

CITY OF APPLETON PERSONNEL POLICIES	TITLE: RECORD RETENTION POLICY	
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I. PURPOSE

The purpose of this policy is to establish guidelines, which identify the materials (records and files) that are maintained and retained by the Human Resources Department, the location of files and the retention and proper disposal of records.

II. POLICY

It is the policy of the City of Appleton Human Resources Department to maintain personnel files and records on each of its employees. This is to be done in a consistent and fair manner, while complying with State and Federal regulations.

III DISCUSSION

The Human Resources Department will maintain **electronic** Primary Personnel Files, ~~Secondary~~ **Confidential** Personnel Files, Medical Files and other miscellaneous files for all City of Appleton employees. The files will be purged according to the guidelines as outlined in this policy.

IV DEFINITIONS

1. A. Employee Personnel Records: Each employee's personnel records will be separated into four separate files: **Primary Personnel File** (~~manila file~~) contains records such as those listed below:
 - Application for employment and/or reemployment
 - Payroll authorization forms, (~~offer letter,~~) **job description**
 - Personnel Status Change forms and records on compensation, transfers, promotions, dates of hire and seniority.
 - Notices of commendation, warning, discipline or termination
 - Notices of layoff, leaves of absence and similar matters
 - Education and training notices and records

- Performance appraisals, or interview evaluation ratings
- ~~Attendance and absence records~~
- Records of grievance affecting employment status

~~2.~~ **Secondary Confidential Personnel File (blue file)** contains confidential records including:

- Equal Employment Opportunity/Affirmative Action data (including pictures)
- Test results
- Letters of reference and pre-employment reference information
- Benefit plan choices
- Dependent and beneficiary information
- Credit reports
- Legal action information, including EEO complaints, investigations, etc.
- Any information not pertaining to the employee's employment (i.e. jury duty forms, funeral leave forms, military leave forms, etc.)
- Unemployment Compensation records
- **Attendance and absence records**

~~3.2.~~ **Medical File**, anything else related to a medical issue:

- Worker's Compensation claims
- Injury reports requiring medical attention
- Injury reports not requiring medical attention
- Medical **and psychological** records related to employment status
- Medical releases & excuses
- Medical psychologicals
- Medical restrictions
- Family Medical Leave Act records
- Health Insurance Portability and Accountability Act exposures

3. Commercial Driver License and Alcohol testing information:

- Receipt and certification of training
- Employee acknowledgment form
- Results of random drug and alcohol tests
- Consent information from previous employer

B. Other Records - Selection Records for Hiring Processes

1. Job Advertisements
2. Hiring process applications/EEO information
3. Hiring process test files
- ~~4. Pre-employment physicals pass/fail~~
- ~~5. Pre-employment physicals (kept by City's Medical provider)~~
- ~~6.4.~~ Physical Agility Testing results
- ~~7.5.~~ Pending litigation

V. PROCEDURE

A. Types, locations and disposal guidelines of records:

Documents	Retain For:
Recruitment Documents	Two years Four (Library)
Employee Selection Documents	Two years Four (Library)
Employment Eligibility Verification Form (I-9)	Three years after hire or one year after termination.
Drug/Alcohol Testing	Five years
Employee Exposure to Toxic Substances (OSHA)	Five years
Workers Compensation	Length of employment plus 30 years
Medical Records	Length of employment plus 30 years
Collective Bargaining Agreements	In-definite
Personnel file	Duration of employment plus 2 Six (Library) years from termination
Records of monitoring exposure to hazardous materials	30 years
Employee Benefit Plans	Duration of plan plus one year after termination of the plan
Proof of initial notice and written notice to employees and dependents to continue group health plan coverage under certain conditions. (COBRA)	Three years following event.
Human Resources records related to discrimination charges or complaints.	Two years after date of personnel action Five (Library)
Personnel records of an individual whose employment has been involuntarily terminated	One year from the date of the termination

B. Disposal

1. Shredding will be done in accordance with the 1999 Shredding Law, ss 895.505.

~~2. Notification will be made to the State Historical Society letter dated December 12, 2005 has waived requirement for notification pursuant to ss.19.21. using the form letter (Exhibit I) prior to shredding, ss19.21. Shredding may be done sixty days after this notification.~~

2. Notice to The State Historical Society pursuant to ss.19.21 has been waived pursuant to a letter dated December 12, 2005.

C. Access

1. An employee may view their personnel file by following the procedure listed below:
 - An employee must provide a request to view their personnel file by filling out the request form (Exhibit II).

- The Human Resources Department will grant this request in accordance with ss103.13(2).
- Files may be viewed Monday through Friday, 8:00 a.m. to 4:30 p.m. in the presence of an employee of the Human Resources Department.
- In accordance with ss103.13(4), if an agreement to remove or correct the material cannot be reached between the employee and the Human Resource Director, an employee may submit a written statement to their personnel file explaining that they disagree with materials in that file.
- The employee may request photocopies of materials from their file. The charge for this will be the City established rate.
- A log shall be maintained for each personnel file listing the date the file was viewed, photocopies made, cost of copies and the Human Resources staff member who witnessed the viewing.
- Employee's may request and view their file two times per year in accordance with 103.13.

D. Satellite files

Supervisors may maintain satellite working files for their employees. These files should be kept confidential and locked in file cabinets. This documentation should be forwarded to Human Resources when the employee leaves City of Appleton employment. The contents of the file are discoverable in the event of legal action so supervisors need to appropriately document and maintain the files.