

## Arizona State Library, Archives and Public Records

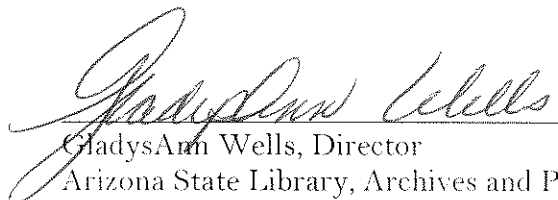
### General Records Retention Schedule for State Agencies, Boards and Commissions Personnel/Human Resource Records

**Schedule Number:**

**000-10-27**

#### **Authorization and Approval**

Pursuant to ARS §41-1351, the retention periods listed herein are both the minimum and maximum time records may be kept. Keeping records for a time period other than their approved retention period is illegal. However, 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 longer or shorter times 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 extend records retention periods. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

  
Gladys Ann Wells, Director  
Arizona State Library, Archives and Public Records

Date Approved:

*22 June 2010*

**General Retention Schedule for  
State Agencies, Boards and Commissions  
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
1.	Employee Personnel Records (for full-time, part-time, seasonal, interns, volunteer, appointed, or elected positions but not contract employees. Including applications, resumes, performance reviews, disciplinary records, records documenting employee pay decisions, loyalty oaths and oaths of office, confidentiality agreements, policy acknowledgements, exit interviews, drivers' qualifications, training, and pre-employment background check records.) a. Official copy  b. Supervisor's copy  c. Contract Employees	5  -  6	After either calendar year or fiscal year employee terminated Delete or destroy between 6 months and 5 years after either calendar year or fiscal year employee terminated or transferred After either calendar year or fiscal year contract expired, cancelled or revoked
2.	Statistical Listings of Employees	-	After either calendar year or fiscal year superseded or obsolete
3.	Position Descriptions (Records describing established positions including information on title, series, grade, duties, and responsibilities. Also contains Position Description Questionnaire (PDQs))	3	After either calendar year or fiscal year superseded or position abolished, whichever comes first

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4.	Requests for Classification of New Positions or Reclassification of Existing Positions (including salary advancement records)	1	After either calendar year or fiscal year request acted upon but no more than 3 years after either calendar year or fiscal year request acted upon
5.	Grievance and Complaint Records (including Arizona Civil Rights Division (ACRD) charge and response records, employee relations issues and performance issues)	3	After either calendar year or fiscal year resolved
6.	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)	2 years 6 months	After either calendar year or fiscal year created or received
7.	Unsolicited Applications	-	After administrative value has been served but no more than 2 years after either calendar year or fiscal year received
8.	Equal Employment Opportunity Records (including reports and supporting documentation)		
	a. Specific charges, responses and case files	3	After either calendar year or fiscal year resolved
	b. All other records	3	After either calendar year or fiscal year created or received
9.	I-9 Forms (May also include Social Security Verification (SSA) records for individual employees)	1	After either calendar year or fiscal year employee terminated, but not less than 3 years after date of hire

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
10.	Individual Employee Training Records (including certificates of attendance and other related records. Does not include Law Enforcement Officers Training Records)	3	After either calendar year or fiscal year training received
11.	Employee Tuition Refund Program Records	3	After fiscal year refund issued
12.	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 either calendar year or fiscal year created or received or citation resolved
13.	Employee Medical and Exposure Records (including lists of hazardous materials exposed to, bloodborne 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) <b><i>*These records must be filed separately from the employee personnel file.</i></b>	30	After either calendar year or fiscal year employee terminated
14.	Group Insurance Records (agency copy)	1	After either calendar year or fiscal year superseded or obsolete

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15.	Reduction in Force (RIF) Records (including computation documentation and recap summaries)	5	After either calendar year or fiscal year RIF completed or abandoned but no more than 10 years after either calendar year or fiscal year RIF completed or abandoned
16.	Investigations of Personnel Matters (may result in discipline, or civil or criminal action)	5	After either calendar year or fiscal year investigation resolved or closed or after employee terminated, whichever comes later
17.	Workers' Compensation Records (agency copy, official copy at Department of Administration (ADOA))	3	After either calendar year or fiscal year employee terminated
18.	Employee Summary Records (including name, dates of employment and job title of current and former employees, used to answer job reference questions )	15	After either calendar year or fiscal year employee terminated
19.	Family Medical Leave Act (FMLA) Records (including employee leave request forms, supporting documentation and other non-medical related records) <b>Employee certification and health records must be retained separately from the personnel file with the employee health and exposure records.</b>		
	a. Certification of Health-Care Provider forms	6 months	After either calendar year or fiscal year employee terminated
	b. All other records	3	After either calendar year or fiscal year created, received or leave expired, whichever is later

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
20.	Employee Consolidated Omnibus Budget Reconciliation Act (COBRA) Records a. Decline Notice Records (including returned undeliverable notices) b. All others	2  3	After either calendar year or fiscal year employee terminated After termination of benefits or coverage rejected
21.	Americans with Disabilities Act (ADA) Records (including requests for accommodation)	3	After either calendar year or fiscal year of completion of accommodation or case settled but no more than 5 years after either calendar year or fiscal year of completion of accommodation or case settled
22.	Unemployment Claims and Appeals Records	2	After either calendar year or fiscal year action taken
23.	Fingerprint cards (card with fingerprints on it and not the report received)	6 months	After either calendar year or fiscal year created or received
24.	Multi-Lingual Testing Records	2	After either calendar year or fiscal year test administered
25.	Disability Records (including short-term and long-term disability)	6	After either calendar year or fiscal year claim closed
26.	Pay Plan/Salary Schedule/Annual Salary Schedule Records	Permanent	Preserve pursuant to ARS §39-101. Transfer to State Archives after administrative value has been served

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27.	Employee Suggestion Program Records (including award program records)	-	After administrative value has been served but no more than 5 years after either calendar year or fiscal year created or received
28.	Alcohol/Drug Testing Program Records (not including Commercial Drivers' License (CDL) Records)		
	a. Negative Results	1	After either calendar year or fiscal year results received
	b. Positive Results (including previous employer history records if requested)	5	After either calendar year or fiscal year action taken in response to results is resolved
29.	Examination Records		
	a. Booklets (Master booklet including development documentation) and Oral Board Questions	2	After either calendar year or fiscal year superseded or obsolete
	b. Answer Sheets	1	After either calendar year or fiscal year test administered
	c. Testing Administration Records (including lists of individuals scheduled for exam)	1	After either calendar year or fiscal year scheduled test date
30.	Commercial Drivers' License (CDL) Random Drug Testing Records		
	a. Positive Test Results	5	After either calendar year or fiscal year test given
	b. Negative or cancelled test	1	After either calendar year or fiscal year test given or cancelled
	c. Records related to collection	2	After either calendar year or fiscal year test given
	d. Forms from previous employers	3	After either calendar year or fiscal year received

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31.	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 either calendar year or fiscal year verification completed
32.	Department of Economic Security (DES) New Hire Reports (per ARS §23-722.01)	1	After either calendar year or fiscal year submitted
33.	Leave Records (including compassionate leave, donated leave, military leave and other related records)	3	After fiscal year created or received
34.	Trip Reduction/Rideshare Records (including plans, high pollution advisory program applications, survey information, correspondence and other related records)	2	After either calendar year or fiscal year created or received

**Supersedes schedule dated October 6, 2009**

**Notes:**

**1. If records are stored in an electronic system that does not allow for the deletion of records, then retain records until such time as the above retention period has passed and the system will allow for the deletion of the records, whichever is later.**

**2. If records any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #1, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above. *Employee***

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Item #    Records Series                      Retention (Yrs.)    Remarks

*Medical and Exposure Records and I-9 forms may not be filed in the  
Personnel File.*