

4.5 MISCONDUCT/DISCIPLINE/GRIEVANCES

The activity of investigating and responding to employee misconduct, grievances and disciplinary matters.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03006 Rev. 1	<p><i>Complaints and Grievances – Exonerated</i></p> <p>Records relating to complaints and grievances filed in cases of affirmative action, discrimination, equal opportunity employment, harassment issues and other workplace conditions and issues <i>in which the complaint proved to be unsubstantiated</i>. May be filed by job applicants, the public and represented and non-represented state employees.</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 or mediation efforts; • Determinations and appeals. <p>Excludes records covered by <i>Complaints and Grievances – Upheld (DAN GS 03003)</i>.</p> <p><i>Note: Records may be retained upon employee request and in case of pending legal action (reference RCW 41.06.450 and WAC 357-22-040).</i></p> <p><i>Note: RCW 40.14.050 and RCW 40.14.060 vest authority to determine the retention period for public records in the State Records Committee, and not in the parties to a collective bargaining agreement.</i></p>	<p>Retain until exoneration <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03003 Rev. 2	<p><i>Complaints and Grievances – Upheld</i></p> <p>Records relating to complaints and grievances filed in cases of affirmative action, discrimination, equal opportunity employment, harassment issues and other workplace conditions and issues <i>in which the complaint/grievance was upheld</i>. May be filed by job applicants, the public and represented and non-represented state employees.</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 or mediation efforts; • Determinations and appeals. <p>Excludes records covered by <i>Complaints and Grievances – Exonerated (DAN GS 03006)</i>.</p> <p><i>Note: RCW 40.14.050 and RCW 40.14.060 vest authority to determine the retention period for public records in the State Records Committee, and not in the parties to a collective bargaining agreement.</i></p>	<p>Retain for 6 years after final determination of case <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR