

University of Colorado Colorado Springs

Records Retention Schedule

For HR & Personnel Actions



Human Resources

UNIVERSITY OF COLORADO
COLORADO SPRINGS

Document Type	UCCS	Retention Period	Related Authority
Records to complete IPEDS Report	Institutional Research	3 years	29 C.F.R. § 1602.48
Affirmative Action Plans and Progress Reports	Human Resources	2 years	DOL
VETS 4212 Reports	Human Resources	2 years	DOL
Employment Tests and Selection Criteria – Impact or Adverse Impact Records <ul style="list-style-type: none"> Comparative Analysis Exam Police Officer Exams 	Human Resources	2 years	29 C.F.R. 1607.15 (A)(2)(a)
Conflict of Interest Disclosures			
<ul style="list-style-type: none"> Nepotism 	Human Resources – Personnel File	10 years after employee's separation from the University.	APS
<ul style="list-style-type: none"> Dual Employment and 1/6 Rule 	Human Resources – Personnel File	10 years after employee's separation from the University.	
Employee Medical Records			
These records are not personnel records and must be kept separate from personnel records.			
<ul style="list-style-type: none"> Family and Medical Leave Act documentation <ul style="list-style-type: none"> Request for FML Medical Certification Designation Fit to Return Permanent Medical Restriction 	Human Resources	3 years after the end of documented incident	
<ul style="list-style-type: none"> Short and Long-Term Disability Documentation 	Employee Services		
<ul style="list-style-type: none"> Work related injury or illness <ul style="list-style-type: none"> Injury report Disposition report Permanent Medical Restriction 	Risk Management	6 years after the date of injury or 2 years after the last medical or indemnity payment	8 C.F.R. 303

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<ul style="list-style-type: none"> • Leave Sharing Documentation 	Human Resources		
Employment Eligibility Verification Records <ul style="list-style-type: none"> • I-9 Forms • Colorado Affirmation Form • Residence Records for Classified Staff 	Human Resources Post 12/2015 - HCM	3 years after date of hire, or one year after termination, whichever is later	8 C.F.R. § 274a.2
Visa and Immigration Documents			
<ul style="list-style-type: none"> • J1 visa documents 	International Student Scholar Services (ISSS) Office of International Education	3 years from the time the J1 exchange visitor completes the J1 program	22 CFR 62.10(g)
<ul style="list-style-type: none"> • H1b Public Access Files 	International Student Scholar Services (ISSS) Office of International Education	1 year from the date the LCA expired or was withdrawn	20 CFR 655.760(c)
<ul style="list-style-type: none"> • PERM files 	International Student Scholar Services (ISSS) Office of International Education	6 years from the time the FN obtains permanent residency or leaves the university	20 CFR 656.10(f)
<ul style="list-style-type: none"> • Employment based nonimmigrant visa petitions 	International Student Scholar Services (ISSS) Office of International Education	3 years from the time the FN obtains permanent residency or leaves the university	Department Practice
<ul style="list-style-type: none"> • Immigrant Petitions 	International Student Scholar Services (ISSS) Office of International Education	3 years from the time the FN obtains permanent residency or leaves the university	

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<p>Employee Personnel Records – Classified Staff</p> <p>Pursuant to State Archives Schedule 8 (5-15 Personnel Files), the Official Personnel File should include;</p> <ul style="list-style-type: none"> • Offer Letters • Performance Evaluations • Resignation/Termination Letters • Layoff Notices • Grievance/Dispute Documents • Corrective/Discipline Actions • Leave Balance Upon Termination or Transfer Forms • Alternate Work Arrangement Forms <p>*See other areas for documents that may be in the personnel file **Departments may keep copies records; however, the above stated documents must also be stored in Central HR.</p>	<p>Human Resources or other repository as designated by Human Resources (CU Careers)</p>	<p>10 years after employee's separation from the University.</p>	<p>All: Title VII ADA 29 C.F.R. 1602.49 State Archives Schedule 8</p>
<p>Employee Personnel Records – University Staff</p> <ul style="list-style-type: none"> • Offer Letters • Performance Evaluations • Resignation/Termination Letters • Layoff Notices • Leave Balance Upon Termination or Transfer Forms • Alternate Work Arrangement Forms <p>*See other areas for documents that may be in the personnel file **Departments may keep copies of records; however, the above stated documents must also be stored in Central HR.</p>	<p>Human Resources or other repository as designated by Human Resources (CU Careers)</p>	<p>10 years after employee's separation from the University.</p>	<p>All: Title VII ADA 29 C.F.R. 1602.49 State Archives Schedule 8</p>

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<p>Employee Personnel Records – Faculty</p> <ul style="list-style-type: none"> • Offer letters (new hires; administrative faculty appointments; retention agreements; System Agreements for instructors; endowed appointments; etc.) • Supporting documentation for new hires: CV, letters of reference, faculty oath, Recruiting Authorization Form • Degree verification for faculty hired prior to the dissertation having been completed • Comprehensive Review for Reappointment, Tenure, and Promotion review documentation for tenure rank faculty • Non-Medical Leave of Absence Requests • Course Buy-Out Requests • Faculty Performance Ratings • Salary Adjustment Notifications • Post-Tenure Review Reports • Salary Equity Appeals • Sabbatical Applications • Resignations • Retirement Agreements <p>**Departments may keep copies of records; however, the above stated documents must also be stored in Central HR.</p>	<p>Human Resources or other repository as designated by Human Resources</p>	<p>10 years after employee's separation from the University.</p>	<p>All: Title VII ADA 29 C.F.R. 1602.49 State Archives Schedule 8</p>

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<p>Employee Personnel Records – Research Faculty (including PRA)</p> <ul style="list-style-type: none"> • Offer letters (new hires; administrative faculty appointments; retention agreements; System Agreements for instructors; endowed appointments; etc.) • Supporting documentation for new hires: CV, letters of reference, faculty oath, Recruiting Authorization Form • Degree verification for faculty hired prior to the dissertation having been completed • Non-Medical Leave of Absence Requests • Faculty Performance Ratings • Salary Adjustment Notifications • Salary Equity Appeals • Resignations • Retirement Agreements <p>**Departments may keep copies of records; however, the above stated documents must also be stored in Central HR.</p>	Human Resources or other repository as designated by Human Resources	10 years after employee's separation from the University.	<u>All:</u> Title VII ADA 29 C.F.R. 1602.49 State Archives Schedule 8
<p>Employee Personnel Records – Undergraduate Student Employees</p> <ul style="list-style-type: none"> • Offer letter 	Student Employment	5 years after separation from employment	34 C.F.R. 675.19(b)(2)(i)-(iii)
<p>Employee Personnel Records - Graduate Students (Faculty)</p> <ul style="list-style-type: none"> • Offer letter 		10 years after separation from employment	Title VII ADA 29 C.F.R. 1602.49 State Archives Schedule 8
<p>Employee Personnel Records – Volunteers and Trainees</p> <ul style="list-style-type: none"> • Volunteer application • Training application • Letter of Invitation 	Department		

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Individual Employee Security Profiles <ul style="list-style-type: none"> Initial set up and changes to the security profile of an employee including HCM, Finance, CIW, and Campus Solutions 	UIS – Singularity and OIM	None	
Human Resource Recruitment and Search Committee Records <ul style="list-style-type: none"> Application Materials Applicant Pool Appointment Records Postings Search Committee Members Search Summary Search Waivers Test forms and scores <p>*All search committee notes are to be destroyed at the conclusion of the search</p>	CU Careers	3 years Note: Application of the successful candidate become part of the employee's personnel file.	
Positions Descriptions for Classified and University Staff	Human Resources or CU Careers	4 years after inactivated or superseded	State Archives Schedule 11-43
Officer delegation reports	Human Resources	Not purged	
Exemption and Personnel Action Reports	n/a – Chancellor signs all offer letters	Not purged	
Time and Attendance Records	Department (personnel files) or MyLeave	5 years from creation of the record	
Leave Records			
<ul style="list-style-type: none"> Request and approval of leave 	Department (personnel files) or MyLeave	3 years after employee's separation or transfer from the department.	
<ul style="list-style-type: none"> Final leave balance 	Human Resources – personnel file	10 years after separation from employment	

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Payroll and Benefit Records			
Annual Benefit Reports	Employee Services	Life of Plan	
Benefit Employer Contribution	Employee Services - OnBase	Employee Tenure	
Benefit Plan Description/Master Contract	Employee Services	Life of Plan plus three years	
Benefit Plan Bidding/Selection Data	Employee Services	Life of Plan	
Insurance Benefit Plan Selection Data	Employee Services	Life of Plan plus 7 years	
Benefit Provider Report of Events	Employee Services	Life of Plan plus 3 years	
Benefit Records	Employee Services	Until employee separates from University	
Employee Tax Records	Employee Services	4 years from the date the tax is due or the tax is paid, whichever is later	26 C.F.R. 31.6001-1
Wage Attachments, Child Support, and Garnishment Records	Employee Services	3 years from the final withholding, release of employee's date of separation	State Archives Schedule 8
Federal Tax Levies	Employee Services	4 years from the final withholding or date of employee separation	2005 Principles of Payroll Administration
Pay Authorization Records	Employee Services - HCM	Until updated, superseded, or no longer needed for reference.	State Archives Schedule 8
Pay Delivery Records	Employee Services - HCM	Until updated, superseded, or no longer needed for reference.	State Archives Schedule 8
Payroll Adjustments – Off-cycle pay, overpayments, retroactive pay, refunds, one-time pay, leave adjustments	Employee Services - HCM	3 years after termination or employment or cancellation of authorization	State Archives Schedule 8
Payroll Check Register	Employee Services - HCM	Until updated, superseded, or no longer needed for reference.	State Archives Schedule 8
Payroll Register	Employee Services - HCM	Until updated, superseded, or no longer needed for reference.	State Archives Schedule 8

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Direct Deposit Authorization	Employee Services - HCM	3 years after change in authorization, cancellation, or employee separation.	State Archives Schedule 8
Tax Withholding Authorization Records W-4's	Employee Services - HCM	Until superseded or 4 years after employee separation	IRS Publication 15 (Circular E), Employer's Tax Guide
Wage and Tax Statements	Employee Services	4 years	IRS Publication 15 (Circular E), Employer's Tax Guide
Wage and Tax Statements – Returned undeliverable W-2's and 1042's	Employee Services	4 years	IRS Publication 15 (Circular E), Employer's Tax Guide
Tax Residency Documentation	Employee Services	4 years	26 C.F.R. 31.6001-1
Form W-5, Earned Income Credit Advance Certificate	Employee Services	4 years	IRS Publication 15 (Circular E), Employer's Tax Guide