

Managing your HR & Payroll Records

Busting the myths and confirming the truths

Records Management Services

December 2011

Files can be organized in a variety of ways...





Myth 1.

- However long it takes you to find a file is fine. It's your filing system after all.

b u s t e d

The Reality

- You should be able to find a file, either in paper or electronic format, in 30 seconds.





Why should you effectively manage these records?

- These records are frequently -
 - audited
 - revised
 - requested for litigation or public records requests
 - on litigation hold
- You have a finite amount of time to locate the documents.



What are personnel/payroll records?

- **Common records include –**
 - Academic Student Employees (ASE) Files
 - Personnel Folders
 - Classified and Professional Staff
 - Faculty/Academic Personnel
 - Hourly, Per Diem, Temporary, and Student Employees
 - Time Records for Hourly Staff
 - Time Sheets for Classified and Professional Staff, Summary
 - Applications for employment – hired & not hired



What about official versus other copy?

- **Official copy**

- Time Records for Hourly Staff
- Time Sheets for Classified and Professional Staff, Summary
- Academic Student Employees (ASE) Files
- Personnel Folders -- Hourly, Per Diem, Temporary, and Student Employees

- **Other copy**

- Personnel Folders -- Classified and Professional Staff
- Personnel Folders -- Faculty/Academic Personnel

Myth 2.

- The departmental personnel folder has the same value as the folder held by the Academic HR or Upper Campus/Health Sciences HR offices.

b u s t e d

Myth 3

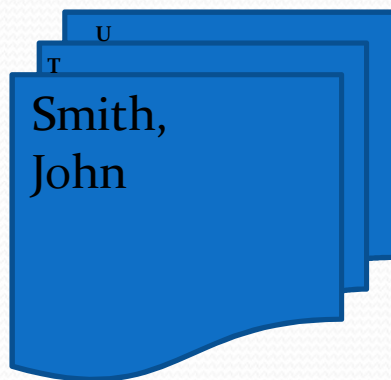
- The departmental personnel folder can be requested for audit, public records requests, or litigation.

C o n f i r m e d

How do you start the process?

- Organize the records either by
 - By individual
 - By date
- This will allow for easier purging of records once the cut-off is met.

Active Personnel
Folders

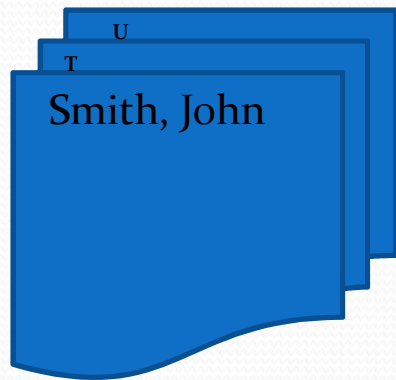


Hourly Time Records



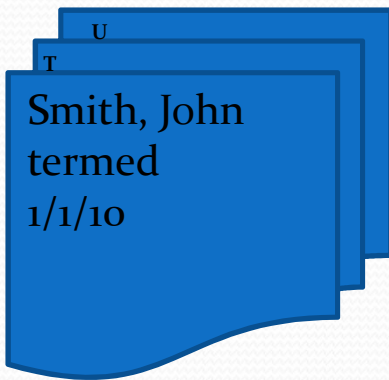
Example of Alpha turning into Date filing

Active employees, Alpha



Move termed file to inactive area by date

Termed employees, add term date to file



Starting from hire – Jane Smith

- Which records do you need to maintain or purge
 - Any email/paper used as source document for employee entering the UW systems
 - Personnel Folder (paper)
 - Application
 - Resumes
 - Letters of Reference
 - Personnel Folder (electronic)
 - OPUS confirmation
 - Considered database printout. Discard as soon as met reference purpose
 - Emails directing-represents source document authorizing input action.

} retain 3 years after termination



While employed: Jane Smith

Records filed together (retain for 3 years after termination of employee)

Personnel folder

Application for employment – hired

Request for Approval for Outside Work – Professional and Classified Staff

Records filed separately (different cut-offs and retention)

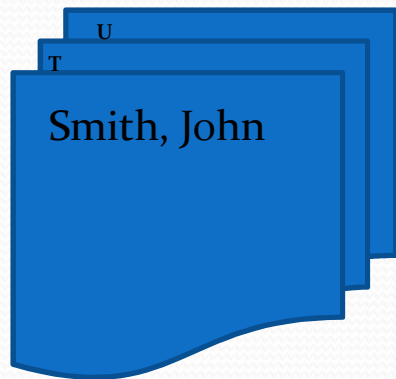
Performance Evaluations (**completion of review – 3 yrs**)

Time Sheets for Classified and Professional Staff,
Summary (**calendar year - 6 yrs**)

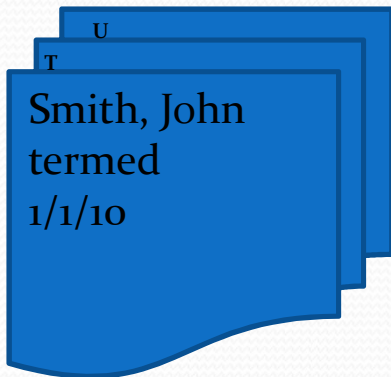
Hourly Timesheets (**End of month - 6 yrs**)

Example of records kept for 3 years after termination

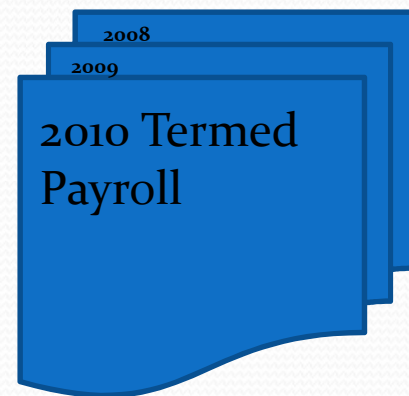
Active employees, Alpha



Termed employees, add term date to file



Move termed file inactive area by date

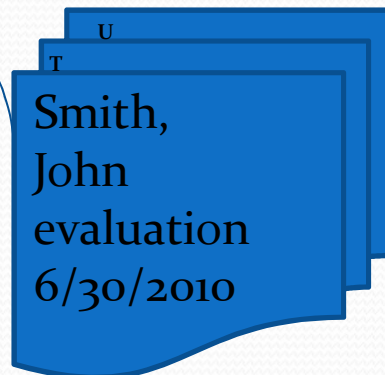


Example of active files NOT filed Alpha

- Performance Evaluations



Evaluations retained for 3 years after completion of review



Each employee evaluated filed by year

Electronic vs. Paper

- Hours: ETR and PTR reporting-source documents only
 - Email reporting and approved exception time reporting
 - Paper calendar with manager approval
 - Retain for 3 years after end of month
- ERT/PTR confirmation emails (PRODS)
 - Online time reporting system confirmation
 - Retain until payroll action is processed
- OWL entries
 - Email reporting and approved sick and vacation leave
 - Paper reporting and approved sick and vacation leave
 - Time sheets, either 1 year or 6 years depending upon office.
 - OWL PERMS: delete when reference purpose served.
- OPUS
 - Approvals for changes: retain for 3 years after termination of employment.
 - OPUS PERMS: delete when reference purpose served.



Termination of Jane Smith

- Place in Personnel Folder:
 - Notification of termination (email or paper)
 - OWL entry
 - OPUS entry
 - Retain for 3 years after date of termination
- Change title of Personnel Folder to include date of termination
- Move Personnel Folder from active to inactive and file by date.



File by Alpha or Date

- File Alpha by Employee
 - Records which are tied to termination
 - Can keep separate folders with different actions BUT file together
 - Can maintain one folder with all activity for one employee
 - Personnel and Payroll folders, for State: Retroactive Salary Transfer Request
 - File by Date (can sub-file by employee if needed)
 - ETR/PTR source documents
 - Overpayment/Repayment Option Documentation
 - Time Records/Time Sheets
 - Professional Staff :Time Records: 1 year, Time Sheets: 6 years
 - Hourly Staff: 6 years
 - Work Study:1 year after end of quarter



Oldies but Goodies

- PAFs
 - Personnel Action Forms
 - 1 month after receipt-shred
 - Database printout
- Form 220s
 - Originals should be with HR. If you locate an original, send to Jean Swarm, Box 359532.

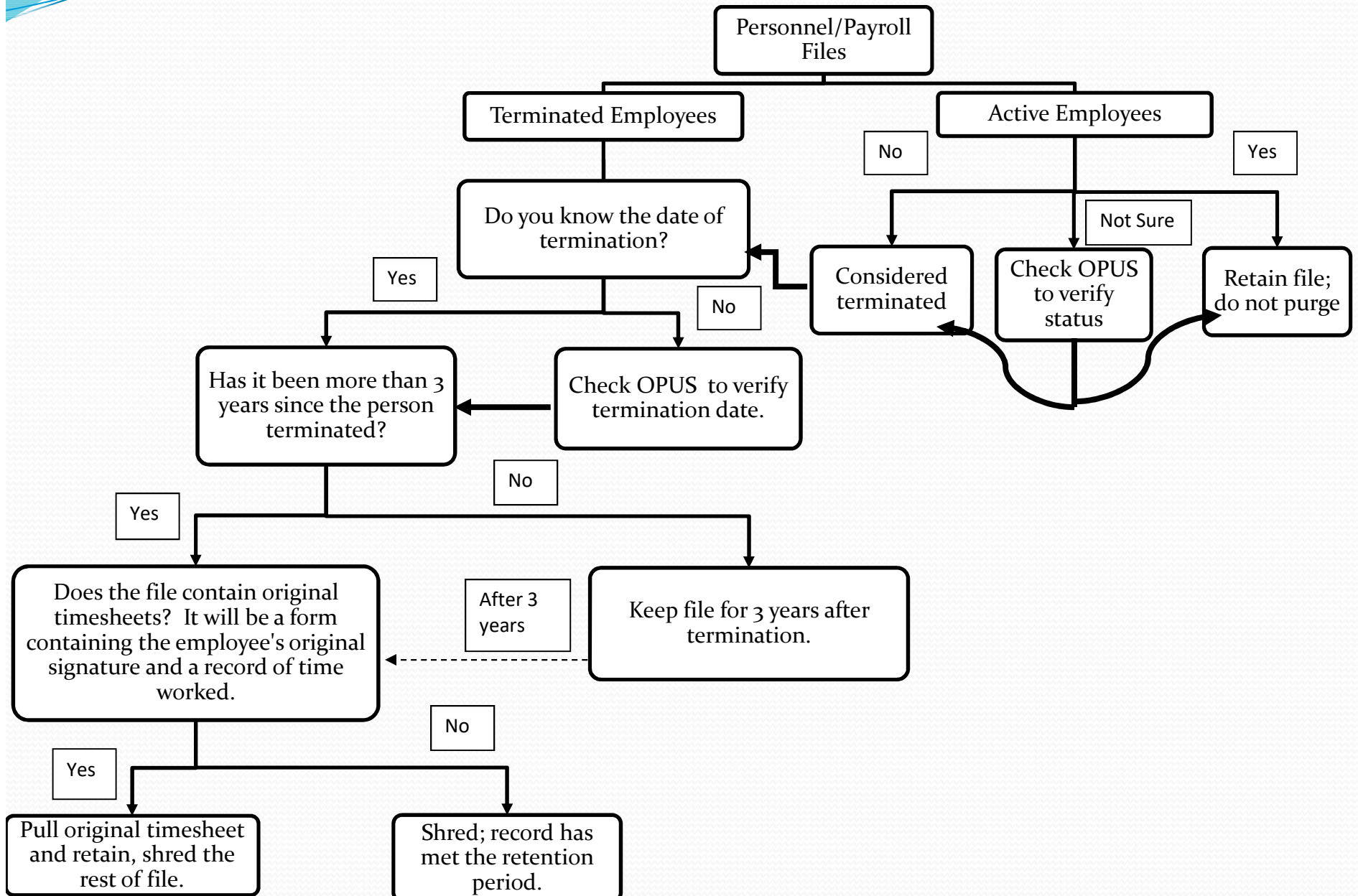
Myth 4

- Offices are no longer required to maintain payroll folders.

C o n f i r m e d

The function of payroll folders has changed from W-4s, etc, to approvals from managers/supervisors documenting employee leave or source documents documenting work or leave taken.

How do you make sense of files you inherited?



Myth 5

- There is still a litigation hold in effect for hourly/classified/professional timesheets, original grant certification reports, ETRs/PTRs.

C o n f i r m e d

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