

METRO REGIONAL GOVERNMENT
Records Retention Schedule

Agency: Metro

Schedule number: 2017-0004

Function
Scope

Human Resources Management

Human Resources Management function relates to the development and management of the agency employees. It includes the hiring and termination of employees, compensation, leave and attendance management, labor relations and collective bargaining, as well as the documenting of employment history for individual employees. It also includes programs for equal opportunity employment, employee benefits, training and professional development.

Affirmative Action

The activities associated with monitoring compliance with protected class-based recruitment, hiring practices and retention.

HRM-AFA-001	Equal Employment Opportunity Policy Development – Plans, Updates, and Policy Statements
HRM-AFA-002	Equal Employment Opportunity Policy Development – Other

Benefits Administration

The activity of managing non-wage compensation for employees, including retirement plans, and group programs for life, health, accident and disability insurance.

HRM-BEN-001	Employee Benefits
HRM-BEN-002	Benefits Program Administration
HRM-BEN-003	Unemployment Compensation Claims
HRM-BEN-004	Unemployment Reporting
HRM-BEN-008	PERS Reporting and Tracking
HRM-BEN-009	Family and Medical Leave Act

Labor Relations

The activity of conducting business between Metro and its labor unions including negotiating and administering collective bargaining agreements.

HRM-LAB-001	BOLI and Equal Employment Opportunity Complaints and Compliance
HRM-LAB-002	Collective Bargaining Contracts Negotiation
HRM-LAB-003	Collective Bargaining – All Other
HRM-LAB-004	Layoff Administration
HRM-LAB-005	Volunteer Separation Program Records

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Personnel Management

Tracking of employment for elected officials, appointees, regular and temporary employees.

HRM-PER-001	Criminal Background Check Records – Background Check Log
HRM-PER-002	Criminal Background Check Records – Other Records
HRM-PER-003	Disciplinary Action Investigations Resulting in Termination
HRM-PER-004	Disciplinary Action Investigations Resulting in Disciplinary Action or Exoneration
HRM-PER-012	Disciplinary Action Investigations – Unfounded Investigations
HRM-PER-005	Drug Testing Records – Positive Results
HRM-PER-013	Drug Testing Records – Negative Results
HRM-PER-006	Employee Medical History
HRM-PER-007	Employee Personnel Records
HRM-PER-008	Employment Eligibility Verification
HRM-PER-009	Employment Verification
HRM-PER-010	Grievances and Complaints
HRM-PER-011	Hazard Exposure

Position Description, Classification and Compensation

The activity of managing the establishment and adjustment of compensation levels for Metro employees, based on the terms and conditions of employment that govern their position. This includes records documenting the evaluation of the classification assigned to a position or group of positions; the performance evaluation process; merit pay and salary surveys.

HRM-PCC-001	Comparable Worth Study Records – Final Studies or Reports
HRM-PCC-002	Comparable Worth Study Records – Other Records
HRM-PCC-003	Position Description, Classification and Compensation

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Recruitment and Selection

The process of recruiting which includes applying for approval to fill existing vacancies, the advertising of vacant positions, and the processing of applications. It also manages the selection process including interviews, selection, culling and appointment.

HRM-RAS-001	Recruitment and Selection
HRM-RAS-002	Unsolicited Applications and Resumes
HRM-RAS-003	Unsuccessful Applications
HRM-RAS-004	Applicant Tracking Records

Training and Development

The activity of planning and administering employee training and development opportunities for employees.

HRM-TAD-001	Training and Development Program Administration
HRM-TAD-002	Employee Recognition

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Affirmative Action

The activities associated with monitoring compliance with protected class-based recruitment, hiring practices and retention.

<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-AFA-001	<p>Equal Employment Opportunity Policy Development - Plans, Updates, and Policy Statements Records documenting the adoption and administration of agency programs to set personnel policies and procedures within the scope of the Civil Rights Act of 1964 and the Equal Employment Opportunity Act of 1972. Records may include but are not limited to:</p> <ul style="list-style-type: none"> • antidiscrimination committee policy plans, updates, and policy statements • discrimination complaint policies and procedures • EEO-4 reports • statistical monitoring records • other records related to the completion of the reports 	Permanent	Retain permanently
Office of Record	Human Resources		
HRM-AFA-002	<p>Equal Employment Opportunity Policy Development – Other Records documenting the adoption and administration of agency programs to set personnel policies and procedures within the scope of the Civil Rights Act of 1964 and the Equal Employment Opportunity Act of 1972. Records may include but are not limited to:</p> <ul style="list-style-type: none"> • antidiscrimination committee meeting records and reports • workplace analyses • other related records 	Temporary	Destroy 3 years after final document produced
Office of Record	Human Resources		

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Benefits Administration

The activity of managing non-wage compensation for employees, including retirement plans, and group programs for life, health, accident and disability insurance.

<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-BEN-001	<p>Employee Benefits Records documenting an individual agency employee's benefit information relating to insurance plans, retirement savings 401(k) plan, pension, and disability plans, flexible benefits, family leave, deferred compensation plans, and other benefit program information. Records may include, but are not limited to:</p> <ul style="list-style-type: none">• plan selection and application forms• enrollment records• insurance applications• contribution and deduction summaries• personal data records• authorizations• beneficiary information <p>SEE ALSO Payroll Section for Leave Balance Reports.</p>	Temporary	Destroy 6 years after employee separation or eligibility expired
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-BEN-002	<p>Benefits Program Administration Records documenting the development and administration of Metro's benefits programs, including general benefits, health benefits, Metro's Retirement Savings 401(k) Plan, and unemployment compensation. Records may also relate to benefits fair, and Metro's relationships with the Public Employees Retirement System (PERS), insurance companies, financial institutions, benefits providers, and other vendors.</p>	Temporary	Destroy 6 years after vendor contract terminated
Office of Record	Human Resources		
HRM-BEN-009	<p>Family and Medical Leave Act Records documenting the activities to assist employees to apply for time off in situations authorized by the federal Family and Medical Leave Act (FMLA) and Oregon Family Leave Act (OFLA).</p>	Temporary	Destroy 3 years
Office of Record	Human Resources		
HRM-BEN-008	<p>PERS Reporting and Tracking Records documenting the tracking and reconciliation of employee Public Employees Retirement System (PERS) activities.</p>	Temporary	Destroy 75 years after date report last updated
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-BEN-003	Unemployment Compensation Claims Records documenting claims submitted by former agency employees for unemployment compensation. Records may include but are not limited to: <ul style="list-style-type: none">• claims• notices• reports• records generated by the appeal of claim determinations• other related records	Temporary	Destroy 6 years after claim expires
Office of Record	Human Resources		
HRM-BEN-004	Unemployment Reporting Records documenting employee earnings on a quarterly basis. Used to document costs and charges in the event of an unemployment compensation claim. Information includes employee name, social security number, quarterly earnings, days worked, totals, and other data.	Temporary	Destroy 3 years after quarter close date
Office of Record	Human Resources		

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HRM-LAB-001	BOLI and Equal Employment Opportunity Complaints and Compliance Records documenting the filing of BOLI and Equal Employment Opportunity discrimination complaints made against the agency, along with reports and records maintained by agencies with 15 or more employees in compliance with the U.S. Equal Opportunity Commission regulations. Records may include but are not limited to: <ul style="list-style-type: none">• complaints• reports• exhibits• withdrawal notices• copies of decisions• hearings and meetings records• other related documentation and correspondence• other records related to the completion of the reports	Temporary	Destroy 3 years after closed
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-LAB-002	<p>Collective Bargaining Contracts Negotiation Records documenting negotiations between the agency and bargaining units to establish or revise labor-management contracts. Records may include but are not limited to:</p> <ul style="list-style-type: none"> • contracts • minutes 	Temporary	Destroy 75 years after contract expires
Office of Record	Human Resources		
HRM-LAB-003	<p>Collective Bargaining – All Other Records documenting negotiations between the agency and bargaining units to establish or revise labor-management contracts. Records may include but are not limited to: reports</p> <ul style="list-style-type: none"> • arbitration findings • cost analyses • tape recordings • other significant records 	Temporary	Destroy 6 years after contract expires
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-LAB-004	<p>Layoff Administration Records Records documenting the development and implementation of procedures and computations used in laying off agency employees. Records may include but are not limited to:</p> <ul style="list-style-type: none"> • seniority lists • employee recall lists • service credit computations • service credit lists • layoff ranking lists • layoff notice letters • employee layoff election forms • correspondence <p>Related records may be filed in Employee Personnel Files. Human Resources</p>	Temporary	Retain 3 years after layoff date
Office of Record			
HRM-LAB-005	<p>Voluntary Separation Program Records Records documenting the development and implementation of procedures and computations used in voluntary separation actions relating to agency employees. Related records may be filed in Employee Personnel Files. Human Resources</p>	Temporary	Retain 6 years after superseded
Office of Record			

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Personnel Management

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-PER-001	Criminal Background Check Records – Background Check Log Records documenting the pre-employment or periodic criminal records checks performed on prospective or current staff and volunteers. Records include a log recording when background checks are done and whom they are done on.	Temporary	Destroy 5 years after summary analysis completed
Office of Record	Human Resources		
HRM-PER-002	Criminal Background Check Records – All Other Records documenting the pre-employment or periodic criminal records checks performed on prospective or current staff and volunteers.	Temporary	Destroy 90 days
Office of Record	Human Resources		
HRM-PER-003	Disciplinary Action Investigations Resulting in Termination Records documenting termination actions of employees. Records may include but are not limited to: <ul style="list-style-type: none"> • statements • investigative records • interview and hearing records • findings, and related records 	Temporary	Destroy 10 years after employee separation or termination
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-PER-004	<p>Disciplinary Action Investigations Resulting in Disciplinary Action or Exoneration Records documenting suspension, progressive disciplinary measures, and other actions against employees. Records may include but are not limited to:</p> <ul style="list-style-type: none"> • statements • investigative records • interview and hearing records • findings and related records • unfounded investigations 	Temporary	Destroy 3 years after resolution
Office of Record	Human Resources		
HRM-PER-012	<p>Disciplinary Action Investigations Unfounded Investigations Records documenting suspension, progressive disciplinary measures, and other actions against employees. Records may include but are not limited to:</p> <ul style="list-style-type: none"> • statements • investigative records • interview and hearing records • findings and related records • unfounded investigations 	Temporary	Destroy 3 years after investigation closed
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-PER-005	Drug Testing Records – Positive Results Records document the testing of current and prospective employees for controlled substances prohibited by policy, procedure, or statute. Records may include but are not limited to documentation of: <ul style="list-style-type: none">• positive test results• collection process• random sample process• decision to administer reasonable suspicion drug testing	Temporary	Destroy 5 years
Office of Record	Human Resources		
HRM-PER-013	Drug Testing Records – Negative Results Records document the testing of current and prospective employees for controlled substances prohibited by policy, procedure, or statute. Records may include but are not limited to documentation of: <ul style="list-style-type: none">• negative test results• collection process• random sample process• decision to administer reasonable suspicion drug testing	Temporary	Destroy 1 year
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-PER-006	Employee Medical History Records documenting individual employee's work related medical history medical records (except hazard exposure records) maintained separately from the Employee Personnel Records and handled as confidential medical information, as required by the Americans with Disabilities Act. SEE ALSO Hazard Exposure Records in this section.	Temporary	Destroy 6 years after employee separation or termination
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-PER-007	<p>Employee Personnel Records Records documenting the work history of individual employees. Includes records for regular employees, temporary, seasonal and student workers. Records may include but are not limited to:</p> <ul style="list-style-type: none">• applications• personal information (non-medical)• selection materials• performance appraisal evaluations• promotions, demotions, transfers• letters of commendation and recommendation• training and certification records• class enrollment and attendance records• tuition reimbursement records• personnel actions• notices of layoff• letters of resignation• Departing Employee Checklist• emergency notification forms• conflict of interest disclosure forms• correspondence <p>SEE ALSO Disciplinary Action Investigations, Employee Benefits, Employee Medical History, Grievances and Complaints, Recruitment and Selection.</p>	Temporary	Destroy 6 years after employee separation or termination
Office of Record	Human Resources		

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HRM-PER-008	<p>Employment Eligibility Verification Records document the filing of U.S. Immigration and Naturalization Service Form I-9 verifying an applicant or employee’s eligibility to work in the United States. Information includes employee information and verification data - citizenship or alien status and signature – and employer review/verification data such as documents that establish identity and eligibility, and employer's signature certifying that documents have been checked.</p> <p>Office of Record Human Resources</p>	Temporary	Destroy 3 years after date of hire or 1 year after employee separation, whichever is longer
HRM-PER-009	<p>Employment Verification Records documenting responses to requests for verification of employment at Metro from other firms or organizations.</p> <p>Office of Record Human Resources</p>	Temporary	Destroy 1 year after date issued
HRM-PER-010	<p>Grievances and Complaints Grievances or complaints filed by current employees, terminated employees, applicants, or private citizens regarding employment practices. Often relates to interpretations and alleged violations of employment contracts. Records may include but are not limited to:</p> <ul style="list-style-type: none"> • complaints • investigation records • interview and hearing reports • arbitrator's findings and decisions • recordings, correspondence and other documentation <p>Office of Record Human Resources</p>	Temporary	Destroy 3 years after resolution

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-PER-011	<p>Hazard Exposure Records document an agency employee's exposure to hazardous conditions such as chemicals, toxic substances, bloodborne pathogens, biological agents, bacteria, virus, fungus, radiation, noise, dust, heat, cold, vibration, repetitive motion, or other dangerous work related conditions. Records may include but are not limited to:</p> <ul style="list-style-type: none">• hearing test records• radiation measurement records• blood test or other laboratory results• incident reports• first-aid records• X-rays• work station air sampling reports• correspondence <p>These records should be maintained in a secure file physically separate from Individual Employee Personnel Records and handled as confidential medical information, as required by the Americans with Disabilities Act. SEE ALSO Employee Medical History records in this section.</p>	Temporary	Destroy 30 years after employee separation or termination
Office of Record	Human Resources		

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Position Description, Classification and Compensation

The activity of managing the establishment and adjustment of compensation levels for Metro employees, based on the terms and conditions of employment that govern their position. This includes records documenting the evaluation of the classification assigned to a position or group of positions; the performance evaluation process; merit pay and salary surveys.

<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-PCC-001	<p>Comparable Worth Study Records – Final Studies or Reports Records documenting the analysis, study, and resolution of pay equity, alleged job discrimination, and related issues involving the agency and its employees. Records may include but are not limited to:</p> <ul style="list-style-type: none"> • job content questionnaire summaries • position allocation reports • personnel reclassification studies • job category listings • study outlines • graphs and tables • significant related records 	Permanent	Retain permanently
Office of Record	Human Resources		
HRM-PCC-002	<p>Comparable Worth Study Records – Other Records Records documenting the development and operation of Metro's compensation programs.</p>	Temporary	Destroy 5 years after final study or report completed
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-PCC-003	Position Description, Classification and Compensation Records document the description, classification, reclassification, and compensation of agency jobs and positions. Usually includes details of duties and responsibilities of each position, time percentage breakdowns of tasks, skills and abilities needed for each position, and related records documenting the development, modification, or redefinition of each job or position. Records may include but are not limited to: <ul style="list-style-type: none">• reports• classification specifications• job analyses• interview data• selection criteria• authorizations• pay schedules• agreements• other related records	Temporary	Destroy 3 years after final administrative review
Office of Record	Human Resources		

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Recruitment and Selection

The process of recruiting which includes applying for approval to fill existing vacancies, the advertising of vacant positions, and the handing of applications, interviews, selection, culling and appointment.

<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-RAS-001	Recruitment and Selection Records documenting the recruitment and selection of staff. Records may include but are not limited to: <ul style="list-style-type: none">• records documenting the identification of vacant positions at Metro• announcement records• position description• records documenting creation of test and rating scale• advertisement records Also includes records related to the identification and review of staffing requirements for Metro business units, and the creation of new positions.	Temporary	Destroy 10 years after position filled or recruitment canceled
Office of Record	Human Resources		

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<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-RAS-002	Unsolicited Applications and Resumes Records documenting the management of unsolicited applications not associated with a specific recruitment.	Temporary	Destroy 3 months after date received if not returned to solicitor
Office of Record	Human Resources		
HRM-RAS-003	Unsuccessful Applications Records documenting the management of employment applications of candidates who are not selected for a specific recruitment.	Temporary	Destroy 3 years after position filled or recruitment canceled
Office of Record	Human Resources		
HRM-RAS-004	Applicant Tracking Records Records documenting the recruitment and selection of staff. Records may include but are not limited to:	Temporary	Destroy 5 years after recruitment ends
	<ul style="list-style-type: none"> • applicant lists • applications and resumes • civil service and other examination records • DD 214 Veteran's discharge records • interview questions • interview and application scoring notes • letters of reference • position authorization forms • correspondence and documentation 		
Office of Record	Human Resources		

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Training and Development

The activity of planning and administering employee training and development opportunities for employees.

<u>Class No.</u>	<u>Description of Records</u>	<u>Status</u>	<u>Disposal Action</u>
HRM-TAD-001	Training and Development Program Administration Records related to the design and implementation of training programs provided to employees by the agency. Records may include but are not limited to: <ul style="list-style-type: none">• class descriptions• instructor certifications• planning documentation• instructional materials• course outlines• related significant records	Temporary	Destroy 6 years after course sunsets
Office of Record	Human Resources		
HRM-TAD-002	Employee Recognition Records relating to employee recognition for special service to the agency. Records may include but are not limited to: <ul style="list-style-type: none">• service awards• recognition certificates• commendations• award nominations• lists of past recipients• presentation or ceremony records and photographs	Temporary	Destroy 6 years after employee separation or termination
Office of Record	Human Resources		

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Consult the Administration section for records series commonly retained by Metro, including but not limited to: Advisory committee records, calendars and scheduling records, correspondence, mailing lists, organizational records, and policies and procedures guidelines and manuals.