


Commonwealth of Pennsylvania

GOVERNOR'S OFFICE

MANUAL

Subject:		Personnel Records Retention and Disposition Schedule		Number:	M505.4 Amended
Date:	December 7, 1998	Distribution:	Special	By Direction of:	 Thomas G. Paese, Secretary of Administration

Resolution RE-90-122 dated June 22, 1990, established general personnel records retention and disposition schedule covering personnel records.

Section 709(k) of The Administrative Code of 1929 authorizes the disposal of files or correspondence, reports, records, or other papers which are not needed for current or anticipated future operations.

This manual includes a general records retention and disposition schedule for personnel records which is to be followed by personnel offices.

All general personnel records retention and disposition schedules previously issued are hereby rescinded.

This manual has been prepared by the Office of Administration, Bureau of Personnel, in conjunction with the Pennsylvania Historical and Museum Commission, Bureau of Archives and History. Any questions relative to this manual are to be directed to the Bureau of Personnel, 787-8001.

This manual supersedes Manual M505.4 dated March 24, 1993.

INTRODUCTION

The General Personnel Records Retention and Disposition Schedule provides Commonwealth of Pennsylvania agencies with guidelines for the maintenance of common personnel records. While the retention and disposition schedule is not all inclusive, many of these records are normally used and maintained in agency Personnel Offices. The schedule was prepared by the Office of Administration, Bureau of Personnel, and the Pennsylvania Historical and Museum Commission, Bureau of Archives and History, with the purpose of:

- providing agencies with uniform guidelines for the retention and disposition of common personnel records;
- ensuring that agencies retain personnel records as long as needed for administrative, legal, collective bargaining, and fiscal uses;
- promoting cost-effectiveness of the records management program; and
- providing agencies with authorization to dispose of obsolete records on a regularly scheduled basis after minimum retention periods have been met.

The retention schedule is in two parts. Part One contains standard records (STD forms) and Part Two contains miscellaneous records such as Civil Service (SCSC), Unemployment Compensation (UC), and various benefits records.

The schedule includes the:

- form number;
- form title;
- distribution;
- retention period (in years); and
- series item number (for records management identification).

Recommended record retention periods are listed in years, from date of form completion, except where otherwise noted. Guidelines are made for retention of certain records in the employe Official Personnel Folder (OPF), Form STD-301. Only those documents indicating OPF should be maintained in the Official Personnel Folder. Correspondence affecting an employe's career such as appointment, promotion/demotion, salary change, transfer or recognition should also be maintained in the Official Personnel Folder.

Agency Personnel Officers can distribute records to their field facilities and bureaus as needed. However, auxiliary records maintained on employes at these locations should be destroyed after termination or transfer to another agency. Records under legal review, appeal, or study are exempt from this schedule. Additional procedures for the maintenance, access, and release of personnel information are included in *Management Directive 505.18, Maintenance, Access, and Release of Employee Information*. For assistance with the interpretation or use of this schedule or with related records management problems, please contact the Office of Administration, Bureau of Personnel, telephone 787-8001.

PERSONNEL RECORDS RETENTION SCHEDULE

PART ONE: STD FORMS

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-2	Overtime Equalization Worksheet	Agency Personnel	4		P-125
STD-50	Identification Card *Return to Personnel for destruction upon termination from agency or transfer to another agency	Employee	*		P-126
STD-142	Affidavit to Procure Salary, Wages, or Employee Benefits Due Deceased Employees *One year or audit and acceptance, whichever is longer.	BCPO Treasury Auditor General Agency Personnel	* 2 4 OPF Perm	6 5 3	P-127
STD-275	Signature Authorization *Until superseded.	Agency Personnel Treasury BCPO DGS, Purchasing	* * * *		P-128
STD-276	Designation of Emergency Interim Successor To State Officers	Agency Personnel	OPF Current		P-129

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
• • STD-279	Out-Service Training Authorization	Employee BCPO Acctng BCPO Pending Auditor General Agency Personnel	– * ** 4 3	3 3	P-130
	*One year or audit and acceptance, whichever is longer.				
	**Until finalized.				
STD-281	Self-Assessment of Agency Personnel Management Programs	Agency Personnel	Current		P-131
STD-300	Application for Commonwealth Employment	Agency Personnel Div State Empl	OPF Current 1		P-1
• STD-301	Official Personnel Folder	Agency Personnel	*	**	P-79
	*60 days after separation from state service, send to SRC; if employe is 72 years of age or older; retain at agency for four years.				
	**Maintain until former employe's 75th birthday, then destroy.				
STD-312	Application Transmittal	Agency Personnel	1		P-136
STD-313.1	Requirements for all Former Public Employes and Public Officials Under <i>Act 170, Pennsylvania State Ethics Act</i>	Agency Personnel	5		P-137
STD-314	<i>Act 170</i> , Financial Disclosure Appeal Form	Agency Personnel Employee	OPF 4 –		P-138

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-318	Pre-Employment Verification	Agency Personnel	Current		P-139
STD-320	Personnel Transfer/ Movement Request	Agency Personnel SCSC Bur of State Empl Losing Agency Gaining Agency Employee	OPF Perm * 1 ** ** -		P-90
	*File with SCSC-1.				
	**Six months following date of transfer.				
STD-322	Exit Information Summary	Agency Personnel	4		P-141
STD-322.1	Exit Questionnaire	Agency Personnel	4		P-142
STD-323	Code of Conduct, Statement of Financial Interest	Agency Personnel Employee	4 -		P-143
STD-325	Oral Interview	Agency Personnel	4		P-145
STD-330	Request for Leave	Timekeeper Approving Authority Employee	* * -		P-12
	*Maintain for seven pay periods into the next calendar year.				
STD-334	Request for Reimbursement of Applicant's Travel Expenses	Agency Personnel	4		P-152

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-335	Request for Special Extension of Sick Leave	Agency Personnel	OPF 4*		P-153
•	*Medical documentation with this form should be kept in a separate, confidential medical file.				
STD-338	Request for Dual Employment	Agency Personnel Employee	OPF * –		P-155
	*For duration of dual employment status; if denied, retain one year.				
•	STD-344 Employer's Report of Occupational Injury or Disease	WC Administrator Bureau of Workers' Compensation Agency Personnel Medical Office Employee	– – OPF Perm – –		P-156
STD-354	Financial Institution Deduction Authorization	Agency Personnel Employee Financial Instit	OPF Current – –		P-80
STD-355	Supplementary Employment Request	Agency Personnel Employee	Current –		P-158
STD-356	Supplementary Employment Agency Notification	Agency Personnel Employee	Current –		P-159
STD-357	Supplementary Employment Request for Review	Agency Personnel Employee	Current –		P-160
STD-370	Job Description	Agency Personnel Employee	Current –		P-47

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-375	Complement Authorization Request	Agency Personnel	1		P-109
		Office of Budget	4		
		OA, Personnel	1		
		Bur of State	1		
		Employment			
STD-377	Report of Maintenance Charges	Agency Personnel	OPF Current		P-6
STD-399	Earned Income (Wage) Tax Questionnaire	Agency Personnel	OPF Current		P-81
STD-400	Application for Membership – State Employees' Retirement System	SERS, Acctng Div Agency Personnel	Perm OPF Perm		P-3
STD-402	Nomination of Beneficiaries – State Employees' Retirement System	Employee SERS	– 1 *	7	P-162
	*After one year, maintain on microfilm.				
STD-402.1	Nomination of Beneficiary(ies) (brief version)	Employee SERS	– 1 *	7	P-163
	*After one year, maintain on microfilm.				
STD-404	Invoice – State Share of Group Life Insurance Premiums	Auditor General	4	3	P-164
		BCPO	*	6	
		Cen Svcs Comptroller	*		
		Employee	–		
	*One year or audit and acceptance, whichever is longer.				
STD-415	Service and Salary Record	Agency Personnel	OPF Perm		P-166

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-421	Notification of Member's Change in Status – State Employees' Retirement System *After one year, maintain on microfilm.	Employee SERS	– 1 *	7	P-167
STD-430	Report of Incident/Accident	DGS, Risk & Ins Mgmt Agency Personnel	2 4		P-168
STD-431	Disability Information Request *Retain four years or until case is closed, whichever is longer.	Agency Personnel	OPF *		P-169
STD-432	Union Dues Deduction Status	Agency Personnel	OPF Current		P-84
STD-439	Request for Salary/Wage Advancement *One year or audit and acceptance, whichever is longer.	Treasury BCPO Pay Processing BCPO Advancement Acct Agency Personnel	2 1 * 1	5	P-170
STD-441	Authorization for Direct Deposit of Pay	Agency Personnel Employee Financial Instit	OPF Current – –		P-171
STD-447	Pa. State Employee Family Care Account Program – Enrollment Form	Agency Personnel Employee Transactions	OPF Current – –		P-223

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
STD-448	Pa. State Employee Family Care Account Program – Family Status Change	Agency Personnel Employee Transactions	OPF Current – –		P-224
STD-449	Pa. State Employee Family Care Account Program – Reimbursement Claim	Agency Personnel Employee Transactions	4 – –		P-225
STD-450	Employee's Request for Additional State Income Tax Withholding	Agency Personnel	OPF Current		P-82
STD-473	Grievance/Complaint Record	Agency Personnel	5		P-175
STD-474	Furlough and Reinstatement Report	Agency Personnel	5		P-176
STD-480	Furlough Impact By Race and Sex	Agency Personnel	1		P-182
STD-483	Equal Employment Review Certificate	Agency Personnel	4		P-184
STD-486	Equal Employment Opportunity Discrimination Complaint	Agency Personnel	4		P-226
STD-700	Driver's Acknowledgement of Compliance	Agency Personnel	OPF Current		P-185
STD-701 & STD-701A	<i>Commercial Motor Vehicle Safety Act</i> , Employment Information (Side 1) and Supplementary Information (Side 2)	Agency Personnel	OPF Perm		P-222

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
• STD-929	Time and Attendance Record *Original Copy. **Discard all copies of forms not used in sample post audit process. Only those forms audited will be retained seven years.	Timekeeper BCPO Employee	7* ** -		P-187
• STD-932	SERS Employee Share – Manual Payroll Refund Listing	OB, Bur Fin Mgmt SERS BCPO Agency Personnel	1 1 1 Current	6 7 6	P-189

PART TWO: MISCELLANEOUS FORMS

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
SCSC-1	Application for Employment/Promotion *If retained.	SCSC Agency Personnel	Perm OPF Current*		P-190
SCSC-6 SCSC-6A SCSC-6B SCSC-6C	Request for AEP AEP Job Information AEP Recruitment Report AEP Notice of Results	SCSC Agency Personnel	4 1		P-191
SCSC-90	Request for Certification	SCSC Agency Personnel	1 1	3	P-24
SCSC-91	Certification of Eligibles	SCSC Agency Personnel	1 1	3	P-25
SCSC-98	Interview Notice/ Availability Survey	SCSC Agency Personnel Applicant	1 1 –	3	P-28
SCSC-2550	Request for Evaluation *Retain with SCSC-1.	SCSC Agency Personnel	* 1		P-33
SCSC-4112	Appeal Request *Maintain for four years or until case closed, whichever is longer.	Agency Personnel	OPF *		P-192
SCSC-5223	Unqualified Recommendation for Promotion	Agency Personnel	OPF 4		P-193
SCSC-5247	Recruitment and Examination Needs	SCSC Agency Personnel	4 1		P-194

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
SCSC-5265	RPE Request	SCSC Agency Personnel	4 1		P-195
SCSC-5274	Request for Selective Certification	SCSC Agency Personnel	4 1		P-196
SCSC-5275	Request for Removal of Eligible	SCSC Agency Personnel	2 1	2	P-197
SCSC-5280	Delegation of Signatory Authority	SCSC Agency Personnel	Current Current		P-198
•	Commercial Driver License Referral Information Consent Form	Agency Personnel OA, SEAP	* 4		P-231
•	*Maintain for length of CDL Referral in OPF and then in SEAP Coordinator file for one year following notification from SEAP Central Coordinating Office that the employe has successfully completed treatment.				
•	Conditions for Continued Employment Information and Consent Form	Agency Personnel OA, SEAP	* 4		P-221
•	*Maintain for length of COCE in OPF and then in SEAP Coordinator file for one year following notification from SEAP Central Coordinating Office that the employe has successfully completed treatment.				

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
LG-6047f	Notice of Right to Convert Group Life Insurance	Agency Personnel	Perm		P-202
LG-6090	Request for Installment Option	Agency Personnel	Current		P-203
LM-1381b	Commonwealth of Pa. Beneficiary Designation Form	Bur of Risk & Ins Mgmt Agency Personnel Employee	Perm OPF Current -		P-204
• LM-600742	Application for Disability Life Insurance	Agency Personnel	OPF Perm		P-200
• PEBTF-2	Employee Enrollment/Change Form	Pa. Benefit Trust Fund Payroll/Retirement Bd Drug Administrator Agency Personnel Employee	- - - OPF Perm -		P-207
• PET80601	Emp POS transaction processing audit trail (Enterprise storage and retrieval system for report information)	CTC	On-line for 60 days then CD storage in OA, Bur of Pers, Information Systems Support Division		P-230
REV-420	Employee Statement of Non-Residence in Pa.	Agency Personnel	OPF Current		P-205
SEC-1	Statement of Financial Interest (<i>State Ethics Act: Act 170</i>)	Agency Personnel Employee	5 -		P-206
SERS-251	Application for Refund of Member's Contributions and Interest	Employee SERS	- 1 *	7	P-165
	*After one year, maintain on microfilm.				

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number	
SP4-164	Request for Criminal History Record Information	Agency Personnel	OPF Perm		P-208	
UC-44F	Notice of Financial Determination	Agency Personnel BCPO	3 –		P-209	• •
UC-45	Notice of Application and Employer's Statement	Agency Personnel	3		P-210	•
UC-46	Petition for Appeal	Agency Personnel	3		P-211	•
UC-53 UC-53E	Notice of Hearing on Original/Board Appeal	Agency Personnel	1		P-212	•
UC-59	Pa. Unemployment Compensation Board of Review Referee's Decision	Agency Personnel	3		P-213	•
UC-150	Notice of Amount Due for Compensation Paid	Agency Personnel BCPO	3 –		P-214	• •
UC-483	Subsequent Benefit Year Information	Agency Personnel	3		P-215	•
UC-494	Employer's Statement – Credit Weeks	Agency Personnel	3		P-216	
UC-640 UC-640A	Monthly Notice of Compensation Charged/Report on Conflict Wages and Benefits	Agency Personnel BCPO	1		P-217	
UC-785	Low Earnings Report	Agency Personnel	4		P-218	

Form Number	Form Title	Distribution	Agency Retention (Years)	State Records Center (Years)	Series Item Number
UC-1609	Location of Records for Unemployment Compensation	Agency Personnel	Current		P-219
W-4	Employee's Withholding Exemption Certification	Agency Personnel	OPF Current		P-89
<ul style="list-style-type: none"> • JPA-797 or • CWC-119 or • PIM-119 	Workers' Compensation Claim Report	Agency Personnel WC Administrator	4 –		P-227