

RECORDS MANAGEMENT MANUAL

STATE GOVERNMENT AGENCIES

SCHEDULE NO. 11

PERSONNEL RECORDS

11-1. Adverse Action Files

Case files and related records created in reviewing an adverse action (corrective, disciplinary or non-disciplinary removal, suspension, leave without pay, reduction in force) against the employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; appeal of records, excluding letters of reprimand.

Retention

Record copy: Retain by agency for 6 years after case is closed and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

11-2. Agency Personnel Files for Permanent Employees

Complete work history of individual while employed by the State. When an employee transfers to another state agency, the official personnel file must be sent to the new agency. File should include current information on performance evaluations (retain last 3 years), performance plans, position description, career mobility agreement, insurance benefits notification, job swap agreement, and overtime agreement where applicable. Also contains application for employment, employees; social security card (copy), notice of personnel action, human resource profile/events, termination form, employment eligibility verification form, Exit interview form, and new employee orientation self-guide.

Retention

Record copy: Transfer to Department of Personnel and microfilm or scan. Retain for 10 years after retirement or separation of employee and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

11-3. Agency Personnel Files for Temporary Employees

Copies of correspondence and forms maintained in the personnel file of a temporary employee. This does not include personnel records created for specific federal programs.

Retention

Record copy: Retain by agency for 5 years after separation and then destroy.

Duplicate copies: Retain by agency for 5 year after separation and then destroy.

11-4. Answers and Score Sheets

Tests taken by applicants who have met the minimum qualifications for a state position.

Retention

Record copy: Retain as part of agency personnel file for 5 years.

Duplicate copies: Retain by agency until no longer needed and then destroy.

11-5. Eligibility List

This is a listing of all applicants who after careful review of their qualifications are then rated on their eligibility for a state position.

Retention

Record copy: Retain as part of agency personnel file for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

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11-6. Conflict of Interest Files

Letters from employees with part-time jobs, which state that there is not a conflict of interest in the two vocations and work performance will not suffer as a result of a second job.

Retention

Record copy: Retain for 5 years as part of agency personnel file or until superseded and then destroy.

Duplicate copies: Retain until superseded and then destroy.

11-7. Course Announcement Files (Training or Educational)

Reference files of pamphlets, notices, catalogs, and other records that provide information on courses or programs offered by government agencies or non-governmental organizations.

Retention

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

11-8. Employee Assistance Files (C-SEAP)

Files which document employees who have sought assistance for personal problems which could interfere with job performance.

Retention

Record copy: Retain by agency for 3 years after case is closed and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-9. Employee Awards Files

Case files which document all employee awards, including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards. (Such as incentive awards within grade, merit increases, suggestions, and outstanding performance) These files may also document awards from other government agencies or private organizations.

Retention

Record copy: Retain as part of agency personnel file for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-10. Employee Record Cards (Cardex)

Employee cards used for information purposes outside personnel offices.

Retention

Record copy: Retain by agency until separation or transfer of employee and then destroy.

Duplicate copies: Retain by agency until separation or transfer of employee and then destroy.

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11-11. Employee Training Records

Correspondence, memoranda, reports and other records relating to the availability and employee participation in training programs sponsored by governmental agencies or non-governmental institutions. This information may also be entered into the Department of Personnel automated system.

Retention

Record copy: Retain as part of agency personnel file.

Duplicate copies: Retain until administrative need ends and then destroy.

11-12. Employment Applications (Not Hired)

Applications of those persons qualified to be listed on a register but who were not selected as the candidate for employment. If Department of Personnel has officially delegated a particular state agency as the record copy office, then they should retain these applications for three years.

Retention

Record copy: Retain by agency personnel office for 2 years from the date of rejection or making of the record and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

11-13. Equal Employment Opportunity/Affirmative Action Plans

Affirmative Action Plans (AAP) include both the agency copies of consolidated AAP's developed by the DOP, and the agency feeder plans which are used to develop a larger affirmative action strategy.

Retention

Record copy: Permanent. Retain by Department of Personnel and then transfer to the State Archives.

Duplicate copies: Retain for 2 years and then destroy.

11-14. Equal Employment Opportunity Compliance Review Files

Review files containing background papers, etc., relating to contractor employment practices.

Retention

Record copy: Retain by agency for 7 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

11-15. Equal Employment Opportunity Discrimination Complaint Case Files

Official complaint files containing complaints, related correspondence, reports, exhibits, withdrawal notices, copies of decisions, and other records.

Retention

Record copy: Retain by agency for 4 years after resolution of case and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

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11-16. Equal Employment Opportunity Statistics Files

Employment statistics relating to race and sex.

Retention

Record copy: Retain by Department of Personnel for 10 years and then destroy.

Duplicate copies: Retain by agency for 2 years and then destroy.

11-17. Employees Performance Appraisals

Appraisals of performance, along with job elements and standards (job expectations) upon which they are based, and supporting documentation.

Retention

Record copy: Retain as part of agency personnel file.

Duplicate copies: Retain by agency until superseded and then destroy.

11-18. Financial Disclosure Reports (SES)

Reports and related documents submitted by individuals as required by their agency.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-19. Grievance/Appeal Files

Records originating on the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, exhibits, and records relating to a reconsideration request.

Retention

Record copy: Retain by agency for 3 years after case is closed and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

11-20. Incentive Awards Program Reports

Reports pertaining to the operation of the incentive awards program.

Retention

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-21. Individual Health Record Files

Record which contains such information as date of employee's visit, diagnosis and treatment. Included are short term disability and FMLA documentation

Retention

Record copy: Retain by agency for 6 years and then destroy.

Duplicate copies: Retain by agency for 2 years and then destroy.



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11-22. Interview Records

Correspondence, reports, notes, and other records relating to interviews with prospective employees.

Retention

Record copy: Retain by agency for 2 years after personnel action. [29 CFR 1602.31]

Duplicate copies: Retain until administrative need ends and then destroy.

11-23. Job Announcements (Vacancies)

Announcements concerning job openings in agencies. Information includes title of position, salary or grade range, description of job duties, closing date, and to whom applications should be directed.

Retention

Record copy: Retain by agency for 2 years after position is filled or announcement is superseded or updated and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

11-24. Job Classifications

A listing of all job positions classified by the State Personnel Department. Information includes position qualifications, pay grades, and duties for positions in state service

Retention

Record copy: Retain by agency until termination of position and then destroy.

Duplicate copy: Retain until administrative need ends and then destroy.

11-25. Job Swap or Career Mobility Files

Case files of a state employee applying to change positions with another employee in the state work force.

Retention

Record copy: Retain as part of agency personnel file.

Duplicate copies: Retain for 3 years and then destroy.

11-26. Labor-Management Relations Files

Labor-management relations general and case files. Includes correspondence, memoranda, reports, and other records relating to the relationship between management and employee associations or other groups.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain until superseded and then destroy.

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11-27. Leave Records

Records of the amount of leave earned and taken employees. Information includes employee's name, type of leave (annual, sick, other), service date, social security number, amount of leave earned and charged, sick leave cap amount and leave balances for the period covered.

Retention

Record copy: Retain by agency personnel office from the date the sick leave cap was established.

Duplicate copies: Retain until administrative need ends and then destroy.

11-28. Leave Slips

Forms completed by agency employees to request time off from work. Information includes employee's name, social security number, type of leave number of days or hours requested, date requested, and signatures of employee, supervisor and director.

Retention

Record copy: Retain by agency as part of the leave record for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

11-29. Length of Service and Sick Leave Files

Records include correspondence, memoranda, reports, computations of service and sick leave. This information is entered into the Department of Personnel automated personnel system (EMPL)

Retention

Record copy: Retain by agency as part of personnel file.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-30. Letters of Employee Commendation

Letters of employee commendations and appreciation, recognizing length of service, retirement, or performance.

Retention

Record copy: Retain as part of agency personnel file.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-31. Log and Summary of Occupational Injuries and Illnesses

Record of work-related injuries, illnesses, and deaths. Information includes case or file number, date of injury or onset of illness, employee's name, occupation, department, description of injury or illness, fatalities, non-fatal injuries, injuries with lost workdays, injuries without lost workdays, and other related information.

Retention

Record copy: Retained by the Colorado Compensation Insurance Authority, Risk Management or workmen compensation insurance carrier.

Duplicate copies: Retain by agency for 5 years and then destroy.

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11-32. Merit Employee Performance-Related Records (Human Services)

Records including summary performance appraisal records, containing appraisals and the job elements and standards upon which they are based; and any supporting documentation.

Retention

Record copy: Retain by agency as part of personnel file.

Duplicate copies: Retain for 1 year and then destroy.

11-33. Merit Promotion Case Files

Records relating to the promotion of an individual that document qualification standards or the evaluation of candidates, excluding any records that duplicate information in the promotion plan or in other personnel records.

Retention

Record copy: Retain by agency as part of personnel file for 2 years after the personnel action or until the action has been audited by the Department of Personnel, whichever is first, and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

11-34. Notice of Proposed Action for Unacceptable Employee Performance

As part of a merit employee appraisal of unacceptable performance, a notice of proposed demotion or removal that is issued but not effected.

Retention

Record copy: Retain by agency as part of personnel file until decision is made to take no further action and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

11-35. Personal Injury Case Files

Forms, reports, correspondence and related medical and investigative records regarding on-the-job injuries, whether or not a claim for compensation was made. These case files exclude copies of official reports filed in the agency personnel file and submitted to the Division of Worker's Compensation.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

11-36. Personnel Operations Statistical Reports

These are statistical reports used to set the standards for the operation of a personnel office or subordinate personnel office.

Retention

Record copy: Permanent. Retain by Department of Personnel for 5 years and then transfer to State Archives.

Duplicate copies: Retain by agency for 1 year and then destroy.

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11-37. Personnel Rules

Files which outlines policies and procedures to be followed in the Department of Personnel and throughout state government.

Retention

Record copy: Permanent. Retain by Department of Personnel until superseded and then transfer to State Archives.

Duplicate copies: Retain by agency until superseded and then destroy.

11-38. Position Change Requests and Authorizations

Documents used to create new positions, abolish old ones and change existing state employee positions.

Retention

Record copy: Retain by agency personnel office for 4 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

11-39. Position Classification Appeal Files

Case files relating to classification appeals.

Retention

Record copy: Permanent. Retain by Department of Personnel for 3 years after case is closed and then transfer to State Archives.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-40. Position Classification Inspection and Audit Files

Correspondence, memoranda, reports, and other records relating to inspections, desk audits and evaluations of position classifications.

Retention

Record copy: Retain by Department of Personnel for 4 years and then destroy.

Duplicate copies: Retain until obsolete or superseded and then destroy.

11-41. Position Classification Standards Files

Standards and guidelines issued or reviewed by the Department of Personnel and used to classify and evaluate positions within the agency. These files also include memoranda, correspondence, and other records relating to the development of standards for classification of positions unique to the agency and Department of Personnel.

Retention

Record copy: Retain by Department of Personnel until superseded and then destroy.

Duplicate copies: Retain until superseded and then destroy.

11-42. Position Classification Survey Studies

Survey reports on various positions prepared by classification specialists, including periodic reports.

Retention

Record copy: Retain by Department of Personnel for 4 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

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11-43. Position Descriptions (PDQ)

Files describing established positions including information on title, series, grade, duties, and responsibilities. Also contains Position Description Questionnaire.

Retention

Record copy: Retain by agency personnel office for 4 years or until revised and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

11-44. Recruitment Files

Correspondence, letters, telegrams, offering appointments to potential employees. These files contain offers that are declined. Those offers accepted will be maintained in the employee personnel file.

Retention

Record copy: Retain by agency for 6 months after hiring decision is made and then destroy.

Duplicate copies: Retain for 1 months after hiring decision is made and then destroy.

11-45. Requests for Approval of Overtime

Requests for approval, which is required by the Department of Personnel and Fair Labor Standards, for overtime compensation.

Retention

Record copy: Retain for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

11-46. Salary Survey

Survey reports on various positions prepared by classification specialists. It compare salary ranges, benefits, education and experience required.

Retention

Record copy: Retain by Department of Personnel for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

11-47. Standards of Conduct Files

Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.

Retention

Record copy: Permanent.

Duplicate copies: Retain for 3 years and then destroy.

11-48. Time and Attendance Records (Part-Time Employees)

Records concerning time worked by part-time employees during a pay period. Information includes employee's name, agency, social security number, pay period, total time worked, employee's signature, supervisor's signature, and director's signature.

Retention

Record copy: Retain by agency personnel office for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

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11-49. Training Aids

One copy of each syllabus, manual, textbook, and any other training materials created by the agency.

Retention

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

11-50. Training Conference and Courses Files

General file of agency-sponsored training. Includes correspondence, memoranda, agreements, authorizations, background and work papers, reports requirements, reviews, plans, and objectives relating to operation of training courses and conferences.

Retention

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-51. Training Contracts

Contracts between state agencies and the Department of Personnel to administer agreed upon training programs.

Retention

Record copy: Retain by Department of Personnel for 3 years after the end of contract and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-52. Verification of Employment Eligibility (I-9)

Employment documentation required to comply with the Immigration Reform and Control Act, as amended.

Retention

Record copy: Retain 3 years after termination.

Duplicate copies: Retain for 1 year after termination and then destroy.