

## Division of Purchasing

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*Human Resource Records  
Retention Schedule of the  
Records Management Guide*

(This Schedule Revised April, 2008)



**C.L. "BUTCH" OTTER, GOVERNOR**

**Department of Administration**

Michael Gwartney, Director

[http://adm.idaho.gov/purchasing/RecordsCenter/individual\\_books/Human\\_Resource\\_Records\\_Book.pdf](http://adm.idaho.gov/purchasing/RecordsCenter/individual_books/Human_Resource_Records_Book.pdf)

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# APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

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## GUIDELINES

A record is recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

The following records retention schedule is reviewed and modified, if necessary, on a yearly basis. The schedule is designed to be a reference in designing individualized agency retention schedules and to provide a level of uniformity in records retention throughout Idaho state government. The State Record Center, Department of Administration, should be contacted regarding proposed changes or modifications to the records in this schedule, or if activities of an agency require different retention.

All retention periods are filed by either the fiscal or calendar year. For all UNANNOTATED DUPLICATE COPIES, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

## INTRODUCTION TO RECORDS RETENTION SCHEDULE

This schedule is intended for use within an agency's records management program. Regardless, until an agency creates a version of this records retention series specific to its facilities, these are the accepted and established time frames and limitations that should be adhered to.

Retention Schedule Headings Definitions	
Series #	Number associated with each schedule type
Series Title	A general description of the series
Office of Record	Office that commonly creates the record and holds it during its active period
Retention Period	Time to retain the record; life of the record
Transfer Instructions	Where a record goes after its active period
Archival	<p><b>A</b> – Indicates the record is or may be permanent and have historic value</p> <p><b>R</b> – Indicates a required review by the Records Manager to determine value</p>
Vital	<b>X</b> – Record is vital for immediate operation of the office of origin or the institution.
Guidance: Restricted Access	<p><b>RA</b> – Refers to the security needs of a record series. Must be justified.</p> <p><b><i>Access to applicable records should be limited to authorized personnel and approved individuals due to privacy and educational interests. Questions about limits should be based on the type of records, its content and the nature of the request for access and use.</i></b></p> <p>Records may contain, but are not limited to, confidential, personal or proprietary information.</p>
Guidance: Authorities	Federal and State laws, regulations or requirements that pertain to the series. Where not specifically referenced, Idaho Code § 9-337 through 9-347 of the Public Records Law has been applied. Note that there are exemptions for the access requirements of this law. These may be noted as well.

Retention Codes (Refer to Records Regardless of Format; Type May Vary)	
AC	After closed, terminated, completed, expired, settled or last date of contract
AV	As long as administratively valuable
CE	Calendar Year End (December 31 <sup>st</sup> )
FE	Fiscal Year End (June 30 <sup>th</sup> )
LA	Life of Asset
PM	Permanent
UA	University Archives
US	Until Superseded

## HOW TO USE THESE SCHEDULES

### ESTABLISHING A SCHEDULE

This schedule assumes that:

- The person using it is knowledgeable about his/her office or agency's records;
- An inventory of the records of the office or agency will be performed;
- Time will be taken to apply the definitions to the records found on hand; and
- Records will not be destroyed or reorganized without supervision of the agency's Records Manager or consultation with the State Archivist.

### FUNCTIONS AND TYPES OF RECORDS

This schedule is intended to address records common to most offices and agencies of the State of Idaho. Not every type of record listed here will occur in every agency. Some agencies will discover they have records that do not appear to fit any of these series. For those records, contact the State Archivist or the agency's Records Manager for guidance.

### HIERARCHY OF RECORDS WITHIN AN AGENCY

Put simply, not every office holding a copy of a record is holding the *record copy*. An example is time sheets. The record copy of a time sheet is the one signed and sent to the payroll office. Any copies kept in other offices to confirm later payroll reports (e.g., proper charges to accounts, etc.) are a short-term record, as are any personal copies in other offices. The Office of Record is the payroll office.

When trying to assess the value of a record in the focus area, bear this concept in mind: Where does the ultimate responsibility for a document, report or record lie? There are instances where a record has value for different reasons in different offices. This is the primary reason a physical inventory of records is essential to this process.

### WHEN A RECORD SHOULD BE RETAINED LONGER THAN ITS RETENTION

Documents, regardless of format or storage media (e.g., electronic files), associated with any dispute, audit or legal proceeding should not be destroyed or altered without consultation with the agency's Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

### CONFIDENTIALITY, RESTRICTED ACCESS AND PUBLIC RECORDS

The need to limit access to a record type does not mean that it is unavailable as a public record.

- Requests for access to public records should be handled by personnel familiar with the requirements of the laws and regulations that apply to the information requested; and
- For some records flagged in this schedule as "RA – Restrict Access," copies can be furnished where restricted information is blocked out or redacted to make it available to a public records request. An example is a contract that may be copied if social security number, names, etc., have been obscured.

Concerns about making records available to a public records request should be addressed to the agency's Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

## **CREATING AN AGENCY'S RETENTION SCHEDULE**

Once an inventory is completed and a summary of the record series which occur in the agency's office has been compiled, based on this general schedule, a set of decisions will need to be made to establish the Office of Record for each record type. **NOTE:** For many common series, like "correspondence," the Office of Record will probably be the "office of origin" until it is time to transfer the inactive years of material to the State Archives. Other records have obvious "homes," like payroll records (Accounting or Payroll) and permanent or long-term personnel files (Human Resources). It should be noted that smaller-scale agencies may find that a central office becomes the Office of Record for many record types because of staffing or the preference of the agency director. For agencies with regional offices around the State, these decisions may seem problematic. However, with a careful focus on the needs of the offices within an agency and by consulting the State Archivist, these decisions can be made to the benefit of all.

One of the established benefits of records management, with improved accountability of the Office of Record, is efficiency, in both expense and time, of being able to retrieve a record when it is truly needed, without multiple copies taking up space throughout an agency or an office.

## **HOW TO USE THE RETENTION SCHEDULE FORMAT**

Please consider the sample inserted below. Microsoft Excel was used to create this version of the retention schedule document. The fields of the table should be adhered to for compatibility with other State agencies and offices within a given agency.

The *Records Retention Form*, an online Excel fill-in form document, may be accessed at [http://adm.idaho.gov/purchasing/record\\_cnt.htm](http://adm.idaho.gov/purchasing/record_cnt.htm).

## SAMPLE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0110	<b>PERIODIC BUDGET REPORTS</b>  Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy			
SG1310	<b>LOSS CONTROL INSPECTION REPORTS</b>  An annual self-inspection report used to identify potential hazards within the building or on the agency property. This record may also be used as evidence in defense of a claim.  <b>GUIDANCE:</b> - Retain by agency until superseded or obsolete, then send to Risk Management.	Risk Manage- ment	US +12, then destroy			
SG18312	<b>STUDENTS - FINANCIAL AID RECORDS - FFEL AND DIRECT LOANS</b>  Records related to borrower's eligibility and participation. All audit requirements to be met prior to disposal.  <b>GUIDANCE:</b> - AC - End of the award year in which the student last attended. - Retention based on 34 CFR § 668.24		AC +3, then destroy			<b>RA</b> -Access: FERPA, Confi- dential Record.
SG18559	<b>COMPUTER SYSTEMS - HARDWARE DOCUMENTATION</b>  Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems.  <b>GUIDANCE:</b> - Series may relate to property management schedules.		PM	A	X	<b>RA</b> -Access may be restricted as part of facility security plans.

**NOTE:** A column may be added for specific agency series numbers to allow for associating a records series with an in-house procedure or policy.

## HUMAN RESOURCE RECORDS

**INTRODUCTION:** *It is the responsibility of the State Controllers Office (SCO), PERSI, the State Insurance Fund, Department of Administration Office of Group Insurance (OGI), and Division of Human Resources (DHR) to appropriately maintain certain official state files as well as payroll, pension, insurance, benefit information and employment history.*

**Each state Agency maintains an employee's active personnel file. Additional official state records are kept by the above Agencies. The employing Agency may retain or destroy reference copies of these documents. If additional and significant information is added to a duplicate, then it should be reassessed for retention.**

*The citations are for informational purposes only.*

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0750	<p><b>I-9'S - EMPLOYMENT ELIGIBILITY VERIFICATION</b></p> <p>Documentation of employment eligibility compliance with the United States Department of Justice Immigration and Naturalization Service. The retention period below applies to forms completed for all new hires as well superseded or previous forms completed on rehires.</p> <p><b>GUIDANCE:</b> - Citation(s): 8 CFR 274A.2.</p>		AC +3, then destroy			

**LEGEND:**

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**Archival:** **A**-Record is or may be permanent and have historic value; **R**-Required review by the Records Manager to determine value.

**Vital:** **X**-Record is vital for immediate operation of the office of origin or the institution

**Guidance:** **RA**-Refers to the security needs of a record series. Must be justified.

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0752	<p><b>APPLICATIONS - CLASSIFIED EMPLOYMENT (UNSOLICITED)</b></p> <p>Unsolicited applications from individuals requesting employment directly through the agency. Since each agency cannot accept unsolicited applications directly (must first go through DHR), there is no requirement to retain unsolicited applications.</p>		None; forward to DHR upon receipt			
SG0753	<p><b>APPLICATIONS - NON-CLASSIFIED EMPLOYMENT (UNSOLICITED)</b></p> <p>Unsolicited applications for jobs that are not currently being filled may be destroyed.</p>		<p><i>Unsuccessful Applicants:</i> AC +4, then destroy</p> <p><i>Successful Applicants:</i> AC +5, then destroy</p>			
SG0754	<p><b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) AND OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAM (OFCCP) RECORDS</b></p> <p>Records generated out of compliance, reporting or complaints filed with the two agencies. May contain reports of OFCCP violations and EEOC reports, investigations, case files, complaints, etc.</p> <p><b><i>GUIDANCE:</i></b> - Citation(s): Business Requirement (29 CFR 1602.12).</p>		<p><i>EEOC:</i> AC +3, then destroy</p> <p><i>OFCCP:</i> AC +3, then destroy</p>			

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SG0760	<p><b>GARNISHMENTS - TAX LEVEES, COURT ORDERS, CHILD SUPPORT ORDERS, ETC.</b></p> <p>Court enforced garnishment orders issued by the legal system through the SCO, who sends out two copies to the Agency. One copy is filed in Agency and the other is forwarded to the employee. Per SCO, each Agency is required to retain their copy of the garnishment to ensure they do not set up employees for direct deposit, or any voluntary deductions, if they have a garnishment. SCO is responsible for receipt, setup, garnishment oversight, sending out copies, answering any employee questions, complaints, and retention.</p> <p><b>NOTE:</b> SCO recommends the Agency retain for 3 years. Courts retain indefinitely and sheriff retains for 1 year.</p> <p><b>GUIDANCE:</b></p> <ul style="list-style-type: none"> <li>- SCO is responsible for retention of original garnishment for 7 years after paid.</li> <li>- Citation(s): Business Requirement.</li> </ul>		AC +3, then destroy			

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SG0765	<p><b>MEDICAL FILES - TERMINATED EMPLOYEE</b></p> <p>Created when an employee has a medical condition (injury or illness – work or non-work related) affecting their ability to work. Files may include information about the situation, physical assessment forms, correspondence, information from physicians and other medical providers, return to work documentation, etc. Medical files may also include information about Workers Compensation, FMLA and ADA cases. Medical records should be kept as confidential as possible, ideally in a separate locked area.</p> <p><b>NOTE:</b> These are not Exposure Records (medical/employment questionnaires, tests or histories for occupational exposure history, lists of chemicals employees work with, radiation exposure, etc., which must have their own retention).</p> <p><b>GUIDANCE:</b></p> <ul style="list-style-type: none"> <li>- If involved in court case, retain until settlement plus 5 years, then destroy.</li> <li>- Citation(s): IC 41-2115; IC 72-601; IC 72-603; IC 72-701; IC 72-701; IC 72-706.</li> </ul>		AC +5, then destroy			

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SG0768	<p><b>PERSI TRANSMITTAL DOCUMENTS / REPORT</b></p> <p>Report issued by PERSI. Contains employer financial adjustments (back pay, regular pay, etc.) conveyed to PERSI. May include Employer Remittance Forms, invoices, correspondence, etc. PERSI conducts an annual audit on these records.</p> <p><b>NOTE:</b> PERSI auditors have access to documents from their office.</p> <p><b>GUIDANCE:</b> - Citation(s): Business Requirement.</p>		US, then destroy			
SG0770	<p><b>PERSONNEL FILES - FORMER EMPLOYEES</b></p> <p>Agency copy of employee's employment history. May contain application, résumé, personnel actions, performance evaluations, awards and commendations, insurance enrollments, deductions, disciplinary actions, payroll deductions, reprimands, annual performance plan and evaluations, benefit information, insurance beneficiaries (life, group, PERSI, etc.), and other documentation related to employment history.</p> <p><b>NOTE:</b> Office of Group Insurance does not receive a copy of the "Beneficiary Designation/Change of Beneficiary/Change Of Name" form, so the agency retains the original.</p> <p><b>GUIDANCE:</b> - Citation(s): 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3; 29 CFR 1627.3.</p>		AC +5, then destroy			

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SG0771	<p><b>PERSONNEL FILES - ACTIVE EMPLOYEE FILES</b></p> <p>The following documents <u>may be</u> purged from employee files after they have reached their individual minimum document retention periods outlined below. This process is included to allow HR the option to eliminate individual documents from active files as they become obsolete.</p> <p><b>A. Payroll Deduction Forms:</b>                      (1) <i>W-4's</i> (29 CRF 51636)</p> <p>(2) <i>Flexible Spending</i> (Original goes to OGI; Business Requirement)</p> <p><b>B. Medical Applications</b> (Original goes to OGI; Business Requirement)</p> <p><b>C. Insurance Beneficiary Changes:</b>                      (1) <i>PERSI</i> (Original goes to PERSI; Business Requirement)</p> <p>(2) <i>Life Insurance</i> (US or employee is approved for long term disability, at which time the original is sent to the OGI; Business Requirement)</p>		<p><i>Items:</i></p> <p>A.(1): US or 4 (whichever is later), then destroy</p> <p>A.(2) US, then destroy</p> <p>B: US, then destroy</p> <p>C.(1) US, then destroy</p> <p>C.(2) US, then destroy</p>			

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	<p><b>(3) Supplemental Insurance (NCPERS, AFLAC, etc.)</b> (Original goes to OGI; Business Requirement)</p> <p><b>D. Veterans Status Form</b> (After form has been entered into statewide payroll system)</p> <p><b>NOTE:</b> It is up to the Agency to decide if and when individual documents may be purged from a file as the resources (time and employees) may not always be available to comply with this schedule on a regular basis.</p> <p><b>GUIDANCE:</b>                      - Citation(s): IC 45-610; IC 72-601; IC 72-603; IC 72-701; IC 72-1337; 26 CFR 31.6001-2; 26 CFR 31.6001-4; 29 CFR 516.1; 29 CFR 516.2; 29 CFR 516.5; 29 CFR 516.6; 29 CFR 1602.12; 29 CFR 1602.14; 29 CFR 1620.32; 29 CFR 1620.33; 29 CFR 1627.3</p>		<p><b>C.(3)</b> US, then destroy</p> <p><b>D:</b> AC +60 days, then destroy.</p>			
SG0780	<p><b>PROBLEM SOLVING (GRIEVANCE) FILES - EMPLOYEE</b></p> <p>Record of complaints and grievances submitted by State employees regarding work place issues (except EEOC complaints). May include employees grievance, investigations, interviews, response, etc.</p> <p><b>GUIDANCE:</b>                      - Citation(s): Business Requirement.</p>		AC +5, then destroy			

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SG0782	<p><b>RECRUITMENT FILES - CLASSIFIED POSITIONS</b></p> <p>Records involved with the process of recruiting and hiring new employees. May include employment applications, résumés, etc. (see note below), advertisements, vacancy announcements (DHR has an original), registers, interview questions, applicant answers, reference checks, correspondence, etc., including all Agency generated screening and selection documentation.</p> <p><b>NOTE:</b> The Agency does not need to retain the applications of those not hired because DHR retains copies of all applications, résumés, and letters of all applicants before forwarding copies to the Agency.</p> <p><b>GUIDANCE:</b></p> <ul style="list-style-type: none"> <li>- Non-classified positions, retain for 4 years, then destroy.</li> <li>- Citation(s): Business Requirement (29 CFR 1602.14 – reference only as DHR retains official records).</li> </ul>		AC +4, then destroy			

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SG0784	<p><b>REPORTS - DIVISION OF HUMAN RESOURCES AND CONTROLLERS OFFICE</b></p> <p>Miscellaneous reports generated by DHR and SCO, including Alphabetical List Of Employees, Appointment Type Summary, Classified Code List by Agency/Employees, Deduction Register, Deleted Positions, Health and Dental Insurance Registers, Leave, Life Insurance, Miscellaneous Employee Reports, PCN Expenditure, Payroll Register, Position Lists, etc.</p> <p><b>NOTE:</b> SCO is responsible for retention of original reports.</p> <p><b>GUIDANCE:</b>                      - AV - Destroy when no longer required by the Agency.                      - Citation: Business Requirement.</p>		AV, then destroy			
SG0786	<p><b>TRAINING RECORDS - EMPLOYEE</b></p> <p>This series documents the training each employee received while employed. May include type of training, date(s) received, number of hours, pass/fail documentation, etc.</p> <p><b>GUIDANCE:</b>                      - Citation: Business Requirement.</p>		AC +5, then destroy			

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SG0787	<p><b>TRAINING RECORDS - MISCELLANEOUS</b></p> <p>This series includes various records created during the training process. May include nomination for training, training registration, pass/fail information, etc.</p> <p><b>NOTE:</b> Specialized training or certification documents may require a longer retention period to document the process. Retain as instructed by certifying agency.</p> <p><b><i>GUIDANCE:</i></b> - Citation: Business Requirement.</p>		AC +2, then destroy			
SG0788	<p><b>TRAINING PROFILES - PROGRAM ADMINISTRATION</b></p> <p>This series includes records involved with arranging, facilitating and coordinating training classes. May include course and trainer information, handouts, training dates, accommodations, materials, billing information, etc.</p> <p><b><i>GUIDANCE:</i></b> - Citation: Business Requirement.</p>		AC +2, then destroy			

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**Archival:** **A**-Record is or may be permanent and have historic value; **R**-Required review by the Records Manager to determine value.

**Vital:** **X**-Record is vital for immediate operation of the office of origin or the institution

**Guidance:** **RA**-Refers to the security needs of a record series. Must be justified.

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