

Record Retention: Person-related Records

Effective Date: March 8, 2022
Function: Office of Human Resources
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Basis for Schedule

The purpose of this schedule is to ensure an efficient and uniform systematic control of record keeping and destruction related to person-related records with the RF Records Management Policy.

Schedule Summary

The table below identifies the minimum legal and corporate requirements for paper and/or data records applicable to person-related records.

Record Type	Office of Record	Retention Period	Justification
Attendance Reports/Exception Reports (exempt employee exception reports and non exempt salaried time sheets)	Operating locations	6 calendar years	New York State Labor Law 195 (4)
Attendance Reports (hourly employee time sheets)	Operating locations	Permanent	ERISA fiduciary requirement
Fellowship Files	Operating locations	Active and 3 years after award close date (whichever is greater)	2 CFR 200.333
Garnishments	Central office for all locations	Current calendar year + 7 calendar years	RF Corporate Business Practice
Income Fund Reimbursable (IFR) Files (may include IFR appointment/ change/inactive status forms)	Operating locations	Active and 3 years after award close date (whichever is greater)	29 CFR 1627.3, A-110 sec .53(b)
Income Fund Reimbursable (IFR) Payroll Distribution of Grant charges report	Operating locations	Current year + 4 calendar years	RF Corporate Business Practice
Personnel/Payroll files: Must include appointment/change forms, job descriptions, tax or exemption certificates (i.e. IRS W-4 or NYS IT-2104), and provider-service deduction authorization forms.	Operating locations	Permanent for retirement service credit and pay rate documentation. Active + 6 calendar years for all other history	RF Corporate Business Practice
Personnel/payroll and benefit data	Central Office	Permanent for service & pay history (retirement) and benefit data including enrollment forms, prior service and optional retirement forms, etc.) Active + 6 calendar years for all other history	RF Corporate Business Practice, ERISA Regulations
Retirement Records	Central Office	Permanent	ERISA fiduciary requirement

RF Insurance Enrollment Form	Operating locations	Permanent	RF Corporate Business Practice
Optional Retirement Forms (including MEA calculations for years 2001 and earlier)	Operating locations	Permanent	RF Corporate Business Practice
W-2s and RF Payment Reporting Letters	Central Office	Current year + 10 calendar years	Internal Revenue Service
W-2 and RF Payment Reporting Letters Year End Reports	Central Office	Current year + 10 calendar years	Internal Revenue Service
Vendor and Payroll 1042	Central Office	Current year + 10 calendar years	Internal Revenue Service
Vendor and Payroll 1042 Year End Reports	Central Office	Current year + 10 calendar years	Internal Revenue Service
Insurance policies	Central office	Active + 6 calendar years	NY Statute of Limitations
Other contracts	Central office	Active + 6 calendar years	NY Statute of Limitations
Collective bargaining agreements	Central office	Active + 6 calendar years	NY Statute of Limitations
Legal opinions	Central office	Permanent	RF Corporate Business Practice
Educational assistance files	Operating locations	6 calendar years	RF Corporate Business Practice
Employee Handbooks	Central office	6 calendar years	RF Corporate Business Practice
Employee medical records	Operating locations	Permanent	RF Corporate Business Practice
Form EEO-1	Central Office	3 calendar years	RF Corporate Business Practice
Hazardous material records	Operating locations	40 calendar years	RF Corporate Business Practice
Employee exposure records	Operating locations	Permanent	RF Corporate Business Practice
Accident reports and OSHA Records: Log (form 200 and form 300) Incident Report (form 301) Summary (form 300A)	Operating locations	Current calendar year + 5 calendar year	20 CFR 1904.33
Recruitment records	Operating locations	3 calendar years	RF Corporate Business Practice
Legally Mandated Training records	Operating locations	6 calendar years	RF Corporate Business Practice
Compensation reviews and promotion requests	Central Office	Permanent	RF Corporate Business Practice
Audit reports	Central office	3 calendar years	RF Corporate Business Practice
Tax returns	Central office	6 calendar years	26 CFR 301.6501(e)-1
Benefit Plan Form 5500	Central office	Permanent	RF Corporate Business Practice
Affirmative action claims	Operating locations	Active + 6 calendar years	RF Corporate Business Practice
Benefit Handbooks, Newsletters	Central office	Permanent	RF Corporate Business Practice
RF Cost Transfer forms	Decentralized operating locations, and central office on behalf of centralized locations	Current fiscal year + 4	RF Corporate Business Practice
Kbace Payroll Registers, Detail Control Registers	Central Office	Current calendar year + 10 years	RF Corporate Business Practice

Definitions

Record(s)- any information kept, held, filed, produced, or reproduced in any form whatsoever, including electronic, by or on behalf of the Research Foundation or Research Foundation employees, in their

capacity as employees of the Research Foundation. Records include, but are not limited to: reports; statements; examinations; memoranda; opinions; folders; files; books; manuals; pamphlets; forms; papers; designs; drawings; maps; photos; letters; microfilms; computer tapes or discs; rules; and regulations or codes, in connection with the transaction of Research Foundation business.

Related Information

[Records Management Policy](#)

[Record Retention: Destruction of Records Guideline](#)

Change History

Date	Summary of Change
March 8, 2022	Attendance Reports (hourly employee time sheets) separated from Attendance Reports/Exception Reports (exempt employee exception reports and non exempt salaried time sheets).
February 23, 2022	Updated terms throughout. Removed records that were no longer applicable or belonged on a different schedule. Reviewed retention periods and justifications. Changed certain benefits document retention periods to permanent. Placed schedule in new format and added link to new Destruction of Records Guideline.
May 17, 2019	Updated to add information for Recruitment Records
May 9, 2007	Updated sections to remove instructions on producing payroll 1099 forms; provided information for Optional Retirement Forms.
March 4, 2002	Revised to add information for Optional Retirement Forms.
January 18, 2002	Revised to update information for OSHA Records.
November 14, 2001	Replaced document PE-A-92 from the Personnel Operations Manual and "Requirements for Person-Related Records" table in previously issued "Record Retention Guidelines".