

## Personnel Records

14	Personnel Files - Active	Included are applications for employment, personnel data summary, attendance records, personnel actions, performance evaluations, cumulative leave records, discipline record, letters of commendation, payroll deduction data, bond, training records, Learn, Earn and Prosper (LEAP,) and State Educational Assistance Program (SAEP), etc.	Hold until separated from employment; then transfer to Personnel Files - Separated Employees. Active personnel files may be purged of the following material three (3) years after receipt: Request for Leave, Cumulative Leave Records, Attendance Records, and Performance Evaluations.
15	Personnel Files - Separated Employees	Included are: Application for employment, personnel data summary, attendance record, personnel actions, performance evaluations, cumulative leave records, discipline record, letters of commendation, payroll deduction data, bond, training records, Learn, Earn and Prosper (LEAP,) and State Educational Assistance Program (SAEP), etc.	Hold six (6) years PROVIDED personnel reference data is maintained by agency for all employment activity prior to 1978. The information retained must include employee name, social security number, date of birth, race, sex, job titles, dates held, salary history, and termination date. This information is maintained by the State Personnel Board for personnel actions after 1977. Personnel reference information should be retained for a period of fifty-five (55) years. Personnel summary data may be retained in any format and media selected by the agency. NOTE: Personnel files for separated employees may be transferred to the State Records Center for storage until the expiration of the six-year period. All files transferred to the State Records Center MUST contain certification from the agency that personnel summary data has been prepared for all files dated prior to 1978.
16	General Administrative Files - Personnel Office	Included are: Certificate of eligibility, job applications (unsuccessful), job announcements, employee count printouts, requests for certificate of eligibility, performance evaluations due, manpower project and occupational analysis.	Hold original or authenticated reproduction three (3) years; then destroy.
65	EEOC Case Files	This series includes the statement of position, internal investigation material, copy of personnel file, correspondence, witness interviews, copies of applicable personnel policies, and notices from the Equal Employment Opportunity Commission.	Hold file on (1) year after the Notice of Right to Sue has been issued by the EEOC; then dispose if no litigation has begun. If a Letter of Determination was issued by the EEOC, or the complainant filed suit; then hold file three (3) years after conclusion of conciliation or litigation; then dispose. Audit must

			have been released three (3) years after financial settlement. 29 CFR 1602
79	I-9 Forms	This series is filed separately from the regular personnel files and agencies must be able to provide access to the Department of Justice or Department of Labor within three (3) days of a request.	Hold three (3) years after date of hire or one (1) year after termination, whichever is greater, then dispose.
80	Health Plan Benefits	This series includes information about the health benefits available to all state employees.	Office of Insurance to hold information related to health benefits and programs seven (7) years after modification or termination of plan benefits, then dispose. State Agencies hold state employee health benefits plan information three (3) years after the plan is amended or superseded, then dispose.
81	Supplemental Health Plan Benefits	This series include information about supplemental benefits available to state employees for a given agency.	Agencies will hold supplemental health benefits plan information six (6) years after the plan is amended or superseded, then dispose.
82	Drug Test Records	This series includes the testing results of employees from drug tests administered as a condition of employment.	Hold drug test records one (1) year from receipt of test results, then dispose. DOT positions in aviation, trucking, railroads, mass transit and pipelines must hold records five (5) years from receipt of test results, then dispose. If test resulted in adverse action against an employee, hold the records five (5) years after conclusion of final action.
83	Americans with Disabilities Act documentation	This series includes all documents received from or used to make a decision for compliance with the Americans with Disabilities Act. The Equal Employment Opportunity Commission, Department of Transportation, Federal Communications Commission, and Department of Justice all enforce portions of the Act.	Hold all documents received from an employee, or created as part of the decision-making process, one (1) year after receipt of the records or personnel action is finalized, then dispose.
84	Age Discrimination in Employment Act	This series includes documents received or used in the decision-making process related to age discrimination in employment. The Equal Employment Opportunity Commission regulates and enforces this Act.	Hold all documents received from an employee, or created as part of the decision-making process, one (1) years after receipt of the records or personnel action is finalized, then dispose. All payroll records are held according to the payroll retention schedules.
85	Applicant Selection Process Records	This series includes certificates of eligibles, applications, resumes, cover letters, interview notes, and other documents presented for a position of employment.	Agencies will hold two (2) years after the final decision is made on the position for which the information was received. Supervisors and selection committee members to hold copies one (1) year

			after completion of interview and decision process, then dispose.
86	Safety Data (Toxic Substance Exposure)	This series includes files related to the safety of state employees and exposure of hazardous or toxic substances. This includes Material Safety Data Sheet, medical exams, reports, and communications.	Hold all safety and health records related to exposure thirty (30) years after the individual is no longer employed by the state, then dispose.
87	Worker's Compensation Files	This series includes files related to accident reports, potential claims, and actual claims filed for Worker's Compensation Coverage due to injury or illness related to employment.	Supervisors hold all files until they can be transferred into the agencies Official Files. The Official files are held for reports of injury in which no claim for coverage was filed for two (2) years, then dispose. Hold all records related to Worker's Compensation coverage or benefits paid for seven (7) years after last payment is made.
91	Personal Service Contract Files	Documents related to and including personal service contracts, analysis, requests for approval, advertisements, invitations to bid, vendor bids, awards, contracts and all other records as required by the Personal Service Contract Review Board for the administration of personal service contracts.	Hold three (3) years after final payment and agreed settlement, then dispose. Audit must have been released three (3) years prior to disposal.
107	Garnishments	This series includes court documents of service to agency, calculation of garnishable wages, correspondence, release of garnishment, statement of satisfaction, and other files.	Hold three (3) years after complete satisfaction of judgement, court order, or after audit; whichever is longer, then dispose.
108	Unemployment Records	This series includes notices and responses to claims, determinations, notices of hearings, and decisions, unemployment insurance payment reports, and other files.	Hold five (5) years; then dispose. Audit must have been released three (3) years prior to disposal.
109	Pre-Employment Background Investigation	This series contains information related to pre-employment background investigations to include copies of employment applications, release forms, credit reports, driver's licenses, transcripts, social security numbers, professional licenses or certifications, verification of education and licensure, sex offenders registry, personal and professional references, fingerprint applications, lie-detector results, blood or urine test results, correspondence, criminal, driving, education, court, and military records.	Hold one (1) year from conclusion of investigation; then dispose. If investigation resulted in the applicant not being hired, hold the records five (5) years after conclusion of final action; then dispose. Drug test records are held according to schedule G82
110	During Employment Background Investigation	This series may include copies of drivers' licenses, copies of professional licenses or certifications, release forms, personal and employment references, education records, employment applications, fingerprint applications, lie-detector results, blood or urine test results, correspondence, and other files.	Hold one (1) year from conclusion of investigation; then dispose. If investigation resulted in adverse action against an employee, hold five (5) years after conclusion of final action; then dispose. Drug test records are held according to schedule G82.

201	Time Management	This series includes documentation of case management, staff assignment and time study reports to determine the amount of time involved in projects by staff/contractors, and to allocate costs for future expenditures relating to the number of individuals involved.	Hold one (1) year, then dispose.
202	Training Events	Sign-in sheets, announcements, correspondence. Correspondence and invoices for training provided by a third party must follow Procurement retention schedules.	Hold three (3) years, then dispose.
203	Training Master Files	Development files to include curriculum, presentation material, hand-outs, lecture notes or information compiled for the presentation of the training. Agency should obtain a copy from contractors or vendors who are providing the training for the benefit of the agency.	Hold until superseded, then dispose.
266	Residency Files	This series includes applications, selection, action requests, evaluation forms, correspondence, procedures, privilege forms, residency manuals, schedules, rotation, team assignments, call schedules, master clinic calendars, licensing examinations, Lecture schedules, contracts with hospitals, exist interview, travel copies, fellowship information, patient log sheets, and related files to manage the residency for medical, osteopathic, and dental students.	Hold seven (7) years, then dispose.
336	Employee Appeals	This series includes files related to an employee appeal contesting adverse personnel actions or specific grievances referencing the state employee handbook.	Hold five (5) years after settlement of the case, then dispose.
337	Volunteers	This series consists of files related to volunteer and docent programs. These programs include general volunteer services, educational docents, and personal engagement initiatives such as Adopt-A-Friend. Documentation may include volunteer applications, training manuals, background checks, participation logs, schedules, correspondence, and program-specific materials.	Hold until lapse of administrative needs, then destroy. Hold background check documentation according to Personnel schedules G109 and G110, as applicable.