

**FREQUENTLY ASKED QUESTIONS (FAQ)  
HUMAN RESOURCES / PERSONNEL**

**Human Resources Records (from the Human Resources / Personnel Records General Retention Schedule)**

**1. Question on Employee Personnel Records (records series #12)?**

Item #12 does not include items related to testing process, so I would like to confirm it is because it is listed in item #18 and falls under that retention time line.

Only the candidates actual "Pass" or "Fail" results, or actual grade on the score will end up in records series #12 **IF** they are hired.

**2. What is the difference between records series #12 and records series #23?**

The difference in retention would depend upon whether the candidate was hired (#12) or not hired (#23).

**3. What are Employee Summary Records (records series #15)?**

Records series #15 is in place **ONLY** for those public bodies that have this practice: Once the Employee Personnel Records are destroyed (records series #12), some public bodies like to keep a basic List of Employees, or a Summary of Employees. Since the Employee Personnel Records are now destroyed, this Summary allows the public body to know the name of past employees, their dates of employment and Job Titles. This is merely a Summary in place of the "detail" provided by the Employee Personnel Records.

**4. What are Examination Records (records series 18)?**

Records series #18 is for all the records that are generated around the testing process **EXCEPT** for the actual "Pass" or "Fail" results, or actual grade on the score. The scores end up in the Employee Personnel Records (records series #12) if the candidate **IS** hired or Hiring and Selection Records (records series #23) if the candidate **IS NOT** hired.

**Is 18(a) referring to what HR is using for testing and the questions themselves?**

Yes. These are the questions that get asked of the Candidates / potential employees, whether they are in a book, or on the computer, etc.

**Is 18(b) referring to answer sheets like Scantron sheets and written tests completed by hired and not hired candidates?**

These could be Scantron (computer graded), or handwritten responses on paper.

**Is 18(c) referring to our process and who was tested for what positions and when, along with testing instructions and scripts used?**

This records series is strictly for any records generated in administering the test: lists of candidate / employees taking the tests, notices of when tests scheduled, etc.

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**Is 18(d) referring to oral board questions that have been completed by hired and not hired candidates in a hiring process? For example, each person participating on the panel completes a scoring packet for each interviewee.**

These records are for candidates of Licensing-level tests. Generic employee questions and answers fall under either Employee Personnel Records (records series #12) if candidate **IS** hired or under Hiring and Selection Records (records series #23) if the candidate **IS NOT** hired.

**5. What are Hiring and Selection Records (records series #23)?**

Records series #23 is strictly for those records that are generated in testing a potential employee that does **NOT** get hired. If the candidate were to be hired, these records would fall under records series #12.

**6. What is the difference between these two record series: Grievance and Complaint Records (record series #21) & Investigations of Personnel Matters (records series (#26)? Grievance records are 3 years after resolved and Investigation Records - Sustained are 5 years after employee terminated. The difference seems a little unclear. I believe Grievance and Complaint Records initiate the Investigation but why is the retention so different? I could use your help defining the difference between these two series and the records that should be held under each.**

Grievance and complaint records originate from a bottom up approach (an employee/student/or the public initiate the process) and they escalate upward. These records are generally resolved because they are found to have no merit, or they are resolved and closed without any further escalation needed.

Investigations of Personnel Matters (sustained and un-sustained) may be more serious than grievances and complaints and originate from the top down. A supervisor, manager, investigator, police, etc., may open an investigation due to serious infractions, crimes, or other incidents.

These types of records may carry legal implications against the person being investigated and the party carrying out the investigation. Because of statutes of limitations, an employee may bring litigation after termination, or after the case is closed/resolved if they feel that the issue needs to be pursued further. This would be justification for a public body or agency to retain these types of records much longer than regular complaints or grievances.