

Pennsylvania Office of Administration  
Office of Enterprise Records Management  
Records Retention and Disposition Schedule  
Approved by the Executive Board

Records Retention and Disposition Schedule  
By Bureau

3/16/2016

**Agency:** 000 General Retention Schedules  
**Bureau:** G200 Human Resources

Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
G200.001	EEO Data Collection Records  Forms, correspondence and records related to the collection of Equal Opportunity Employment data. Federal law requires the commonwealth to obtain information regarding racial identities of its employees. The information is confidential, and must not be placed in an employee's Official Personnel File, and is used for statistical purposes.  * AGY - Destroy upon entering into the commonwealth enterprise resource planning system.	M	No	0Y	0Y	3
G200.002	Code of Conduct, Statement of Financial Interest  The Code of Conduct Statement of Financial Interest is required under Executive Order 1980-18 Amended, Code of Conduct. It is not to be confused with the Statement of Financial Interests required under the Public Official and Employees Ethics Act, 65 Pa. C. S. §§1101—1113, which is administered by the State Ethics Commission.	M	No	5Y	0Y	3
G200.003	Equal Employment Opportunity (EEO) Plan  Annual report of minority utilization and EEO efforts. Records documenting agency plans, EEO policies, statistical reports, and any related copies to the official report.  * AGY - Current annual report and last four (4) years.	M	No	4Y	0Y	3
G200.004	Official Equal Employment Opportunity (EEO) Discrimination Complaint Case Files  Records relating to all EEO-related cases including internal complaints (STD-486C) resolved by the agency and/or OA, Equal Employment Opportunity Division or discrimination complaints/appeals filed with entities such as the State Civil Service Commission (SCSC), Equal Employment Opportunity Commission (EEOC), Pennsylvania Human Relations Commission (PHRC), Commonwealth or U.S. Court. These records include, but are not limited to: intake documentation; complaints; interview notes; answers; reports and exhibits; withdrawal notices; internal withdrawal forms (STD-486W); records of hearings and meetings; hearing transcripts; records of mediations and/or informal resolutions; investigative reports; copies of decisions; internal appeal forms (STD-486A); and appeals.  * AGY - From closing of case or as long as of administrative value.	M	No	4Y	0Y	3

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G200.005	Disability Accommodation Files  Records relating to disability accommodation requests and appeals resolved by the agency and/or OA, Equal Employment Opportunity Division. These records include, but are not limited to: disability accommodation requests; medical documentation; documents related to processing requests; documentation of accommodations provided; denied requests; requests for reconsideration; appeals; and documents related to reconsideration and/or appeal processing and determinations.  * AGY - From final disposition of request or as long as of administrative value.	M	No	3Y	0Y	3
G200.006	Confidential Supervisory Employee Working File  This secured file contains duplicates of documents that may exist in the employee Official Personnel File as well as other documentation. Records may include, but are not limited to: • Employee Performance Reviews (EPRs); • Doctor's notes for excused absences; • Documents relating to medical monitoring of employees who are or have the potential to be exposed to hazardous materials; and • Counseling notes.  * AGY - Retain records for one (1) year after separation from current supervisor.	M	No	1Y	0Y	3
G200.007	SEAP Employer Based Referrals  Maintain records in a sealed envelope inside of the paper OPF. Records may only be viewed by the agency SEAP Coordinator. Records may include, but are not limited to: • Commercial Driver License Referral; • Conditions for Continued Employment; and • Independent Psychological Evaluation.  * AGY – Records are to be removed from paper OPF and retained by the Agency SEAP Coordinator for one (1) year in the event of completion of successful referral; otherwise, records are to remain in the sealed envelope inside paper OPF.	M	No	0Y	0Y	3
G200.008	Personnel Action Request System (PARS)  An online system that allows personnel and position action requests to be initiated, routed, documented and completed using a paperless process. A request submitted through the system is also referred to as an E-PAR. Information collected includes names, position number, bureau name, supervisor name, and position description. Records are maintained for historical and statistical purposes.	M	No	20Y	0Y	6

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G200.009	Position Descriptions (STD-370)  Position Descriptions are maintained in the online position description application until superseded by a new Position Description.  * AGY - Delete or dispose of inactive copies of Position Descriptions after 10 years.	M	No	10Y	0Y	3
G200.010	HR/Personnel STD-Forms and Documents (Non-OPF)  Current versions of HR/personnel related forms and documentation maintained outside of an employee's Official Personnel File. Forms and documentation may include, but are not limited to: <ul style="list-style-type: none"> <li>• Signature Authorization (STD-275);</li> <li>• Designation of Emergency Interim Successor to State Officers (STD-276);</li> <li>• Supplementary Employment Request (STD-355);</li> <li>• Supplementary Employment Agency Notification (STD-356);</li> <li>• Supplementary Employment Request for Review (STD-357);</li> <li>• Earned Income (Wage) Tax Questionnaire (STD-399);</li> <li>• Employee's Withholding Exemption Certification (W-4);</li> <li>• Employee Statement of Non-Residence in PA (REV-420); and</li> <li>• Deferred Compensation (9-080-BF).</li> </ul> * AGY - Retain until superseded.	M	No	0Y	0Y	3
G200.011	HR/Personnel STD-Forms and Documents (Non-OPF)  The following HR/personnel related forms and documentation are to be maintained outside of an employee's Official Personnel File: <ul style="list-style-type: none"> <li>• Overtime Equalization Worksheet (STD-2);</li> <li>• Act 170, Financial Disclosure Appeal Form (STD-314);</li> <li>• Oral Interview (STD-325);</li> <li>• Request for Reimbursement of Applicant's Travel Expenses (STD-334);</li> <li>• Report of Incident/Accident (STD-430);</li> <li>• Employee Family Care Account Program (FCAP) Enrollment Form (formerly STD-447);</li> <li>• Employee Family Care Account Program (FCAP) Family Status Change (formerly STD-448);</li> <li>• Employee Family Care Account Program (FCAP) Reimbursement Claim (formerly STD-449);</li> <li>• FCAP Mid-Year Enrollment PKT;</li> <li>• FCAP Open Enrollment PKT, FCAP Status Change PKT;</li> <li>• Equal Employment Review Certificate (STD-483);</li> <li>• Record of Absence (C336L); and</li> <li>• Cross Application Time Sheet Entry form (CATS).</li> </ul>	M	No	4Y	0Y	3

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G200.021	<p>Pennsylvania Labor Relations Board Files</p> <p>Correspondence with the Pennsylvania Labor Relations Board. May include, but is not limited to: unfair labor practice charge correspondence, decisions, notes for case preparation, proposed settlement agreements and appellate decisions.</p> <p>* AGY - Retain 10 years or as long as of administrative value.</p>	M	No	10Y	0Y	3
G200.022	<p>Negotiations, Labor Hearings, Orders, Side Letters and Agreements</p> <p>Records relating to proceedings and outcomes of negotiations between the commonwealth and a collective bargaining organization. May include, but is not limited to: correspondence, input from affected agencies, research results, negotiation proposals, scheduling notes, notes of commonwealth bargaining team members, transcripts, and interest arbitration awards. Records relating to agreements between the commonwealth and collective bargaining organization that are meant to set precedent. May include side letter agreements, previous related agreements and case notes.</p> <p>* AGY - Retain 15 years or as long as of administrative value.</p>	M	No	15Y	0Y	1
G200.023	<p>Arbitrations, Awards, Briefs and Grievance Files</p> <p>Records relating to grievances filed by or against state agencies, employees, and unions. May include, but is not limited to: original grievance, investigative reports, letters of complaint, grievance forms, contractual grievance procedures, related correspondence, summary sheets, employee history information, appeal documentation, hearing and decision documentation, and final and binding decisions by third party neutral.</p> <p>* AGY - Close of case plus seven (7) years or as long as of administrative value.</p>	M	No	7Y	0Y	3
G200.024	<p>Alternate Work Schedule (AWS) Agreements</p> <p>Side letter agreements with Unions regarding the administration of alternate work schedules, includes notes and reports.</p> <p>* AGY - Retain as long as of administrative value.</p>	M	No	0Y	0Y	3
G200.025	<p>Furlough Files</p> <p>Includes list promotions, determinations on bumping rights and other documentation.</p> <p>* AGY - Retain 25 years or as long as of administrative value.</p>	M	No	25Y	0Y	3

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G200.026	Bargaining Unit Work Appeals  Records relating to the issue(s) in dispute, the party's respective position and the status of the appeal. May include, but is not limited to: the bargaining unit work from (BLR-1) and supporting documentation, Committee meeting results, correspondence, case notes and written dispositions of the appeal.  * AGY - Retain until case is closed plus an additional seven (7) years.	M	No	7Y	0Y	1
G200.027	Labor Relations, Agency & Union Correspondence Files  Correspondence between commonwealth agencies and unions. May include, but is not limited to: correspondence, activity reports/statistics and other related documentation.  * AGY - Retain two (2) years or as long as of administrative value.	M	No	2Y	0Y	1
G200.028	Superseniority Lists  Records relating to superseniority lists provided by the unions on a quarterly basis.  * AGY - Retain four (4) years or as long as of administrative value.	M	No	4Y	0Y	1
G200.041	Human Resources Reports  Workforce Analysis Reports which include, but is not limited to: complement reports; mobility reports; job secession reports; salary reports; hiring assessment survey reports; and overdue employee performance review reports.  * AGY - Retain as long as of administrative value.	M	No	0Y	0Y	3
G200.042	Job Study Files  Records created in support of the maintenance of the Classification Plan. May include, but is not limited to: analysis and recommendations for the creation, revision, or abolition of job.  * AGY - Retain as long as of administrative value.	M	No	0Y	0Y	3
G200.051	Recruitment Files  Records for job positions to be filled. May include, but is not limited to: civil service application notice; reference check log; job bids; senior level request documents; and related records pertaining to employee candidates. May also include intern hiring files.  * AGY - Retain five (5) years or until resolution of pending legal action or litigation preservation is released, whichever is longer.	M	No	5Y	0Y	3

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G200.052	Recruitment Files – Job Titles with Infrequent Job Filling Actions  Records for each job fill action relating to a position that is seldom filled. May include, but is not limited to: civil service application notice; reference check log; job bids; senior level request documents; related records pertaining to employee candidates on seldom filled positions.	M	No	15Y	0Y	3
G200.053	Job Interview Packet-Not hired  All notes taken by interviewees during the interview process as well as related forms. May include, but is not limited to: Selection Recommendation Summary; Reference Check Forms; and resumes.  * AGY - Official copy holder is determined by agency HR. Three (3) years or until resolution of pending legal action or litigation preservation is released, whichever is longer.	M	No	3Y	0Y	3
G200.054	Intern Files  Records relating to hired and volunteer interns that do not have an Official Personnel File. May include, but is not limited to: applications; policy acknowledgements; resumes; work contracts; compensation; school documents; and work product.  * AGY – Retain two (2) years after termination of internship.	M	No	2Y	0Y	3
G200.061	Leave and Overtime Audits  Records relating to leave and overtime audits. May include, but is not limited to: results of internal audits of leave requests and usage as well as overtime requests.  *AGY - Retention length is consistent with IRS requirements.	M	No	7Y	0Y	2
G200.062	Time and Attendance Records  Forms and documentation for time and attendance maintained outside of SAP. May include, but is not limited to, paper Requests for Leave (STD-330), doctor certificates, and subpoenas.  Note: Does not include time and attendance records maintained to document time on a grant or billing for services/time.  * AGY – Retain for seven (7) pay periods following the leave calendar year end or an employee’s separation date.	M	No	0Y	0Y	3

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G200.063	Unemployment Compensation Records  Reports submitted to the Department of Labor and Industry on a quarterly basis including each claimant's name, personnel number, amount of wages paid during the quarter subject to unemployment benefits, social security number, number of weeks covered, and other pertinent information retained for determination of unemployment benefits. May include, but is not limited to, receipts and statements of charges.  * AGY - Record copy. Retain for three (3) fiscal years after release of applicable audits.	M	No	3Y	0Y	3
G200.064	Unemployment Compensation (UC) Forms  <ul style="list-style-type: none"> <li>• UC-44F - Notice of Financial Determination;</li> <li>• UC-45 - Notice of Application and Employer's Statement;</li> <li>• UC-46 - Petition for Appeal;</li> <li>• UC-53 &amp; UC-53E - Notice of Hearing on Original/Board Appeal;</li> <li>• UC-59 - PA Unemployment Compensation Board of Review Referee's Decision;</li> <li>• UC-150 - Notice of Amount Due for Compensation Paid;</li> <li>• UC-483 - Subsequent Benefit Year Information;</li> <li>• UC-494 - Employer's Statement-Credit Weeks;</li> <li>• UC-640 &amp; UC-640A - Monthly Notice of Compensation Charged/Report on Conflict Wages and Benefits;</li> <li>• UC-785 - Low Earnings Report; and</li> <li>• UC-1609 - Location of Records for Unemployment Compensation.</li> </ul> *AGY - Retain for four (4) years from the date of form completion.	M	No	4Y	0Y	3
G200.065	Family and Medical Leave Act (FMLA)/Sick Parental and Family Care (SPF) Records  May include, but is not limited to: <ul style="list-style-type: none"> <li>• FMLA/SPF correspondence;</li> <li>• Requests for FMLA/SPF, Extended SPF, Military Exigency and Military Caregiver Absences;</li> <li>• Confidential medical documentation; and</li> <li>• Disputes resulting from the denial of a FMLA related request.</li> </ul> Pursuant to the FMLA, records shall be maintained in secure confidential files that are separate from the Official Personnel File (OPF).	M	No	3Y	0Y	3

Note: Approvals and disapprovals for FMLA/SPF are maintained in the OPF/e-OPF.

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G200.066	Confidential Medical Files  Medical documentation provided by the employee to the supervisor or human resource office staff that does not fall under other records series. Records should be maintained in a file that is secure and separate from the Official Personnel File (OPF).  * AGY – Retain for seven (7) pay periods following the leave calendar year end or an employee’s separation date.	M	No	0Y	0Y	3
G200.067	Workers Compensation Claim Report  Records that document reported work related injuries. These records are used to generate the Employer's Report of occupational injury or disease for the Workers' Compensation claims administrator.	M	No	4Y	0Y	3
G200.068	Workers' Compensation Files - Indemnity Claims  These records contain the claim file created to support the agency's administration of the workers' compensation claim for indemnity claims (those where the employee was disabled eight or more days). The retention of the files created and maintained by the third party workers' compensation claims administrator is subject to the retention schedule managed by the Office of Administration. In all cases, records are retained to meet the requirements of the Workers' Compensation Act, 77 P.S. §§ 1-2708.  * AGY – Retain 10 years from last activity on the file.	M	No	10Y	0Y	3
G200.069	Workers' Compensation Files - Medical Only  These records contain the claim file created to support the agency's administration of the workers' compensation claim for medical claims (those where the employee was disabled less than eight days). The retention of the files created and maintained by the third party workers' compensation claims administrator is subject to the retention schedule managed by the Office of Administration. In all cases, records are retained to meet the requirements of the Workers' Compensation Act, 77 P.S. §§ 1--2708.  * AGY- Retain three (3) years from last activity on the file.	M	No	3Y	0Y	3

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P79	Official Personnel File (OPF and/or E-OPF) – various forms-75th birthday	M	No	0Y	0Y	1

The OPF contains formal documentation of a person’s current employment status and employment history. Records may include, but are not limited to:

- Applications for employment;
- Wage or salary information;
- Notices of commendations, warning or discipline;
- Authorization for a deduction or withholding of pay;
- Fringe benefit information; leave records; and
- Employment history with the commonwealth.

A list of specific forms and documents included in the OPF with required retention can be found on OA’s website under Human Resources, Human Resources and Management, HR tools, Electronic Official Personnel File (e-OPF), Resources. ([e-OPF Required Document List](#)).

OPFs may be purged of temporary records (i.e.; information which does not make a significant contribution to a person’s employment record or which becomes outdated or inaccurate because of the passage of time).

\* AGY - Maintain 60 days after separation from state service. Send non-digitized paper OPFs to the State Records Center (SRC). If employee is 72 years of age or older, retain at agency for four (4) years, unless otherwise specified.

\*\* AGY - The SRC will maintain non-digitized paper OPFs until former employee's 75th birthday, then destroy.