



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
Mailstop: GBB-ES-0210

1. AGENCY DEPARTMENT/DIVISION/SECTION

King County Department of Executive Services/ Finance
and Business Operations Division / Director's Office /
Human Resources

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

DES-FBOD-(DIR-HR) / 010514

**3. TOTAL NUMBER OF
PAGES**

21

**4. DATE SUBMITTED
FOR APPROVAL**

May 16, 2016

5. STATUS

Final

APPROVED

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 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 at <http://kcweb.metrokc.gov/archives/forms.aspx>. Transitory records may be destroyed within the normal course of agency business without the use of any destruction forms.

7. LIST OF RECORDS SERIES						
7a. ITEM NO.	7b. TITLE/DESCRIPTION	7c. RETENTION	7d. REMARKS/ARCHIVAL DESIGNATION	7e. OFFICE OF PRIMARY COPY	7f. KC ERMS CATEGORY	7g. STATE DISPOSITION AUTHORITY NUMBER (DAN)
1.	<p><u>Agency Provided Training– General</u> Records documenting training courses, seminars, and workshops provided by the Director’s Office to the public, customers, contractors, or agency employees where: certificates/credentials/licenses are NOT awarded; and continuing education hours/credits/points are NOT earned; and training is NOT required by federal, state, or local statute or by employer.</p> <p>Records include, but are not limited to: Test administered results Attendee lists and sign-in sheets Evaluations, surveys Handouts/materials unique to that particular training session/instance</p> <p>Examples: Coach Leader Standard Work; Development Plan Training; Anti-harassment; how to deal with difficult people; leave administration for supervisors</p> <p>Excludes training and curriculum development covered by GS2011-178R1 and final curriculum materials covered by GS2011-180.</p>	3 years after date training provided			Agency Provided Training – General ACO-10-001	GS2011-181 R1

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2.	<p><u>Agency Provided Training – Mandatory/Credit Hours</u> Documents training classes, seminars, workshops, provided by the agency to the public, customers, contractors, or agency employees where certificates/credentials/licenses may be awarded, or continuing education hours/credits/points may be earned, or training that is required by federal, state, or local statute, and or by employer.</p> <p>May include: Curriculum, course materials; Announcements and notifications; Lists of employees, sign-in sheets; Test results, evaluations;</p> <p>Examples include Performance Management Training, Acceptable Use of IT Assets, Anti-harassment, , how to deal with difficult people, leave administration for supervisors</p> <p>Excludes Employee Training History Files retained in PeopleSoft or the Personnel File (pre-1996).</p>	6 years after date training provided			<p>Agency-Provided Training – Certification, Continuing Education Credits and Mandatory</p> <p>ACO-10-006</p>	GS2011-180 R1

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3.	<p><u>Annual Body of Work (BOW) Report Development Files</u> Report of how the agency used part-time and temporary employees in the preceding calendar year. (see <i>Ord. 12943 § 15, 1997</i>) The Career Service Review Committee then uses the information to determine whether an ongoing, relatively stable, and predictable body of work has been identified for the year. Report is a consequence of the 1997 Logan-Knox decision.</p> <p>Excludes the official final copy of the report that is submitted to DES-HRD for compilation in the DES BOW report to the Committee.</p>	6 years after report submitted	Potentially Archival – Appraisal Required		Project Files ACO-02-001	GS50-01-39 R1
4.	<p><u>Citizens' Complaints/Requests</u> Communications from citizens making a complaint or request for agency action, as well as the associated agency response.</p> <p>May include: Original complaint; Customer Service responses to DOFweb.finance@kingcounty.gov email account; Research into the situation; Interview notes; Correspondence with complainant and other party(s); Final resolution.</p>	3 years after end of year in which the issue was resolved			Citizens' Complaints and Requests for Agency Action PRE-01-001	GS50-01-09 R1

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5.	<p>Civil Rights Violation – Complaints</p> <p>Records relating to the agency’s investigations of complaints of civil rights violations occurring within the agency’s jurisdiction, where civil litigation has <u>not</u> commenced. Complaints may be made by employees (including contractors and volunteers), students, or the general public.</p> <p>Includes, but is 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>Includes, but is not limited to: Americans with Disabilities Act (ADA), Title II, etc.; <i>Civil Rights Act of 1964</i> (voter registration, facilities, transportation, equal employment opportunity, education, race, color & national origin [Title VI], etc.); Individuals with Disabilities Education Act (IDEA).</p> <p>Excludes employee grievance records covered under GS50-04E-03 R1.</p> <p>Note: If litigation commences, these records become part of the litigation case file and are covered by GS53-02-04 R1.</p>	6 years after referral to jurisdictional agency, settlement, withdrawal, or closure	Potentially Archival – Appraisal Required	Final response is sent to DES-Office of Civil Rights and Open Government; investigation documentation retained by DES-FBOD-(DIR-HR).	Civil Rights Enforcement Files ACO-05-012	GS50-04C-04 R1

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6.	<p><u>Domestic Violence Files</u> Records of King County's response to situations in which an employee is a victim of domestic violence. (see PER 18-5-2 (AEP))</p> <p>May include: Incident report; Investigation files, including photos of suspects; Leave component, e.g., if employee needs time off to relocate or make other arrangements for their and their dependents' safety; Copies of court orders; Follow-up report(s) detailing safety plan (to make workplace more secure for employee), welfare checks on employee (if, for example, they are missing and haven't called in), follow-up with police, referrals offered employee; Status updates, depending on the incident and level of threat.</p>	8 years after file closed/last treatment or session completed	.		Employee Assistance Program Case Files PER-09-007	GS50-04A-06

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7.	<p><u>Employee Complaints and Grievances</u> Documentation of action and investigation into employee complaints and grievances including unfair labor practice complaints (ULP). Includes documentation of complaint, investigation, appeals and final decisions.</p> <p>May include: Correspondence documenting each step of the process; Investigator's notes; Arbitration and Appeal information.</p> <p>Excludes grievances filed by the union on behalf of the member (<i>see Labor Agreement Administration, GS50-01-11R3</i>). Also excludes Civil Right Violation complaints, GS50-04C-04 R1.</p>	7 years after termination of employment			Employee Grievances PER-08-001	GS50-04E-03 R1
8.	<p><u>Employee Leave Management</u> Records requesting, granting or monitoring employee leave, including: family medical leave (FMLA) executive leave, and overtime. Includes but is not limited to: requests and authorizations for leave, and return to work notices, etc.</p> <p>*Doctor's notes related to FMLA certification or recertification must be kept in a separate confidential file per Title 29, Subpart E, §825.500 (g)</p> <p>Excludes Leave Donations covered by FIN-08-004, GS50-03E-18 and medical leave taken due to on the job injury (see GS50-04B-30R1) and cumulative leave, leave balances, etc. that are managed in the county payroll system (PeopleSoft).</p>	4 years after year end	*Doctor's notes should not be filed into KC ERMS but kept in a separate confidential file.		Employee Leave Management PER-09-002	GS50-04B-09 R1

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9.	<p><u>Employee Misconduct Investigation Files – Sustained</u></p> <p>Documentation compiled in official investigations of employee misconduct that result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective actions, non-retaliation agreements, management recommendations, decision letters, correspondence, and notes.</p> <p>The final investigative summary report of misconduct and any reprimands are placed in the employee's personnel file (<i>see GS50-04B-06R3</i>) including written letters of reprimand, suspension, and termination.</p> <p>Includes misconduct investigations where the investigation determines the misconduct is partially sustained and partially unfounded - all documentation will be kept with the Sustained investigation case file.</p> <p>Excludes workplace violence case files which are covered by GS50-05A-24.</p>	7 years after termination of employment*	*If the investigation involves more than one person, records should be retained for 7 years after last person involved has left employment.		Employee Misconduct Investigation Files - Substantiated PER-08-005	GS50-04B-46 R2

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10.	<p><u>Employee Misconduct Investigation Files – Unfounded</u> Documentation compiled in official investigations of employee misconduct that do not result in the findings. May include: Complaint initiating the investigation; Investigative reports; Statements; Taped information; Correspondence and notes.</p> <p>Excludes workplace violence case files which are covered by GS50-05A-24 and the final investigative summary report covered by GS50-04B-06R3.</p>	4 years after case settled			Employee Misconduct Investigation Files – Unfounded PER-08-006	GS50-04B-47R2
11.	<p><u>Employment Eligibility (INS) Documents – Immigration and Naturalization Services</u> Documents used to verify employment eligibility within the United States. May include Federal I-9 forms, passport copies, copies of valid driver's license, copies of certification of naturalization, etc.</p>	3 years after termination of employment	Reference: 8 CFR 24a.2 (2)(A)		Employment Eligibility Documents Immigration and Naturalization Services (INS) Forms PER-10-005	GS50-05A-26R1

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12.	<p><u>Employee Medical Records</u> Files contain information related to an employee's (including contractors and volunteers) medical condition and the effects of the work place <u>caused by on-the-job injury or exposure</u>, and their ability to perform essential job functions.</p> <p>Records include pre-employment information sheet, incident reports, medical exam report, doctor's notes, modified work forms, ADA cards, closure documentation, and supporting correspondence.</p> <p>Excludes Hazardous materials exposure records covered by GS2011-177.</p>	30 years after termination of employment			Employee Medical Records PER-07-001	GS50-04B-30 R1
13.	<p><u>Employment Requisitions</u> Requests for job positions in the county, and the associated background/supporting documentation. Includes, but is not limited to: Position specifications (PDQs, job descriptions) Need analysis Authorization signatures</p> <p>Includes requisitions for Term-Limited Temporaries (TLT); Short-Term Temporary (ST); Administrative Interns (AI); and Special Duty</p>	3 years after year end			Employment Requisitions PER-10-001	GS50-04B-17
14.	<p><u>Employment Verification Letters</u> Letter requested by an outside entity requesting verification of employment for an FBOD employee.</p> <p>Excludes requests submitted by the employee themselves covered by GS2010-001R3, General Office Communications.</p>	3 years after end of year in which the letter was sent and request satisfied			Citizen Complaints and Requests for Agency Action PRE-01-001	GS50-01-09 R1

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15.	<p><u>Equal Employment Opportunity Complaints</u> Documents Equal Employment Opportunity (EEO) investigations regarding allegations of employment discrimination including harassment and retaliation.</p>	6 years after settlement, withdrawal, or closure.	Potentially Archival – Appraisal Required		<p>Equal Employment Opportunity Complaints</p> <p>PER-04-005</p>	GS50-04C-04R1
16.	<p><u>General Office Communications, Meetings and Working Files</u> Records created, received and used when communicating within and outside the County on general topics related to the business of the County and the conduct of general office meetings.</p> <p>As programs and projects develop within the County, it may be necessary to move initial records from this category to business related categories such as project files, contract administration files, personnel actions, etc. that need to be retained with the business activity they support.</p> <p>May include: Administrative procedures and instructions; Outlook Calendars; Internal schedules for equipment replacement; Mailing lists; Staff meeting minutes, agendas Requests to telecommute on a particular day; Standard Work, Desk Manuals</p>	2 years after year end			<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	<p>GS50-01-01 (Procedures and Instructions)</p> <p>GS50-01-02 (Working Files)</p> <p>GS50-01-08 (Chron. Reference Files)</p> <p>GS50-01-36 (Appointment Calendars)</p> <p>GS50-01-43 R1 (Staff Meetings)</p> <p>GS2010-001 R3 (Communications – non-executive)</p> <p>GS2011-179 R1 (Travel Arrangements)</p>

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17.	<p><u>Human Resources Advice Files</u> Communications <i>from</i> Human Resources staff, which provide advice in response to particular human resources issues and questions. Includes, but is not limited to: advice provided on performance appraisal process; human resources policy interpretation; contract clarification; advice on individual reclassification requests, and pay rates, alternative work arrangements (AWA), overtime, leave usage, etc.</p>	4 years after year end			Human Resources Advice Files PER-06-011	GS2010-001 R3
18.	<p><u>Labor Agreement Administration</u> Documents the day-to-day business of administering a labor agreement.</p> <p>May include: Seniority dates; Records documenting implementation of MOUs and labor contracts, in general; Grievances filed by the union on behalf of the members</p>	6 years after termination or expiration of contract		Office of Labor Relations	Labor Agreement Administration PER-01-001	GS50-01-11R3
19.	<p><u>Leave Donations</u> Records authorizing accrued leave to be donated to another employee's payroll account.</p> <p>Includes but is not limited to correspondence regarding the donation forwarding the request to Payroll (DES-FBOD-(BPROS).</p> <p>The signed donation authorization is retained by BPROS.</p>	6 years after year end		DES-FBOD-BPROS (Benefit, Payroll and Retirement Operations Section)	Leave Donations FIN-08-004	GS50-03E-18

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20.	<p><u>Performance Evaluation Background Files - Supervisors</u> Documentation gathered by employees with supervisory responsibilities to prepare and support performance evaluations of employees under their supervision. Only includes records needed to support the completion of the performance evaluation.</p> <p>Excludes the final signed performance evaluations, official misconduct records, grievances, merit awards, etc. which are sent to the employee's personnel file with Human Resources (GS50-04-06R3).</p>	0 years after evaluation is completed and appeal period has ended			N/A	GS50-04B-31

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21.	<p><u>Personnel File</u> Files contain information related to an employee's employment and benefit history.</p> <p>May include but is not limited to: Application for employment when hired including consumer reports (which include background checks, credit reports and criminal history reports*); Start of employment, hire letter, identification; Letters of discipline, Loudermill letters, final report of misconduct, and official reprimands; Kudos letters; Performance evaluations; Attendance/Performance improvement plans; Training history records (pre 1996; 1996 forward retained in PeopleSoft); Records of employment status, position description and job classification; Citations; Letters of recommendation; Personal history cards, raises; Retirement or disability resulting in employment termination; Evaluation of applications of recognition or non-college credit courses.</p> <p>*Note on consumer reports: All consumer reports for hired employees should be maintained as part of the official personnel category but in a separate "confidential" file. For applicants not hired, the consumer reports should be retained in a separate file as part of the recruitment category (PER-10-002).</p>	7 years after termination of employment	ESSENTIAL		Personnel File PER-06-002	GS50-04B-06 R3

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22.	<p><u>Project Files</u> Records for miscellaneous projects not covered by more specific categories. May include work plans, metrics, A3 boards, project charters, budgets, reference materials, communications, notes and documents related to final deliverables etc.</p> <p>Excludes grant funded, capital improvement projects.</p> <p>Examples of project files: Deferred Compensation Annual BOW (Body of Work) Report development</p>	6 years after completion of project	Potentially Archival – Appraisal Required		Project Files ACO-02-001	GS50-01-39 R1
23.	<p><u>Public Disclosure and Records Requests</u> Records relating to requests from the general public for access to the County’s public records in accordance with the Washington State Public Records Act (RCW 42.56).</p> <p>May include the original request and all subsequent correspondence with requester, <u>directives to staff associated with records collection</u>, attorney-client privileged communications associated with the public disclosure request, copies of records disclosed, copies of records redacted or withheld from disclosure in their entirety, and withholding and redaction logs.</p>	2 years after end of year in which the request was completed			Public Records Act Requests INF-01-002	GS2010-014 R2

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24.	<p><u>Recruitment and Hiring Files</u> Documents the recruitment and selection process for each advertised position.</p> <p>May include: Employment inquiries; Application for employment when applicant is not hired; Job announcements or postings; Employment interview questions and evaluation files, (scanned into NeoGov and paper copies kept); Job description; Applicant list; Employee applications.</p> <p>Note: Per RCW 4.16.080, the statute of limitations for the commencement of actions for equal employment opportunity discrimination complaints (injury to the rights of others) is 3 years (1/12).</p>	3 years after end of year in which position is filled or termination of recruitment effort	*At present, no procedure for purging NeoGov is in effect.		Recruitment Files PER-10-002	GS50-04B-22

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25.	<p><u>Reporting – Human Resources (Mandatory/Regulated)</u> Records relating to human resources and submitted to regulatory agencies as required by federal, state or local law, where not covered by a more specific records series. Includes reports, confirmation of submission, correspondence, inquiries, etc.</p> <p>May include: Employer Information Report EEO-1 filed with the Equal Employment Opportunity Commission in accordance with 29 CFR § 1602.7; New Hire Reports filed with the Department of Social and Health Services (DSHS) in accordance with RCW 26.23.040; Reports on EEO/AA “outreach” and hiring goals prepared for HRD to report in accordance with PER 22-5-1 (AEP) (6.3.b; 6.3.c); Commuter trip reduction plans and annual progress reports filed with the Commuter Trip Reduction Board in accordance with RCW 70.94-527(7), (8).</p>	4 years after date report submitted to regulatory agency	Potentially Archival – Appraisal Required		Reporting/Filing (Mandatory) – Human Resources PER-12-002	GS50-04C-05 R2
26.	<p><u>Reporting (Non-Regulated)</u> Research/program reports, studies, surveys, models and analyses that are not regulated or mandatory but created for agency purposes.</p> <p>Excludes mandatory reports including those for agency management, human resources, and financial management covered by GS2012-028: GS50-04C-05R2, and S2011-189R1. Also excludes data extracts/printouts covered by GS50-02-04: Secondary (Duplicate) Copies.</p>	6 years after obsolete or superseded	Potentially Archival – Appraisal Required		Research/Program Reports, Studies, Surveys, Models and Analyses ACO-02-002	GS50-01-32 R1

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27.	<p><u>Retirement Verification Records</u> Records used for verification of eligibility for retirement benefits documenting leave taken, rate changes or lump sum payments received, and the justification for such leave and payments.</p> <p>May include, but is not limited to: Payroll Registers (pre-2012 prior to PeopleSoft); Retro pay Extended Leave without pay documentation – begin/end date and reason for leave (military leave, FMLA, etc.); Lump Sum payments COLA; Merit raise notification; New steps notification; Personnel Change Notice (PCN) (Note: also goes to employee’s personnel file)</p>	60 years after year end	ESSENTIAL		Retirement Benefit Verification Records FIN-08-002	<p>GS50-03E-22 (Payroll Registers)</p> <p>GS50-03E-15 (Indiv. Employee Pay History-Retirement)</p> <p>GS50-03E-04 (Time Cards/Time Sheets)</p>
28.	<p><u>Training Development - Curriculum and Materials</u> Records relating to the development of training courses, seminars, and or workshops.</p> <p>Includes research, materials development, etc.</p> <p>Excludes final curriculum materials covered by GS2011-180 and training/attendance documentation covered by GS2011-181R1</p>	2 year after curriculum no longer provided by agency			Agency-Provided Training – Curriculum and Materials Development ACO-10-002	GS2011-178 R1

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29.	<p><u>Unemployment Insurance Claims</u> Records document process by which terminated employees claim or appeal/contest unemployment benefits. TALX (aka Equifax Workforce Solutions) is third-party vendor that manages King County's unemployment claims. The County provides its responses to claims and aids in the investigation and hearing(s) in case of denial of claim.</p> <p>Records maintained by King County may include: County's response, whether or not it plans to challenge the claim; Notes from hearings; Records produced and possible used for hearings.</p>	6 years after claim closed			Unemployment Insurance Claims of Individual Employees PER-09-001	GS50-04D-05
30.	<p><u>Whistleblower Investigation Reports</u> Agency copies of investigations of allegations of fraud or violations of state laws or regulations. Also includes documentation of investigations into alleged retaliation against individuals making such allegations.</p>	7 years after case closed	Potentially Archival – Appraisal Required		Whistleblower Investigation Reports PER-08-008	GS50-04B-25
31.	<p><u>Work Logs</u> Documentation of day-to-day task or projects assigned to and/or completed by individual staff or crews. Includes, but is not limited to tracking special duty and TLT assignments.</p>	3 years after year end			Work Logs PER-02-002	GS50-04B-29

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32.	<p><u>Workplace Violence Case Files</u> Documentation of incidents involving internal workplace violence.</p> <p>May include: Investigation notes; Medical treatment needed after incident; Follow-up with involved parties; Correspondence; Corrective measures taken; Secondary copies of documentation filed in an individual's personnel file; Incident report prepared for Claims, Safety & Risk Management.</p>	6 years after case closed*	* "Case closed" is the point in time when all investigation and follow-up have been resolved and no further investigation or follow-up is required.		Workplace Violence Case Files PER-08-009	GS50-05A-24

<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>8/19/2016</i></p> <hr style="width: 80%; margin-left: 0;"/> <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>09/07/2016</i></p> <hr style="width: 80%; margin-left: 0;"/> <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>8.18.16</i></p> <hr style="width: 80%; margin-left: 0;"/> <p>Sandy Treibel 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>September 20, 2016</i></p> <hr style="width: 80%; margin-left: 0;"/> <p>Deborah Kennedy Date King County Public Records Committee</p>	