

Department of Administration

Human Resources Division

Records Retention Schedule

Approved December 2009 & amended July 2012

PER Department of Administration – Personnel Division

PER1 Administrative Services

PER1.1 Personnel Action Forms

The Administrative Services Office utilizes various civil service forms in the process of hiring state employees. These completed forms are kept as a record of the history of each state employee (including interns). The most vital information on each employee found on the various forms (name, hiring date, gender, minority status, social security number, salary history, termination, and other vital information) is entered into a database. The records in the databases are microfilmed after five years. The files may include, but are not limited to, special contracts, emergency appointments, civil service lists, data compilations, records of physical examinations (when required), and the following:

CS-2 (Request for eligibles)

CS-3 (Personnel action form – turnaround processed to show personnel transactions)

CS-5 (Termination form – form completed when employee terminates, showing date, vacation, and sick balances)

RP 5 (Evaluation of qualifications form for candidates who are recommended and interviewed for employment)

CS-73 (Probation and Parole Form – sent for a Bureau of Criminal Identification check)

CS-205 (Form to request a new position)

CS-387 (Form relating to “drug free workplace” signed by some employees as required for their positions)

a) Vital Information Extracted into Database

Retention: Retain eighty (80) years after termination of employee.

b) All other records

Retention: Retain ten (10) years.

PER1.2 Accrued Hours (Reports and Corrections)

The Administrative Services Office maintains employees’ time balances and makes corrections to their time, notes exceptions, and maintains records of vacation and sick leave balances. The records may include, but are not limited to, accrued hour reports and corrections.

Retention: Retain seven (7) years.

PER1.3 Sick Bank Records

The Personnel Division oversees the administration of sick banks. Sick banks allow state employees to donate sick time to a sick bank so that employees who need more sick time than they have accrued can utilize it. Employees who donate time to the sick bank are eligible to use it if they need it. The records may include, but are not limited to, affidavits to donate time and request forms to use this time.

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Retention: Retain three (3) years after termination of employee.

PER1.4 Employment Eligibility Verification Records

State agencies are required to obtain proof of eligibility for all employees hired after November 6, 1986 (the date the Immigration Reform and Control Act, Pub. L. 99-603, took effect). This act, passed by Congress, requires all employers to verify the employment eligibility and identity of all employees. The primary form associated with this documentation that is currently in use is the I-9 form that all employees must fill out to prove that they are United States citizens or that they are authorized to work in the United States. Employers must verify these forms and then retain them. Employees must provide other personal documents to prove the validity of the statements on the form. Such documents may include, but are not limited to, driver's licenses, passports, social security cards, voter registration cards, and Native American tribal documents. The records in the series may include, but are not limited to, the I-9 form (or possibly a successor to it that could be used in the future) and any supporting documentation (originals or copies).

Retention: Retain three (3) years after employee is hired or three (3) years after employee is terminated, whichever is later.

PER2 Classification

PER2.1 Classification Studies & Records

The Personnel Division maintains records of desk audits for state employees who seek a change in job classification, regardless of whether the change is approved or not. The records may include, but are not limited to, classification questionnaires, desk audits, CS-205's (requests for new positions), and reallocations.

Retention: Retain five (5) years.

PER2.2 Job Specifications

The Personnel Division classifies state employees in specific job classifications that most resemble their positions. These classifications also take into account their functions, level of education, and experience. The records include job specifications and any accompanying documentation.

Retention: Retain five (5) years, until superseded, or until termination of last employee hired under description, whichever is later.

PER2.3 Public Hearing Files

The Personnel Division holds public hearings concerning personnel changes involving salaries, job descriptions, and content. Notices are posted to advertise these hearings, which are open to the public. The records may include, but are not limited to, classification notices, pay plans, and all public hearing materials.

Retention: Retain ten (10) years.

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PER3 Diversity

PER3.1 Vacancy Notices

The Diversity Office serves as the central repository for all state job vacancy notices. The office posts printed copies of the notices in the Department of Administration's posting room and electronic versions appear on the website of the Department of Labor and Training. The office retains these notices beyond the application period for reference purposes and because they are sometimes needed by union officials or members for grievances and/or arbitration hearings. The records include vacancy notices and any relevant class specification documents or summaries that detail job requirements. The forms involved include, but are not limited to, the CS-376 form.

Retention: Retain until resolution of all grievances (if any) and then until of no further administrative value (minimum retention: one (1) year).

PER3.2 Applications for Employment

The Diversity Office receives applications for state employment along with supporting documentation and forwards them to the appropriate departments and agencies. In some cases, the staff of the office also writes a letter of referral/support. This is part of the office's efforts to identify and recruit individuals from protected classes who are underrepresented in the state's workforce. The Uniform Guidelines on Employee Selection Procedures (published in 1978) drive these efforts. This document is a Federal document that authorizes such targeted outreach. The Equal Employment Opportunity Commission also uses these guidelines in the enforcement of Title VII of the Civil Rights Act of 1964. The files may include, but are not limited to, resumes, applications for employment, typing certificates, letters of recommendation, and copies of licenses.

Retention: Retain five (5) years, or until individual is hired or is no long seeking employment with the state of Rhode Island, whichever is longer.

Note: Amended July 2012.

PER4 Equal Employment Opportunity

PER4.1 Affirmative Action Plans/Programs

The Equal Employment Opportunity Office oversees the implementation of Affirmative Action plans and programs and monitors them. These actions are required by Federal Law (29CFR1602.14). The files may include, but are not limited to, Affirmative Action plans, Affirmative Action policies, Civil Service (CS378-EEO) cards, semi-annual reports, monthly reports, investigation records, hearing records, and records concerning allegations of sexual harassment.

a) Plans, Policies, and Semi-Annual Reports

Retention: Permanent.

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b) All other records

Retention: Retain three (3) years.

PER5 Employee Benefits

PER5.1 COBRA Records

The Consolidated Omnibus Budget Resolution Act (COBRA) is a Federal law (Public Law 99-272, enacted in 1986) that allows employees who are losing their medical coverage to purchase the coverage from their former employers, at full cost, for eighteen months. The Employee Benefits Office administers that law for former state employees, maintaining a record of benefit payments and other transactions. This series includes all forms and records associated with that process including, but not limited to, Golden Vouchers, RI Sail Vouchers, and RIFAN vouchers, all of which document bill paying and direct remittance.

Retention: Retain seven (7) years.

PER5.2 Vouchers

The Employee Benefits Office maintains data concerning benefit payments for state employees and other transactions. State employees receive numerous benefits including health insurance, dental insurance, vision care coverage, life insurance, and day care for dependents. Employees who leave have the option of buying into the health insurance provided by the Consolidated Omnibus Budget Reconciliation Act (COBRA). This insurance plan allows employees with health benefits the right to continue group health benefits provided by their group health plan for limited periods of time under certain circumstances such as job loss. The records prior to 2006 include RISAIL vouchers, which were replaced by RIFANS vouchers that year. The files also may include, but are not limited to, bill payment records and other types of vouchers.

Retention: Retain seven (7) years.

PER5.3 Contracts and Requests for Proposals

The Employee Benefits Office maintains copies of contracts for benefits for state employees and requests for proposals involving these benefits. The Purchasing Division holds the record copies. The contracts are negotiated between the state of Rhode Island and health vendors for medical, dental, vision, life insurance, and other coverage. These files may include, but are not limited to, copies of the contracts, copies of addendums to the contracts, copies of the requests, any associated correspondence, and copies of the bids submitted by the selected vendors.

Retention: Retain seven (7) years.

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PER6 Employee Services

PER6.1 Payroll Records

The Employee Services Office maintains records of employee hours and handles payment of salaries. The data on employee time sheets (submitted weekly) is entered into a database. Payroll is then printed up each week. The records include, but are not limited to, attendance sheets, vacation records, payroll exception sheets, payroll weekly printouts, registers of accounts of employees, and analyses of the payroll.

Retention: Retain ten years (10) years or one (1) year after audit, whichever is sooner.

PER6.2 Savings Bond Authorization Records

The Employee Services Office oversees the state payroll savings bond program in which state employees have the option of participating. The office receives the authorization cards that employees submit to effect changes in bond registration and payroll deduction. Vouchers are also prepared and processed to generate monthly purchases of EE and I bonds, both of which are Federal government-backed savings bonds that employees may opt to purchase. EE bonds are low risk bonds that earn a fixed rate of return, letting one know what they are worth at all times. I bonds are also low risk, but are a liquid savings product. Individuals participating in the savings bond program who leave it for various reasons (such as retirement or cancellation of bond deduction) receive refunds that are documented by refund vouchers. The records concerning these savings bonds may include, but are not limited to, savings bond authorization cards, signature cards, savings bond refund vouchers, savings bond purchase vouchers. They also include several types of computer-generated savings bond reports (such as 1042, 1030, and 1037 reports) that reflect the transactions.

Retention: Retain three (3) years.

PER6.3 Career Awards

The Employee Services Office recognizes state employees that reach service milestones (10 years, 15 years, etc.). These employees receive certificates and pens. The office generates monthly registers to ensure that employees receive these awards in a timely manner as per Personnel Rules Section 7-15. The files may include, but are not limited to, Civil Service Form CS-339a (monthly requests), CS-339b (requisition procedures), and monthly backup reports of candidates for the awards. These reports identify candidates by agency, department, and social security number.

Retention: Retain three (3) years after presentation of award.

PER6.4 Suggestions Program Awards

The Division of Personnel's Rules and Regulations provide for awards for employees who "propose procedures or ideas which are adopted and which will result in eliminating or reducing state expenditures or improving operations, provided such proposals are placed in effect" or "by their superior accomplishments, make exceptional contributions to the efficiency, economy, or other improvement in the operations of state government." The Division's Suggestions Program handles these awards, which are monetary. The records

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may include, but are not limited to, suggestion forms submitted by employees, suggestion evaluations, and any associated correspondence or memoranda.

Retention: Retain three (3) years.

PER7 Examination

PER7.1 Exam Materials

The Examinations Office administers civil service exams. The office analyzes and scores Education and Experience (E & E) worksheets, applications, and answer sheets in order to develop civil service lists. The office also provides the necessary information to render certification of employment, which is crosschecked with the certification unit when minority status is involved. The records may include, but are not limited to, civil service applications, E & E answer sheets, worksheets, appeals of results, and job availability listings.

Retention: Retain six (6) years.

PER7.2 Exam Booklets

The Examinations Office develops examination booklets for use in the testing of candidates for state employment. Examiners and department specialists review the booklets for specifications to make sure they are accurate and up-to-date. When they are not, questions are changed. The files may include, but are not limited to, exam booklets, exam histories, computer printouts of results, and key copies of answer sheets.

Retention: Retain until superseded (retain one (1) copy permanently).

PER7.3 Exam Lists

The Examinations Office ranks candidates for state employment based on their scores on civil service exams. Lists are prepared with these rankings in mind to evaluate candidates for state jobs as per RIGL 36-4-20 and RIGL 36-4-22. The records include, but are not limited to, lists of candidates with notations indicating acceptance or rejection, item analyses, room lists, Education and Experience (E & E) worksheets, and answer keys.

a) Lists for Open Competitive Positions

Retention: Retain ten (10) years.

b) Lists for Promotions

Retention: Retain ten (10) years.

PER8 Training

PER8.1 Incentive Credit Files

The Training Office oversees incentive credit training for state employees and maintains the records for each employee and each course throughout the state. The training is provided

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for as per RIGL 36-4-44, 36-4-14, 36-4-16.3, 36-4-14.1, and Personnel Rules (Sec. 4.08). Some of the courses are offered by colleges and universities, some by the Division of Personnel, and some by agencies. The files may include, but are not limited to, requests for lists of incentive credit training courses, incentive employee course files, requests to take courses, course approvals, course denials, attendance sheets, grading criteria, letters of completion, copies of exams, information on instructors, records of instructor payments, and credit approval records.

Retention: Retain thirty (30) years.

PER8.2 Non-Incentive Credit Course Files

The Office of Training and Development operates non-incentive credit training courses and maintains the records of the courses and the state employees that take them as per RIGL 36-4-44. The files may include, but are not limited to, course outlines, evaluations, rosters, and sign-in sheets.

Retention: Retain five (5) years.

PER8.3 Employee Training Records

The Training Office maintains records the incentive courses each state employee takes during his or her tenure as a state employee. Each file may include, but is not limited to, the employees name, personal information, the identification number for each course taken, the name of each course, and the amount of credit received. These records were maintained in paper format until 1988 and since then have been maintained in a database.

Retention: Retain three (3) years beyond termination of employee.

PER9 State Workers' Compensation

PER9.1 Claim Files

The State Workers' Compensation Unit handles claims for state employees who are injured on the job or who suffer impaired health as a result of their work. Workers must prove their injuries through medical documentation. The unit handles this documentation and pays associated bills for proven claims. The files may include, but are not limited to, regulatory forms (initial reports of claims), legal documents (pretrial orders, decrees of the court), medical documentation, attorney work products, depositions, investigative reports, attorney notes, and physical therapy records.

a) Investigative Reports, Attorney Notes, and Physical Therapy Records

Retention: Retain until of no further administrative value, but at least three (3) years from the date of incident or major impairment.

b) All other records

Retention: Retain thirty (30) years.

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PER10 Records Management

DLT10.1 Certificates of Records Destruction

Certification of Records Destructions forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable records retention schedules. RIGL §38-1-10, §38-3-6(j), and §42-8.1.10

Retention: Permanent.