



**PUBLIC RECORDS RETENTION
SCHEDULE & DESTRUCTION
AUTHORIZATION**

RECORDS MANAGEMENT PROGRAM

Phone: (206) 477-6889
Email: records.management@kingcounty.gov
Mailstop: GBB-ES-0210

1. AGENCY DEPARTMENT/DIVISION/SECTION Metro Transit / Capital Division / Project Controls, Management, and Performance	2. DEPARTMENT-DIVISION-SECTION [DDS] / Number TRAN-CD-PCMP / 170305	3. TOTAL NUMBER OF PAGES 14	4. DATE LAST MODIFIED October 15, 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))
1.	<p><u>Agency Provided Trainings – General</u> Records documenting training courses and workshops <i>provided by</i> Project Control and Project Management staff to other King County employees. Includes sign-in sheets, curricula, materials presented, tests, results, and evaluations. Training examples include: Project Management trainings, contract administration training.</p> <p>Excludes trainings where official certificates, credentials, licenses or education points/hours are awarded.</p>	<p>Cutoff: Date training provided</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Agency-Provided Training – General</p> <p>ACO-10-001</p>	GS2011-181R1
2.	<p><u>Agency Provided Trainings – Curriculum and Materials Development</u> Records related to the development of training courses or workshops. Includes documentation of research for materials provided at training, related communications, etc.</p> <p>Includes Project Management Office trainings' materials development</p> <p>Final curricula retained according to ACO-10-001, Agency Provided Training – General (item 1).</p>	<p>Cutoff: When curriculum no longer provided by agency</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Agency Provided Training – Curriculum and Materials Development</p> <p>ACO-10-002</p>	GS2011-178R1

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 AUTHORITY (DISPOSITION NUMBER(S))
3.	<p><u>Audit – Supporting Materials</u> Records created or compiled in response to audits of Project Control and Project Management’s programs and/or processes, such as Program Compliance and Contract Standards audits. Includes, but is not restricted to: copies of original source records, database printouts, correspondence, corrective action work plans, status reports, additional supporting documentation, and other cumulative data on audit issues.</p>	<p>Cutoff: Completion of audit, project monitoring, peer review and all corrective actions taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Audit Supporting Materials</p> <p>AUD-01-002</p>	GS50-03F-01
4.	<p><u>Audits – Final Reports, Findings</u> Final audit reports received for audits conducted of Project Control and Project Management’s programs and/or processes. Includes, but is not restricted to: Program Compliance and Contract Standards Audits. May include: final audit report, requests for action, and audit findings if issued. Also includes documentation of actions taken in response to final report/audit.</p>	<p>Cutoff: Audit report completed and all required corrective action taken</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Audit Reports and Findings</p> <p>AUD-01-003</p>	GS50-03F-02
5.	<p><u>Bids and Proposals - Unsuccessful</u> Records documenting bids and proposals to provide Metro Transit with services, but that are not awarded. Includes bid proposals, evaluation documents, statements of qualifications, applications, etc. Includes request for proposals or bids (RFP), request for qualifications/quotations (RFQ), specifications, etc.</p> <p>Excludes successful bids and contracts and agreements covered by Procurement Contracts, CON-01-002 (item 10).</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

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))
6.	<u>Budget Forecasts</u> Records created and/or completed to calculate rates and estimate upcoming budget requirements for Metro Transit. Includes forecasts for specific projects, activities, equipment and labor requirements.	Cutoff: Year end Retention: 1 year	Disposition Action: Not Archival - Destroy		Budget Forecast Reports BUD-01-007	GS50-03D-04
7.	<u>Budget Status Reports and Monitoring</u> Records used to develop and provide periodic or ad-hoc financial status reports for specific activities and projects for Metro Transit. May include personnel (labor costs) reports, equipment usage costs, tracking documentation, correspondence and other reports.	Cutoff: Year end or completion of State Auditor's Examination Report Retention: 3 years	Disposition Action: Not Archival - Destroy		Budget Status Reports BUD-01-002	GS50-03D-06
8.	<u>Construction Project Schedules</u> Work breakdown structures used for the organization and execution of Metro Transit construction projects (capital improvement projects). Schedules identify activities, timeframes, bodies of work, and required resources necessary to complete the implementation phase of projects. Consists of construction project schedules only. See Project Control Services – Program/Portfolio Development Files, ACO-2-012 (item 15) for program planning schedules, or schedules used form managing multiple Metro Transit construction projects.	Cutoff: Completion of project or terms of grant agreement, whichever is later Retention: 10 years	Disposition Action: Potentially Archival – Appraisal Required		Capital Project Records – General CIP-01-006	GS50-18-10R1

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))
9.	<p><u>Contracts (Construction)</u> Contracts and supporting documentation initiated by Project Control and entered into by Transit divisions and one or more other parties – contractors, vendors, service providers – which set out the terms and conditions to which the parties agree or submit. Includes all post award records necessary to interpret, modify or adjust, monitor, or further negotiate original contract. May include: bidding prep and documentation, change orders, compliance monitoring, addendums, etc.</p> <p>Includes only contracts related to construction projects. Documents include: contracts, amendments, progress payments, work orders, rates, miscellaneous, and close-out processes. Includes all physical files, electronic documentation not retained in physical files, and any related correspondence.</p> <p>Includes Goods & Service contracts related to construction projects.</p> <p>Excludes Architectural, Engineering, and Professional contracts, see Procurement Contracts, CON-01-002, (item 10).</p> <p>Excludes final documentations forwarded and to be retained with Project Management; Procurement; Construction, such as bid documentation & unsuccessful bid records; project schedules; original executed contracts maintained with procurement. Copies in Project Control should be retained as General Office Communications, ACO-01-001 (item 11).</p>	<p>Cutoff: Completion of project or terms of grant agreement, whichever is later</p> <p>Retention: 10 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Capital Project Records – General</p> <p>CIP-01-006</p>	GS50-18-10R1

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))
10.	<p><u>Contracts (Professional & Engineering)</u> Contracts and supporting documentation initiated by Project Control and entered into by Transit divisions and one or more other parties – contractors, vendors, service providers – which set out the terms and conditions to which the parties agree or submit. Includes all post award records necessary to interpret, modify or adjust, monitor, or further negotiate original contract. May include: bidding prep and documentation, change orders, compliance monitoring, addendums, etc.</p> <p>Includes contracts if the original contract, or original contract management documentation is retained with Project Control.</p> <ul style="list-style-type: none"> • AEP: Work Order/Engineering contracts and all work order records • Goods & Service contracts not related to a specific capital project. <p>Includes records pertaining to: Procurement; amendments; progress payments; work orders; rates; miscellaneous; and close-out processes. Includes all physical files, any electronic documentation not retained in physical files and any related correspondence.</p> <p>Excludes construction contracts, see Capital Project Records – General (item 9).</p> <p>Excludes final documentations forwarded and to be retained with Project Management, Procurement, or Construction offices such as: bid documentation and unsuccessful bid records; project schedules; original executed contracts maintained with procurement. Copies in Project Control should be retained as General Office Communications, ACO-01-001 (item 11).</p>	<p>Cutoff: Termination of contract, release of performance bonds/ insurance, and after completion of federal audit if applicable</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Procurement Contracts</p> <p>CON-01-002</p>	<p>Combo rule CON-01-002</p> <p>GS50-08A-01 (Bids and Proposals – Successful)</p> <p>GS50-08A-10 (Requisitions)</p> <p>GS50-08A-02 (Consultant and Contractor Rosters)</p> <p>GS50-01-11R4 (Contracts, Agreements, and Warranties)</p>

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))
11.	<p><u>General Communications</u> Internal and external communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of county business, and that are not covered by a more specific records series. Also includes communications with external individuals or agencies acting as business partners or contractors for the county.</p> <p>Examples include, but are not restricted to:</p> <ul style="list-style-type: none"> • General, internal data, reports, etc. generated and provided to King County’s Business Development and Contract Compliance office. • Records used by Project Control and Project Management to track and manage daily collaborative work. • Email correspondence responding to requests for information or documentation related to others’ work (such review and feedback on documents). • Review, input, feedback, advice, and assistance with other staff’s (Project Control and Project Management, Metro Transit, or external King County agency staff) work product, projects, etc. • Includes communications and review of documentation related to participation with internal or external committees or work groups. 	<p>Cutoff: Year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Non-Archival - Destroy</p>		<p>General Office Communications</p> <p>ACO-01-001</p>	<p>Combo rule ACO-01-001</p> <p>GS50-01-43R2 (Staff Meetings)</p> <p>GS50-01-36 (Appointment Calendars)</p> <p>GS2010-001R3 (Communications – Non-Executive)</p>

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 AUTHORITY (DISPOSITION AUTHORITY NUMBER(S))
12.	<p><u>Performance Evaluation Background Files</u> Records used by employees with supervisory responsibilities to prepare and support the annual performance evaluations of employees under their supervision. Only includes records needed to support the completion of the performance evaluation.</p> <p>Includes, but is not limited to: performance plans; confirmation of goals; confirmation of achievements; samples of work completed; communication/meeting notes; documentation of performance issues; status reports, etc.</p> <p>Excludes records needed to support <i>ongoing</i> supervision of the employee, see Supervisor's Working Files, PER-06-010 (item 18). Excludes final signed performance evaluations (kept by Human Resources in the official Personnel File.)</p>	<p>Destroy once the performance review has been completed and appeal period has ended</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>N/A Records Managed Outside of KC ERMS</p>	<p>GS50-04B-31R1</p>
13.	<p><u>Portfolio Investment Management and Annual Services Work Planning</u> Records documenting annual Project Control and Project Management portfolio investment and services planning efforts. Includes plans describing work to be performed by work sections and units. May include timelines, areas of responsibility for specific actions, labor and service investment strategies, etc.</p> <p>Includes only plans for Project Control staff and services.</p> <p>Excludes Budget Status Reports, BUD-01-002 (item 7).</p>	<p>Cutoff: When Revised or obsolete</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Work Plans ACO-04-004</p>	<p>GS50-01-38R2</p>

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))
14.	<p><u>Project Control Process - Guidance, Standards, Tools, Templates (Final)</u> Tools, templates, guides, and other resources created by Project Control and Project Management for Metro Transit, to be used for project administration, management and contracting processes. Tools ensure consistency and compliance with federal, local, or King County requirements for operations and capital projects. Resources also used for improving project management processes from project inception through completion, including contracts and contract implementation.</p> <p>Examples include: Schedule templates, PATH process such as CIP milestone templates and map, final Capital Project Evaluation Plan and Criteria Tool, and other visual tools, procurement process templates, tools for contract administration, project control efforts, information management, reporting model guidance and processes, and final tools created through the Portfolio Management Process Implementation.</p>	<p>Cutoff: When Revised or obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>	GS50-01-01

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))
15.	<p><u>Project Control /Project Management Services - Program/Portfolio Development Files</u> Records created and used to develop, initiate, and maintain Metro Transit Project Control and Project Management services, programs, resources, and manuals, as well as Portfolio Investment Planning efforts. Records include, but are not restricted to: meeting records, interviews and correspondence with stakeholders, review of products, plans, draft documentation with substantive information or changes, and</p> <p>Includes:</p> <ul style="list-style-type: none"> • Records used to plan for and develop new lines of service. • Capital Projects Process Improvement – development. • Project Control manuals and process tools-development. • Portfolio Investment Planning Program services • Program Schedules. • Records documenting ongoing established programs and service improvement efforts not covered in other categories. <p>Excludes final records, such as templates, manuals, or plans, necessary to support Project Control’s regular business functions and/or utilized through all Metro. Examples of final records include: final Capital Project Evaluation Plan and Criteria Tool; PATH process standard. See Administrative Procedures and Instruction, ACO-03-004 (item 14) or other appropriate corresponding category on this schedule.</p>	<p>Cutoff: Project complete, service established, or year-end for annual program services efforts</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Project Control Services – PCPM Program/Portfolio Development Files</p> <p>ACO-02-012</p>	GS50-01-39 R1F

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)]
16.	<p><u>Project Control/Project Management Manuals</u> Process manuals created by Project Control and used by Project Management or other Metro Transit agencies. Manuals provide standards to ensure compliance with King County policy and industry best practices for the design and construction of Metro Transit capital and operations projects.</p>	<p>Cutoff: Revised or obsolete</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Administrative Procedures and Instructions</p> <p>ACO-03-004</p>	GS50-01-01
17.	<p><u>Reporting – Informational</u> Reports created and provided to other County agencies. May be ad-hoc or on a consistent basis, but are not required for contract compliance or as part of Project Control and Project Management business functions.</p> <p>Includes ad-hoc information reporting such as: System reports pulled for the Transit Grants office for Disadvantaged Business Enterprise (DBE) compliance.</p> <p>Excludes internal system reports pulled and used only for review purposes which, are considered transitory, see Transitory records (item 19).</p>	<p>Cutoff: Year End</p> <p>Retention: 2 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>	Requesting County office	<p>Informational Reports</p> <p>ACO-02-003</p>	GS50-06F-03R1

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))
18.	<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. Includes, but is not limited to: copies of performance evaluations; workplace expectations, documents related to long-term performance or career goals, emergency contact information, employee coaching documentation; advice or guidance <i>received</i> about ongoing issues relating to the employee; performance monitoring, etc. Excludes records needed to support completion of annual performance evaluations (see Performance Evaluation Background Files). Excludes doctor's notes or any other medical certifications, FMLA paperwork, 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 staff member or agency that retains your human resources records (including personnel files) rather than retained in the Supervisor's Working File.</p>	<p>Cutoff: No longer supervising employee Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Supervisor's Working Files PER-06-010</p>	<p>GS50-04B-31R1A</p>

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))
19.	<p><u>Transitory Record Types</u> Records include:</p> <p>Forms and publications (copies-not completed) Brainstorming and collaboration records: notes, mind maps, visual displays, visual collaboration / white board notes, virtual collaboration tools, flip-charts, post-its, etc. when</p> <p>General employee or agency contact information and lists. Drafting and editing: drafts with minor/non-substantive changes, thoughts suggestions not included in final draft.</p> <p>General, external information: catalogs, newsletters, bulletins, notices, unsolicited information, spam or junk mail.</p> <p>Informal notifications and communications: Communications that do not document Project Control’s actions or decisions and are not needed for business purposes: KCIT Help Requests; newsletters; countywide emails received, communications related to birthdays, potlucks, etc.</p> <p>Leave and absence requests; performance appraisals (employee copies). Data entry input records (such as paper forms, handwritten notes, etc.) that have been documented as records within agency information systems (such as databases) provided the original record/form (including any signatures) is not required as evidence or authorization of the transaction.</p> <p>Reference and duplicate copies.</p> <p>For final contracts, record drawings, maps, plans etc. verify a copy is with the official project files before destruction of record.</p>	<p>Cutoff: When no longer needed for agency use, then destroy</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not 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>

8. RECORDS AND INFORMATION MANAGER SIGNATURE

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.

Gail Snow

11/29/2018

Gail Snow

Date

9. COUNTY ARCHIVIST SIGNATURE

I hereby certify that I have reviewed and approved the archival status of the records series as described on this schedule.

Carol Shenk

08/31/2018

Carol Shenk

Date

10. AGENCY MANAGER SIGNATURE

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.

Henry Cauer

11/21/18

[AGENCY MANAGER]

Date

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL

Deborah Kennedy

December 11, 2018

Deborah Kennedy

Date

King County Public Records Committee