

DEPARTMENT OF GENERAL SERVICES  
 RECORDS MANAGEMENT DIVISION  
**RECORDS RETENTION AND DISPOSAL SCHEDULE**

Schedule No. C1043

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Agency: HOWARD COUNTY GOVERNMENT

Division/Unit: DCA/Human Resources

Item No.	Description	Retention
Supersedes C910		
1.1	<p><u>Individual Employee Personnel Files</u> – Official personnel documents of employees, which might contain application for employment; notices of disciplinary action; performance appraisals; personnel action forms concerning promotion, demotion, transfer, termination, and pay actions; and any or all employment related documents.</p> <p>Note: Disciplinary material may be purged in accordance with the Employee Manual or as agreed by the Union Contract.</p>	<p>Keep in Human Resources office for 1 year after termination. Documents either in paper form or on CD. Retain in County storage or document management system for 50 years after termination of employment, and then destroy.</p>
1.2	<p><u>Contingent Employee Files</u> – All paperwork related to the employment of part-time, non-permanent, non-benefited employees.</p>	<p>Keep in Human Resources office for 1 year after termination. Documents either in paper form or on CD. Retain in County storage or document management system for 50 years after termination of employment, and then destroy.</p>
1.3	<p><u>Employment Files</u> – Announcement of job openings. Files including all material received or created, such as background checks, in the processing of applications for employment with the County; Position Requisition Log; Job Announcements, Employment applications ( non-selected and related correspondence), Apptrak, Log of all applications received, Eligibility Lists/Books of top qualified applicants, Selection Letters, Applicant correspondence.</p>	<p>Keep in Human Resources office for 1 year after termination. Documents either in paper form or on CD. Retain in County storage or document management system for 50 years after termination of employment, and then destroy.</p>

Schedule Approved by Department, Agency, or Division Representative.  
 Date: 8/25/09  
 Signature: [Signature]  
 Typed Name L. Todd Allen  
 Title Administrator, Office of Human Resources

Schedule Approved by County Records Management Representative.  
 Date: 9/2/09  
 Signature: [Signature]

Schedule Authorized by State Archivist  
 Date: 11 Sep 09  
 Signature: [Signature]

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Item No.	Description	Retention
1.4	<u>Payment/Invoices</u> – Copies of HR budget payment forms to include Sub-orders, DPC's, Partial/Final payments, and Employee Expense Claims.	Keep in Human Resources office one year, then offsite storage for 3 years, then destroy
1.5.	<u>Exit Interviews</u> – Information obtained from existing employees regarding reasons for leaving, job/benefits satisfaction.	Keep in office 2 years , then destroy
1.6	<u>Office Budget Information</u> - yearly budget records of Human Resources Office.	Keep in office for 5 years, then destroy
1.7	<u>Leave Records</u> – Human Resources requests for leave, FLSA forms, leave charts, time sheets, overtime requests/logs, Hours Adjustment forms and monthly reviews.	Keep in office for 1 year, and then destroy.
1.8	<u>Collective Bargaining Agreements</u> – Human Resources Office file copies of Labor Union Contracts.	Retain for life of contract , plus 5 years, then destroy
1.9	<u>Travel Requests</u> – Official Leave for Human Resources Staff.	Keep in Office 1 years, then destroy
1.10	<u>Correspondence Copies</u> – Chronological files of all HR correspondence.	Screen annually and destroy material that is no longer needed for current business. Retain permanently any material that serves to document the origin development and accomplishments of the office and has continuing administrative, fiscal, legal or historic value. Transfer to MSA annually.
1.11	<u>Yearly Awards Program</u> - listing of employees per department for both service and recognition awards, program books,	Retain for 3 years, then destroy
1.12	<u>Contracts</u> – used by Human Resources for Consultant and other HR related services.	Office – 5 years beyond active, then destroy
DGS 550-1 (Rev. 08/09)		

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Item No.	Description	Retention
1.13	<u>Legal Opinions</u> – Requests for the office of law by Human Resources for their opinions on various issues.	Office – 5 years beyond active, then destroy
1.14	<u>Departmental Correspondence</u> – Correspondence from and to County departments relating to Human Resources topics.	Screen annually and destroy material that is no longer needed for current business. Retain permanently any material that serves to document the origin development and accomplishments of the office and has continuing administrative, fiscal, legal or historic value. Transfer to MSA annually.
1.15	<u>County-Wide Employee Manuals</u> – Records relating to the policies, rules and regulations governing County Personnel and County Government	Office – 2 years, then permanent through storage. Periodically forward to MD State Archives (MSA).
1.16	<u>Appeal Files</u> – Files pertaining to employee appeals from department level to Personnel Officer	Office – 3 years beyond employment, then destroy
1.17	<u>Classification Files</u> – Reports, correspondence, memoranda, job analyses, interview data, selection criteria, authorization, agreements, and similar material relating to the description of all jobs and positions in the County, detailing duties and responsibilities of each position, time percentage breakdown of tasks, skills, and abilities needed for each position, etc. and comparable records documenting the development, modification, or redefinition of each job or position.	5 years in office after position becomes obsolete, then permanent storage. Documents in either paper form or on CD will be forwarded periodically to the MD State archives (MSA). <b>HISTORICAL</b>
1.18	<u>Salary Schedules</u> – Schedules, pay plans, and similar documents relating to wage and salary ranges.	5 years in office after supercession. Permanent through storage. Forward periodically to MD State Archives (MSA).

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Item No.	Description	Retention
1.19	<u>EEOC/Affirmative Action Plans Files</u> – Records of both employees and unhired applicants that demonstrate compliance with the statutes and regulatory requirements of the Equal Employment Opportunity Commission, including reports, plans, statistical data, and other source material used to complete EE04 reports.	Retain for 10 years, and then destroy.
1.20	<u>EEOC/Affirmative Action Case Files</u> – Legal and investigative documents and correspondence involving grievances, complaints, or charges of discrimination brought in relation to EEOC/Affirmative Action Program.	Retain for 10 years after resolution of the case, and then destroy.
1.21	<u>Classified Employee Examination files</u> – Documents relating to the development and administration or examination and tests, including schedules, correspondence, administrative notes and announcements, sign-up sheets, applications, interview lists, tests and keys, and similar material.	3 years in office then destroy
1.22	<u>Training program Administration Records</u> – Records concerning development and administration of employees training in the County or any of its agencies.	2 years in office, then destroy.
1.23	<u>Educational and Career Advancement Records</u> – Requests, authorization, tuition forms, and similar records of County employees in educational programs, workshops or comparable activities in which expenses are borne by the County.	2 years in office, then destroy.
1.24	<u>Benefit Administration Files</u> – Copies of documents including information, statistics, and records of County benefits provided to employees; Health Insurance and Open Enrollments, COBRA, Life Insurance, Retirement Plan, Disability Program, Employee Assistance Program, Deferred Compensation, Tuition Assistance, Benefit History and rate information.	Retain 5 years in office, then destroy
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Item No.	Description	Retention
1.25	<u>Maryland State Retirement System Reports</u> – Annual report to the County from Maryland State Retirement/Pension Systems and copies of any reports made by the County to the system.	5 years, then destroy <b>Caution:</b> Before disposal, appraise for continuing administrative usefulness and historical value. Materials considered of historical value should be retained permanently, in storage, after 5 years. Forward periodically to MD State Archives (MSA).
1.26	<u>Personnel Board</u> – 1. Election Materials – for Board members and alternate  2. Case files and audio tapes  3. Minutes of meetings	Retain for 5 years the destroy  Retain for 10 years then destroy  Office 2 years, then permanent through storage. Forward periodically to MD State Archives (MSA).
1.27	<u>Pension Administrative Files</u> – Records concerning the design, implementation, administration, and revision of Pension and retirement systems, including periodic actuarial evaluations and reports, periodic investment results reports, and auditors reports.	Keep current year in office. Keep 2 prior years off site, and then destroy.
1.28	<u>Pension Plan Documents</u> – Documents containing descriptions of Plan provisions and benefits.	Office – current plan; others, permanent through storage. Forward periodically to MD State Archives (MSA).
1.29	<u>IRS Private Letter Rulings</u> – Requests to the Internal Revenue Service for determination and the responses made by the IRS in return.	3 years in office then permanent through storage. Documents in either paper form or on CD will be forwarded periodically to MD State Archives (MSA)
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Item No.	Description	Retention
1.30	<u>Pension Committee Minutes</u> – Minutes of the HCRP, HC Police and Fire Employee’s Retirement Plan and pension Oversight Commission and all subcommittee reports	3 years in office then permanent through storage. Documents in either paper form or on CD will be forwarded periodically to MD State Archives (MSA)
1.31	<u>Pension Committee Annual Reports</u> – Annual reports of various County pensions systems.	3 years in office then permanent through storage. Forward periodically to MD State Archives (MSA)
1.32	<u>Individual Employee Pension and Retirement Records</u> – Human Resources records of each County employee participating in a pension, retirement, and/or disability plan, including but not limited to the Maryland State Retirement and Pension Plan, the Howard County Police & Fire Employees Retirement Plan, and the Howard County Retirement Plan; including enrollment, summaries of contributions & deductions, personal data forms, beneficiary forms, authorizations, and similar records documenting an employee’s participation in the Plan.	Retain for 3 years after removal from the system or death of the employee or retiree, then destroy
1.33	<u>Individual Retiree Records</u> – Human Resources record of each County retiree receiving benefits from the Howard County Police & Fire Employees’ Retirement Plan or the Howard County Retirement plan; including but not limited to electional benefits and payment options, authorization forms, tax election forms, beneficiary forms, benefit certificates, and similar records documenting a retiree’s benefits.	Retain for 3 years after removal from the system or death of the employee or retiree, then destroy
1.34	<u>HA Forms and Annual Performance Reviews</u> – leave reconciliation; step increases and probation reviews.	One year in office; 2 years in storage, then destroy
1.35	<u>Individual Benefit Files</u> – Contain employee benefit election and enrollment forms, beneficiary designation forms, pre-placement physical exam results, medical certificates, FMLA paperwork, random drug test results.	Retain in office during tenure. Becomes part of Individual Employee Personnel Files upon termination; thereafter, see Item No. 1.1
1.36	<u>Annual Retirement statements</u> – for all retirees with Police, Fire & Rescue and Howard County retirement plans. DGS 550-1 (Rev. 08/09)	Retain in electronic content form for 2 years then destroy or remove from database.