

Record Retention Schedule Human Resources

*** FOOTNOTES INDICATE CURRENT DEPARTMENTAL PRACTICE ***

Category/Type of Record	MINIMUM Retention Period (in calendar years, unless otherwise indicated)
Archival Historical Publications, Internal Institutional Research, etc. Handbooks (e.g. Student, Employee, Faculty -- as applicable)	Indefinitely
Building Maintenance/Management Key Records (records of issuance, re-issuance, return)	Permanently
CDL Drug/Alcohol Testing Records Employee Testing Records (including: alcohol tests above 0.02, positive drug tests, documentation of refusals to take tests (including substituted or adulterated test results), SAP reports, and all follow up tests and schedules for follow-up tests. Information Obtained from Previous Employers re: Drug/Alcohol Test Results Inspection, Maintenance, and Calibration Records of EBTs Negative and Cancelled Drug Test Results and Alcohol Tests Results Below 0.02	5 3 2 1
Committee/Department Records Committee Records, Official [committees and advisory groups listed on Registrar's website at http://registrar2.wlu.edu/faculty/faccomm.htm (e.g. minutes and official correspondence -- responsibility of committee chair and/or designee)] Individual Committee Member Service Records (i.e. service on W&L committees) General Departmental Administrative Records (e.g. budget files, capital requests, staff meeting minutes, recommendations / reports on departmental matters, general correspondence, disbursements, leave schedules, CHRON files, departmental programming, etc.) Record Disposition Logs Statistics / Records / Reports that Document Compliance with SACS Standards	Until the end of the current SACS accreditation cycle (which currently runs through 2019), but not less than 5 years No required minimum Retain for as long as administratively useful Permanently Until the end of the current applicable accreditation cycle(s) (SACS currently runs through 2019), but not less than 5 years

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Contracts and Agreements	
Purchase Orders, Contracts, Leases, Agreements (including documents relating to a verbal agreement/contract)	5 from fulfillment of obligations or termination of contract
Repair and Service Records (departmental purchases)	Until equipment disposed of
Warranty Files (departmental purchases)	1 after warranty expiration
Written Delegation of Authority to Sign Contracts	Indefinitely
Employee Benefit Plans	
Claims and Distributions to Employees or Beneficiaries (including loans, hardship withdrawals, and spousal consents)	6 from later of date claim resolved, loan repaid, distribution made, or filing of ERISA-related return/report
Employee Benefit Plan Documents (i.e. retirement and health insurance plans)	Period of plan + 1 year after termination, but not less than 6 from most recent DoL or IRS filing
Employee Eligibility for ERISA Plans (census data, records identifying which individuals are employees, records supporting service and other plan requirements for employee eligibility)	Period of employee eligibility plus 8 years
Employee Salary Deferral Authorization (retirement, FSA, DCAP)	Longer of 6 from last effective date or 6 from filing of ERISA-related return/report
Federal Reporting Requirements: Welfare Benefit Plans, and Other Fringe Benefit Plans (i.e. Form 5500-s)	Permanently
HIPAA-Related Documents (notices, policies and procedures, business associate agreements, consents, etc.)	6 from date of creation or last effective date (later)
Information Necessary to Verify Filings Certifying Compliance With Title I of ERISA (i.e. annual reports, latest summary description, plan documents and all attached amendments, non-discrimination testing, documents filed with Dept. of Labor or IRS)	6 from filing
Plan Administrator Communications to Employees, Participants, and Beneficiaries	Period of plan + 1 year after termination, but not less than 6 from most recent DoL or IRS filing
Plan Administrator Setting Forth Authority to Pay, Records of	Permanently

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Employee Benefit Plans (continued)	
Records Relating to Internal Revenue Code Eligibility Rules for Cafeteria Plans, DCAPs, and Other Fringe Benefits	Period of employee eligibility plus 5 years
Retirement Distribution Paid to Employees or Their Beneficiaries	6 after death of eligible employee and beneficiary
Seniority/Merit Systems (in writing)	Period of plan + 1 year after termination
Export Controls	
Export Control Licenses and Associated Documentation [including records related to transactions involving travel to foreign countries or other "exports" (including disclosure of certain technology/information to foreign nationals), for which a license is required.]	Consult the terms of the specific license, but not less than 3 years
Family Educational Rights and Privacy Act Data/Documents	
Student Consent to Disclosures of Personally Identifiable Information	As long as education records of the student are maintained
Student Recommendation/Reference Letter (NON-work-study)	2 from date provided
Federal Report and Disclosure Records	
Drug-Free Schools and Communities Act, Records Related to Compliance With (including documentation of the drug prevention program and results of biennial reviews)	3 after fiscal year in which record was created
Federal and State Required Statistics and Reports (Affirmative Action / Equal Opportunity)	Permanently
Human Resources	
Advertisements/Notices to Public or to Employees Relating to Job Openings, Promotions, Training Programs, or Opportunities for Overtime Work	1 from date of personnel action to which records relate
Certificates and Notices Required Under Fair Labor Standards Act	3 from last effective date

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Human Resources (continued)	
Conflict of Interest Disclosure Statements (staff & faculty, where applicable)	2
Disability Accommodations (Requests and Dispositions)	5 after separation
Drug Screening/Testing Records (non-CDL)	3
Health Certificates (if required for a particular position)	3 after employee departs position requiring the certificate
Exit Interview Files	5 after separation
Family and Medical Leave Act Records (including dates of FMLA leave, notices and certifications, and records of any disputes regarding FMLA leave)	3
Individual Contracts of Employment (necessitating more than 40 work hours per week; or memoranda summarizing terms thereof, if not in writing)	3 from last effective date
I-9 Forms (Faculty, Staff, and Students)	3, or 1 after separation (greater)
Job Applications, Employment Inquiries and All Other Records for NON-HIRED Faculty/Staff Applicants (NOT otherwise included in any search committee file)	3 from date of hiring decision
Job Orders Submitted to an Employment Agency for Recruitment of Temporary Personnel	1 from date of end of temporary employment
Leave Reporting Documents	5 after separation
New Hire Reports	5
Official Misconduct Investigations (i.e. official reports and forms only)	Permanently
Performance Appraisals	5 after separation
Personnel Actions -- Promotion, Demotion, Transfer, Layoff, Recall, Discipline, or Discharge of ANY Employee	5 after separation
Personnel Files for Faculty/Staff	5 from separation
Physical Examination Results (when considered in connection with a non-FMLA personnel action)	1 from date of personnel action to which records relate
Polygraph Records (current or prospective employees)	3 from date of polygraph

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Human Resources (continued)	
Professional Certification / Special Licenses (if required to establish competency for a certain position), Documentation of	5 after separation
Professional Development and Training Records	As long as administratively useful
Records Indicating a Basis for a Wage Differential to Employees of the Opposite Sex Working in the Same Position	Indefinitely
References (employees, work-study students, etc.)	Later of 2 after separation or 2 from date provided
Search Committee Records Related to Faculty and Staff Hires and Non-Hires	3 from date of hiring decision
Student Worker Personnel Files (including Federal Work-Study students)	5 after graduation or date of last attendance
Tests & Selection Criteria (indicating any impact, including adverse, on employment opportunities of persons by race, sex, or ethnic group) (also including hiring, promotion, termination figures based on race, sex, and national origin, as well as the number of applicants for hire and promotion classified by sex, race, and national origin; and the selection procedures used)	2
Test Papers/Individual Results for Employer-Administered Aptitude or Other Employment Test (when considered in connection with a personnel action)	1 from date of personnel action to which records relate
Unemployment Claims (payment/denial/appeal)	5 after case closure
Verification of Employment	3 after request for verification
Volunteer Registration Forms, Agreements and Parental Consent Forms	5 after separation
Workers' Compensation Claims	5 after case closure or until audit (longer)
Insurance and Risk Management	
Compliance-Related Training Records (date, scope of training, names of attendees)	Indefinitely
Waivers/Releases (e.g. Agreements of Responsible Travel, Fitness Center, etc.)	Later of 5 from date signed or 5 from completion of activity
Intellectual Property	
Copyright Release and Permission Forms	3 from date of last use/publication

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Litigation / Government Investigations / Agency Complaints	
Releases and Settlements	Permanently
Subpoenas and Related Authorizations for Release of Records	As long as the records they pertain to are maintained
Payroll	
Payroll Deduction Authorization Forms (W-4, Supplemental Life Insurance, etc.)	5 after separation
Personally Identifiable Employee Payment Records (for "bona fide" executive, administrative, or professional employees)	3
Personally Identifiable Employee Payment Records (other)	3
Tax	
Employee Remuneration, Records of	4