

Human Resources Related Records Series Retention Guide For Louisiana Agencies

Disclaimer: The recommendations listed below are to be used as a guideline and should not be used without analysis of your agency's operational process and legal requirements being considered. Consult with your agency's attorney to ensure up to date legal guidance. NOTE: This guide does not replace the need for your agency to have an approved **records retention schedule** on file with our office as required by LA. R.S. 44:411 nor does this guide grant permission for such records to be destroyed without an approved **Request for Authority to Dispose of Records** form being processed by our office. Contact the Louisiana State Archives' Records Management Division if you have questions about this document. We can be reached via email at recmgt@sos.la.gov. Our web site address is: [Http://www.sos.louisiana.gov/records](http://www.sos.louisiana.gov/records).

Applications of Non-Hires

Includes: Resumes, applications, interview notes and related memos and correspondence for the position, background checks for unsuccessful candidates, drug tests for unsuccessful candidates.

Total Retention: ACT + 2 CY (Remarks: ACT= until end of CY in which position is filled or closed).

Civil Service Audit Files

Includes: Audit requests, correspondence and responses.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which audit completed).

EEO/Affirmative Action Reports and Files

Includes: reports, requests, correspondence and responses.

Total Retention: ACT + 2 CY (Remarks: ACT= until end of CY in which created or received).

Eligibility Documentation (Office of Group Benefits)

Includes: Documents necessary to prove employee and dependents are eligible to participate in Group Benefit Insurance programs (Health, Life, Dental, and Third Party) and related transmitting correspondence to and from Group Benefits.

Total Retention: ACT + 70CY (Remarks: ACT= until end of CY in which separates from agency).

Grievance Records

Includes: Complaints, records create/used during investigation (interviews, photographs, recordings, video, etc.), correspondence and decision related records.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which matter is closed/final decision rendered).

I-9's

Includes: I-9 forms. Note: Federal Law now allows this record to be maintained electronically but agencies must also comply with La. R.S. 44:39. This series SHOULD NOT be maintained in each personnel file but in a file Alphabetically (or by Social Security number) by employee. When employees leave the form should be moved to a close out file by year (maintained by same file order alpha or SSN) and close out file is destroyed when retention period has been met.

Total Retention: ACT + 3 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Job Specs/Position Descriptions

Includes: job specifications and position descriptions and related records used to maintain current positions.

Total Retention: ACT + 5 CY (Remarks: ACT = until end of CY record superseded or discontinued).

Job Study Files

Includes: Study requests, correspondence, records created/used during study (interviews, research, etc.) questionnaire responses and decision related records.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which study is completed completed).

Layoff/Layoff Avoidance/Reduction in Force Files

Includes: plans, decision related record, correspondence, records created/used during approval and notification process, and responses.

Total Retention: ACT + 3 CY (Remarks: ACT= until end of CY in which created or received).

Life Insurance Files

Includes: documentation of employee acceptance/sign up for actual plan.

Total Retention: ACT + 70CY (Remarks: ACT= until end of CY in which employee separates from agency).

Organizational Charts/Reporting Structures

Includes: charts, narratives, reports, lists

Total Retention: ACT + 10CY (Remarks: ACT= until end of CY in which agency ceases to operate).

Payroll Related Records

NOTE: Any record related to payroll is managed on a calendar year basis even if agency is funded on a fiscal or academic year basis.

Payroll Records:

Includes: Time and Attendance records, Time Sheets, leave requests, payroll reports, time cards, and prior payroll adjustments.

For agencies NOT paying into Teacher's Retirement

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which created or received).

For agencies paying into Teacher's Retirement-

Total Retention: ACT + 30 CY (Remarks: ACT = until end of CY in which employee separates from agency).

Legend: CY = Calendar Year (Jan 1- Dec. 31); FY = Fiscal Year (July 1-Jun 30). Updated June 2019

Payroll Tax related Records:

Includes: Correspondence related to payroll tax records, W-2's, 941's, 1099, W-4's, L-4's, direct deposit/paycheck deduction authorizations (especially those part of a cafeteria plan), garnishments, and bank authorizations.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which date tax paid or due whichever is later.)

Personnel Files**Personnel - Vital Information**

Includes: Comprehensive Employee Notification Forms, FLSA Overtime agreement form, 6.5g requests, salary calculations, Deferred Comp option for LASERS, Adjusted Service Date form, All retirement forms (enrollment, changes, beneficiaries, air-time, refunds, any LASERS, TRSL, LSERS form) employee retirement contribution reports (member statements with year to date contributions, copies of driver's license, birth certificates, death certificates, marriage license, name changes, all OGB documents (enrollment, changes, terminations, etc), all life insurance documents (enrollment, changes, terminations, beneficiaries), and military status form (DD-214). NOTE: The Equal Pay Act of 2009 (federal) requires each employer to maintain information on the rate of pay and the job title for each employee (classified, unclassified, full-time, part-time, student, retired or deceased) in the event that a pay discrimination suit is filed. To comply we recommend that agencies maintain every pay rate change and job title change for each employee (and maintain records that show such information for those former employees whose information may not already appear in their personnel file).

Total Retention: ACT + 70 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Personnel File – Non-Vital

Includes: current personnel data (name, home address, phone) application for employment, background check, authorization for former employers to release information, orientation checklists, agency policy acknowledgements, training and development records, commendations and reprimands, Authorization to fill, Personnel Action Requests, New Employee Request forms, Offer of Employment, Job Appointment justifications, Certification documents, restricted appointment documents, selective service certification, appointment affidavits, pre-employment checklists, disciplinary actions, deferred compensation (non-LASERS related), Transcripts, Requests and Reports related to Criminal background checks, Performance evaluations, FMLA files, medical files (including drug tests, disability claims, fitness for duty documentation, claim form, etc.), work schedule change forms, and International ACH transaction attestations. NOTE: These records may be maintained in separate files but have same retention.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Performance Evaluation System/Employee Rating Files

Includes: Annual PES Evaluations and reviews, related correspondence and documentation.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Legend: CY = Calendar Year (Jan 1- Dec. 31); FY = Fiscal Year (July 1-Jun 30). Updated June 2019

Performance Evaluation System/Employee Rating Files- Planning Records

Includes: Annual PES Planning sessions that are superseded by annual evaluation and reviews.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which created or received).

Policies and Procedures (Agency wide and Internal Department)

Includes: Published policies and procedures (maintain at least one copy of each even if superseded), related correspondence or memoranda that documents the purpose or need for change (also can be listed under Administrative Correspondence).

Total Retention: PERMANENT

Promotional/Job Vacancy Announcements/Lists

Includes: applications, preferred lists, referrals, eligibility lists, SF-9's, and resumes and related correspondence.

Total Retention: ACT + 2 CY (Remarks: ACT= until end of CY in which position is filled or closed).

Service Cards

Includes: Service Cards, Master Index of Employee Work History/appointments.

Total Retention: ACT + 70 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Supervisor's File

Includes: Employee Position Descriptions, application information, Performance evaluation planning forms and related documentation, counseling records and training records.

If includes counseling for substance abuse

Total Retention: ACT + 2 CY (Remarks: ACT= until end of CY in which supervision ends).

If file does not include counseling for substance abuse

Total Retention: ACT + 1 CY (Remarks: ACT= until end of CY in which supervision ends).

Worker's Compensation Records

Includes: Initial Report, related correspondence, invoices, reports and related claim records.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which settlement is reached).

Affordable Care Act Documentation

Includes: Proof of Insurance coverage offer and employee answer and related reports.

Total Retention: ACT + 7 CY (Remarks: ACT = until end of CY in which insurance offer was made)