

Colorado Springs School District 11
Records Retention Schedule

**SCHEDULE XIII
PERSONNEL, HEALTH, AND SAFETY RECORDS**

General Description: Records generally relating to the hiring, employment, safety, benefits, compensation, discrimination claims, retirement and termination of school district employees.

1. Collective Bargaining Agreements

Retention: Permanent
Format: Paper or electronic
Location: Human Resources

2. Employment Contracts Individual employment contracts or where contracts or agreements are not in writing, a written memorandum summarizing the terms.

Retention: 6 years after expiration
Format: Paper or electronic
Location: Human Resources

3. Benefits - records pertaining to fringe benefits, insurance coverage and benefit plans for employees.

Group Health Insurance – Continuation of Coverage-Records showing covered employees, their spouses and dependents have received written notice of continuing group health insurance and COBRA rights, and whether the covered employees, spouses and dependents elected or rejected coverage.

Retention: Current year plus 3
Format: Paper or electronic
Location: Office of Record

Benefit Plans - Documentation relating to employee health, dental, vision and other insurance plans; retiree and similar plans; including a benefit plan description and/or a summary benefit plan description.

Retention: Permanent
Format: Paper or electronic
Location: Risk Related Activities or Payroll

4. BONDS - PUBLIC OFFICIALS - Fidelity, surety, blanket or other bonds intended to guarantee honest and faithful performance of officials such as the financial officer or administrator.

Retention: Current year plus 6 after term expires
Format: Original creation
Location: Human Resources

5. COMPLIANCE WITH REGULATORY REQUIREMENTS –

Report EEO-4 - Records submitted to the Equal Employment Opportunity Commission (EEOC) documenting compliance with EEOC requirements by school districts with 15 or more employees.

Retention: 3 years
Format: Original creation
Location: Equal Employment Opportunity Programs

Department of Labor Audits:

Retention: 3 years from the completion of audit
Format: Original creations or electronic
Location: Human Resources

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Colorado Division of Education Reports:

Retention: 5 years
Format: Original creations or electronic
Location: Human Resources

6. **EMPLOYEE RECORDS - ACTIVE AND TERMINATED** - Documentation of an individual employee's work history, including information regarding active and terminated employees maintained because of the employer-employee relationship, such as records pertaining to age, address, telephone number and social security number; notices of appointment; tuition reimbursement; classification questionnaires; recommendations; disciplinary and personnel actions relating to the employee, including hiring, evaluation, demotion, promotion and termination of school employees; letters of commendation; letters of resignation; emergency notification forms; oaths of office; job-related training documentation; performance evaluations; salary documentation; selection of benefit plans, etc.

Retention: 10 years after retirement or separation, provided that records relating to hazardous material exposure are retained 30 years after separation
Duplicate Copies: Transfer to custodian of record copy upon termination of employment.
Format: Original creation or electronic
Location: Human Resources (Office of Record)

7. **GRIEVANCES** - Records of personnel grievances filed by employees.

Retention: Duration of employment plus 10 years
Format: Original creation or electronic
Location: Human Resources

8. **HEALTH AND SAFETY RECORDS**

Hazardous Materials Exposure - Records of any personal or environmental monitoring of exposure to hazardous materials, lead and asbestos, chemicals, toxic substances, noise, dust, heat, cold, repetitive motion, blood-borne pathogens, biological agents, bacteria, virus, fungus, radiation, or other dangerous work-related conditions.

Retention: 30 years after separation
Format: Paper or electronic
Location: Facilities

HIPPA Authorizations for Release of Information - Employee (patient) authorizations for release of protected information.

Retention: 6 years from date of creation of the record
Format: Original creation
Location: Risk Related Activities

Safety Data Sheets (SDS) - Employers must have a SDS on file for each hazardous chemical they receive and use and ensure copies are readily accessible to employees in their work area. Employer must keep records of chemicals used, where they were used and for how long.

Retention: Until superseded or current year plus 1 after chemical is disposed of or consumed provided the employer retains some record of the identity (chemical name if (known) of the substance or agent, where it was used, and when it was used for at least 30 years

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Format: Original creation or Electronic
Location: Where Chemical Used

Safety Training Information - Manuals, handbooks and similar documentation of safety training provided to employees.

Retention: Duration of employment plus 1 year
Format: Original creation or Electronic
Location: Facilitator or Location where Training Conducted

9. **I-9 FORMS** - Record of verification of citizenship and eligibility to work in the United States, including verification documentation that establishes identity and eligibility (Immigration and Naturalization Services Form I-9, Employment Eligibility Verification Form); applies to all employees hired after November 6, 1986.

Retention: 3 years from date of hire or 1 year after separation, whichever is later.
Format: Original creation or electronic
Location: Human Resources

10. **AFFIRMATIONS –**

Retention: Duration of employment
Format: Original creation or electronic
Location: Human Resources

11. **JOB RECORDS**

Advertisements of Job Opportunities - Advertisements and announcements regarding job openings, promotions, training programs or overtime work.

Retention: Current year plus 1
Format: Original creation or electronic
Location: Human Resources

Applications for Employment and Supporting Documentation(Hired) - Applications, resumes and supporting documentation and other replies to job advertisements, including applications for temporary positions.

Retention: 4 years from the date of the making of the record or the personnel action involved, whichever occurs later.
Format: Original creation or electronic
Location: Human Resources

Applications for Employment and Supporting Documentation(Hired) – School Site Based Records - Applications, resumes and supporting documentation and other replies to job advertisements, including applications for temporary positions.

Retention: for the current fiscal year, plus 3 additional years
Format: Original creation or electronic
Location: School site base

School site based Employee Records - ACTIVE AND TERMINATED - Documentation of an individual employee's work history, including information regarding active and terminated employees maintained because of the employer-employee relationship, such as records pertaining to age, address, telephone

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number and social security number; notices of appointment; tuition reimbursement; classification questionnaires; recommendations; disciplinary and personnel actions relating to the employee, including hiring, evaluation, demotion, promotion and termination of school employees; letters of commendation; letters of resignation; emergency notification forms; oaths of office; job-related training documentation; performance evaluations; salary documentation; selection of benefit plans, etc.

Retention: 3 years after retirement or separation, provided that records relating to hazardous material exposure are retained 30 years after separation
Format: Original creation or electronic
Location: School site base

School Site Based Interview Records - interview records to include questions, notes, decision analysis, tasks performed, interview committee lists, and any other records created as part of the interview process

Retention: for the current fiscal year, plus 3 additional years.
Format: Original creation or electronic
Location: School Site

Applications for Employment – Not Hired - Applications, resumes and supporting documentation submitted for school employment by individuals not hired.

Retention: 4 years from the date of the making of the record or the personnel action involved, whichever occurs later.
Format: Original creation or electronic
Location: Human Resources

Examinations - Tests administered by the school district in connection with screening job applicants to determine aptitude or skills.

Retention: Current year plus 2 from the date of making record or action, whichever occurs last
Format: Original creation or electronic
Location: Human Resources

Job Descriptions and Specifications - Written descriptions of duties performed, qualifications and physical requirements for school positions.

Retention: 10 years after created or until superseded whichever is later
Format: Original creation
Location: Human Resources

Positing and Job Requisitions:

Retention: 3 years
Format: Original creations or electronic
Location: Human Resources

Recommendations for Hire:

Retention: 3 years
Format: Original creations or electronic
Location: Human Resources

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Transfer and Placement Documents:

Retention: 3 years
Format: Original creations or electronic
Location: Human Resources

Early Retirement Documentation:

Retention: 3 years
Format: Original creations or electronic
Location: Human Resources

Evaluation Development Process:

Retention: 3 years
Format: Original creations or electronic
Location: Human Resources

12. OATHS OF OFFICE - Oaths of office taken by appointed school officials.

Retention: Term of office + 1 year
Format: Original creation
Location: Human Resources or Office of Record

13. PAYROLL RECORDS

Basis of Pay - Records pertaining to additions or deductions from wages paid; the basis on which wages are paid; earnings per week; records containing employee's name, address, date of birth, occupation, rate of pay and compensation earned per week; includes payroll records pertaining to both FLSA-Exempt and FLSA-Non-Exempt Employees. Note: The basis on which wages are paid must be documented in sufficient detail to permit calculation for each pay period including benefits and prerequisites. The records may include payment of wages, wage rates, job evaluations, merit and incentive programs and seniority systems. The basic reason for these records is to give the Wage-Hour Division an indication on whether or not sex discrimination exists.

Retention: 3 years
Format: Original creation or electronic
Location: Human Resources or Payroll

Compensation Plans

Pay Plans - Written plans outlining job titles and pay scales for school employees.

Retention: Permanent
Format: Original creation or electronic
Location: Human Resources

Seniority or Merit Systems

Retention: For the full period the plan or system is in effect plus 3 year
Format: Original creation or electronic
Location: Human Resources

Salary Reclassification: Supporting Documents

Retention: Two years after implementation
Format: Original creations or electronic
Location: Human Resources or Payroll

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Stipends: paid out twice a year

Retention: 3 years from payment
Format: Original creations or electronic
Location: Human Resources or Payroll

Tuition Reimbursement: paid out monthly per requests

Retention: 3 years from payment
Format: Original creations or electronic
Location: Human Resources or Payroll

Credit Union Deduction Requests

Retention: 1 year after superseded
Format: Original creation
Location: Payroll

Direct Deposit Reports

Retention: Current year plus 1
Format: Original creation
Location: Payroll

Employee Longevity Reports - Report related to individual employee.

Retention: 10 years after separation
Format: Original creation
Location: Human Resources or Payroll

Garnishments - Documentation of requests and court orders served on the school district to withhold the wages of employees for garnishments, tax levies, support payments and other reasons.

Retention: 3 years
Format: Original creation
Location: Human Resources or Payroll

Leave Records

Balance Reports

Year-End

Retention: Duration of employment plus 10 years
Format: Original creation or electronic
Location: Human Resources

Leave Requests – Requests submitted by employees for sick, vacation, compensatory, personal business, family and medical leave, long-term leave and other leave time.

Retention: Current year plus 3
Format: Original creation or electronic
Location: Human Resources

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Payroll Reports

End of Pay Period

Retention: Current year plus 1
Format: Original creation
Location: Payroll

FICA Reports – Quarter

Retention: Current year plus 6
Format: Original creation
Location: Payroll

Quarterly

Retention: Current year plus 2
Format: Original creation
Location: Payroll

Year-End

Retention: Current year plus 6 provided Payroll Register is retained permanently
Format: Original creation
Location: Payroll

Payroll Tax Records - Records of collection, distribution, deposit and transmittal of federal and state income taxes, including federal miscellaneous income statements (1099), request for taxpayer identification number and certificate (W-9), employer's quarterly federal tax return (941, 941E) and other similar federal and state forms.

Retention: Current year plus 5
Format: Original creation
Location: Payroll

Register – Payroll [Year-End] - Documentation of the earnings, voluntary and required deductions and withholdings of school employees.

Retention: Permanent
Format: Original creation
Location: Payroll

Salary Surveys - Studies and surveys conducted by the school district or its agents to gather comparative salary information for school positions in comparable organizations.

Retention: Current year plus 3
Format: Original creation
Location: Human Resources or Payroll

Time Worked Records - All basic time and earnings cards or sheets and work production sheets of individuals where all or part of the employee's earnings are determined.

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Retention: Current year plus 5
Format: Original creation
Location: Office/building where employed, /Payroll Department in certain circumstances, or Records Management Center

Wage-Rate Tables - All tables or schedules (from their last effective date) of the employer which provide the piece rates or other rates used in computing straight-time earnings, wages, or salary, or overtime pay computation.

Retention: 3 years from creation
Format: Original creation
Location: Human Resources or Payroll

W-2 Forms - Annual wage and tax statements documenting individual employee earnings and withholdings for state and federal income taxes and social security tax.

Retention: Current year plus 4
Format: Original creation
Location: Payroll

W-4 Forms - Withholding allowance certificates documenting exemption status of individual school district employees.

Retention: Throughout employment
Format: Original creation
Location: Payroll

14. **PHYSICAL AND MEDICAL RECORDS** - Records documenting an individual employee's work-related medical history. *Note: These records are not personnel records and must be kept physically separate from employee personnel records in a separate location as required by the Americans with Disabilities Act.*

Americans with Disabilities Act (ADA) Records - Records required to be retained under the Americans with Disabilities Act (ADA) containing results of physical examinations considered in connection with personnel actions.

Retention: Duration of employment plus 10 years
Format: Original creation or electronic
Location: Human Resources or Risk Related Activities

Family and Medical Leave Act (FMLA) Records - Records required to be retained under Family and Medical Leave Act (FMLA); includes an FMLA leave request relating to medical certifications, recertification or medical histories of employees or employees' family members. These records shall be maintained in separate files/records and be treated as confidential medical records, except that supervisors and managers may be informed regarding necessary restrictions and accommodations, not the nature of the condition, first aid and safety personnel may be informed (when appropriate) if the employee may/might require emergency treatment, and government officials investigating compliance with FMLA shall be provided relevant information.

Retention: Duration of employment plus 10 years
Format: Paper or electronic
Location: Human Resources

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15. **STATE AND FEDERAL CIVIL RIGHTS COMPLIANCE** – Records documenting an individual employee's work-related claims under Colorado Anti-Discrimination Revised Statutes, Equal Pay Act of 1963, Civil Rights Act of 1964, as Amended, Age Discrimination in Employment Act (ADEA), Americans with Disabilities Act (ADA) and/or the Pregnancy Discrimination Act of 1978.

Retention: Duration of employment plus 10 years
Format: Original creation
Location: Human Resources

16. **POLICIES AND PROCEDURES – PERSONNEL** - Handbooks, manuals, directives and other written statements or summaries of policies and procedures governing personnel and human resource matters pertaining to employment with the school district.

Retention: Until updated, except retain permanently all documentation that would be useful in establishing past policies or procedures
Format: Original creation or electronic
Location: Human Resources or Records Management

Recruitment and Interviewing Procedures - Guidelines for recruitment and interviewing processes for hiring of school employees.

Retention: Current year plus 1
Format: Original creation or electronic
Location: Human Resources

17. **SIGNATURE CERTIFICATES** - Facsimile signature certificates for the superintendent and treasurer that are filed with the Secretary of State's office for authentication and verification of the signature of the official on school district documents.

Retention: 1 year after end of employment
Format: Original creation
Location: Human Resources

18. **TRAINING INFORMATION** - Information presented to orient new employees regarding policies and procedures.

Retention: Current year plus 1
Format: Original creation or electronic
Location: Human Resources

19. **UNEMPLOYMENT INSURANCE** - Reports and claim records for unemployment insurance payments.

Retention: Current year plus 6
Format: Original creation or electronic
Location: Human Resources

20. **VOLUNTEER WORKER RECORDS** - Records documenting work performed for the school district by citizens without compensation for their services.

Retention: 3 years after separation
Format: Original creation
Location: Human Resources

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21. WORK SCHEDULES

Employee Schedules

Retention: Current year plus 2
Format: Original creation or electronic
Location: Site based

22. WORKERS' COMPENSATION

a. Claim records for workers' compensation.

Retention: Duration of claim plus 10 years
Format: Paper or electronic
Location: Risk Related Activities

b. Incidents (no medical care needed)

Retention: Current year plus 1
Format: Paper or electronic
Location: Risk Related Activities