



## Arizona State Library, Archives and Public Records

### General Records Retention Schedule for Community College Districts, Counties, Municipalities and Special Districts Personnel/Human Resources Records

**Schedule Number:**

**000-11-4**

#### **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.**

  
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GladysAnn Wells, Director  
Arizona State Library, Archives and Public Records

Date Approved: 31 Jan 2011

**General Records Retention Schedule for  
Arizona Community College Districts, Counties, Municipalities and  
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<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
1.	Alcohol/Drug Testing Program Records (including Commercial Drivers' License (CDL) Random Drug Records)		
	a. Cancelled or Negative Results	1	After either calendar year or fiscal year results received
	b. Positive Results	5	After either calendar year or fiscal year action taken in response to results is resolved
	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
2.	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
3.	Benefit Enrollment Records (including employee enrollment in medical, dental, life insurance, prepaid legal, beneficiary designation and other benefit options)	5	After either calendar year or fiscal year employee terminated but no more than 8 years after either calendar year or fiscal year employee terminated
4.	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, Item #1 for retention of minutes))		
	a. Appeal Records	2	After either calendar year or fiscal year resolved but no more than 8 years after either calendar year or fiscal year resolved

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	b. Litigation Records	2	After either calendar year or fiscal year case closed but no more than 8 years after either calendar year or fiscal year closed
	c. Merit System Rules Files	Permanent	Preserve pursuant to ARS §39-101
5.	Classification/Market Study Records (including studies and reports)	1	After either calendar year or fiscal year superseded or obsolete but no more than 20 years after study completed
6.	Department of Economic Security (DES) New Hire Reports (per ARS §23-722.01)	1	After either calendar year or fiscal year submitted
7.	Disability Records (including short-term and long-term disability)	6	After either calendar year or fiscal year claim closed
8.	Employee Consolidated Omnibus Budget Reconciliation Act (COBRA) Records		
	a. Decline Notice Records (including returned undeliverable notices)	2	After either calendar year or fiscal year employee terminated
	b. All others	3	After termination of benefits or coverage rejected
9.	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 either calendar year or fiscal year employee terminated

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10.	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, confidentiality agreements, policy acknowledgements, exit interviews, drivers' qualifications, training, and pre-employment background check records.) a. Official copy	5	After either calendar year or fiscal year employee terminated
	b. Supervisor's copy	-	Delete or destroy between 6 months and 5 years after either calendar year or fiscal year employee terminated or transferred
	c. Contract Employees	6	After either calendar year or fiscal year contract expired, cancelled or revoked
11.	Employee Suggestion Program Records (including award program records)	-	After administrative value has been served by no more than 5 years after either calendar year or fiscal year created or received
12.	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 either calendar year or fiscal year employee terminated
13.	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 but no more than 10 years after either calendar year or fiscal year created or received

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14.	Employee Tuition Refund Program Records	3	After fiscal year refund issued
15.	Equal Employment Opportunity Records (including reports and supporting documentation)	3	After either calendar year or fiscal year resolved After either calendar year or fiscal year created or received
	a. Specific charges, responses and case files	3	
	b. All other records	3	
16.	Examination Records		After either calendar year or fiscal year superseded or obsolete  After either calendar year or fiscal year test administered After either calendar year or fiscal year scheduled test date After calendar year created or received
	a. Booklets (Master booklet including development documentation) and Oral Board Questions	2	
	b. Answer Sheets	1	
	c. Testing Administration Records (including lists of individuals scheduled for exam)	1	
	d. Oral Board Questions	2	
17.	Family Medical Leave Act (FMLA) Records (including employee leave request forms, supporting documentation and other non-medical related records)		After either calendar year or fiscal year employee terminated After either calendar year or fiscal year created, received or leave expired, whichever is later
	<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	
	b. All other records	3	
18.	Fingerprint cards (card with fingerprints on it and not the report received)	6 months	After either calendar year or fiscal year created or received

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19.	Flexible Spending Account Records	7	After calendar year created or received
20.	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, whichever is longer
21.	Group Insurance Records (office copy explaining benefits and costs to employees based on contract with insurance carrier)	1	After either calendar year or fiscal year superseded or obsolete
22.	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
23.	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
24.	Insurance Policies (Contract with Insurance company)	6	After expired, canceled or revoked
25.	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
26.	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

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27.	I-9 Forms (May also include Social Security Verification (SSA) records for individual employees) <i>*These records must be filed separately from the employee personnel file</i>	1	After either calendar year or fiscal year employee terminated, but not less than 3 years after date of hire
28.	Job Announcements (if filed separately from hiring / selection records)	2 years 6 months	After position filled or abandoned but no more than 5 years after either calendar year or fiscal year created or received
29.	Leave Records (including compassionate leave, donated leave, military leave and other related records)	3	After fiscal year created or received
30.	Life Insurance Paid Claims	7	After fiscal year claim paid
31.	Merit Based Pay Funding Records	2	After either calendar year or fiscal year created or received
32.	Multi-Lingual Testing Records	2	After either calendar year or fiscal year test administered
33.	Occupational Safety and Health Records a. Material Safety Data Sheets (MSDS) b. All other records (including accident reports, logs, annual summaries, worksite safety inspections, safety health audits and citation records)	30 5	After substance last received in workplace After either calendar year or fiscal year created or received or citation resolved
34.	Out-of-Class Assignment Reports	3	After either calendar year or fiscal year created or received
35.	Pay Plan/Salary Schedule/Annual Salary Schedules Records	Permanent	Preserve pursuant to ARS §39-101

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36.	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  b. Records created or received on or after July 29, 2010	5  3	After either calendar year of fiscal year employee terminated  After date appointed or hired and no more than 3 years and 90 days after date appointed or hired
37.	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
38.	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
39.	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
40.	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 fiscal year created or received

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	b. Self-funded Retirement Records	10	After death of beneficiary
41.	Retirement Systems Actuarial and Annual Reports	1	After published
42.	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
43.	Special Work Assignment Records	2	After either calendar year or fiscal year approved or denied
44.	Statistical Listings of Employees	-	After either calendar year or fiscal year superseded or obsolete
45.	Trip Reduction 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
46.	Unemployment Claims and Appeals Records	2	After either calendar year or fiscal year action taken
47.	Union/Collective Bargaining Records		
	a. Arbitration/Grievance Case Records	8	After either calendar year or fiscal year 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 either calendar year or fiscal year created or received
	d. All other records (except minutes)	-	After reference value has been served or 1 year after either calendar year or fiscal year created or received, whichever is later

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48.	Unsolicited Applications	-	After administrative value has been served but no more than 2 years after either calendar year or fiscal year received
49.	Workers' Compensation Records		
	a. Billing records (State Compensation Fund)	5	After fiscal year created or received
	b. Denied Claims	3	After fiscal year denied
	c. Reports of Industrial Injury (employer and supervisor's reports)	5	After fiscal year created or received
	d. Case Records	75	After case closed

**Supersedes schedule dated November 1, 2010**

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