



**ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS**
A DIVISION OF THE ARIZONA SECRETARY OF STATE



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

**Schedule Number:
GS 1006**

- Authority:** 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.
- Only the Arizona State Library, Archives and Public Records has the authority to extend or decrease records retention periods. 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, contact the Records Management Center to request a change to the retention period.
- 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.
- Archival Value:** Records designated as Permanent on the retention schedule must not be destroyed (ARS §39-101). If it is believed that special circumstances warrant other records to be retained permanently, contact the Arizona State Archives for assistance in determining historical or archival value. All records created prior to 1912 must be retained permanently. This retention schedule does not authorize the transfer of records to any repository other than the Arizona State Archives (ARS §41-151.09).
- Disposition:** This schedule is used in conjunction with the Report/Certificate of Records Destruction. All records disposed under this schedule must be reported on the Report/Certificate of Records Destruction, unless transferred to the Arizona State Archives.
- Format:** Retention periods listed on this schedule apply to all records regardless of physical form or characteristics. Records, regardless of format (including electronic, paper, microfilm, etc.) not listed in this schedule or on the approved General Retention Schedule, are not authorized to be destroyed.
- Copies:** Additional copies created for convenience or reference purposes should not be retained longer than the record copy listed in this schedule. Copies do not need to be reported on the Report/Certificate of Records Destruction when they are disposed.
- Supersedence:** This schedule supersedes #000-12-21 signed March 08, 2012.

Approval Authorized by:		Date:	
<i>Joan Clark</i>		10-7-14	
Joan Clark, State Librarian and Director, Library, Archives & Public Records			
Retention review and approval by:		Date:	
<i>Jerry Lucente-Kirkpatrick</i>		9/29/14	
Jerry Lucente-Kirkpatrick, Records Analyst, Archives and Records Management			
Archival review and approval by:		Date:	
<i>Melanie Sturgeon</i>		10/11/2014	
Melanie Sturgeon, State Archivist & Director, History, Archives & Records Management			

RECORDS MANAGEMENT CENTER

**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 #21))	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, but not including criminal history information 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.	Flexible Spending Account Records	7	After created or received
21.	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
22.	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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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
23.	Hiring/Selection Records (including job announcements, applications, selection, test scores, interview records, pre-employment background check records, but not including criminal history information 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
24.	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
25.	Insurance Policies (Contract with Insurance company)	6	After expired, canceled or revoked
26.	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
27.	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
28.	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
29.	Job Announcements (if filed separately from hiring / selection records)	2 years 6 months	After position filled or abandoned

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Item #	Records Series	Retention (Yrs.)	Start of Retention
30.	Leave Records (including compassionate leave, donated leave, military leave and other related records)	3	After fiscal year created or received
31.	Life Insurance Paid Claims	7	After fiscal year claim paid
32.	Merit Based Pay Funding Records	2	After created or received
33.	Multi-Lingual Testing Records	2	After test administered
34.	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
35.	Out-of-Class Assignment Reports	3	After created or received
36.	Pay Plan/Salary Schedule/Annual Salary Schedules Records	Permanent	Preserve pursuant to ARS §39-101
37.	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
38.	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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39.	Reduction in Force (RIF) Records (including computation documentation and recap summaries)	5	After RIF completed or abandoned
40.	Requests for Classification of New Positions or Reclassification of Existing Positions (including salary advancement records)	1	After request acted upon
41.	Requests for Verification of Employment	-	After administrative value has been served
42.	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
43.	Retirement Systems Actuarial and Annual Reports	1	After published
44.	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
45.	Special Work Assignment Records	2	After approved or denied
46.	Statistical Listings of Employees	-	After superseded or obsolete
47.	Test Security Affidavits (School Districts and Charter Schools only)	6	After test administered

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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
48.	Unemployment Claims and Appeals Records	2	After action taken
49.	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
50.	Unsolicited Applications	-	After administrative value has been served
51.	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
52.	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

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Item # Records Series Retention (Yrs.) Start of Retention

Notes:

If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #12, 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 Medical and Exposure Records may not be filed in the Personnel File*