

STATE AGENCIES' RECORDS RETENTION/DISPOSITION SCHEDULE
S2: PERSONNEL RECORDS
 (Revised: 01/2010)



STATE OF CONNECTICUT
 Connecticut State Library
 Office of the Public Records Administrator
 231 Capitol Avenue, Hartford, CT 06106
www.cslib.org/publicrecords

1. **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.
2. **SUPERSEDENCE:** This schedule supersedes all previously approved *State Agencies' Records Retention/Disposition Schedules: S2: Personnel Records*.
3. **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.
4. **DISPOSITION AUTHORIZATION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108). The RC-108 must be signed by the agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator *prior* to the destruction of public records.

Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S2-010	Affirmative Action Plans and Reports	Consists of affirmative action plans and reports used to monitor the implementation of plans.	5 years, or until superseded, whichever is later	Destroy after receipt of signed Form RC-108	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	Affirmative Action Records	Consists of records that document affirmative action initiatives and policies.	2 years, or until superseded, whichever is later	Destroy after receipt of signed Form RC-108	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	Applications for Employment – Hired	Consists of records that document the application process for applicants that were hired. 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	Applications for Employment – Not Hired	Consists of records that document the application process for applicants 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	Arbitration Decisions	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	Background Survey for Employment – Hired	Consists of records that document the background check process for applicants that were hired. 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	

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Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S2-070	Background Survey for Employment – Not Hired	Consists of records that document the background check process for applicants 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	Benefit Election Form, Employee	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 year plus 2 years	Destroy after receipt of signed Form RC-108	
S2-090	Complaint Records – CHRO / EEOC	Consists of records that document complaints and actions initiated due to alleged violation of state or federal statutes. 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	Complaint Records – Discrimination	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	Disciplinary Records – No Further Action	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	Disciplinary Records – Resulting in Further Action	Consists of records that document disciplinary actions that result in further action, (e.g., dismissal, suspension, or litigation).	Duration of employment plus 30 years	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.
S2-130	Investigations, Administrative	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.

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Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S2-140	Dual Employment Records	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	Employee Assistance Program Records	Consists of records that document the Employee Assistance Program (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	
S2-155	Employee Licensure Records	Consists of records that document licensure of employees as required in certain job classes (e.g., health care practitioners).	Until superseded	Destroy after receipt of signed Form RC-108	Conn. Agencies Regs. §19-13-D3(b)(3) is not specific to the review of licenses; however, (3) is interpreted by the Department of Public Health to mean adequately qualified (e.g., currently licensed). Licenses are currently renewed annually, so it becomes the responsibility of administration to prove staff is currently licensed (e.g., annual documentation).
S2-160	Employee Personnel File	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	Employee History Cards	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	Employment Eligibility Verification Records	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	Examination Records	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	

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Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S2-200	Exit Interview Records	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	Grievance Records	Consists of records that document grievance proceedings initiated by employees.	5 years from date grievance settled	Destroy after receipt of signed Form RC-108	
S2-220	Leave Donation Records	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	Leave Request Records	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	Leave Request Records, Educational	Consists of records that document employee requests to take time off of work for educational purposes (e.g., 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	Medical Records	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	See S2-370 for the retention of Workers' Compensation Records. See S4-170 for the retention of employee medical treatment records.
S2-260	Military Service Records	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	Overtime Equalization Records	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	Performance Evaluation Records	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	

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Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S2-290	Personnel Action Records	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	
S2-300	Personnel Policies, Notices of	Consists of records that document employee notification of policies and procedures (e.g., code of ethics, drug, electronic monitoring, workplace discrimination, and workplace violence policies).	Until superseded	Destroy after receipt of signed Form RC-108	
S2-310	Recruitment Records	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	
(S5-880)	Student Employment Records	Consists of employee file for student employees. Including but not limited to: applications, résumés, CVs, transcripts, and interview materials.	5 years from date of termination	Destroy after receipt of signed Form RC-108	Although state employee files are maintained for "Duration of employment plus 30 years," student employment files are maintained for "5 years from the date of termination" <i>except</i> that a record of the student's employment must be retained for longevity purposes.
S2-320	Temporary Service in a Higher Class Records	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	
S2-330	Termination Records	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	
S2-340	Training Records, Employee	Consists of records that document training of employees. 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).
S2-350	Transfer Records	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.

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Series #	Records Series Title	Description	Minimum Retention	Disposition	Notes and Citations
S2-360	Waivers of Appointment Records	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.
S2-370	Worker's Compensation Records	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	Working Test Period Extension Records	Consists of records related to extension of working test periods (e.g., initial and promotional test periods).	Duration of employment plus 30 years	Destroy after receipt of signed Form RC-108	