

Wright State University RECORDS RETENTION SCHEDULE (RRS)

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Instructions: This form establishes a schedule of retention and disposal for the listed records series, based on procedures provided by Section 149.333 of the Ohio Revised Code. Offices are required to submit a [Certificate of Records Disposal \(CRD\)](#) to the University Records Manager prior to the disposal of records listed on their retention schedule, as per [Wright State Policy 12220](#). This schedule shall become effective on the last date approved. Obtain approvals and return to the University Records Manager, Special Collections and Archives, 401 Dunbar Library. For assistance, please call ext. 2017, or write to chris.wydman@wright.edu.

Originating Office/Dept Code: Human Resources HURE

Division: VP for Finance and Operations

Approvals

Date:

Dean/Director/Head: Emily Hamman 3/22/2023

University Records Manager: Chris Wydman 3/3/2023

¹**Medium code:** P=Paper, M=Microfilm/Fiche, E=Machine Readable

²**Value code:** C=Confidential, H=Historical, R=Restricted, V=Vital

³**Description:** A separate retention period is required for each medium in the same records series.

WSU Records Series Number	Medium Code ¹	Value Code ²	Records Series Title and Description ⁵	IUC Number	Retention Period
ASSOCIATE VP/ ADMINISTRATION					
HURE07-01	P	H	Agreements/Contracts This series includes agreements between WSU and organizations or agencies (i.e., American Association of University Professors, Fraternal Order of Policemen, and Teamsters).	LEG2000	Retain while active plus five years, then review for continuing administrative and/or historical value.*
HURE07-02	P/E	H	Publications/Manuals and Handbooks Employee handbooks, training manuals, WSU telephone directories, and departmental brochures produced by the office.	PUB3000	Retain in office until superseded. Transfer one dated paper copy of each version to the Archives every three years.
HURE07-03	P	H	Publications/Newsletters	PUB3000	Retain in office until of no further administrative value. Transfer one dated paper copy of each to the Archives every three years.

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ASSOCIATE VP/ ADMINISTRATION					
HURE07-04	P	C	<u>Personnel Files-Human Resources Department*</u> Staff personnel files. These include performance evaluations, letters of recommendations, correspondence, resumes, copies of contracts, and vacation and sick leave information. <i>*Note: Long-term information is held in Human Resources Office central files.</i>	PER3000	Destroy six years after termination. If subject to legal action, retain until final disposition.
HURE07-05	P/E	H	<u>Reports-Annual and Other</u> This includes annual and other reports by the Associate Vice President of Human Resources documenting activities and projects of the Human Resources office.	ADM9910	Retain in the office for three years. Transfer one hard copy of each report to the University Archives.
HURE07-06	P/E		<u>Subject Files- Assistant Vice President's</u> Includes correspondence, reports, minutes, memoranda, and informational files.	ADM9910	Review annually for continuing administrative or historical value* before disposition.
HURE07-07	P/E	H	<u>Surveys-Employee</u> Includes various employee opinion surveys conducted by the office of Human Resources on topics such as childcare, employee benefits, etc.	ADM9910	Retain collected questionnaires until results compiled and then destroy. Retain original questionnaire and survey report for one year and then review for continuing administrative value.

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BENEFITS AND COMPENSATION					
HURE07-08	P	H	Agreements/Contracts This series includes agreements between WSU and organizations or agencies (i.e., American Association of University Professors and Fraternal Order of Policemen).	LEG2000	Retain while active plus five years, then review for continuing administrative and/or historical value.*
HURE07-09	P		Benefit Plans in Force Records related to institution-sponsored benefit plans. Includes the actual pension and benefit plans in force: <ul style="list-style-type: none"> ➤ insurance, ➤ pension, ➤ disability, ➤ medical, ➤ survivor programs, ➤ vesting criteria, ➤ vacation entitlements, ➤ educational assistance, ➤ savings plans, and ➤ correspondence explaining benefit plans. <p><i>Note: This pertains to the plans and not the records documenting employee employment or contribution (eligibility) (Age Discrimination and Employment Act).</i></p>	PER1010	Retain for the period the plan is in effect plus six years. Then, review for continuing administrative value.
HURE07-10	E	C	Benefit Plans/HRMS Database Current enrollment for an employee, life insurance, disability, coverage type, etc. <i>Note: Original information maintained by insurance companies.</i>	ADM9910	Retain while active. Purge information after employee termination. Refer to information available in paper format in personnel files.
HURE07-11	P/E		Employee Position Classification Audit Includes employee requests for audit of their position. This series includes request forms, review notes and audit results.	PER3010	Retain for five years and then destroy.

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BENEFITS AND COMPENSATION					
HURE18-12	P/E	C	<u>Medical Enrollment Forms</u> <i>The Human Resources Office has access to the Anthem client administration system. Some medical information is entered into the ERP (Banner HR)</i>	PER1030	While active, file separately from the central personnel files. Merge with the central personnel files once inactive. QC required for any documents scanned into Banner HR or other retention systems.
HURE18-13	P/E		<u>Leave Records</u> Submitted employee leave request forms and related documentation. Includes records for leave requests under FMLA/OFLA, military, and other types of leave. Records may include: leave requests and supporting documentation; employee notifications; leave logs; related correspondence.	PER1010	Retain 4 years.
HURE18-14	P/E	C	<u>Short and Long Term Disability Claim Records</u> Documents the eligibility for and administration of short and long term disability benefits for university employees. May Include: copies of benefits checks to ensure proper payments from provider; correspondence with provider regarding claim status; claim applications; copies of position descriptions; salary information; correspondence with employees regarding COBRA payments and status of claims; and related records.	PER1010	Retain 6 years after final action or case closed.
HURE08-15			<u>Wage and Fringe Benefit Surveys- Classified Staff</u> Surveys (general or by specific profession) conducted by the university with area organizations in an effort to acquire comparative data regarding wage and fringe benefit programs.	PER9900	Retain for three years in the office and then destroy surveys and send one copy of the final report to the University Archives.
Note: For retention of Workers' Compensation claims and other related documentation refer to the records retention schedule of the General Counsel's office					

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POSITION CLASSIFICATION					
HURE18-16	P/E		<u>Position Descriptions</u>	PER2000	Retain for three years and then purge if of no further administrative value.
HURE18-17	P/E		<u>Reclassification Files – Classified Staff</u> Record of university or college employee reclassification with accompanying job audit reviews, audit appeals, position description questionnaires, correspondence and final decision documentation.	PER3010	Retain for five years and then destroy.
HURE22-32	P/E		<u>Special Salary Adjustment Files- Unclassified Staff</u> Records of salary adjustment review to address recruitment/ retention, pay compression, internal equity and/or change in scope/ complexity of the staff position. May result in promotion or job reclassification.	PER3010	Retain for five years and then destroy.
EMPLOYEE RELATIONS AND INFORMATION SERVICES					
HURE18-18	P	C	<u>Calendars</u> Notes on employee-related issues maintained by the HR mediator for reference purposes. Includes notes of telephone calls, meetings' documentation, and messages regarding potential personnel issues.	ADM9910	Retain until resolution of issue/dispute and then review for continuing administrative value.
HURE18-19	P		<u>Discipline/Grievance Files</u> Records of staff grievances except for equal opportunity and affirmative action-related ones (See records retention schedule for the Affirmative Action office). Includes documentation of predisciplinary hearing and grievance hearings of staff members. <i>Note: Hearing decision is included in the individual's personnel file.</i>	LEG4000	Retain while active plus six years and then review for continuing administrative value.
HURE18-20	P		<u>Labor Relations-Contracts</u> Includes documentation on negotiations with labor unions and meetings with WSU's General Counsel and external Labor Relations counsel as well as duplicate copies of contracts with labor unions. <i>Note: Original files at State Employees Relations Board</i>	LEG2000	Retain while active plus five years, then review for continuing administrative value.

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HURE18-21	P	C	<p><u>Labor Relations-Litigation</u> Includes duplicate information on wage and hour lawsuits, disciplinary actions, etc.</p> <p><i>Note: Original files at WSU's General Counsel's office.</i></p>	ADM9910	Retain until resolution of case and then destroy.
HURE18-22	P/E		<p><u>Unemployment Compensation</u> Information for Ohio Bureau of Employment Services (OBES) and TPA (Third Party Administrator).</p>	LEG4000	Retain while current plus six years.
HURE18-23	E	C	<p><u>Enterprise Resource Planning System- HR- Banner by Elucian</u></p> <p>ERP implemented in 2005 that manages both the payroll and personnel functions of the university. A subsystem to Banner HR, <i>PeopleAdmin</i>, is utilized as the applicant tracking system.</p>	PER3000	Retain continually updated.
EMPLOYMENT SERVICES					
HURE18-24	P/E	C	<p><u>Recruitment Records-Employee Search/ Classified Staff</u> This series includes</p> <ul style="list-style-type: none"> ➤ advertisements ➤ applications ➤ tests ➤ pre-employment physical exams (active+1 y), and ➤ search committee/recruitment documents ➤ Selection Criteria Form (form providing an explanation as to why a person was or was not hired for a university or college position). <p><i>Note: The recruitment records of unclassified staff and faculty are maintained by departments.</i></p>	PER2000	Retain for three years and then destroy.

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HURE18-25			Tests-Classified Staff Includes university employment tests, word processing skills, vocabulary, spelling, etc. score sheets.	PER2000	Retain score sheets for one year and then destroy.
HURE18-26	P/E	C/V	Personnel Files Classified/Unclassified Staff/Faculty This series includes: <ul style="list-style-type: none"> ➤ Budgetary information about the position, Personnel Action Form (PAF) status change memos, etc., tax information, direct deposit form, voluntary deductions, tuition remission, etc ➤ Employment agreements ➤ Performance appraisals ➤ Personnel data form ➤ Position audit ➤ Position information ➤ Promotion/demotion documentation ➤ Recommendation letter ➤ Resume (held and destroyed by individual departments; only select resumes maintained by HR) ➤ Application ➤ Retirement enrollment agreement form ➤ Salary changes 	PER3000	Retain while employee is active. Once inactive, dept. may consider alternative formats for long term retention, including document scanning or microfilming. Originals may be destroyed only after quality control of migration to new formats has been completed, and offsite duplication/ back-up of data is in place.
HURE18-27a	P/E		Personnel Files- Classified/Unclassified Staff/Faculty- Performance Appraisals Includes application, correspondence, resumes, etc. from applicants for positions.	PER3000	Retain for five years then destroy.
HURE18-27c	P/E	C	Personnel Files- Temporary Staff Files pertaining to temporary employees hired through contract vendors.	PER2000	Retain while active plus three years then destroy.
HURE18-28	P		I-9 Forms I-9 forms (Immigration and Naturalization Employment Record) <i>Note: The I-9 forms are filed separately from the main personnel file in order to facilitate speedy retrieval for INS inspection requests.</i>	PER3000	Retain for three years after the date of the hire or one year after date the individual's employment is terminated, whichever is later. (8CFR274a.2 Verification of Employment and Eligibility).

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HURE18-29	P		<u>W-4 Forms</u> Forms completed by employee showing federal tax withholding exemptions.	PER1030	Retain while active plus six years and then destroy.
HURE18-30	P/E		<u>Position Vacancy Announcements- Unclassified, Classified Staff and Faculty</u> Job descriptions for each university or college position posted.	PER2000	Retain for three years and then destroy.
HURE18-31	P/E		<u>Background Checks- Pre-Employment Screening</u> All documentation and materials (background check results, fingerprinting results) used to assess a candidate's eligibility for employment.	PER2000	Retain for three years and then destroy.

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