

General Records Retention Schedule for Personnel Records of State Agencies



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General records retention schedule
for personnel records
of state agencies _____ 2002

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Introduction

The Archives and Records Management Division of the State Archives has prepared this general retention and disposition schedule to give state government agencies the legal authorization to retain and dispose of common personnel records. The schedule lists the permanently valuable records, which should be properly protected and transferred to the State Archives, and it also supplies a timetable that will allow agencies to regularly and legally dispose of records of non-permanent value. In preparing the schedule, the Division consulted with representatives from various state agencies.

Purpose

The schedule is designed to:

- give your agency uniform guidelines for the retention and disposition of common personnel records;
- make sure your agency retains for as long as necessary the records it will need for administrative, legal, fiscal, and other uses;
- make sure your agency retains records for as long as state and federal laws, regulations, policies, and procedures require;
- promote the cost-effective management of records;
- give your agency the legal authorization it needs to dispose regularly of its obsolete records.

Statutory authority

Section 30-1-90(B) of the *Code of Laws of South Carolina, 1976*, as amended, authorizes the State Archives to promulgate as state regulations, general schedules for records common to state government agencies. On 26 June 1992, the General Assembly approved the personnel general schedule as Regulation 12-400 through 12-423. On 28 June 2002 the General Assembly approved revisions to the personnel general schedule.

Definitions of schedules

A records retention schedule describes one or several records series, shows the length of time the records should be retained, and indicates their final disposition. Schedules are of two types—specific and general.

Specific Records Retention Schedules – these schedules are prepared and approved specifically for your agency; your agency’s name will appear on these.

General Records Retention Schedules – these schedules are state regulations issued by the State Archives and are published in the *Code of Laws of South Carolina 1976*, as amended. When a general schedule applies to records already covered under a specific schedule, the general schedule will supersede the specific schedule unless you wish to opt out of using the general schedule.

Special provisions

Opting out – You may already have approved specific schedules that cover some of the same records as the general schedules. If you prefer to continue using these specific schedules, the regulations allow you to opt out of using the general schedules. The regulations will also let you opt out of using general schedules if you wish to establish new specific schedules instead.

Unique records – These general schedules do not list records that are unique to your agency. To control the retention and disposition of these, you should refer to your specific schedules. If you have no specific schedules, contact your records officer. If you do not know who your records officer is, contact our State Records Analysis Unit at 803-896-6123.

Use of the State Records Center – The general schedules do not provide for records storage at the State Records Center. You may, however, continue to store at the Center any records your agency-specific schedules allow.

Confidential and restricted records – Agency records officers and records custodians should ensure that confidential records are filed, accessed, and disposed of according to federal, state, and basic records management requirements. If you transfer a restricted record to the State Archives for permanent retention, you must state clearly that it is restricted, give the reason for the restriction, and show how long the restriction applies.

Exceptions to minimum retention periods – This general schedule establishes minimum retention periods for the official copy of your agency’s records. Although most records can be destroyed when their minimum retentions have been met, you may need to keep some records longer to satisfy specific requirements. Be sure those requirements have been met before you dispose of those records.

Copies – This general schedule does not cover copies of records, which you may have made for convenience, information, or duplication. You may destroy copies when you no longer need them.

To whom does this schedule apply?

Any department of the state; any state board, commission, agency, and authority; any public or governmental body of the state; any organization, corporation, or agency supported in whole or in part by public funds or expending public funds, including committees, subcommittees, advisory committees, and any quasi-governmental body of the state. Whenever the term “agency” is used in this publication it refers to all of the above.

To whom does this schedule not apply?

Any political subdivision of the state, including counties, municipalities, townships, school districts, special purpose districts, and any quasi-governmental subdivisions. The State Archives issues separate general and specific schedules for local government records.

General schedule format

Each record series listed in the general schedule is presented in the following format:

Regulation number and series title – The first line includes the regulation number, which is used for control, and the title most commonly used by agencies.

Part A – Description: A short statement describing the use and informational content of the record series. In many cases, the description also specifies the agency that creates the series.

Part B – Retention: The time period indicating the minimum length of time that records should be retained by the office before their disposition can take place.

Format for Employment Applications

12-407 Employment Applications (Not Hired)

A. Description: Completed employment applications and personnel resumes of applicants who were not hired by agency. Information includes applicant's name, address, social security number, position applied for, educational background, work experience, and other related information.

B. Retention: 2 years from the date of rejection or making of the record; destroy.

Explanation of terms used in retention statements

"Until no longer needed for reference" – Records are to be kept until you decide they have no further reference value.

"State Archives: Selection of needed documentation. Permanent" – Records are to be transferred to the State Archives where portions may be selected for permanent retention.

"State Archives: Permanent" – All records are to be transferred to the State Archives for permanent retention.

"Microfilm Optional" – Microfilm may be substituted for the original records IF the microfilm meets the state standards (see R-12-200 of the *Code of Laws of South Carolina, 1976*, as amended). Before you destroy the originals, you must submit and have approved a Microfilm Quality Certification for Records Disposition form.

"X' years, destroy." – Records may be destroyed after x number of years provided you have met the terms mentioned in Section 12-400 of the regulation.

Using this schedule effectively

- Before using this general schedule you should contact your agency records officer, who should coordinate all activities relating to the retention and disposition of agency records and function as a liaison with the State Archives in administering the agency's records management program. If you do not know who the records officer is, contact the State Records Analysis Unit at 803-896-6123.
- Agency records officers should work with other agency staff to coordinate the regular disposition of obsolete records. Disposition should be carried out periodically – at least once a year. To streamline disposition, agency staff should review filing arrangements, cut off files periodically, and develop procedures to segregate inactive and obsolete files.
- Generally, records should be destroyed when the minimum retention periods have been met, unless they are needed to meet specific requirements (see Section 12-400) or are designated for archival retention. Although you are not required to destroy records at the end of their minimum retention periods, obsolete records should not occupy expensive office and storage space.
- The titles and descriptions of record series listed in the general schedule may not reflect exactly the titles and descriptions you use. If you are not certain whether the schedule applies to a specific record in your office, please contact the State Records Analysis Unit at 803-896-6123.

How to use the general schedule

1. Study the general schedule and compare it with your specific schedules, if you have any, to determine which schedules you will use. If you wish to use your specific schedules instead of the general schedule, follow the established procedure for those specific schedules.
2. Locate and examine all your records.
3. Match each records series with the title and description on the general schedule.
4. Follow the records disposition process outlined below. The process is illustrated by the flow chart on page 9.

Records disposition process

Permanent (archival) records:

Paper Records – After your permanently-valuable paper records become inactive, you should transfer them to the State Archives. Contact the State Records Center at 803-898-9936 for details and to arrange a date for the transfer.

Micrographics – If you microfilm permanent records, contact the Micrographics Services Branch at 803-896-6208 for help and information about microfilm standards.

Digital Images – If you are maintaining permanent records as digital images, special requirements apply. Contact the State Records Analysis Unit at 803-896-6123 for more information.

Non-permanent records:

To destroy records according to general schedules, you must first complete and forward to the State Records Analysis Unit a “Report on Records Destroyed” form. A sample form is included on page 6 and blank forms are available from the State Records Analysis Unit. Follow the step-by-step instructions on the back of the form. Please note that both the form and the process are the same as those you use to document records disposal under your specific schedules. To help you estimate cubic footage for column 9 on the form, we have included a table of volumes on page 8.

Contacting the State Archives—When and whom?

When?

1. You submit a “Report on Records Destroyed” form when destroying records covered by general and/or specific schedules.
2. You need to prepare or revise specific schedules.
3. You need help with your records management duties.

Whom?

State Records Analysis Unit
Department of Archives and History
8301 Parklane Road
Columbia, South Carolina 29223-4905
Phone 803-896-6123
Fax 803-896-6138
We are on the Inter-Agency mailing list.

When?

1. You want to substitute microfilm (Form ARM-12 Microfilm Quality Certification For Records Disposition) for the original records. (Note: You must have a records schedule to do this.)
2. You need to store security microfilm of permanently valuable records.
3. You want information about the filming, processing, quality control, and duplicating services the State Archives provides.

Whom?

Micrographics Services
8301 Parklane Road
Columbia, South Carolina 29223-4905
Phone 803-896-6208
Fax 803-896-6138
We are on the Inter-Agency mailing list.

When?

1. You need to transfer permanent records to the State Archives using a general or specific schedule.
2. You need to transfer non-permanent records to the State Records Center for temporary storage under a specific schedule.

Whom?

State Records Center
1942-A Laurel Street
Columbia, South Carolina 29201
Phone 803-898-9936
Fax 803-898-9981
We are on the Inter-Agency mailing list.

INSTRUCTIONS FOR COMPLETING THE FORM REPORT ON RECORDS DESTROYED

Please read the instructions carefully before completing this form.

After completion, your agency must return this form to the State Archives, Records Services Branch, and retain a copy for reference to document the legal disposition of your records.

AGENCY means any state or local government entity.

This form should be used to report the destruction of records covered under a specific and/or general record retention schedule. Generally, this form should be completed by the agency records officer or authorized representative.

1. Enter your agency's name (Department of Health and Environmental Control) or the name of your political subdivision (Lexington County Sheriff's Office).
2. Leave block 2 blank. This block will be completed by SC Department of Archives and History Record Analysts upon receipt of this form by the Records Services Branch.
3. Enter any division or office identification which will clarify the records destroyed (Retirement System, State Law Enforcement Division).
4. Enter the date your agency prepares this form.
5. The official making the report should sign here. The approving authority must be the agency's chief administrative officer or authorized representative. In most state agencies, this authorized representative may be the agency records officer. In local agencies this authorized representative may be the manager, administrator, elected department head or other designated official.
6. Enter the exact record series title. Each series title should correspond to the one cited in the record retention schedule.
7. Enter the appropriate record series number for each record series destroyed.
8. Enter the earliest and latest dates covered by the records destroyed (2/1992-5/1993; or 1987-1990).
9. Enter the volume (in cubic feet) of records destroyed. *See 11 below.*
10. Enter the date (month and year) of destruction (3/1993; 1/1987; 12/1980).
11. Enter the total volume of records destroyed. Add figures entered in column 9.

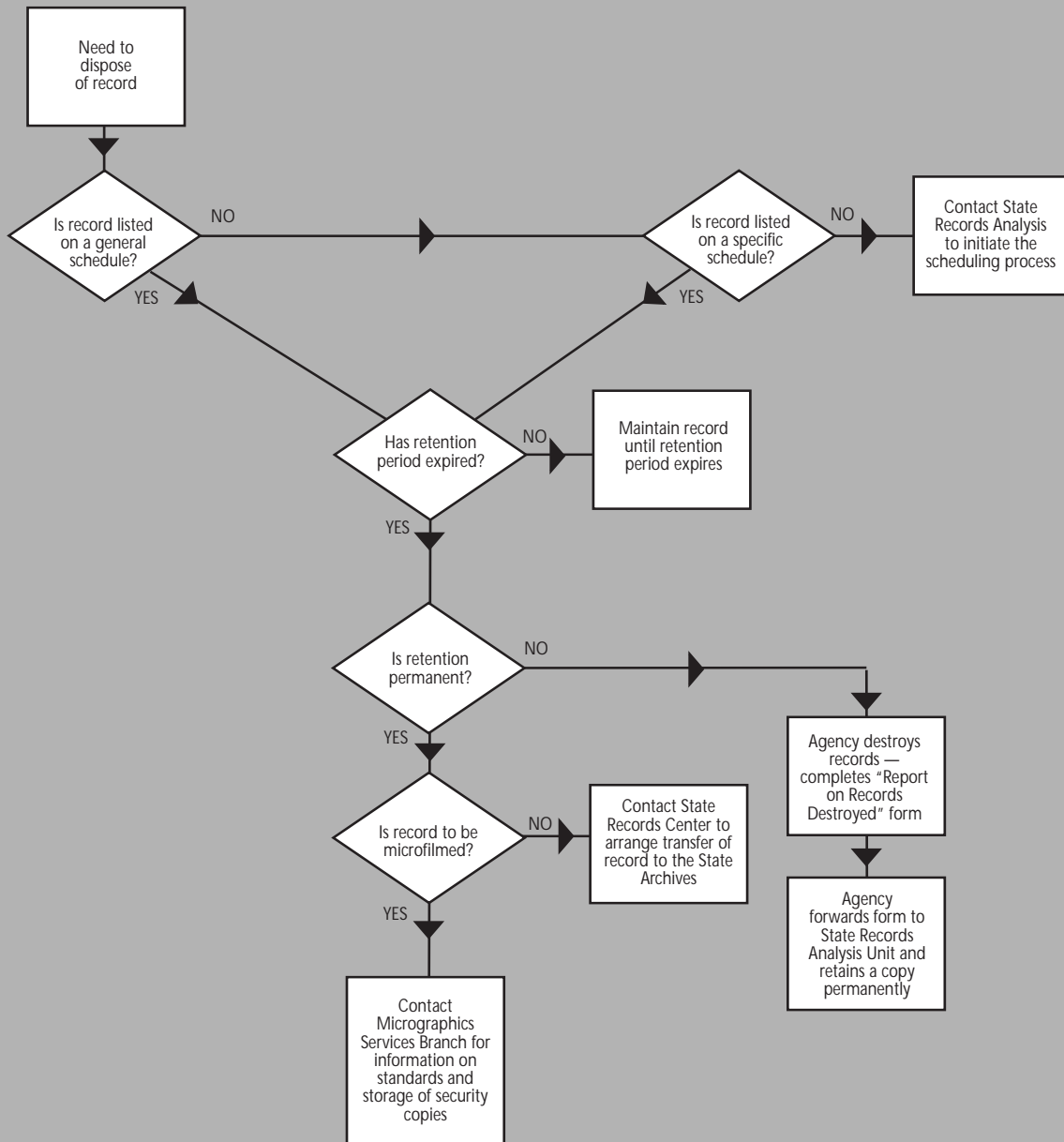
TABLE OF VOLUMES

	QTY.	ITEM/SIZE	CAPACITY
C A B I N E T S	1	vertical letter-size file drawer	1.5 cubic feet
	1	vertical legal-size file drawer	2.0 cubic feet
	1	lateral legal-size file drawer	2.5 cubic feet
B O X E S	1	standard Records Center box	1.0 cubic foot
S H E L V E S	1	letter-size open shelf—36" long	2.0 cubic feet
	1	legal-size open shelf—36" long	2.5 cubic feet
C A R D F I L E S	10	12" rows of 3" x 5" cards	1.0 cubic foot
	6	12" rows of 4" X 6" cards	1.0 cubic foot
	4	12" rows of 5" x 8" cards	1.0 cubic foot
	5	14" boxes of tab cards	1.0 cubic foot

CUBIC FOOT EQUIVALENCY FORMULA

$$\frac{L \times W \times H \text{ (in inches)}}{1728 \text{ inches}} = \text{cubic feet/unit}$$

Records disposal process



General Retention Schedule for State Personnel Records

12-400. Introduction and general matters; application of schedule.

The following general records retention schedule contains minimum retention periods for the official copy of the agency's records. These retentions and dispositions apply regardless of physical format, i.e., paper, microfilm, electronic storage, digital imaging, etc. Convenience, informational or duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference. To destroy records in accordance with this regulation, state agencies must complete and submit a report of records destroyed form to the State Archives after eligible records have been destroyed. These forms are available from the Department's Division of Archives and Records Management. State agencies must also contact the State Archives to transfer permanent records to the State Archives for archival retention. Before disposing of public records under this general schedule, state agencies are responsible for ensuring that records are no longer required for federal or state audits, for legal purposes, for litigation, for fiscal information, and/or for any other action. This general schedule supersedes all schedules approved previously for the same records series. However, state agencies may opt out of this general schedule, and request the continuing use of existing schedules or the establishment of specific retention schedules for their records when appropriate, necessary or in order to avoid conflict with other laws and regulations.

12-401 through 12-405 (Reserved for future use).

12-406. Employer Status Reports (Unemployment Compensation)

A. Description: Reports from an individual agency to the Employment Security Commission which are used by the Employment Security Commission to determine the liability or non-liability of agency for payment of unemployment compensation. Information includes the Employer Status Report, Notice of Liability sent to the agency from the Employment Security Commission, Notice of Contribution for the next calendar year, and related memoranda and correspondence concerning changes in agency unemployment compensation accounts and liability. The record copy of this series is scheduled by the State Archives through the Employment Security Commission.

B. Retention: 6 years; destroy.

12-407. Employment Applications (Not Hired)

A. Description: Completed employment applications and personal resumes of applicants who were not hired by agency. Information includes applicant's name, address, Social Security Number, position applied for, educational background, work experience, and other related information.

B. Retention: 2 years from the date of rejection or making of the record; destroy.

12-408. Employment Data Analysis by Sex and Race

A. Description: A statistical breakdown of information concerning state employees by type, number, salary, and percentages of minority personnel. Information includes type of employees such as officials/administrators, professionals, technicians, office/clerical, service, maintenance, racial classifications, total work force, and work force summary.

B. Retention: 2 years from the date of the personnel action involved or the making of the record; destroy.

12-409. Equal Employment Opportunity Report

A. Description: Documents the job classification and compensation of all agency personnel. Information includes class code, slot, name, Social Security Number, employee number, pay rate, state/federal funding, race and sex.

B. Retention: 2 years from the date of the personnel action involved or the making of the record; destroy.

12-410. Equal Employment Opportunity Reporting and Personnel Research Forms

A. Description: Forms completed by applicants for state employment as part of their employment application. Information includes statistics on job applicants which are reported annually to the State Human Affairs Commission. The form, which is detached from the employment application, lists the applicant's name, date, Social Security Number, date of birth, position applied for, race, sex, and marital status.

B. Retention: 2 years from the date of the personnel action involved or the making of the record; destroy.

12-411. Grievance Files

A. Description: Document grievance proceedings initiated by state employees. Information includes copies of each grievant's original grievance filing, copies of the decisions rendered at each level of the grievance procedure, copies of the grievance and appeal procedures for the agency and for all state employees, and copies of the final decision rendered by the State Employee's Grievance Committee. Portions of this series are scheduled by the State Archives through the State Budget and Control Board's Office of Human Resources.

B. Retention: 10 years after resolution of all grievance issues; destroy.

12-412. Job Announcements (Vacancies)

A. Description: Announcements concerning job openings in state government. Information includes title of position, salary or grade range (merit system classification), description of job duties, closing date, and to whom applications should be directed.

B. Retention: 2 years after position is filled or announcement is superseded or updated; destroy.

12-413. Job Classifications

A. Description: A listing of all job positions classified by the Office of Human Resources. Information includes position qualifications, pay grades, and duties for positions in state service. The record copy of this series is scheduled by the State Archives through the State Budget and Control Board's Office of Human Resources.

B. Retention: Until termination of position; destroy.

12-414. Leave Records

A. Description: Record of the amount of leave earned and taken by agency employees. Information includes employee's name, type of leave (annual, sick, other), service date, Social Security Number, amount of leave earned and charged, and leave balances for the period covered.

B. Retention: 3 years; destroy.

12-415. Leave Slips

A. Description: Forms completed by agency employees to request time off from work. Information includes employee's name, Social Security Number, type of leave, number of days or hours requested, date requested, and employee's signature.

B. Retention: 3 years; destroy.

12-416. Personnel Administrative File

A. Description: File concerns administration of personnel policy. Information includes correspondence, reports, memoranda, and other records regarding personnel procedures.

B. Retention: Until superseded, updated, or no longer needed for reference; destroy.

12-417. Personnel Files (Active & Terminated)

A. Description: Personnel files of current and former employees of the agency. Information includes employment applications, letters of recommendation, employee awards, resumes, performance appraisals, leave records, Employee Profile, Comptroller General's Payroll Advice, position descriptions, insurance information, dual employment information, resignation and termination records, correspondence, and other related information.

B. Retention: 15 years after termination of employment; destroy.

12-418. Personnel Policies and Procedures

A. Description: Policies and procedures issued by the agency or the State Budget and Control Board's Office of Human Resources. Information includes employment application policy, classification and compensation plan, explanation of performance appraisal system, reduction in force procedures, grievance policies, equal employment opportunity guidelines, termination procedure, workmen's compensation plan, other procedures issued by an agency and/or the Office of Human Resources. Portions of this series are scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Human Resources.

B. Retention:

- (1) Agency: Until no longer needed for reference.
- (2) State Archives: Selection of needed documentation. Permanent.

12-419. Statewide Personnel Information and Reporting System Files

A. Description: Used to monitor employment, salary adjustment, performance reviews, terminations, and other personnel activity. Reports include: Alphabetical Listing of Employees Sequenced by Agency, Employee Name; Employee Roster Sequenced by Grade, Class Code, and Name; Temporary Employment Roster; Gross Salary Change Report; Termination Analysis, Performance Review Summary Report; Report on Salary Change Code-Merit Increase; Reviews Report-Classified Positions-Review Sequence; Vacancies Report-All Positions; and other related records.

B. Retention: Until superseded or updated; destroy.

12-420. Time and Attendance Records

A. Description: Records concerning time worked by agency employees during a pay period. Information includes employee's name, section or organization unit, employee number, pay period, total time worked, and employee's signature.

B. Retention: 3 years; destroy.

12-421. Vacancies File

A. Description: Documents position vacancies in agency. Information includes agency name, grade, classification title, salary range, hours worked per week, and pay rate of position.

B. Retention: Until superseded or updated; destroy.

12-422. Affirmative Action Plans and Progress Reports

A. Description: Affirmative Action Plans prepared by state agencies and Progress Reports used by the State Human Affairs Commission to monitor the implementation of these plans. Affirmative Action Plans reflect an agency's projected policies, procedures, and practices to achieve the goal of a non-discriminatory employment system. Also included are statistics, analysis of the current and projected work force composition by race, sex, and comments. The semi-annual Progress Reports consist of updated employment data analysis by race and sex, a summary of personnel actions which reflect a breakdown of agency positions by race, sex, analysis, and comments. Also included is correspondence concerning the Affirmative Action Plans and their implementation. Portions of this series are scheduled for permanent retention by the State Archives through the State Human Affairs Commission.

B. Retention: 3 years; destroy

12-423. Log and Summary of Occupational Injuries and Illnesses

A. Description: Record of work related injuries, illnesses, and deaths. Information includes case or file number, date of injury or onset of illness, employee's name, occupation, department, description of injury or illness, fatalities, non-fatal injuries, injuries with lost workdays, injuries without lost workdays, and other related information.

B. Retention: 5 years following the end of the calendar year to which they relate; destroy.