

Payroll and Personnel Records

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Washington State University BUSINESS POLICIES AND PROCEDURES MANUAL

Title Payroll and Personnel Records					
Record Series Title--Function/Purpose	Location (*Official Copy)	Cutoff	Retention Period	Disposition Authority No.	Remarks
ANNUAL REVIEW OF FACULTY Evaluation of job performance.	Human Resource Services*	termination of employment	6 yrs	11-12-63535	
	Dean	fiscal year	3 yrs	Secondary copy under 11-12-63535	
	Department	fiscal year	3 yrs	Secondary copy under 11-12-63535	
APPLICATIONS/RESUMES RECEIVED-- NOT SOLICITED OR INTERVIEWED Any non-solicited request for job consideration, not interviewed.	Department*	date of document	6 mos	GS 03022	
APPOINTING AUTHORITY FOR FACULTY, ADMINISTRATIVE PROFESSIONAL, AND CLASSIFIED EMPLOYEES Letters of delegation to employees who are authorized to sign employment forms.	Human Resource Services* (OPR)	until superseded	6 yrs	11-12-63537	
	President	until superseded	0 yrs	Secondary copy under 11-12-63537	
	Department	until superseded	0 yrs	Secondary copy under 11-12-63537	

COMMUTE TRIP REDUCTION DOCUMENTATION University Commute Trip Reduction Program administration documentation, including bonus voucher certification forms, registration forms, incentives, parking tracking files, and other records pertaining to the program, as applicable to the campus.	Campus Parking Services Office*	fiscal year	6 yrs	GS 03037	
COURSE EVALUATION SUMMARIES Compilation of appraisals and comments from individual course/instructor evaluations.	Department*	fiscal year	3 yrs	11-12-63538	
COURSE/INSTRUCTOR EVALUATIONS A record of individual student or participant evaluations of content and presentation of a course.	Department*	fiscal year	1 yr	11-12-63540	
DAILY ACTIVITY REPORTS, TIME CLOCK CARDS, AND ALTERNATIVE TIME/PIECE RECORDS Used by positive pay employees to record hours of work or completed pieces. An individual record may be either a Daily Activity Report, a time clock card, or a Human Resource Services approved alternative time/piece record.	Department* (OPR)	fiscal year	6 yrs	11-12-63541	
DEPARTMENT'S EMPLOYEE FILE Provides a secondary copy of employee personnel record folders for department reference. May include copies of applications, resumes, employment contracts, training documentation, safety-related documentation, memoranda, and other documents related to personnel history of University employees. (NOTE: Human Resource Services holds the official copy of the Personnel Record Folders for University employees.)	Department*	termination of employment	2 yr	11-12-63542	
DEPARTURE NOTICE Notifies the Radiation Safety Office and/or Environmental Health and Safety Office of an impending departure of a user of hazardous and/or radioactive chemicals or materials.	Radiation Safety Office*	termination of employment	2 yrs	11-12-63544	
	or Environmental Health and Safety*	termination of employment	2 yrs	11-12-63544	
	Department	termination of employment	1 yr	11-12-63545	

<p>EMPLOYEE PERFORMANCE EVALUATION SUPPORTING DOCUMENTS Documentation gathered by an employee's supervisor in preparation for each employee's performance evaluation. May include notes regarding training and employee development; performance notes; job assignments; and other related documentation. Note: If this file contains any secondary copies of documents found in the official Personnel Record Folder (retained by HRS), reviewer may discard such copies when the administrative purpose has been served.</p> <p><i>Must be destroyed when evaluation is completed.</i></p>	Reviewer	evaluation	0	GS 03024	
<p>EMPLOYEE PERFORMANCE EVALUATIONS Evaluations of classified employee work performance, prepared by his or her supervisor on a regular schedule.</p>	Human Resource Services* Reviewer Department	next evaluation evaluation evaluation	3 yrs 3 yrs 3 yrs	GS 03002 11-12-63546 11-12-63547	
<p>EMPLOYEE RECOGNITION/APPRECIATION CEREMONIES OR AWARDS A record of University- or department-wide employee recognition efforts and events to include meeting minutes, plans, awards, location, details of events and copies of expenditure records.</p>	Department*	ceremony or award	2 yrs	GS 03021	
<p>EMPLOYEE RECRUITMENT FILES (SEARCH FILES) Documentation of the entire process used in recruiting and hiring new employees, including applications. May include background checks or criminal history records requests.</p>	Department*	position filled	3 yrs	GS 03012	

EMPLOYEE TRAINING HISTORY FILES Records of an employee's training history, including employee's name and identifying information, courses registered for and completed, and course completion dates. (May be retained in database format.)	Human Resource Services* OR Department*	termination of employment	6 yrs	02-10-60463 revision 1	
EMPLOYMENT ELIGIBILITY VERIFICATION DOCUMENTS / I-9 FORMS Documents used to verify employment eligibility within the United States. May include federal I-9 forms; passport copies; copies of valid driver's licenses; copies of certificate of naturalization and supporting documentation. (See 8 CFR 274a.2.)	Human Resource Services*	date of hire	3 yrs	GS 03036	
EMPLOYMENT RECORD REQUEST (WSU 1238) To request leave and benefits records from former state employers.	Human Resource Services* (OPR) Department	termination of employment termination of employment	6 yrs 0	11-12-63550 11-12-63551	
EVALUATIONS/ADMINISTRATIVE AND PROFESSIONAL STAFF Provides a record of evaluation of an employee's performance, prepared by his or her supervisor on a regular schedule.	Human Resource Services* Department	evaluation evaluation	3 yrs 3 yrs	GS 03002 11-12-63552	
EXIT INTERVIEW, PERSONNEL Documentation of information gathered during an exit interview with a terminating employee.	Department*	calendar year	6 yrs	GS 03040	
EXPENSE ASSIGNMENT ACTION (WSU 1260) Used for temporary changes in account assignment of personnel charges.	Position Control* Payroll Dean/Director Department	fiscal year fiscal year until superseded until superseded	2 yrs 2 yrs 0 0	11-12-63553 11-12-63554 11-12-63555 11-12-63556	
GRADUATE FACULTY APPOINTMENT FILES Provides a record of department appointments of faculty members to graduate faculty assignments. Files may include ballots, vita, and Admittance to Graduate Faculty forms.	Graduate School* Department	graduate faculty assignment ends ballot outcome reported to Grad School	1 yr 1 yr	11-12-63557 11-12-63558	

HIPAA SECURITY AGREEMENT Provides a record of client confidentiality and security agreement signed by health care personnel, e.g., clinic personnel. (45CFR164.316(b)(2)(i))	Department*	termination of employment	6 yrs	11-12-63559	
LEAVE REPORT (WSU 1126) Used to record leave activity for faculty and administrative professional personnel. NOTE: The record copy of this file is maintained by the employing department until termination of employment. At termination of employment the file is sent to HRS for audit.	Payroll* (OPR) (pay-affecting only) Human Resource Services* Department*	termination of employment audit termination of employment	6 yrs 5 yrs 0	11-12-63560 11-12-63561 11-12-63562	
LEAVE REPORT FOR EXCEPTED CLASSIFIED EMPLOYEES (WSU 1300) Used to record attendance and leave for overtime-ineligible (excepted) classified employees. The record copy of this file is maintained by the employing department until termination of employment. At termination of employment the file is sent to HRS for audit.	Payroll* (OPR) (pay-affecting only) Human Resource Services* Department*	termination of employment audit termination of employment	6 yrs 5 yrs 0	11-12-63563 11-12-63564 11-12-63565	
NONSERVICE PAY AUTHORIZATION (WSU 1314) Authorizes pay to WSU Fellows, trainees, interns or other nonservice positions.	Accounts Payable* (OPR) Financial Aid Department	fiscal year fiscal year fiscal year	6 yrs 2 yrs 2 yrs	11-12-63566 11-12-63567 11-12-63568	
PAYROLL DEDUCTION FORMS Used to authorize deductions from payroll.	Department*	last authorized deduction	6 yrs	11-12-63569	
PAYROLL EXPENDITURE AUDIT REPORT Department personnel download payroll expenses indicating status of payroll records that will generate the next payroll. Allows department correction and Payroll followup.	Payroll* (maintained on mainframe or tape) Department	calendar year fiscal year	4 yrs 2 yrs	11-12-63570 11-12-63571	
PERSONNEL ACTION (WSU 1097) Used to authorize personnel transactions and communicate employment status of appointed employees to Human Resource Services.	Human Resource Services* (OPR) Payroll Benefit Services Department	termination of employment termination of employment termination of employment until superseded	6 yrs 6 yrs 1 yr 0	11-12-63572 11-12-63573 11-12-63574 11-12-63575	

<p>PERSONNEL COMPLAINTS SUPPORTING DOCUMENTS Backup information and documents used to prepare personnel complaint reports filed against or by state employees. (NOTE: If the complaint is unsubstantiated, follow the retention period in the following records series: Personnel Complaints, Exonerated, Non-Represented Employees or Personnel Complaints, Exonerated, Represented Employees.)</p>	<p>Human Resource Services* Department</p>	<p>final determination report filed</p>	<p>2 yrs 2 yrs</p>	<p>11-12-63576 11-12-63576</p>	
<p>PERSONNEL COMPLAINTS, EXONERATED, NON-REPRESENTED EMPLOYEES Personnel complaints filed against or by non-represented state employees in which the complaint proved to be unsubstantiated. Note: Information regarding employee misconduct that is determined to be false and in all situations where the employee has been fully exonerated of wrongdoing shall be promptly destroyed, unless the employee requests that the information be retained, or it is related to pending legal action or legal action is expected to result. (See 42.06.450 RCW.) (This series does not include complaints related to discrimination or harassment. Records of complaints of this nature are retained by the Office for Equal Opportunity.)</p>	<p>Human Resource Services* Department</p>	<p>fully exonerated</p>	<p>0</p>	<p>GS 03006</p>	
<p>PERSONNEL COMPLAINTS, UPHELD, NON-REPRESENTED EMPLOYEES Personnel complaints filed against or by non-represented state employees. May include documentation, filing forms, backup information, recommendations, resolutions, and related memoranda and correspondence. NOTE: This series does not include complaints related to discrimination or harassment. (Records of complaints of this nature are retained by the Office for Equal Opportunity.)</p>	<p>Human Resource Services* Department</p>	<p>final determination</p>	<p>6 yrs</p>	<p>GS 03005</p>	

<p>PERSONNEL COMPLAINTS, EXONERATED, REPRESENTED EMPLOYEES</p> <p>Personnel complaints filed against or by represented state employees in which the complaint proved to be unsubstantiated. NOTE: Some collective bargaining agreements require complaints to be removed from an employee's file upon exoneration, although the agency is not required to dispose of the records at that time. This retention schedule establishes the retention period for such records by the agency. If the collective bargaining agreement covering the agency's employees provides for a different retention period than this schedule, the agency shall request approval of a unique schedule for those records.</p> <p>(This records series does not include complaints related to discrimination or harassment. Records of complaints of this nature are retained by the Office for Equal Opportunity.)</p>	<p>Human Resource Services* Department</p>	<p>final determination</p>	<p>3 yrs</p>	<p>GS 03043</p>	
<p>PERSONNEL COMPLAINTS, UPHELD, REPRESENTED EMPLOYEES</p> <p>Personnel complaints filed against or by represented state employees. May include documentation, filing forms, backup information, recommendations, resolutions, and related memoranda and correspondence. NOTE: If the collective bargaining agreement covering the agency's employees provides for a different retention period than this schedule, the agency shall request approval of a unique schedule for those records.</p> <p>(This records series does not include complaints related to discrimination or harassment. Records of complaints of this nature are retained by the Office for Equal Opportunity.)</p>	<p>Human Resource Services* Department</p>	<p>final determination</p>	<p>6 yrs</p>	<p>GS 03044</p>	

<p>PERSONNEL RECORD FOLDERS Documentation related to an employee's University employment history, including: application, resume, Biographical Data Sheets, position held, assignment(s), Personnel Action Forms, attendance, leave, telecommuting agreements, employee profiles, management development and performance plan, memoranda and correspondence, professional leave documentation, and other documents relating to the personnel history of a University employee.</p> <p>NOTE: At the end of the retention period, the following items are transferred to the records series titled "Personnel Record Folders--Long-Term Retention," DAN #11-12-63578: Appeals/hearings determinations, settlement agreements, Biographical Data Sheets, discontinuation notices--final, faculty questionnaires, presumption of resignation letters, resignation letters, resumes/vitae, retirement letters, and tenure/promotion letters.</p>	Human Resource Services*	termination of employment	6 yrs	11-12-63577	Essential
<p>PERSONNEL RECORD FOLDERS--LONG-TERM RETENTION* Documentation related to an employee's University employment history requiring a longer retention period than that assigned to "Personnel Record Folders," DAN #11-12-63577. May include: Appeals/hearings determinations, settlement agreements, Biographical Data Sheets, discontinuation notices--final, faculty questionnaires, presumption of resignation letters, resignation letters, resumes/vitae, retirement letters, and tenure/promotion letters.</p>	Human Resource Services*	termination of employment	40 yrs	11-12-63578	
<p>POSITION ACTION/POSITION REVIEW REQUEST (WSU 1162) Records positions authorized, source of funds, related position attributes. Used to request classification or reclassification and other changes in position attributes.</p>	<p>Position Control*</p> <p>Human Resource Services (for PRRs)</p> <p>Payroll</p> <p>Dean/Director</p> <p>Department</p>	<p>fiscal year</p> <p>abolish position</p> <p>fiscal year</p> <p>until superseded</p> <p>until superseded</p>	<p>2 yrs</p> <p>1 yr</p> <p>2 yrs</p> <p>0</p> <p>0</p>	<p>11-12-63579</p> <p>11-12-63580</p> <p>11-12-63581</p> <p>11-12-63582</p> <p>11-12-63583</p>	

POSITION DESCRIPTION (WSU 1360) Used to describe the job functions of a vacant position for reclassification purposes.	Human Resource Services*	abolish position	1 yr	11-12-63584	
	Position Control	fiscal year	2 yrs	11-12-63585	
	Department	until superseded	0	11-12-63586	
POSITION IDENTIFYING DESCRIPTION CHANGES (WSU 1265) A record of changes in position description when that is the only action required.	Position Control*	until superseded	0	11-12-63587	
	Department	until superseded	0	11-12-63588	
POSITION QUESTIONNAIRE Provides a description of the job functions of an employee seeking position reclassification.	Human Resource Services*	abolish position	1 yr	11-12-63589	
	Department	until superseded	0	11-12-63590	
POSITION ROSTER Record generated from Position Control files of department allocation.	Department*	fiscal year	2 yrs	11-12-63591	
POSITIVE PAY REPORT Documents previous pay period payments.	Payroll*	fiscal year	4 yrs	11-12-63592	
PRESENTATION/TRAINING DEVELOPMENT FILES A record of presentation or course material developed and gathered for use in training. May include reference material, outlines, handouts, notes, evaluations, overheads, videos, computerized presentations, etc.	Department*	admin. purpose served	0	11-12-63593	
REQUEST FOR POSITIVE PAY REPORT (WSU 1256) Used to request pay for hours or pieces missed on Unit Pay Report.	Payroll*	fiscal year	2 yrs	11-12-63595	
	Department	fiscal year	2 yrs	Secondary copy under 11-12-63595	
REQUEST FOR TEMPORARY SCHEDULE CHANGE Provides a record of employee requests for temporary schedule changes. NOTE: At termination of employment, this record series is submitted to HRS along with the employee's Time Report file.	Human Resource Services*	audit	6 yrs	11-12-63596	
	Department	termination of employment	0	11-12-63597	
SHARED LEAVE--DONOR RECORDS Documentation of the receipt and return of shared leave. Includes donation information. Also includes career shared leave.	Human Resource Services*	termination of employment	6 yrs	11-12-63598	
	Department	no longer needed	0	11-12-63599	

<p>SHARED LEAVE--RECIPIENT RECORDS Documentation of the receipt and return of shared leave. Includes donation information. Also includes career shared leave.</p>	<p>Human Resource Services* Department</p>	<p>termination of employment no longer needed</p>	<p>6 yrs 0</p>	<p>11-12-63600 11-12-63601</p>	
<p>TEMPORARY EMPLOYEE DEPARTMENTAL FILES Documentation related to a temporary employee's departmental employment history. Files include but are not limited to: Conditions for Temporary Employment, Temporary Employment Application (for individuals who are hired), and Temporary Employee Orientation Checklist.</p>	<p>Department*</p>	<p>termination of employment</p>	<p>1 yr</p>	<p>11-12-63543</p>	
<p>TEMPORARY EMPLOYMENT APPLICATION--NOT HIRED (WSU 1251) Used by prospects to apply for temporary employment. (Candidate not hired by WSU.)</p>	<p>Department*</p>	<p>position filled</p>	<p>0</p>	<p>11-12-63602</p>	
<p>TENURE/PROMOTION EVALUATION DOCUMENTS (denied candidates) Includes evaluations, ballots, and resumes used to determine award of faculty tenure and/or promotion. Includes actual tenure and/or promotion consideration as well as third-year and/or promotion review.</p>	<p>Human Resource Services* Dean Department</p>	<p>termination of employment denial denial</p>	<p>35 yrs 3 yrs 3 yrs</p>	<p>11-12-63603 11-12-63604 11-12-63605</p>	
<p>TENURE/PROMOTION EVALUATION DOCUMENTS (successful candidates) Includes evaluations, ballots, and resumes used to determine award of faculty tenure and/or promotion. Includes actual tenure and/or promotion consideration as well as third-year and/or promotion review.</p>	<p>Human Resource Services* Dean Department</p>	<p>award award award</p>	<p>6 yrs 3 yrs 3 yrs</p>	<p>11-12-63606 11-12-63607 11-12-63608</p>	
<p>TENURE/PROMOTION SUPPORT DOCUMENTS (denied candidates) May include manuscripts, artwork, slides, or other items used to determine award of faculty tenure and/or promotion. Includes actual tenure and/or promotion consideration as well as third-year and/or promotion review. <i>May be returned to the dean and then to the candidate at the discretion of Provost's Office.</i></p>	<p>Human Resource Services*</p>	<p>denial</p>	<p>6 yrs</p>	<p>11-12-63609</p>	

<p>TENURE/PROMOTION SUPPORT DOCUMENTS (successful candidates) May include manuscripts, artwork, slides, or other items used to determine award of faculty tenure and/or promotion. Includes actual tenure and/or promotion consideration as well as third-year and/or promotion review. <i>Returned to the dean and then to the candidate after award.</i></p>	Provost's Office*	award	0	11-12-63610	
<p>TIME REPORT (WSU 1010) Used to record attendance, leave, and overtime for overtime-eligible faculty, administrative professional, and classified employees. NOTE: The record copy of this file is maintained by the employing department until termination of employment. At termination of employment the file is sent to HRS for audit.</p>	<p>Payroll* (OPR) (pay-affecting only)</p> <p>Human Resource Services</p> <p>Department*</p>	<p>termination of employment</p> <p>audit</p> <p>termination of employment</p>	<p>6 yrs</p> <p>5 yrs</p> <p>0</p>	<p>11-12-63611</p> <p>11-12-63612</p> <p>11-12-63613</p>	
<p>TRAINING COURSE INFORMATION RECORDS Memoranda, flyers, announcements, catalogs, and other records related to specific training courses including information on course content, program registration, instructor, credits and hours.</p>	Department*	until superseded or obsolete	0	GS 22001	
<p>VOLUNTEER FILES Applications, agreements, L & I forms, and other information pertaining to volunteers.</p>	Department*	termination of service	6 yrs	GS 03017	Essential

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