

Recordkeeping Guidelines

April 2016

Part III - Employee Records/Files Retention Guide

The best way to ensure a well-organized record system is to establish a record-retention policy that includes duration requirements.

FILE TYPE	DOCUMENT	RETENTION	SOURCE
Confidential (HR only)			
BATCH	Collective Bargaining Agreements	3 yrs after contract close	ADP
BATCH	EEO Self Identification form (voluntary) Affirmative Action Employer I-9 FORM (Keep active employees alpha and move term employees to chronological; determine end retain date and shred after retention)	3yrs after hired or 1 yr after term whichever is longer	BLR & SHRM
BATCH (ie, binder or file)			
BATCH	Interview notes from non-hired	3 yrs	SHRM
BATCH	Job applications from non-hires	3 yrs	SHRM
BATCH	Resume's from non-hired	3 yrs	SHRM
BATCH	Unsolicited job applications	not required to keep	BLR
BATCH	State new hire reporting	notified 20 days from hiring	BLR
Confidential (HR only)			
HIRE	Background check authorization/results	5yrs after term	BLR & SHRM
HIRE	Candidates test papers	5yrs after term	BLR
HIRE	Driving records	5yrs after term	SHRM
HIRE	Interview notes	4 yrs after term	SHRM
HIRE	Job applications from hires	length of employment plus 2 yrs	BLR
HIRE	Job postings/ads	1 yr	BLR
HIRE	Offer Letter	5yrs after term	BLR
HIRE	Reference check authorization/results	5yrs after term	BLR & SHRM
HIRE	Resume's from hired	4 yrs after term	BLR & SHRM
May be seen by supervisory personnel			
EE	Absentee Records (Vac, Sick, Pers.)	5yrs after term	BLR
EE	Any forms signed by employee expressing adherence to employer's policies	5yrs after term	BLR
EE	Attendance and absence records	5yrs after term	BLR
EE	Disciplinary records	4 yrs after term	SHRM
EE	Driving records not DOT	5yrs after term	BLR
EE	Employee Handbook Acknowledgement	5yrs after term	BLR
EE	Employee Invention Assignment & Proprietary Information Agreement	5yrs after term	BLR
EE	Job history records	4 yrs after term	SHRM
EE	Notices of commendations and awards	5yrs after term	BLR
EE	Performance appraisals	5yrs after term	BLR & SHRM
EE	Position/Rate Change Forms	5yrs after term	BLR
EE	Promotions, Transfer and Progressive Discipline	5yrs after term	BLR
EE	Training records	5yrs after term	BLR
EE	Written Warning or documentation of verbal warnings	5yrs after term	BLR
EE	Exit Interview Form/comments	5yrs after term	BLR
EE	Record of documents with final check	5yrs after term	BLR
EE	Separation checklist (may incl. return to Co Property)	5yrs after term	BLR
DOT/EE	Driver Appl	5 yrs after term	SHRM
DOT/EE	Driver Qualification & Safety Performance History Files	3 yrs after term	DOT
DOT/EE	Past employer history - past 3 yrs	3 yrs	DOT

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	Confidential (HR only)		
BENEFIT	Benefit Plan Records	6 years after termination	BLR
BENEFIT	Employee Benefit Records (Insurance enrollment forms)	6 yrs after the filing date	SHRM
BENEFIT	Retirement enrollment forms, profit sharing forms, flexible spending	6 yrs after the filing date	SHRM
BENEFIT	Beneficiary Designation forms	6 yrs after the filing date	SHRM
BENEFIT	Insurance claims	6 yrs after the filing date	SHRM
BENEFIT	COBRA	3 yrs	BLR
BENEFIT	Pension Benefit Plan records	6 years after termination	BLR
	Confidential (HR only)		
MEDICAL	DOT Testing	up to 5 yrs if testing for DOT	SHRM
MEDICAL	Drug/Alcohol Testing	5yrs after term	SHRM
MEDICAL	FMLA, USERRA and related leave records	3 yrs	SHRM
MEDICAL	Physical Exams	1 yr	BLR
MEDICAL	Safety and toxic chemical exposure records	30 years after the term	BLR
	Confidential (HR only)		
PAYROLL	Compensation Records	4 yrs after term	BLR
PAYROLL	Direct Deposit Authorization	4 yrs after term	BLR
PAYROLL	Employee Expense Reports	4 yrs after term	BLR
PAYROLL	FICA	4 yrs after tax is paid	BLR
PAYROLL	FLSA/Tipped Employees	3 yrs	BLR
PAYROLL	FOC	4 yrs after term	BLR
PAYROLL	FUTA	4 yrs after tax is paid	BLR
PAYROLL	Garnishments/Income Executions	4 yrs after term	BLR
PAYROLL	Wage Verifications	4 yrs after term	BLR
PAYROLL	Levies	4 yrs after term	BLR
PAYROLL	Overtime Requests, if applicable	4 yrs after term	BLR
PAYROLL	Payroll Deduction Authorization	4 yrs after term	BLR
PAYROLL	Reimbursements	4 yrs after term	BLR
PAYROLL	Requests for Pay Advances	4 yrs after term	BLR
PAYROLL	Timekeeping Records	4 yrs after term	SHRM
PAYROLL	W-4's	4 yrs after term	SHRM
	Confidential (HR only)		
DOT	Alcohol test results indicating a BAC of 0.02 or greater	5 yrs	DOT
DOT	Verified positive controlled substances test results	5 yrs	DOT
DOT	Random Selections or reasonable suspicion testing	2 yrs	DOT
DOT	Annual list of violations, review of driving record, med examiners certificate	may be discarded 3 yrs from date of execution	DOT
DOT	Negative & canceled drug test results and BAC below 0.02	1 yr	DOT
	HR		
OTHER	Disputed issues (records relating to issues 2 yrs after resolution of dispute involving external agencies or parties); OSHA and employee safety records	5 yrs after term	SHRM
OTHER	OSHA	5 yrs	BLR
OTHER	OSHA related to employee exposure to toxic or hazardous agents	30 yrs	BLR
OTHER	Reductions in Force		
OTHER	FORM 5500	6 yrs after filing	BLR
OTHER	Affirmative Action Plan	2 yrs after AAP year	BLR
OTHER	Safety Data	5 yrs following the year records pertain to Medical exams, material	
OTHER	Workers Comp Claims	30 yrs after date of injury/illness	SHRM