solve problems, and coordinate employee safety • Agendas, meeting packets, sign-in lists, meeting notices • Minutes, audio/visual recordings, transcripts 	<p>Cutoff: End of the year</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>ACO-01-001 (General Office Communications and Staff Meetings)</p>	<p>GS2010-001R3 (Communications)</p> <p>GS50-01-43R2 (Staff Meetings)</p>
9.	<p><u>Incident/Accident Claims</u> Records of claims for damages either filed against the county by other parties or by the county against other parties. Includes records of claims involving both adults and minors when a claim is settled or closed.</p> <p>Excludes Worker’s Compensation Claims covered by GS50-06C-27R1 and GS50-06C-31R1.</p>	<p>Cutoff: Closure of claim</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>ACO-06-012 (Incident and Accident Claims)</p>	<p>GS50-01-10R2</p>
10.	<p><u>Incident/Accident Reports – No Claim Filed (Under age 18)</u> Records relating to accidents/incidents involving individuals under age 18 where damages for claims are not filed.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Investigations • Reports 	<p>Cutoff: Date of the incident</p> <p>Retention: 21 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>ACO-06-013 (Incident/Accidents – No Claim Filed (Under Age 18))</p>	<p>GS50-06C-03R4</p>

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11.	<p><u>Incident/Accident Reports – No Claim Filed (Age 18 and Older)</u> Records relating to accidents/incidents involving individuals age 18 and older where damages for claims are not filed.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Investigations • Reports 	<p>Cutoff: Date of the incident</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>ACO-06-014 (Incident/Accidents – No Claim Filed (Age 18 and Over))</p>	<p>GS2010-081R2</p>
12.	<p><u>Packing Slips – 3rd Party Orders</u> Documentation that good were received. Packing Slips function as the invoice documentation within the Rail Office for orders billed directly to Sound Transit or City of Seattle Department of Transportation. Payment is released only with packing slips as confirmation.</p> <p>Excludes packing slips for orders processed through King County Purchasing and covered by GS50-08B-08.</p>	<p>Cutoff: End of the year</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>FIN-01-001 (General Office Accounting)</p>	<p>GS2011-184R3 (Financial Transactions)</p> <p>GS2012-045 (Usage and Dispersal of Assets)</p>


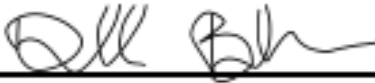

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13.	<p>Payroll – Supporting Documents Paper or electronic spreadsheets and other working documents that lead up to the final time reports retained in PeopleSoft or other databases/systems used for paying employee. May also document adjustments to payroll.</p> <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Daily time worksheet, including overtime hours • Documentation of records sent to HR or other records related to payroll maintained by ARFF. • Communications related to pay adjustments or that document discrepancies in hours • Leave requests <p>Excludes correspondence related to bidding for overtime, or general discussion of regular (non-substantial) shift adjustments which are considered transitory.</p>	<p>Cutoff: End of the year</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		FIN-08-006 (Payroll Supporting Documents)	<p>GS50-03E-02R1 (Payroll Processing, Distribution, and Reporting)</p> <p>GS50-03E-15R1 (Employee Pay – History)</p>
14.	<p><u>Payroll Cards/Timesheets</u> Daily, weekly, or monthly time accumulation reports used for retirement verification. Official paper record documenting the time an employee worked for each pay period, the pay due to employees, and the signed authorization.</p> <p>Excludes electronic spreadsheets or other working documents that lead up to the final printed and signed report, which are covered by GS50-03E-25R1.</p>	<p>Cutoff: Termination of employment</p> <p>Retention: 60 years</p>	<p>Disposition Action: Not Archival – Destroy</p> <p>ESSENTIAL</p>		FIN-08-002 (Retirement Benefit Verification Records)	GS2017-009

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15.	<p><u>Project Files</u> Rail Division general projects not covered by other, more specific record categories.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Work Plans • Business Cases • Project-related budgets • Drafts • Correspondence and communication logs • Reference materials, notes related to projects <p>Excludes Final Reports, Final Documents or Publications, and Final Studies (see item 16).</p>	<p>Cutoff: Completion of project</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival – Appraisal Required</p>		<p>ACO-02-001 (Project Files)</p>	<p>GS50-01-39R1</p>
16.	<p><u>Research/Program Reports, Studies, Surveys, Models, and Analyses</u> Any research or program reports, studies, or analysis not covered in a more specific category and not required to be submitted to an outside agency.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Final publications <p>Excludes background research, drafts, and working files related to the final report covered by ACO-02-001 (see item 15).</p>	<p>Cutoff: When obsolete or superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Archival – Appraisal Required</p>		<p>ACO-02-002 (Research/Program Reports, Studies, Surveys, Models, and Analyses)</p>	<p>GS50-01-32R1</p>

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17.	<p><u>Right of Way (ROW) Training Records</u> Training records related to the annual ROW certification provided by the Rail office to the public, customers, contractors, and agency employees performing work within ten feet of the King County Right of Way.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Attendance sign-in sheets/rosters • Curricula • Materials presented • Tests • Copies of certification 	<p>Cutoff: Date of the training</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>PER-11-005 (Agency-Provided Training – Certification, Continuing Education Credits, and Mandatory)</p>	GS2011-180R1
18.	<p><u>Supervisor’s Working Files</u> Records compiled by supervisors about the progress, conduct, and performance of employees under their supervision that support the ongoing supervision of the employee.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Copies of performance evaluations, performance monitoring • Workplace expectations • Documents related to long-term performance or career goals, employee coaching documentation • Emergency contact information • Advice or guidance received about ongoing issues <p>Excludes records used to complete annual performance evaluations, doctor’s notes or medical certifications, workers compensation claims, any legal claim about employees, I-9 forms, workplace or background investigation materials and reports, personality or other test results, and any non-job related information. These records should be transferred to the Human Resources Office rather than retained in the Supervisor’s Working File.</p>	<p>Cutoff: When no longer supervising employee</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>PER-06-010 (Supervisor’s Working Files)</p>	GS50-04B-31R1A

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19.	<p><u>Task Orders</u> Budget Adjustment requests from King County Rail requesting additional funding from Sound Transit or City of Seattle Department of Transportation (SDOT) in excess of the original IGA or ILA.</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>CON-01-001 (Contracts, Agreements, and Warranties)</p>	GS50-01-11R4
20.	<p><u>Transitory Records</u> Public records that only document information of temporary, short-term value that the records are not evidence of a business transaction and are not covered by a more specific records series.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Copies of agency-generated forms and publications • Documentation of brainstorming and collaborations • External contact Information • Minor revisions or marked drafts • Electronic documents when printed version is finalized with inked signature • General information from external sources • Unsolicited materials/publications • Routine short-term communications that do not document decision making or agency actions and are not covered by another category • Internet browsing history • Documents organizing or monitoring ongoing projects • Materials used in preparation for formal records • Reference materials • Scheduling of meetings, appointments • Secondary (duplicate) copies 	<p>Cutoff: When no longer needed</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival – Destroy</p>		<p>N/A</p>	Refer to General Records Retention Schedule for complete list of DANs in this series.

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21.	<u>Unscheduled Overtime Tracking Sheets</u> Records document unscheduled overtime logged by employees when their shift is long due to outside factors beyond their control such as train delays for drivers. Tracking sheets include the name of the person, badge number, and duty number.	Cutoff: End of the year Retention: 4 years	Disposition Action: Not Archival – Destroy		PER-09-002 (Employee Leave Management)	GS50-04B-09R2
22.	<u>Work Orders</u> Requests for performance of maintenance work. Request may include location, date of request, and the work to be performed. May also include request for survey services.	Cutoff: End of the year Retention: 3 years	Disposition Action: Not Archival – Destroy		ASM-07-007 (Maintenance – Minor/Non-Regulated)	GS2012-040

<p>9. 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 style="text-align: center;">  8/7/2020 </p> <hr style="width: 80%; margin-left: 0;"/> <p>Ellie Browning Date</p>	<p>10. COUNTY ARCHIVIST SIGNATURE <i>I hereby certify that I have reviewed the records series as described. I will appraise any series designated as archival and accession any records selected for preservation.</i></p> <p style="text-align: center;">  08/13/2020 </p> <hr style="width: 80%; margin-left: 0;"/> <p>Danielle Boucher Date</p>
<p>11. 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 style="text-align: center;"> <small>Digitally signed by</small>  8/7/2020 </p> <hr style="width: 80%; margin-left: 0;"/> <p>Evan Inkster Date</p>	
<p>PUBLIC RECORDS COMMITTEE USE ONLY - DO NOT FILL IN BEYOND THIS POINT</p>	
<p>12. PRC APPROVAL</p> <hr style="width: 80%; margin-left: 0;"/> <p>Deborah Kennedy Date King County Public Records Committee</p>	