

**STATE AGENCIES' RECORDS RETENTION/DISPOSITION SCHEDULE**  
**S2: PERSONNEL RECORDS**  
 (Revised: 06/2009)



**STATE OF CONNECTICUT**  
**Connecticut State Library**  
**Office of the Public Records Administrator**  
 231 Capitol Avenue, Hartford, CT 06106  
[www.cslib.org/publicrecords](http://www.cslib.org/publicrecords)

<b>Approved (State Archivist):</b> Mark H. Jones (signature on file)	<b>Date:</b> 06/30/09	<b>Approved (Public Records Administrator):</b> Eunice G. DiBella (signature on file)	<b>Date:</b> 06/30/09
---	--------------------------	--	--------------------------

- AUTHORITY:** The Office of the Public Records Administrator issues this retention and disposition schedule under the authority granted it by CGS §11-8 and §11-8a.
- SUPERSEDEENCE:** This schedule supersedes all previously approved *State Agencies' Records Retention Schedules: S2: Personnel Records*.
- FORMAT:** Retention periods listed on this schedule apply to the record, regardless of physical format. Records may be either hard copy or electronic. If the record is electronic, the custodian of the record must be able to interpret and retrieve the data for the minimum retention period listed for the records series.
- DISPOSAL AUTHORIZATION:** This schedule is used concurrently with the *Records Disposal Authorization* (Form RC-108). The RC-108 must be approved by the agency Records Management Liaison Officer (RMLO), State Archivist, and Public Records Administrator *prior* to the destruction of public records.

Item #	Records Series Title	Description	Retention	Disposition	Notes
S2-010	<b>Affirmative Action Plans and Reports</b>	Consists of affirmative action plans and reports used to monitor the implementation of plans.	5 years, or until superseded, whichever is later	Destroy after receipt of signed Form RC-108	
S2-020	<b>Affirmative Action Records</b>	Consists of records that document affirmative action initiatives and policies.	2 years, or until superseded, whichever is later	Destroy after receipt of signed Form RC-108	
S2-030	<b>Applications for Employment – Hired</b>	Consists of records that document the application process for hired employees. Including but not limited to: applications, cover letters, references, and résumés.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	
S2-040	<b>Applications for Employment – Not hired</b>	Consists of records that document the application process for employees that were not hired. Including but not limited to: applications, cover letters, references, and résumés.	2 years from date position filled or closed	Destroy after receipt of signed Form RC-108	
S2-050	<b>Arbitration Decisions</b>	Consists of records that document the employee arbitration process.	5 years from date of decision	Destroy after receipt of signed Form RC-108	Original arbitration decisions are filed with the Office of Labor Relations, Office of Policy and Management.
S2-060	<b>Background Survey for Employment – Hired</b>	Consists of records that document background checks for hired employees. Including but not limited to: polygraph tests, psychological profiles, and credit reports.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	

**State Agencies' Records Retention Schedule S2: Personnel Records (Revised: 06/2009), Page 2 of 6**

Item #	Records Series Title	Description	Retention	Disposition	Notes
S2-070	<b>Background Survey for Employment – Not hired</b>	Consists of records that document background checks for individuals that were not hired. Including but not limited to: polygraph tests, psychological profiles, and credit reports.	2 years from date position filled or closed	Destroy after receipt of signed Form RC-108	
S2-080	<b>Benefit Election Form, Employee</b>	Consists of records that document benefit choices for employees. Including but not limited to: election process forms and COBRA (Consolidated Omnibus Budget Reconciliation Act) forms.	Current calendar year plus 2 years	Destroy after receipt of signed Form RC-108	
S2-090	<b>Complaint Records – CHRO / EEOC</b>	Consists of records that document complaints and actions initiated due to alleged violation of state or federal statute. Records are maintained by agency's Attorney General designee.	5 years, or until resolution of appeal process and complaint resolved, whichever is later	Destroy after receipt of signed Form RC-108	CHRO is the Connecticut Commission on Human Rights and Opportunities; EEOC is the Equal Employment Opportunity Commission.
S2-100	<b>Complaint Records – Discrimination</b>	Consists of records that document discrimination complaints. Including but not limited to: actions under the Americans with Disabilities Act (ADA), bullying, hostile work environment, harassment, and sexual harassment.	5 years, or until resolution of appeal process or complaint resolved, whichever is later	Destroy after receipt of signed Form RC-108	See S2-130 for administrative investigations.
S2-110	<b>Disciplinary Records – No further action</b>	Consists of records that document disciplinary actions that do not result in suspension, dismissal, litigation, or other action. Includes supervisory counseling and verbal warnings reduced to writing.	5 years from date of decision	Destroy after receipt of signed Form RC-108	Pursuant to <i>Lieberman v. Board of Labor Relations</i> (216 Conn. 253, August 1990), the destruction of public records, including public employee discipline records, is an illegal subject of collective bargaining agreements.
S2-120	<b>Disciplinary Records – Resulting in further action</b>	Consists of records that document disciplinary actions that result in further action, such as dismissal, suspension, or litigation.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	
S2-130	<b>Investigations, Administrative</b>	Consists of records related to administrative Human Resources investigations. Including but not limited to: misuse of funds, threat assessment, whistleblower, and workplace violence investigations.	5 years after resolution if no further action taken, or until issue is resolved and all litigation is completed	Destroy after receipt of signed Form RC-108	Any recordings or notes made during the course of the investigation may not be destroyed until 5 years after resolution and expiration of appeal period.

**State Agencies' Records Retention Schedule S2: Personnel Records (Revised: 06/2009), Page 3 of 6**

<b>Item #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
S2-140	<b>Dual Employment Records</b>	Consists of records that document secondary employment (at other state agencies) of current employees. Including but not limited to: applications, authorizations, and supporting documentation.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	
S2-150	<b>Employee Assistance Program Records</b>	Consists of records that document the EAP, which assists employees with the negative effects of personal and/or workplace problems. Including but not limited to: annual reports, referrals, and statistical reports.	2 years from date of report or referral	Destroy after receipt of signed Form RC-108	
S2-160	<b>Employee Personnel File</b>	Consists of records that document employee state service and compensation history. Includes full-time employees, part-time employees, other than full-time employees, and seasonal workers.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	Pursuant to Office of Policy and Management (OPM) General Letter #99-08, when an employee transfers from one agency to another, the employee's entire personnel file shall be sent to the new agency.
S2-170	<b>Employee History Cards</b>	Consists of cards that summarize the employment histories of employees.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	Employee history cards are no longer created.
S2-180	<b>Employment Eligibility Verification Records</b>	Consists of Immigration and Naturalization Service Employment Eligibility Verifications (Form I-9) and related documents.	3 years after the date of hire, or one year after employment is terminated, whichever is later [8 USC §1324a]	Destroy after receipt of signed Form RC-108	
S2-190	<b>Examination Records</b>	Consists of forms, letters, and related documents submitted by agency to Department of Administrative Services (DAS) to request an examination.	1 year after life of request	Destroy after receipt of signed Form RC-108	
S2-200	<b>Exit Interview Records</b>	Consists of exit interview questionnaires and surveys for employees when they are no longer employed by agency.	2 years from date of exit interview	Destroy after receipt of signed Form RC-108	
S2-210	<b>Grievance Records</b>	Consists of records that document grievance proceedings initiated by employees.	5 years from date grievance settled	Destroy after receipt of signed Form RC-108	

**State Agencies' Records Retention Schedule S2: Personnel Records (Revised: 06/2009), Page 4 of 6**

<b>Item #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
S2-220	<b>Leave Donation Records</b>	Consists of records that document the donation of leave from one employee to another employee. Including but not limited to: leave donation requests, advance of sick leave letters, and related documents.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	
S2-230	<b>Leave Request Records</b>	Consists of records that document employee requests to take time off of work. Including but not limited to: requests, reviews, and related documents.	1 year from date of review	Destroy after receipt of signed Form RC-108	Employee copy is a duplicate reference copy and can be destroyed at will.
S2-240	<b>Leave Request Records – Educational</b>	Consists of records that document employee requests to take time off of work for educational purposes (sabbatical). Including but not limited to: requests, reviews, and related documents.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	
S2-250	<b>Medical Records</b>	Consists of employee medical records, as well as Family and Medical Leave Act (FMLA) and Military Family Leave records. Including but not limited to: designation and notices, requests, medical certifications, and notices of rights and responsibilities.	Duration of employment plus 30 years [29 CFR §1910.1020 (d)(1)(i)]	Destroy after receipt of signed Form RC-108	Does not include Worker's Compensation records, health insurance claim records, and first aid records for one-time treatment.
S2-260	<b>Military Service Records</b>	Consists of records that document employee service in the military. Including but not limited to: active military duty status reports (DD-214) and service purchase records.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	
S2-270	<b>Overtime Equalization Records</b>	Consists of records that document employee overtime accruals and acceptance or refusal to work overtime.	1 year from date of report	Destroy after receipt of signed Form RC-108	
S2-280	<b>Performance Evaluation Records</b>	Consists of records that document employee service ratings and performance evaluations.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	
S2-290	<b>Personnel Action Records</b>	Consists of records that document personnel changes to individual employees. Including but not limited to: job position changes, job hour changes, and working out of class.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	

**State Agencies' Records Retention Schedule S2: Personnel Records (Revised: 06/2009), Page 5 of 6**

<b>Item #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S2-300</b>	<b>Personnel Policies, Notices of</b>	Consists of records that document employee notification of policies and procedures. Including but not limited to: code of ethics, drug, electronic monitoring, workplace discrimination, and workplace violence policies.	Until superseded	Destroy after receipt of signed Form RC-108	
<b>S2-310</b>	<b>Recruitment Records</b>	Consists of records that document the recruitment to fill individual employment vacancies. Including but not limited to: affirmative action race/ethnicity cards, approvals to refill vacancies, certifications of eligibility, job announcements, interview criteria, and interview questions.	2 years from date position filled or closed	Destroy after receipt of signed Form RC-108	
<b>(S5-880)</b>	<b>Student Employment Records</b>	Consists of records that document student employment at higher education institutions. Including but not limited to: applications, resumes or CVs, transcripts, and interview materials.	5 years from date of termination	Destroy after receipt of signed Form RC-108	Some record of the student's employment must be retained for longevity payment purposes.
<b>S2-320</b>	<b>Temporary Service in a Higher Class Records</b>	Consists of requests, approvals, and related documents for temporary service or temporary service in a higher class.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	
<b>S2-330</b>	<b>Termination Records</b>	Consists of records related to the termination of employees. Including but not limited to: notifications, pink slips, reviews, and approvals.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	
<b>S2-340</b>	<b>Training Records, Employee</b>	Consists of records that document employee training. Including but not limited to: course outlines and materials, enrollment and attendance, and applications or requests for training.	3 years, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	There may be special requirements for the retention of training records in certain fields (e.g., education, medicine, and public safety).
<b>S2-350</b>	<b>Transfer Records</b>	Consists of requests, approvals, and related documents for intra- and inter-agency employee transfers.	5 years from date of transfer	Destroy after receipt of signed Form RC-108	Retention period may vary depending on collective bargaining agreement.
<b>S2-360</b>	<b>Waivers of Appointment Records</b>	Consists of waivers signed by employees on re-hire lists.	1 year after life of list	Destroy after receipt of signed Form RC-108	Waivers of appointment may be part of a recruitment list.

**State Agencies' Records Retention Schedule S2: Personnel Records (Revised: 06/2009), Page 6 of 6**

Item #	Records Series Title	Description	Retention	Disposition	Notes
S2-370	<b>Worker's Compensation Records</b>	Consists of records that document compensation to employees due to lost work time benefits and attendant medical expenses. Including but not limited to: selective duty forms, first report of injury forms, incident review reports, status and exemption reports, use of accrued leave reports, and third party liability reports.	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	Records are maintained separately from the employee personnel file.
S2-380	<b>Working Test Period Extension Records</b>	Consists of records related to extension of working test periods (initial and promotional test periods).	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	