

Revised 2/2005

**State Agencies' Retention/Disposition Schedule S2:
PERSONNEL RECORDS**

Item Number	Record Series Title	Minimum Retention Required	Disposition
	Affirmative Action record, including ADA:		
S2-010	a. Plans	5 years, or until superseded, whichever comes later	destroy ¹
S2-015	b. Complaint files	5 years after last entry	destroy ¹
	Applications for employment, including resumes:		
S2-025	a. Hired	duration of employment plus 30 years	destroy ¹
S2-030	b. Not Hired (includes inquiries)	2 years	destroy ¹
S2-040	Arbitration decisions	5 years	destroy ¹
	Background survey of personnel, including but not limited to polygraph, psychological profiles/testing, credit reports:		
S2-050	a. Hired	duration of employment plus 30 years	destroy ¹
S2-055	b. Not hired	2 years	destroy ¹
S2-065	Certification and exam request forms	1 year after life of list	destroy ¹
S2-075	Certification of eligibles	1 year after life of list	destroy ¹
	Consultant approval forms		
S2-085	a. Original	duration of employment plus 30 years; S2-145	destroy ¹
S2-090	b. Copies or duplicates	3 years or until audited, whichever comes later	destroy ¹

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Item Number	Record Series Title	Minimum Retention Required	Disposition
	Correspondence:		
(S1-065)	a. Routine ²	2 years	destroy ¹
(S1-070)	b. Policy (including legal opinions)	Permanent/Archival	permanent/archival ³
S2-100	Decentralized Promotional Examination Program (DPEP) formally known as MPS exams	5 years, or as prescribed by in-house plan, whichever comes later	destroy ¹
	Disciplinary records:		
S2-110	a. Not resulting in suspension, dismissal, litigation, EAP or other action.	5 years	destroy ^{1,4}
S2-115	b. Resulting in further action	duration of employment plus 30 years	destroy ¹
S2-125	Dual employment forms	duration of employment plus 30 years	destroy ¹
S2-135	Employee Assistance Program records	5 years	destroy ¹
S2-145	Employee file	duration of employment plus 30 years ⁵	destroy ¹
(S4-135)	Employee medical records (does not include Worker's Compensation records or health insurance claim records maintained separately from employer's medical program See S2-400)	duration of employment plus 30 years ⁶	destroy ¹
S2-155	Grievances, records of	5 years	destroy ¹
S2-165	Health benefit election form, employee, (COBRA)	duration of employment plus 30 years	destroy ¹

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Item Number	Record Series Title	Minimum Retention Required	Disposition
S2-175	History cards, employee	duration of employment plus 30 years	destroy ¹
S2-180	Immigration and Naturalization Service Form (I-9)	3 years after the date of hire or one year after the date employment ends, whichever is later	destroy ¹
S2-185	Job specifications	Until superseded	destroy ¹
S2-195	Job training program records, including CETA, JTPA, etc.	3 years or until audited, whichever comes later	destroy ¹
S2-205	Leave donation or advance of sick leave letters	duration of employment plus 30 years	destroy ¹
	Leave Requests		
S2-215	a. Supervisor's copy	1 year	destroy ¹
S2-220	b. Employee copy (non-record item)	no requirement	destroy
S2-230	Medical certificates	duration of employment plus 30 years	destroy ¹
S2-240	Medical forms; options/changes in medical coverage	duration of employment plus 30 years	destroy ¹
S2-250	Military service, record of	duration of employment plus 30 years	
S2-260	Monthly personnel status reports (sent to OPM)	3 years, or until audited, whichever comes later	destroy ¹
S2-270	Personnel action, notices of (301)	3 years or until audited, whichever comes later	destroy ¹
S2-280	Personnel position changes (300), also includes decentralized classification program related forms	3 years or until audited, whichever comes later	destroy ¹

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Item Number	Record Series Title	Minimum Retention Required	Disposition
S2-290	Prior state service, record of	duration of employment plus 30 years	destroy ¹
S2-300	Records of recruitment for individual vacancies	2 years	destroy ¹
	Requests for:		
S2-310	a. Educational leave	duration of employment plus 30 years	destroy ¹
S2-315	b. Temporary service	1 year	destroy ¹
S2-320	c. Temporary service in a higher class	duration of employment plus 30 years	destroy ¹
S2-330	Retirement forms, including retirement applications, refund of retirement money, etc.	duration of employment plus 30 years	destroy ¹
S2-340	Running balance record of sick leave, and vacation leave⁷	duration of employment plus 30 years	destroy ¹
S2-350	Salary schedules	3 years beyond date of supersession	destroy ¹
S2-360	Training records, employee, including, but not limited to: employee training course outlines and materials, enrollment and attendance records, applications or requests for employee training. Please be aware of any special requirements for the retention of training records for medical personnel⁸, public safety personnel, in-service training records for education personnel, etc.	3 years or until audited, whichever comes later	destroy ¹
S2-370	Transfer request	Varies depending on collective bargaining agreement	destroy ¹
S2-380	Unemployment slips (UC 61)	duration of employment plus 30 years	destroy ¹

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Item Number	Record Series Title	Minimum Retention Required	Disposition
S2-385	Violence/Harassment/Threat Assessment Investigations (including audio and videotapes)	5 years after resolution if no further action taken or until issue is resolved and all litigation is completed ⁹	destroy ¹
S2-390	Waivers of appointment	1 year after life of list	destroy ¹
S2-400	Worker's compensation records	duration of employment plus 30 years	destroy ¹
S2-410	Working test period extension letter	duration of employment plus 30 years	destroy ¹

¹Agency may destroy records only after receiving approval in the form of a signed "Records Disposal Authorization" (RC-108, rev. 1/1999).

²This means truly routine correspondence. For retention of correspondence relating to a specific personnel action, retain for retention requirement for corresponding record series title.

³Contact State Archivist to arrange transfer.

⁴The destruction of public records, including public employee discipline records, is an illegal subject of collective bargaining agreements. See *Lieberman v. Board of Labor Relations* (216 Conn.253, August, 1990).

⁵In accordance with General Notice 99-08 issued by the Office of Policy and Management, when an employee transfers from one agency to another, the individual's entire personnel file shall be sent to the new agency. The transferring agency should get a signed receipt from the new agency.

⁶See 29 C.F.R. (*Code of Federal Regulations*) §1910.1020 (d)(1)(i).

⁷Sometimes called PAL card; may also be kept as a computer record.

⁸See S4-265 to S4-285 for medical personnel information.

⁹Any tapes or notes made during the course of the investigation may not be destroyed until 5 years after resolution and expiration of appeal period. Be aware of any pending litigation.