

Human Resources/Personnel

Academic Promotion/Tenure Records

Schedule GS5 Item #80

This record series consists of the promotion portfolio or other documentation required for the review of applications for promotion and/or tenure. For each application, the series may include, but is not limited to, copies of applicable promotion criteria and standards; current curriculum vitae; employee's annual assignments; ratings received on annual evaluations; documentation supporting the employee's performance relative to promotion criteria and standards; employee's promotion appraisal(s); and other related documentation. A record of the approval, denial, or withdrawal of the application should be included in the official employee's personnel file; the institution determines what documentation serves as this record.

Retention Period: 5 anniversary years.

Affirmative Action Records

Schedule GS1-SL Item #82

This record series consists of records relating to an agency's affirmative action plan and/or affirmative-action-related activities, including reports submitted to the Equal Employment Opportunity Commission (EEOC), discrimination complaints, correspondence, and investigation records. If the records document compliance under a federal grant program, use "GRANT FILES" or "PROJECT FILES: FEDERAL." See also "EQUAL EMPLOYMENT OPPORTUNITY COMPLIANCE RECORDS" and "MINORITY BUSINESS CERTIFICATION CASE FILES."

Retention Period: 2 anniversary years provided litigation has been resolved.

Annual Reports: Federally Funded Programs

Schedule GS5 Item #44

This record series consists of Integrated Postsecondary Education Data System (IPEDS) reports; Office of Civil Rights (OCR) reports; and Equal Employment Opportunity Commission (EEOC) reports, specifically the EEO-6 report, Higher Education Staff Information. Retention pursuant to 29CFR1602.50, Requirement for filing and preserving copy of report.

Retention Period: 3 anniversary years.

Attendance And Leave Records

Schedule GS1-SL Item #116

This record series consists of requests or applications for vacation, sick, family medical leave act (FMLA), and other types of leave including leaves of absences; time sheets or time cards along with any required documentation (medical statements or excuses from a physician, jury duty summons, or military orders, etc.) submitted by an employee to document authorized absences; reports of leave hours used and accrued during a pay period; and reports of leave balances for all agency employees. **NOTE: Use PAYROLL RECORDS: SUPPORTING DOCUMENTS if the records are used at least in part to determine or verify pay or benefits.**

Retention Period: 3 fiscal years.

Attendance Records: Community Service

Schedule GS1-SL Item #249

This record series consists of, but is not limited to, time sheets, time cards, and sign-in logs for community service workers performing work in accordance with a court order or as part of a school or other community service program. These individuals do not receive any financial remuneration or retirement benefits for community service hours worked. Court-ordered community service workers must document their employment for the court or be subject to jail time, fine, or forfeiture.

Retention Period: 1 calendar year after last date of service.

Bargaining Records**Schedule GS1-SL Item #87**

This record series consists of contracts and supporting documentation related to contracts or agreements between public agencies and labor organizations or employee unions.

Retention Period: 5 fiscal years after expiration or cancellation of contract.

Bonus/Award Records: Employees**Schedule GS1-SL Item #333**

This record series documents bonuses or other awards given to employees based on performance or other criteria. The series may include, but is not limited to, nominations, evaluations and selection records for peer review bonuses or other awards.

Retention Period: 5 fiscal years.

Complaints: Citizens/Consumers/Employees**Schedule GS1-SL Item #94**

This record series consists of individual complaints received from citizens, consumers or employees. The records provide name, address, and telephone number of complainant, date of complaint, nature of complaint, to whom referred and date, action taken, and signature of person taking the action. This series does not include records documenting employee claims of harassment or discrimination. Do NOT use this item if records document a specific type of complaint covered by a different retention schedule item. See also "DISCIPLINARY CASE FILES: EMPLOYEES" and "GRIEVANCE FILES."

Retention Period: 1 anniversary year after resolved.

Disciplinary Case Files: Employees**Schedule GS1-SL Item #98**

This record series documents the investigation of allegations of employee misconduct and/or violation of department regulations or orders, state or federal statutes, or local ordinances. The series may include, but is not limited to, statements by the employee, witnesses, and the person filing the complaint. Cases include both formal and informal disciplinary proceedings relating to allegations that were determined as sustained, not sustained, unfounded, or exonerated. "Formal discipline" is defined as disciplinary action involving demotion, removal from office, suspension, or other similar action. "Informal discipline" is defined as any disciplinary action involving written and verbal reprimands, memoranda, or other similar action. These records are filed separately from the employee personnel file, but the final action summary becomes part of the personnel file. See also "EMPLOYEE CONDUCT COUNSELING RECORDS," "PERSONNEL RECORDS" items, and "STAFF ADMINISTRATION RECORDS."

Retention Period: 5 anniversary years after final action.

Drug Test Case Files**Schedule GS1-SL Item #260**

This record series documents drug testing of individuals under Florida's Drug-Free Workplace Act, or as required for Commercial Driver's License (CDL) or other drivers under U.S. Department of Transportation regulations. The case file may include, but is not limited to, documentation of decisions to administer reasonable suspicion or post-accident testing, or verifying the existence of a medical explanation of the inability of the driver to provide adequate breath or a urine specimen for testing; the employer's copy of a drug or alcohol test form, including the results of the test; a copy of the controlled substances test chain of custody control form; documents sent by the Medical Review Officer (MRO) to the employer; notice to report for testing; affidavit signed by the employee stating any prescription drugs or over-the-counter medication currently being taken; and final clearance to resume working. This record series can also consist of documentation relating to an employee's refusal to take or submit samples for an alcohol and/or controlled substances test(s). Refer to Sections 112.0455(7)-(8), Florida Statutes, Florida Drug-Free Workplace Act, Types of Testing and Procedures and Employee Protection, Section 443.1715(3)(b), Florida Statutes, Disclosure of Drug Test Information, and 49CFR382.401, Handling of Test Results, Records Retention, and Confidentiality: Retention of records.

Retention Period: 5 anniversary years after final action.

Drug Test Program Administration Records

Schedule GS1-SL Item #262

This record series documents the administration of an alcohol and controlled substance testing program under Florida's Drug-Free Workplace Act, or as required for Commercial Driver's License (CDL) or other drivers under U.S. Department of Transportation regulations. This series may include, but is not limited to, annual program summaries, logs, information on random selection processes, statistical information, test results, copies of materials on alcohol misuse and controlled substance use awareness, copies of employer's policy, and copies of testing policies and procedures. Refer to 49CFR382.401, Handling of Test Results, Records Retention, and Confidentiality: Retention of records and 49CFR382.403, Reporting of results in a management information system. See also "DRUG TEST EQUIPMENT RECORDS."

Retention Period: 5 anniversary years.

Educational and Employment Equity Reporting Records

Schedule GS5 Item #99

This record series documents efforts to comply with the requirements of the Florida Educational Equity Act (Section 1000.05, Florida Statutes, Discrimination against students and employees...) and the Community College Employment Equity Accountability Program (Section 1012.86, Florida Statutes). The series may include, but is not limited to, implementation plans, corrective action plans, progress reports, employment data, enrollment data, and other related documentation. Retention is based on Section 1012.86(1), Florida Statutes, and Statute of Limitations, Section 95.11(3), Florida Statutes

Retention Period: 4 anniversary years provided compliance achieved and maintained for at least 3 consecutive years prior to disposition.

Employee Assistance Program Records

Schedule GS1-SL Item #269

This record series documents services received by employees through an agency sponsored employee assistance program. These programs provide employees with information, treatment and counseling on issues such as substance abuse, financial planning, mental health issues, stress management, and domestic violence. This series may contain letters of inquiry, applications, supporting documentation, referrals, updates on employee treatment, and dates and times of appointments. This series does not contain financial or vendor billing information. Refer to Section 112.0455(5)(m), Florida Statutes, for definition of "Employee assistance program," and Section 110.1091(2), Florida Statutes, Employee assistance programs; public records exemption.

Retention Period: 2 anniversary years after final action.

Employee Conduct Counseling Records

Schedule GS1-SL Item #206

This record series documents initial coaching or counseling of an employee regarding performance or behavior issues that may lead to disciplinary action if not corrected. If disciplinary action is taken, this record becomes part of the employee's disciplinary case file. See also "DISCIPLINARY CASE FILES: EMPLOYEES," "PERSONNEL RECORDS" items, and "STAFF ADMINISTRATION RECORDS."

Retention Period: 1 anniversary year after final action.

Employee Fee Waiver Records

Schedule GS5 Item #55

This record series consists of waiver forms on tuition given to university/college employees.

Retention Period: 5 fiscal years provided applicable audits have been released.

Employment Application and Selection Records

Schedule GS1-SL Item #24

This record series consists of all records that document the selection process and justify the selection decision, including, but not limited to, the job opportunity announcement and any other recruitment efforts; position description, including the knowledge, skills, and abilities (KSAs) necessary to perform the job; applications and résumés for employment, including any demographic data provided by applicants; correspondence; credential documentation; testing/examination plans, documentation, and results; background investigation/screening documentation; pre-employment health examination records; reference checks; lists of eligible candidates; lists of applicants' ratings or rankings; description of the selection process and selection techniques used; names and titles of all persons participating in the selection process; and other information that affects the selection decisions. Documentation (original or copies) regarding hired candidates should be transferred to the employee's official personnel file. See Sections 110.211 and 110.213, Florida Statutes, governing recruitment and selection in state employment; Section 760.11, Florida Statutes, Administrative and civil remedies; construction (outlining discrimination grievance procedures, including for employment discrimination allegations); and Rules 60L-29 through 60L-40, Florida Administrative Code, Personnel Rules. See also "PERSONNEL RECORDS" items and "POSITION DESCRIPTION RECORDS."

Retention Period: 4 anniversary years after personnel action provided any litigation is resolved.

Employment Applications: Unsolicited

Schedule GS1-SL Item #400

This record series consists of employment application records submitted by individuals not responding to a particular job announcement or vacancy. The series may include, but is not limited to, employment applications, résumés, credential documentation, or other records submitted by the applicant, as well as correspondence and any related records regarding the application.

Retention Period: Retain until obsolete, superseded, or administrative value is lost.

Employment Assistance Program Nonexpendable Property Records

Schedule GS1-SL Item #343

This record series consists of records relating to nonexpendable property acquired under federal employment assistance programs, such as the Workforce Investment Act (WIA), or predecessor programs, such as the Job Training Partnership Act (JTPA) or the Comprehensive Employment and Training Act (CETA). Nonexpendable property is property that is not consumed in use and that retains its original identity during the period of use.

Retention Period: 3 fiscal years after final disposition of property.

Employment Assistance Program Records

Schedule GS1-SL Item #113

This record series consists of records documenting agency participation in federal employment assistance programs such as the Workforce Investment Act (WIA) or predecessor programs such as the Job Training Partnership Act (JTPA) or the Comprehensive Employment and Training Act (CETA). The series may include, but is not limited to, reports, lists of participating individuals, documentation regarding pilot programs, employer proposals, information on potential volunteer businesses, evaluations, and other supporting documentation.

Retention Period: 5 fiscal years after final report.

Employment Eligibility Verification Forms

Schedule GS1-SL Item #420

This record series consists of Employment Eligibility Verification Forms (I-9) that contain information used by employers to "verify the identity and employment authorization of individuals they hire for employment to preclude the unlawful hiring, or recruiting or referring for a fee, of aliens who are not authorized to work in the United States" (USCIS Form I-9). Retention is pursuant to 8 USC 1324a (b)(3), Unlawful employment of aliens, Retention of verification form.

Retention Period: 3 anniversary years after the date of the hire or one anniversary year after the date the individual's employment is terminated, whichever is later.

Equal Employment Opportunity Compliance Records

Schedule GS1-SL Item #103

This record series consists of annual reports relating to employment statistics (job classifications, race, sex, age, etc.) as required by the U.S. Equal Employment Opportunity Commission (EEOC). The series may also include related correspondence, reviews, background information, and other supporting documents. Refer to 29CFR1602 for EEOC reporting and recordkeeping requirements. Retention is pursuant to Statute of Limitations, Section 95.11(3), Florida Statutes. See also "AFFIRMATIVE ACTION RECORDS" and "MINORITY BUSINESS CERTIFICATION CASE FILES."

Retention Period: 4 anniversary years after final action.

Faculty Sabbatical/Professional Development Leave Records

Schedule GS5 Item #101

This record series consists of correspondence, applications, and reports of accomplishment for faculty who are granted sabbaticals or professional development leave. The series does not include the record copy of financial records relating to the sabbatical/leave. A copy of the notification of approval or denial of sabbatical/leave should be filed with the applicable personnel record.

Retention Period: 5 fiscal years after final report submitted or notification of denial.

Federal Income/Employment Tax Forms/Reports

Schedule GS1-SL Item #157

This record series consists of federal tax withholding and reporting forms including, but not limited to, W-2, W-4, W-5, W-9, 940, 941-E, 1095-C, 1096, 1099, and 1099-INT. Retention period is pursuant to 26CFR31.6001-1(e)(2), Place and period for keeping records.

Retention Period: 4 years from the tax due date (April 15) of the year to which the record applies, or for W-4s, four years from the last tax due date of the year in which the employee separated from employment or submitted a newer W-4.

Financial Disclosure Statements (Local Government)

Schedule GS1-SL Item #346

This record series consists of personal financial information submitted to a local governing body by individuals hired, elected or appointed to local government office. The statements indicate such information as financial status, source(s) of income or other related information. **These records may have archival value.**

Retention Period: 10 fiscal years. **Agencies should ensure appropriate preservation of records determined to have long-term historical value.**

Grievance Files

Schedule GS1-SL Item #110

This record series consists of records of agency proceedings in the settlement of disputes between the agency as employer and its employees. A grievance may be filed when an employee believes that a work related condition affecting the employee is unjust, inequitable, or a hindrance to effective operation. Section 110.227(4), Florida Statutes, Suspensions, dismissals, reductions in pay, demotions, layoffs, transfers, and grievances, outlines the grievance process for state agency career service employees. See also "COMPLAINTS: CITIZENS/CONSUMERS/EMPLOYEES" and "PERSONNEL RECORDS" items.

Retention Period: 3 fiscal years after settlement.

In-Service Education Records

Schedule GS5 Item #14

This record series documents continuing professional education programs conducted for professors and instructors. The records provide such information as component name and identification number, program objectives, activities description, component evaluation, budget, names of participants, and performance records. Documentation of individual participation should be filed with the individual's personnel file.

Retention Period: 5 fiscal years provided applicable audits have been released.

Intern Supervisor Participation Certificates

Schedule GS5 Item #69

This record series consists of Internship Participation Certificates awarded to persons who supervise interns or student teachers. Once issued, the certificate is valid for three years and may be used at any school in the State University System. The bearer is also entitled to a tuition waiver for up to six credit hours of instruction.

Retention Period: 5 fiscal years after expiration.

Minority Appointment Reporting Records

Schedule GS1-SL Item #406

This record series consists of minority appointment reports submitted annually by the appointing authority to the Florida Department of State pursuant to Section 760.80, Florida Statutes, Minority representation on boards, commissions, councils, and committees. The reports contain such information as the number of appointments made during the preceding year from each minority group, the number of nonminority appointments made, and the number of physically disabled persons appointed to boards, commissions, councils, and committees in the previous calendar year.

Retention Period: 4 anniversary years.

Organization Charts

Schedule GS1-SL Item #126

This record series consists of organizational charts that show lines of authority and responsibility agency wide, within and between the various departments of the agency. See also "DIRECTIVES/POLICIES/PROCEDURES." **These records may have archival value.**

Retention Period: Retain until obsolete, superseded, or administrative value is lost. **State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.**

Personnel Records: Florida Retirement System

Schedule GS1-SL Item #19

This record series consists of all personnel information relating to each employee participating in the Florida Retirement System (FRS). The series may include, but is not limited to, employment applications, résumés, personnel action reports, correspondence, oaths of loyalty, fingerprints, job-related medical examination reports, performance evaluation reports, workers' compensation reports, copies of I-9 forms (Department of Homeland Security, U.S. Citizenship and Immigration Services, Employment Eligibility Verification form), benefits records, work schedules/assignments, training records, emergency contact information, and other related materials. Section 110.201, Florida Statutes, Personnel rules, records, and reports, and Rule 60L-30, Florida Administrative Code, Personnel Programs and Records, require state agency personnel officers to institute uniform personnel rules and procedures and to determine what records are to be filed in their agency's official personnel files. Agencies should ensure that any records needed beyond the stated retention to calculate post-employment benefits are retained. See also "DRUG TEST CASE FILES," "EMPLOYMENT APPLICATION AND SELECTION RECORDS," "EMPLOYMENT ELIGIBILITY VERIFICATION FORMS," "STAFF ADMINISTRATION RECORDS," and other "PERSONNEL RECORDS" items.

Retention Period: 25 fiscal years after any manner of separation or termination of employment.

Personnel Records: Non-Florida Retirement System (Local Government)

Schedule GS1-SL Item #162

This record series consists of all personnel information relating to each employee not participating in the Florida Retirement System (FRS), including all "permanent" employees (with or without benefits). The series may include, but is not limited to, employment applications, résumés, personnel action reports, correspondence, oaths of loyalty, fingerprints, job-related medical examination reports, performance evaluation reports, workers' compensation reports, copies of I-9 forms (Department of Homeland Security, U.S. Citizenship and Immigration Services, Employment Eligibility Verification form), benefits records, work schedules/assignments, training records, emergency contact information, and other related materials. Agencies should ensure that any records needed beyond the stated retention to calculate post-

employment benefits are retained. See also “DRUG TEST CASE FILES,” “EMPLOYMENT APPLICATION AND SELECTION RECORDS,” “EMPLOYMENT ELIGIBILITY VERIFICATION FORMS,” “STAFF ADMINISTRATION RECORDS,” and other “PERSONNEL RECORDS” items.

Retention Period: 50 fiscal years after any manner of separation or termination of employment.

Personnel Records: Ops/Volunteer/Intern/Temporary Employment
Schedule GS1-SL Item #66

This record series consists of all personnel information relating to each Other Personnel Services (OPS), volunteer, intern, or temporary employee within each agency. The series may include, but is not limited to, employment applications, résumés, personnel action reports, correspondence, oaths of loyalty, fingerprints, job-related medical examination reports, performance evaluation reports, workers’ compensation reports, copies of I-9 forms (Department of Homeland Security, U.S. Citizenship and Immigration Services, Employment Eligibility Verification form), benefits records, work schedules/assignments, training records, emergency contact information, and other related materials. Temporary employees may include personnel referred by a local employment agency. Section 110.201, Florida Statutes, and Rule 60L-30, Florida Administrative Code, require state agency personnel officers to institute uniform personnel rules and procedures and to determine what records are filed in the personnel file. See also “DRUG TEST CASE FILES,” “EMPLOYMENT APPLICATION AND SELECTION RECORDS,” “EMPLOYMENT ELIGIBILITY VERIFICATION FORMS,” “STAFF ADMINISTRATION RECORDS,” and other “PERSONNEL RECORDS” items.

Retention Period: 3 fiscal years after any manner of separation or termination of employment.

Personnel Records: Supplemental Documentation
Schedule GS1-SL Item #378

This record series consists of personnel documentation relating to individual employees that agency rules or policies do not include as part of the official personnel file and that is not covered by other employee-related items. See also “DRUG TEST CASE FILES,” “EMPLOYMENT APPLICATION AND SELECTION RECORDS,” “EMPLOYMENT ELIGIBILITY VERIFICATION FORMS,” “STAFF ADMINISTRATION RECORDS,” and other “PERSONNEL RECORDS” items.

Retention Period: 5 fiscal years.

Position Description Records
Schedule GS1-SL Item #38

This record series documents the specifically assigned duties and responsibilities for a particular position. Information in the records may include, but is not limited to, percentage breakdown of duties, job summary, essential job duties, job standards, salary or pay range, education and experience requirements, required licenses/certificates, essential skills and qualifications, essential physical skills, and working conditions. See also “EMPLOYMENT APPLICATION AND SELECTION RECORDS.”

Retention Period: 2 anniversary years after obsolete or superseded.

Promotion/Transfer Request Records
Schedule GS1-SL Item #139

This record series documents employee requests for transfer or promotion within the agency. The series may include, but is not limited to, requests for promotion or transfer, copies of employment applications, any promotional level tests, and the test results. See also “EMPLOYMENT APPLICATION AND SELECTION RECORDS,” “STAFF ADMINISTRATION RECORDS,” and “PERSONNEL RECORDS” items.

Retention Period: 4 anniversary years after personnel action, provided any litigation is resolved, or 4 anniversary years after expiration of the request period if no vacancy occurs prior to expiration.

Salary Comparison Reports

Schedule GS1-SL Item #49

This record series consists of reports compiled for reference purposes to provide employees with a method of comparing their job descriptions, educational requirements, and salaries with similar positions within the agency and in outside agencies. See also "POSITION DESCRIPTION RECORDS" and "SALARY SCHEDULES." **These records may have archival value.**

Retention Period: 1 fiscal year. **State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.**

Salary Schedules

Schedule GS1-SL Item #240

This record series consists of a list or report indicating the salary classification/range for each position or pay grade in an agency. See also "POSITION DESCRIPTION RECORDS" and "SALARY COMPARISON REPORTS." **These records may have archival value.**

Retention Period: 10 fiscal years. **State agencies must contact the State Archives of Florida for archival review before disposition of records. Other agencies should ensure appropriate preservation of records determined to have long-term historical value.**

Social Security Controlled Summary Records

Schedule GS1-SL Item #144

This record series consists of an agency's copy of the State's Federal Insurance Contributions Act (FICA) report; Florida Retirement System agencies submit these reports to the Division of Retirement. The report indicates the total taxable wages plus the FICA amount withheld from employee wages and the employer's contribution. See also "PAYROLL RECORDS" items.

Retention Period: 4 calendar years after due date of tax.

Staff Administration Records

Schedule GS1-SL Item #371

This record series consists of documentation maintained in program offices, often by supervisors or program managers, to assist in managing office staff and monitoring personnel issues. Records may include, but are not limited to, copies of position descriptions, performance plans, performance and disciplinary documentation, leave requests, emergency contact information, and other documents filed in the agency's official personnel file, as well as location information, biographical materials such as vitae, biographies, photographs, and newspaper clippings regarding employees. These files are NOT Personnel Files or duplicates thereof, although some documents officially filed in the Personnel File might be duplicated in this record series. See also "DISCIPLINARY CASE FILES: EMPLOYEES," "EMPLOYEE CONDUCT COUNSELING RECORDS," and "PERSONNEL RECORDS" items.

Retention Period: Retain until obsolete, superseded, or administrative value is lost, then offer to personnel/human resources office before disposition.

Verification Records: Attendance/Employment/Enrollment

Schedule GS1-SL Item #243

This record series consists of written responses to requests received for verification of employment at an agency or of enrollment/attendance at an educational institution. The record series may also include logs recording the number of telephone inquiries for such verification and responses that are made verbally over the telephone.

Retention Period: 90 days.

Work Schedules

Schedule GS1-SL Item #289

This record series consists of work scheduling documentation for employees, including shift or part time employees. These records may provide such information as hours scheduled to work, assignments, the switching of hours with another employee, the location or route of work assignment, and anticipated starting and ending times.

Retention Period: 1 fiscal year after obsolete or superseded.