



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 / Human Resources	2. DEPARTMENT-DIVISION-SECTION [DDS] DPER-HR-(ALL)-All Sections / 060901	3. TOTAL NUMBER OF PAGES 25	4. DATE LAST MODIFIED June 5, 2018	5. STATUS Final	6. VERSION 1
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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. DISPOSITION AND REMARKS	7e. OFFICE OF PRIMARY COPY	7f. CATEGORY	7g. RULE (DISPOSITION AUTHORITY NUMBER(S))
General Records						
1.	<p><u>Asset Use Records</u> Records relating to the dispersal and usage of DPER's assets. Includes all assets owned, rented, leased and/or maintained by DPER.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Equipment and vehicle use requests, and correspondence about asset use; - Checkout logs and schedules. <p><i>Excludes</i> vehicle take home form, and authorization for take home vehicle covered by DAN GS50-01-11R4, see Work Arrangement/ Agreements below item number 26.</p>	<p>Cutoff: year end</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Asset Use Records ASM-12-002</p>	GS2012-045
2.	<p><u>Emergency/Disaster Preparedness Contact Information</u> Personal contact information of all DPER employees compiled to facilitate contact in the event of an emergency or natural disaster. Includes employees and contractors.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Employee Personal contact information such as cell/home phone numbers, personal email address, home address, etc.; - Next of kin contact information such as cell/home phone numbers, personal email address, home address, etc. 	<p>Cutoff: when obsolete or superseded</p> <p>Retention: 0 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Emergency/Disaster Preparedness Contact Information ACO-06-006</p>	GS2012-024R1

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3.	<p><u>General Communications & Staff Meetings</u> Communications to or from Human Resources Staff (includes contractors) with DPER or KC employees that are made or received related to DPER services. And records from recurring Human Resource staff meetings, such as agendas, meeting minutes.</p> <p>Communications include, but are not limited to: - Correspondence and meetings related to internal planning of Human Resources services, procedures or administrative changes.</p> <p>Excludes 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 employee performance.</p> <p>Excludes Human Resources Advice Files covered by GS2010-001R3, see item number 4 below.</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 (General Communications)</p> <p>GS50-01-43R2 (General Meeting Files)</p>

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4.	<p><u>Human Resources Advice Files</u> Communications <i>from</i> Human Resources staff, which provide advice and guidance in response to specific human resources issues and questions. Includes, but is not limited to advice on general, as well as, special issues.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> - Advice about performance appraisals; - Human Resources policy interpretation; - Advice about reclassification request process; - Providing answers to questions about pay rates, overtime, leave usage, etc. 	<p>Cutoff: end of year in which issue is resolved</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Human Resource Advice Files</p> <p>PER-06-011</p>	<p>GS2010-001R3 B</p> <p>This rule with a “B” extension was created to provide a longer retention period for human resources advice to align with the statute of limitations for most employment-related claims for tort law filing requirements.</p>
5.	<p><u>Organization Charts</u> Records contain diagrammatical representations of the DPER’s organizational structure, employee ranks, and internal reporting relationships.</p>	<p>Cutoff: superseded or obsolete</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Organizational Charts</p> <p>PER-03-007</p>	<p>GS50-06F-02R1</p>

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6.	<p><u>Transitory Records</u> 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"> - Agency-Generated Forms and Publications – Copies (Copies of unused forms) - Brainstorming and Collaborating (Notes, white board collaboration notes, post-its, flip charts) - Contact Information (external clients or stakeholders) - Drafting and Editing (Preliminary drafts 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 - Basic/routine short-term communications that do not document decision making or agency actions and not covered by another category - Internet Browsing History (cookies/cache) - Organizing/Monitoring Work In Progress (to-do lists; working notes) - 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) - Secondary (Duplicate) Copies 	<p>Cutoff: retain until no longer needed</p> <p>Retention: 0 years</p>	<p>Disposition Action: 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>

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Pre-Employment & Onboarding						
7.	<p>Employment Eligibility Verification Records Documents used to verify identity and employment authorization of individuals hired for employment at DPER in accordance with 8 CFR § 274a.2. This is applicable to individuals hired who have valid U.S. Citizenship as well as have visas, permanent residence or sponsorship through Immigration Services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - USCIS form I-9; - Copies of passport, valid drivers license, permanent resident card, certification of naturalization etc. 	<p>Cutoff: termination of employment</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employment Eligibility Documents Immigration and Naturalization Services (INS) Forms</p> <p>PER-10-005</p>	GS50-05A-26R2
8.	<p>Employment Inquiries (Not Official Agency Announcement or Recruitment) Records relating to persons seeking employment/ job opportunities with the DPER, that are not associated or in response to an official recruitment. Includes applications for volunteers that are not accepted.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Unsolicited applications, resumes, writing samples, diplomas, letters of inquiry; - Requests for announcement information (position description, test, etc.). <p>Excludes records covered by Job Announcement & Recruitment Files covered by DAN GS50-04B-22, see item number 10 below.</p>	<p>Cutoff: year end</p> <p>Retention: 1 year</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employment Inquiries</p> <p>PER-10-006</p>	GS50-04A-05R1

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9.	<p><u>Employment Requisition & Planning Files</u> Records relating to planning for and requesting for DPER workforce changes that require formal approval and that result in the beginning of recruitment processes. Includes position specifications, job descriptions, position description questionnaire, and supporting documentation.</p> <p><i>Excludes</i> records covered by Personnel Employment Files covered by GS50-04B-06, see item number 18 below.</p>	<p>Cutoff: year end</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employment Requisitions</p> <p>PER-10-001</p>	GS50-04B-17R1
10.	<p><u>Job Announcement & Recruitment Files</u> Records relating to the process of recruiting, interviewing, selecting and hiring of employees.</p> <p>Includes, but is not limited to: job announcements, applications, resumes, CV's, applicant lists, eligibility lists, interview questions, ratings for applicants, ratings for interviews, interview schedule, SME applicant ratings, letters of recommendation or reference letters, conditional requirements such as, pre-physical and driving records.</p> <p>The County's NEOGOV online job application system retains employment applications for 3 years.</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.</p> <p><i>Excludes</i> records covered by Employment Inquiries (Not Official Agency Announcement or Recruitment) covered by DAN GS50-04A-05R1, see item number 8 above.</p>	<p>Cutoff: end of year in which position is filled or termination of recruitment process</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Recruitment Files</p> <p>PER-10-002</p>	GS50-04B-22R1

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Employment						
11.	<p>Employee Access Authorization Files Records documenting the authorization of DPER employees (includes contractors) to access DPER structures/facilities, infrastructure, equipment, electronic systems, networks, applications, electronic and physical records/data.</p> <p>Includes, but is not limited to requests, approvals and assignments of:</p> <ul style="list-style-type: none"> - ID badge/key card; - Access codes; - Accela System access permissions; - And, Shared/Network Drive access. <p>Excludes Work Arrangement/Agreement Files for authorization of DPER vehicles covered by GS50-01-11R4, see item number 26 below.</p>	<p>Cutoff: termination of user's access, or system or asset is no longer in use, whichever is sooner</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Access Authorizations</p> <p>INF-04-002</p>	GS2010-002R1
12.	<p>Employee Award and Recognition Files Records and supporting documentation related to DPER employee award programs such as recognition of outstanding performance, length of service, incentive plans, etc. May include recommendations, approved nominations, appreciation letters and additional related information.</p>	<p>Cutoff: date of award or recognition</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Award Files</p> <p>PER-06-003</p>	GS50-04B-44R1

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13.	<p><u>Employee Certifications and Licenses</u> Records relating to licenses, permits, accreditations, certifications and other authorizations acquired by DPER employees in certain positions that are either required by or received from regulating authorities (such as local, state or federal agencies). Includes applications/confirmations, correspondence, reports, violations/corrections, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Continuing professional education credits/hours; - Drivers' licenses (individual or commercial); - Required professional certifications (IAFC Fire Marshall, AICP Planner, NREP-CES Environmental Scientists, PMP Certificate, etc.) 	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Authorizations/ Certifications – Human Resources (General)</p> <p>PER-11-007</p>	GS2011-190R2

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14.	<p><u>Employee Complaints and Grievances</u> Records documenting complaints and grievances relating to workplace issues filed with DPER Human Resources by DPER employees. Complaints include health and safety, retaliation, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - filed complaints and grievances; - supporting documentation; - agency response and decisions; - legal actions, arbitration and mediation; - determinations and appeals <p>Note: excludes grievances filed by unions on behalf of employees.</p> <p>Excludes records more specifically covered on the KC General Retention Schedule:</p> <ul style="list-style-type: none"> • Appeal hearings records of the local decision-making body covered by GS2011-173. • Civil rights violation complaints covered by GS50-04C-04 R1. 	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Complaints and Grievances</p> <p>PER-08-001</p>	GS50-04E-03R2

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15.	<p>Employee Medical File Records relating to the health status of DPER employees where not related to occupational illness or injury. Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Documentation relating to off-duty injuries and extended illnesses, such as doctor's notes, accident forms; - Employee Assistance Program (EAP) documentation; - Drug/alcohol testing including positive results, refusals, corrective action, treatment, and compliance; - Family and Medical Leave Act (FMLA) records including medical histories, certifications provided by health care professionals such as fitness-for-duty, Family Leave certifications issued pursuant to ; - First aid treatment made on-site by a non-physician; - Transitional Duty Forms, Work Restrictions and Accommodations relating to off duty injuries or illness; - "Fitness for duty" releases and physical exams provided by health care professionals where not related to occupational exposure. <p>Excludes Employee Medical and Exposure Records covered by GS50-04B-30. See King County General Records Retention Schedule.</p>	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Medical Records</p> <p>PER-07-001</p>	GS2017-015

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16.	<p><u>Employee Misconduct Investigation Files - Substantiated</u></p> <p>Records that document investigations into DPER employee conduct that result in findings of misconduct or corrective action. Includes, but is not limited to: initial complaint, investigative reports, statements, taped information, evidence gathered, and correspondence.</p> <p>Final report of misconduct investigation or documentation of any corrective action taken, which should be filed in the Personnel Files covered by GS50-04B-06R4, see item number 20 below.</p> <p><i>Excludes</i> investigations that do not result in findings of misconduct by the employee, aka Employee Misconduct Investigation Files - Unfounded covered by GS50-04B-37R3, see item number 17 below.</p>	<p>Cutoff: termination of employment*</p> <p>Retention: 6 years</p> <p>*If the investigation involves more than one person, records should be retained for 6 years after last person involved has left employment.</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Misconduct Investigation Files – Substantiated</p> <p>PER-08-005</p>	GS50-04B-46R3

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17.	<p><u>Employee Misconduct Investigation Files - Unfounded</u> Documentation compiled in official investigations of employee misconduct that do not result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, as well as correspondence and notes.</p> <p><i>Excludes</i> Employee Misconduct Investigation Files - Substantiated covered by DAN GS50-04B-46R3, see item number 16 above.</p>	<p>Cutoff: issue is closed</p> <p>Retention: 4 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Misconduct Investigation Files – Unfounded</p> <p>PER-08-006</p>	GS50-04B-47R3
18.	<p><u>Leave Donations</u> Records authorizing a DPER employee’s leave time to be donated to another KC employee’s account.</p> <p>Includes but is not limited to correspondence regarding the donation, as well as approval from Director and HR.</p> <p><i>Excludes</i> records needed for retirement benefit verification (pre-PeopleSoft records about leave without pay only).</p>	<p>Cutoff: year end in which leave donation occurs</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Leave Donations</p> <p>FIN-08-004</p>	GS2017-010

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19.	<p><u>Payroll Contracts and Authorizations</u> Agreements and contracts with DPER employees that are used to assist the processing of payroll functions or for human resources activities.</p> <p>Includes, but is not limited to: payroll deduction authorizations (including union dues) and direct deposit authorizations.</p>	<p>Cutoff: expiration of contract or instrument</p> <p>Retention: 6 years</p> <p>* if the agreement does not expire, the cutoff is termination of employment</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Payroll Contracts and Agreements</p> <p>FIN-08-018</p>	GS50-03E-01R1

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20.	<p>Personnel Files Records relating to an individual's employment and benefit history with DPER. Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Recruitment records for each position held within DPER (position description, application, resume, etc.); - Background checks; - Disclosure of information (contact info); - Training/staff development history; - Letters/notices of personnel action or employment status changes; - Letters/notices of disciplinary action (suspension, etc.); - Employment Separation Agreements, Termination or Retirement Forms, exit interview documentation, etc. <p>Excludes records needed for Retirement Benefit Verification covered by GS2017-009, see item number 31 below.</p> <p>Excludes Employee Medical Records covered by GS2017-015, see item number 15 above.</p>	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Personnel File PER-06-002</p>	GS50-04B-06R4

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21.	<p><u>Position Descriptions</u> Records relating to the description of DPER positions. May include duties and responsibilities, time percentage, breakdowns of tasks, required skills and abilities, salary or pay range.</p>	<p>Cutoff: obsolete or superseded</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Job Descriptions PER-03-004</p>	GS50-04B-05R1
22.	<p><u>Reclassification Requests - Reference Copy</u> Reference copy of records documenting requests individual DPER employees to have their positions reclassified.</p> <p>Official records and request should be transferred to Human Resources Department / Classification and Compensation division.</p>	<p>Cutoff: year end in which official request was transferred to HRD</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>	<p>HRD / Classification and Compensation</p> <p>Note: DPER should treat these as General Office Communication.</p>	<p>General Office Communications and Staff Meetings ACO-01-001</p>	GS2010-001R3

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23.	<p><u>Requests for Leave/Overtime</u> Records requesting, granting, or monitoring of leave or overtime. Cumulative leave, leave balances, etc. are managed in the county payroll system. Records in this category support transactions in the payroll system.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Absence Request Forms and supporting documentation; - Emails communications forwarded to HR from DPER Supervisor wherein DPER employees requested leave or OT; - Emails, spreadsheets or documentation detail balances, usage or projected future amounts of leave or OT. <p><i>Excludes</i> leave records needed for Retirement Benefit Verification covered by GS2017-009, see item number 31 below.</p>	<p>Cutoff: year end</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Leave Management</p> <p>PER-09-002</p>	<p>Combo Rule PER-09-002</p> <p>GS2017-010 (Leave – Non-Routine)</p> <p>GS50-04B-09R2 (Leave – Routine)</p>

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24.	<p><u>Supervisor's Working (Personnel) Files</u> Records compiled by DPER Supervisors that are ONLY used to support the management employees under their supervision.</p> <p>Includes, but is not limited to: copies of performance evaluations; workplace expectations, long-term career goals; advice or guidance received about ongoing issues relating to the employee; performance monitoring, etc.</p> <p><i>Excludes</i> records specifically listed in the following series:</p> <ul style="list-style-type: none"> - Employee Complains and Grievances covered by GS50-04E-03R2, see item number 14 above; - Employee Medical File covered by GS2017-015, see item number 15 above; - Employee Misconduct Investigation Files – Substantiated covered by GS50-04B-46R3, see item number 16 above; - Employee Misconduct Investigation Files – Unfounded covered by GS50-04B-47R3, see item number 17 above; - Personnel Files covered by GS50-04B-06R4, see item number 20 above 	<p>Cutoff: when no longer supervising employee</p> <p>Retention: 3 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>N/A</p> <p>Records Managed Outside of KC ERMS</p>	GS50-04B-31R1A
25.	<p><u>Whistleblower Investigation Reports</u> DPER copies of investigation records related to allegations of fraud or violations of state/federal laws or regulations. Includes documentation of investigations into alleged retaliation against employees making such employer allegations.</p>	<p>Cutoff: case is closed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p>		<p>Whistleblower Investigation Reports</p> <p>PER-08-008</p>	<p>GS50-04E-03R2A</p> <p>*This rule with an “A” extension was created to provide a potentially archival status for these records.</p>

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26.	<p><u>Work Arrangement/Agreement Files</u> Contracts and agreements made between DPER and employees related to any human resource services, policies or procedures.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - telecommute agreements; - schedule forms; - departmental policy agreements; - take home vehicle form; - authorization to take home vehicle, etc. 	<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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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))
Bargaining, Benefits & Claims						
27.	<p>Collective Bargaining Contract and Agreement Negotiations Files – Negotiated by OLR (Reference Copies)</p> <p>References copies of files that document the development and negotiation of contracts and agreements between DPER and employee unions and associations. i.e.; PTE Local 17.</p> <p>May include bargaining contract or agreement, related correspondence, meeting minutes and notes, identified contract dispute areas, negotiation reports, etc.</p> <p>Note: Records from this series may be selected to be transferred to and preserved at the King County Archives, but are subject to any restrictions provided by collective bargaining contracts and agreements.</p> <p>Excludes Collective Bargaining Contract and Agreement Negotiations Files – Not Negotiated by OLR, covered by GS50-01-11R4 see item number 28 below.</p>	<p>Cutoff: year end</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>ESSENTIAL</p>	<p>Office of the Executive / Office of Labor Relations (OLR)</p> <p>Note: DPER HR will retain these according the retention requirements of General Staff Communication.</p>	<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	GS2010-001R3

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))
28.	<p><u>Collective Bargaining Contract and Agreement Negotiations Files – NOT Negotiated by OLR</u> Files document the development and negotiation of contracts and agreements between DPER and employee unions and associations. i.e.; PTE Local 17. These contracts and agreements are NOT negotiated by the Office of Labor Relations (OLR).</p> <p>May include bargaining contract or agreement, related correspondence, meeting minutes and notes, identified contact dispute areas, negotiation reports, etc.</p> <p>Note: Records from this series may be selected to be transferred to and preserved at the King County Archives subject to any restrictions provided by collective bargaining contracts and agreements.</p> <p><i>Excludes</i> Collective Bargaining Contract and Agreement Negotiations Files – Negotiated by OLR (Reference Copies), covered by GS2010-001R3, see item number 27 above.</p>	<p>Cutoff: completion of transaction or termination / expiration of instrument</p> <p>Retention: 6 years</p>	<p>Disposition Action: Potentially Archival – Appraisal Required</p> <p>ESSENTIAL</p>		<p>Labor Agreement</p> <p>PER-01-002</p>	GS50-01-11R4
29.	<p><u>Employee Benefits – Claims and Appeals</u> Records relating to individual DPER employee benefit claims and appeals. Does not include retirement/pension plans. Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Claims (approved and denied); - Appeals; - Related correspondence/communications. 	<p>Cutoff: termination of employment</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p>		<p>Employee Benefits – Claims and Appeals</p> <p>PER-09-009</p>	GS2017-008

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 AUTHORITY NUMBER(S)]
30.	<p><u>Employee Benefits – Enrollment and Participation</u> Records relating to individual DPER employee enrollment and participation in benefit programs and plans made available by DPER. Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Notification/determination of eligibility; - Applications for enrollment/participation/elections /extension; - Contracts and agreements; - Name, address, status and dependent modifications/changes; - Related correspondence/communications. <p><i>Excludes</i> records specifically listed in the following series:</p> <ul style="list-style-type: none"> - Work Arrangement/Agreement Files covered by DAN GS50-01-11R4, see item number 26 above; - Employee Benefits – Claims and Appeals covered by DAN GS2017-008, see number 29 below; - Employee Retirement/Pension Verification covered by DAN GS2017-009, see item number 31 below. 	<p>Cutoff: termination or withdrawal and expiration of appeal period for claims (if any) filed</p> <p>Retention: 6 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Employee Benefit Files</p> <p>PER-09-006</p>	GS50-04D-03R1

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))
31.	<p><u>Retirement Benefit Verification Records</u> Records about individual DPER employees that are needed to verify retirement benefit eligibility. Records document hours worked per month, compensation earned per month, hourly rate of pay and break in service dates. Includes documentation of any unpaid leave and lump sum payments.</p> <p>The records below are only needed for this retention period if they are prior to PeopleSoft implementation (1/1/2012) or if the agency is not entering correct TRC and reason codes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> - Hire letters; - Individual time cards/time sheets; - MSA corrections/turnaround documents (TADs); - Records used to calculate leave; - Letters/records documenting any payroll changes (including step increases, Cost of Living Adjustments, overpayments, payroll-related settlements, special duty assignments, etc.). 	<p>Cutoff: termination of employment</p> <p>Retention: 60 years</p>	<p>Disposition Action: Not Archival - Destroy</p> <p>ESSENTIAL</p>		<p>Retirement Benefit Verification Records</p> <p>FIN-08-002</p>	GS2017-009

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))
32.	<p><u>Workers' Compensation Claims - Secondary Reference Copies</u> Secondary copies of the official Worker's Compensation Claims that have been sent to HRD / Safety and Claims. These secondary copies are ONLY used for reference by DPER's HR staff.</p> <p><i>Excludes</i> the following records series more specifically covered on the KC General Retention Schedule:</p> <ul style="list-style-type: none"> - Workers' Compensation Claims (Self-Insured) – Compensable, covered by GS50-06C-27R1; - Workers' Compensation Claims (Self-Insured) – Non-Compensable, covered by GS50-06C-31R1. 	<p>Cutoff: year end in which official copy was transferred to HRD</p> <p>Retention: 2 years</p>	<p>Disposition Action: Not Archival - Destroy</p>	<p>HRD / Safety and Claims</p> <p>Note: other agencies with these record should treat them as General Office Communication.</p>	<p>General Office Communications and Staff Meetings</p> <p>ACO-01-001</p>	GS2010-001R3

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

9/7/2018

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

09/28/2018

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.

Don Moritz

6/13/18

Don Moritz

Date

PUBLIC RECORDS COMMITTEE USE ONLY

11. PRC APPROVAL

Deborah Kennedy

October 31, 2018

Deborah Kennedy

Date

King County Public Records Committee