



Arizona State Library, Archives and Public Records

General Records Retention Schedule for All Public Bodies Human Resources/Personnel Records

Schedule Number:

000-12-21

Authorization and Approval

Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal. Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule. If it is believed that special circumstances warrant that records should be kept for a shorter time than the time period listed in this schedule or that any of these records may be appropriate for transfer to the State Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

Lisa Maxwell, Director
Records Management Division
Arizona State Library, Archives and Public Records

Date Approved: *March 8, 2012*

**General Records Retention Schedule for
All Public Bodies
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
1.	Affirmative Action/Equal Employment Opportunity Records (including reports and supporting documentation but does not include specific charges, responses and case files (see Grievance and Complaint records (item #22))	3	After created or received
2.	Alcohol/Drug Testing Program Records (including Commercial Drivers' License (CDL) Random Drug Records)		
	a. Cancelled or Negative Results	1	After results received
	b. Positive Results	5	After action taken in response to results is resolved
	c. Records related to collection	2	After test given
	d. Forms from previous employers	3	After received
3.	Americans with Disabilities Act (ADA) Records (including requests for accommodation)	3	After completion of accommodation or case settled
4.	Benefit Enrollment Records (including employee enrollment in medical, dental, life insurance, prepaid legal, beneficiary designation and other benefit options)	5	After employee terminated
5.	Civil Service/Merit Board/ Personnel Board Records (including appeal / hearing case records, exhibits, transcripts and other related records and excluding minutes (See Retention Schedule for Management Records for retention of minutes and other Board related records))		
	a. Appeal Records	2	After resolved
	b. Litigation Records	2	After case closed
	c. Merit System Rules Files	Permanent	Preserve pursuant to ARS §39-101
6.	Classification/Market Study Records (including studies and reports)	1	After superseded or obsolete

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7.	Declaration of Gifts Records a. Elected and Appointed Officials b. All others	3 5	After term of office ended After filed
8.	Department of Economic Security (DES) New Hire Reports (per ARS §23-722.01)	1	After submitted
9.	Disability Records (including short-term and long-term disability)	6	After claim closed
10.	Employee Consolidated Omnibus Budget Reconciliation Act (COBRA) Records a. Decline Notice Records (including returned undeliverable notices) b. All others	2 3	After employee terminated After either benefits terminated or coverage rejected
11.	Employee Medical and Exposure Records (including lists of hazardous materials exposed to, blood-borne exposure records, hepatitis B (HBV) and Human Immunodeficiency Virus (HIV) exposure reports and waivers, pre-employment physicals, results of exams, medical opinions, diagnoses, employee medical complaints and other related records) <i>*These records must be filed separately from the employee personnel file</i>	30	After employee terminated

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12.	Employee Personnel Records (for full-time, part-time, contract, seasonal, interns, volunteer, appointed, or elected positions. Including applications, resumes, performance reviews, disciplinary records, records documenting employee pay decisions, loyalty oaths and oaths of office, conflict of interest and personal interest disclosure records, confidentiality agreements, policy acknowledgements, exit interviews, drivers' qualifications, training, and pre-employment background check records.) a. Official copy b. Supervisors' and other non official copies c. Contract Employees	5 6 months 6	After employee terminated or term of office ended After employee terminated or transferred After contract expired, cancelled or revoked
13.	Employee Recognition Records	-	After administrative value has been served
14.	Employee Suggestion Program Records (including award program records)	-	After administrative value has been served
15.	Employee Summary Records (listing of current and former employees including name, dates of employment and job titles used to answer job reference questions)	15	After employee terminated
16.	Employee Survey / Questionnaire Records (including attitude surveys, selective certification surveys, salary surveys and other surveys not filed with specific program records)	-	After administrative value has been served
17.	Employee Tuition Refund Program Records	3	After fiscal year refund issued

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18.	Examination Records a. Booklets (Master booklet including development documentation) and Oral Board Questions b. Answer Sheets c. Testing Administration Records (including lists of individuals scheduled for exam) d. Oral Board Questions	2 1 1 2	After superseded or obsolete After test administered After scheduled test date After created or received
19.	Family Medical Leave Act (FMLA) Records (including employee leave request forms, supporting documentation and other non-medical related records) Employee certification and health records must be retained separately from the personnel file with the employee health and exposure records. a. Certification of Health-Care Provider forms b. All other records	 6 months 3	 After employee terminated After created, received or leave expired, whichever is later
20.	Fingerprint cards (card with fingerprints on it and not the report received)	6 months	After created or received
21.	Flexible Spending Account Records	7	After created or received
22.	Grievance and Complaint Records (including Affirmative Action/ Equal Employment Opportunity (EEO) complaint and response records, Arizona Civil Rights Division (ACRD) charge and response records, employee relations issues and performance issues)	3	After resolved
23.	Group Insurance Records (office copy explaining benefits and costs to employees based on contract with insurance carrier)	1	After superseded or obsolete

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24.	Hiring/Selection Records (including job announcements, applications, selection, test scores, interview records, pre-employment background check records, affirmative action questionnaires and other related records for individuals not hired) a. Peace Officers (as defined by ARS §1-215) b. All others	3 2 years 6 months	After position filled or abandoned After position filled or abandoned
25.	Individual Employee Training Records (including certificates of attendance and other related records) a. Law Enforcement Officers b. All others	5 3	After employee terminated After training received
26.	Insurance Policies (Contract with Insurance company)	6	After expired, canceled or revoked
27.	Investigations of Personnel Matters (including internal investigation records) a. Sustained b. Unsustained	5 5	After employee terminated or investigation resolved or closed, whichever comes later After investigation resolved or closed
28.	Investigation Records (From DMV) a. Routine Department of Motor Vehicles (DMV) reports – no major infractions b. DMV reports – serious infractions	4 -	After received or superseded, whichever is first Transfer to personnel record
29.	I-9 Forms (May also include Social Security Verification (SSA) records for individual employees)	1	After employee terminated, but not less than 3 years after date of hire
30.	Job Announcements (if filed separately from hiring / selection records)	2 years 6 months	After position filled or abandoned

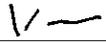
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31.	Leave Records (including compassionate leave, donated leave, military leave and other related records)	3	After fiscal year created or received
32.	Life Insurance Paid Claims	7	After fiscal year claim paid
33.	Merit Based Pay Funding Records	2	After created or received
34.	Multi-Lingual Testing Records	2	After test administered
35.	Occupational Safety and Health Records		
	a. Material Safety Data Sheets (MSDS)	30	After substance last received in workplace
	b. All other records (including accident reports, logs, annual summaries, worksite safety inspections, safety health audits and citation records)	5	After created or received or citation resolved, whichever is later
36.	Out-of-Class Assignment Reports	3	After created or received
37.	Pay Plan/Salary Schedule/Annual Salary Schedules Records	Permanent	Preserve pursuant to ARS §39-101
38.	Polygraph Records of Law Enforcement or Probation Officers (including data and reports, but not including pre-employment polygraphs in which applicant was not hired or data and reports of active investigation or appeals per ARS §38-1101(N))		
	a. Records created or received before July 29, 2010	5	After either employee terminated
	b. Records created or received on or after July 29, 2010	3	After date appointed or hired and no more than 3 years and 90 days after date appointed or hired
39.	Position Descriptions (Records describing established positions including information on title, series, grade, duties, and responsibilities. Also contains Position Description Questionnaire (PDQs))	3	After either superseded or position abolished, whichever comes first

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40.	Reduction in Force (RIF) Records (including computation documentation and recap summaries)	5	After RIF completed or abandoned
41.	Requests for Classification of New Positions or Reclassification of Existing Positions (including salary advancement records)	1	After request acted upon
42.	Requests for Verification of Employment	-	After administrative value has been served
43.	Retirement Benefits Records (including self-insured public bodies)		
	a. Any State-wide Retirement Fund including Arizona State Retirement System (ASRS) and Public Safety Retirement System (PSRS) Records (including temporary hours reports)	5	After created or received
	b. Self-funded Retirement Records	10	After death of beneficiary
44.	Retirement Systems Actuarial and Annual Reports	1	After published
45.	Social Security Verification Records (lists of social security numbers which have been verified with the Social Security Administration (SSA) with "match" or "mismatch" responses from SSA. Does not include individual responses. All mismatch responses require written documentation from office addressed to the employee.)	1	After verification completed
46.	Special Work Assignment Records	2	After approved or denied
47.	Statistical Listings of Employees	-	After superseded or obsolete
48.	Test Security Affidavits (School Districts and Charter Schools only)	6	After test administered

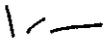
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49.	Unemployment Claims and Appeals Records	2	After action taken
50.	Union/Collective Bargaining Records		
	a. Arbitration/Grievance Case Records	8	After case resolved
	b. Collective Bargaining Agreements	Permanent	Preserve pursuant to ARS §39-101
	c. Negotiation Records (including workbooks and signed articles but excluding minutes)	8	After created or received
	d. Election records	6	After election held
	e. All other records (except minutes)	1	After created or received
51.	Unsolicited Applications	-	After administrative value has been served
52.	Wellness Fair Records (records concerning events hosted by the Public Body for their employees including correspondence, sign-in sheets, receipts of incentives and/or logs and other related records)		
	a. Health related records for employees	30	After employee terminated
	b. All other records	6	After event held
53.	Workers' Compensation Records		
	a. State Agency, Board and Commission records (agency copy, official copy at Department of Administration (ADOA))	3	After employee terminated
	b. Billing Records (State Compensation Fund)	5	After created or received
	c. Denied Claims	3	After denied
	d. Reports of Industrial Injury (employer and supervisors' reports)	5	After created or received
	e. Case Records	75	After case closed

Supersedes schedule dated October 20, 2011

Notes:

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