

MAU HR Document Inventory													
		Note: See Retention Series Summary for retention basis										Basis to Archive	
Record		*1: See Retention Series Summary for retention length										R=Ret verification	
ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names (* indicates current form name)	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)	
251	DOT Drug Test File	Substance	5y	N/A		Drug Testing: Positive Results (quarterly)		Paper	Varies	UAA-Personnel Supervisor's Office UAF-Benefits Consultant's Office UAS: Risk Mgt SW: None GI: N/A			
250	DOT Drug Test File	Substance	5y	N/A		Drug Testing: Positive Results, Response and Compliance Follow Up		Paper	Varies	UAA-Personnel Supervisor's Office UAF-Benefits Consultant's Office UAS: Risk Mgt SW: None GI: N/A			
252	DOT Drug Test File	Substance	5y	N/A		Drug Testing: Random List (quarterly)		Paper	Varies	UAA-Personnel Supervisor's Office UAF-Benefits Consultant's Office UAS: Risk Mgt SW: None GI: N/A			
253	DOT Drug Test File	Substance	5y	N/A		Pre-employment drug testing (previous employer)		Paper	Varies	UAA-Personnel Supervisor's Office UAF-Benefits Consultant's Office UAS: Risk Mgt SW: None GI: N/A			
257	DOT Drug Test File	Substance	5y	N/A		Pre-employment drug testing results		Paper	Varies	UAA-Personnel Supervisor's Office UAF-Benefits Consultant's Office UAS: Risk Mgt SW: None GI: N/A			
258	DOT Drug Test File	Substance-Supervisor	Indefinite	Term year + 6y		Substance Use Signs & Symptoms Training Schedule/Roster		Paper	Varies	UAA-Personnel Supervisor's Office UAF-Drug Testing Consultant's Office UAS: Risk Mgt SW: None GI: N/A			
261	HR Dir	Issue	None	5y		Issue Files		Paper	HR Dir				
109	I-9	I-9	Term +3y	Term year + 6y		Birth Certificate- I-9 support		Paper	Personnel	UAA: I-9 Section in the Personnel Folder UAF: I-9 UAS: I-9 SW: I-9 GI: I-9		HR 19	
110	I-9	I-9	Term +3y	Term year + 6y		Drivers License- I-9 support		Paper	Personnel			HR 19	

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111	I-9	I-9	Term +3y	Term year + 6y	H.S.A	I-9		Paper	Personnel	UAA: I-9 File in the Personnel Folder UAF: I-9 UAS: I-9 SW: I-9 GI: I-9		HR 19
112	I-9	I-9	Term +3y	Term year + 6y		Other Supporting Docs for I-9		Paper	Personnel			HR 19
113	I-9	I-9	Term +3y	Term year + 6y		Passport- I-9 support		Paper	Personnel			HR 19
114	I-9	I-9	Term +3y	Term year + 6y		SS Card- I-9 support		Paper	Personnel	<i>Note: SS Card should not be retained in I-9 folder unless it is submitted in support of I-9.</i> UAA: I-9 Section in the Personnel Folder UAF: I-9 UAS: I-9 SW: I-9 GI: I-9		HR 19
115	I-9	I-9	Term +3y	Term year + 6y		Tribal Card- I-9 support		Paper	Personnel			HR 19
116	I-9	I-9	Term +3y	Term year + 6y		Visa- I-9 support		Paper	Personnel			HR 19
118	Medical	Med #1	C+5y	Term year + 6y	B347	FML Leave w/o Pay (FMLWOP), Sick Leave (LWOP) Form		Paper	Personnel	May be filed in separate location from other medical records.		
119	Medical	Med #1	C+5y	Term year + 6y	DOL	FML Physician/Practitioner Certification of Health Care Form		Paper	Personnel	May be filed in separate location from other medical records.		
120	Medical	Med #1	C+5y	Term year + 6y	no#	FML Request Form		Paper	Personnel	May be filed in separate location from other medical records.		
121	Medical	Med #1	C+5y	Term year + 6y	no#	Injury/Illness Form (Notice of Previous)		Paper	Personnel			HR Injury_illness
122	Medical	Med #1	C+5y	Term year + 6y		Job Analysis Form (ADA related) Determining whether EE physically able to do a specific job.		Paper	Personnel			
124	Medical	Med #1	C+5y	Term year + 6y	B350	Leave Share Program Transfer Request		Paper	Personnel			

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126	Medical	Med #1	C+5y	Term year + 6y		Medical Provider Notes		Paper	Personnel			
127	Medical	Med #1	C+5y	Term year + 6y		Physical Exam/Test Results		Paper	Personnel			
128	Medical	Med #1	C+5y	Term year + 6y	155	Report of Occupation Injury/Illness		Paper	Personnel			
129	Medical	Med #1	C+5y	Term year + 6y		Return to Work (form, note, prescription)		Paper	Personnel			
130	Medical	Med #1	C+5y	Term year + 6y		Sick Leave-Workers Comp		Paper	Personnel	UAA: Medical UAS: Medical/Workers Comp:HR Director's Office UAF: Medical SW: Medical GI: Medical		
132	Medical	Med #1	C+5y	Term year + 6y	003	UAFT Disability Leave Bank Application		Paper	Personnel	UAF: Copy to Benefits Coordinator		
133	Medical	Med #1	C+5y	Term year + 6y		Workers Comp Forms		Paper	Personnel	Original maintained by Risk Copy in Medical File		
131	Medical	Med #2	C+5y	Term year + 50y	180	Sick LWOP		Paper	Personnel		R	
260	Not Retained	Complain-EEO	resolution	until released by Gen Counsel		EEO Complaints				Retained by MAU EEO Offices		
65	Not Retained	None	none	None		Drug Free Workplace- Acknowledgement		Paper	Personnel	No Need to retain in HR		
136	Not Retained	None	None		no#	fsaATLAS Access Request Form			PBA	Retained by SW HR, PBA		
137	Not Retained	None	Noe		no#	International Scholarship Form	n/a		None	Not retained in HR records		
						Not retained by HR						

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77	Not Retained	None	None	None		PERS Appl. for Retirement per Erika V. No reason to retain by HR. This is a DOR form.		Paper	Varies	UAA: N/A (not retained) UAF: Personnel UAS: Personnel SW: Benefits GI: Personnel		
138	Not Retained	None	None			PERS Physician's Statement Not retained by HR (DOR Form) related to disability retirement request Team reports Never Seen		Paper	None			
139	Not Retained	None	None			PERS Survivor's Statement of Disability Not retained by HR (DOR Form)		Paper	None			
82	Not Retained	None	None	None		PERS/TRS Beneficiary Designation per Erika V. No reason to retain by HR. This is a DOR form. Doesn't hurt to have but not needed.		Paper	Personnel			
140	Not Retained	None	None	N/A		PERS/TRS Consent to Refund <i>Not retained by HR (DOR form)</i> <i>Request for refund of employee contribution amounts from terminated FEs.</i>		Paper	None			
141	Not Retained	None	None	None		PERS/TRS Evidence of Birth <i>No Need to Retain in HR (DOR Form used at time of retirement.)</i>		Paper	Personnel			
142	Not Retained	None	None		160	Request Duplicate for W-2 Discontinued form-refer EE to UAOnline	replaced by UA-Online Form	Paper	Payroll	No reason for HR to retain beyond compliance with request.		
90	Not Retained	None	None	None	SSA	Social Security Consent for Release of Information (SSA-3288 Form) <i>(used for internationals who are applying for SScard)</i>		Paper	Personnel	<i>Per Michelle Pope this should not be retained by HR.</i>		
146	Not Retained	None	none	None	no#	System Termination - Employee Info (to EE) No Need for HR to retain: Currently generated by workflow.		Electronic	Personnel			
147	Not Retained	None	None	None		Termination Check List Not retained in HR files - Internal UAFHR form		Paper	Personnel	Destroy when no longer needed		

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148	Not Retained	None	none	None		TRS Appl. for Disability Retirement Not retained by HR (DOR Form) Team reports never seen		Paper	None			
135	Not Retained	Other	none	TBD		DOL- Statement of Benefits Paid Not retained in MAU HR files		Paper	PBA	Maintained by PBA- Not need in file per MP. DOL should not be sending to MAU's anymore, copies no longer sent to MAUs		
150	Not Retained	Other	None	None		Relocation Allowance Taxability Letter No Need for HR to retain:		Paper	Payroll	UAF only		
143	Not Retained	Other	None	None		Statement of Auto Deposit Return (e-mail from PBA) Not retained in MAU HR files		Paper	PBA	No need to retain by MAUs per MP		
144	Not Retained	Other	None	None		Student Status Verification Supporting Docs (receipts, enrollment forms, etc)		Paper	None	Not retained by HR. Remove from file Destroy after verification.		
145	Not Retained	Other	none	None	035	Summary of Rights (COBRA) Not retained in MAU HR files		paper	Personnel	No Reason for HR to retain in personnel file per Erika (just a flyer w/o EE info)		
149	Not Retained	Other	None	None		Tuition Waiver Request Not retained in MAU HR files		Paper	None	Not retained in HR (Business Office)		
153	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	B210	Automatic Deposit Request Form		Paper	Payroll			
158	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		Community Campaign Deduction Forms (United Way, etc)		Paper	Payroll			
167	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		IRS Lockdown Letter		Paper	Payroll			
172	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		Parking Deduction Forms		Paper	Payroll			

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179	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		Personal Use of Univ Vehicle	Auto Mileage	Paper	Payroll			
181	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	Relocation Allowance	Relocation Advance/Settlement (150) move to electronic with UAKjobs III	paper	Payroll			
184	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	B280	Salary Advance Request Form		Paper	Payroll			
187	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	065	Supplemental Benefit Election Form	PERS/TRS Supplemental Defined Benefit Deduction Form	Paper	Payroll			
189	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	Taxable Status Determination Form (TSDF)		Paper	Payroll	EE should have "International Form" if EE terms w/o Intl Form, copy of TSDF should be requested from Accounts Payable and be in file in placed in payroll file-per MP		
201	Payroll	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		W2-c		Paper	Payroll			
159	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	032	Computer Handpay Form	Old Form. Replaced by new forms depending on reason for hand pay.	Paper	Payroll		R	
163	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		Estate Disbursal	revised version of form 055 of same name	Paper	Payroll		B	
165	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	068	Handpay Adjustment (request)	Request for handpay distribution A	Paper	Payroll	UAA: Does not use UAS: Pyrl- UAF/SW: Payroll. GI: Payroll	R	
4	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		Journal Voucher		Paper	Payroll		G	

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5	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		Journal Voucher Back UP Docs		Paper	Payroll		G	
168	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	B240	Labor Redistribution (Reallocation)	Labor Reallocation (072)	Paper	Payroll		G	
169	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		Leave Balance Adjustment Spreadsheet	Leave Balance Adjustment (075)	Paper	Payroll		R	
170	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	B255	Leave/Earnings Adjustment	Leave/Earnings Adjustment (076) Leave Adjustment	Paper	Payroll		R	
173	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	B260	Paycheck Reissue	Check Renumber (028)	Paper	Payroll		R	
174	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	B205	Payroll Adjustment	Adjustments-Ben/Ded Ref. override (#010)	Paper	Payroll		R	
175	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		Payroll Research Documentation: spreadsheets, print screens, notes on back of forms	Payroll Research Form (118)	Paper	Payroll		R	
183	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		Retro Spreadsheets		Paper	Payroll		R	
186	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	170	Stop Pay Request Form		Paper	Payroll		R	
200	Payroll	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	B298	Void Adjustment		Paper	Payroll		R	

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208	Payroll: Timesheets	pay-time	Until No longer Needed	Term year + 50y		Exempt-Leave/Effort Report		Paper	Payroll		R G	
209	Payroll: Timesheets	pay-time	Until No longer Needed	Term year + 50y	no#	Timesheet NonExempt		Paper	Payroll		R G	
40	Personnel	App-Hired #1	2y	Term year + 6y		Applicant Form--UAKjobs-Hired	Optional Form (Recruitment)	electronic	Personnel			
41	Personnel	App-Hired #1	2y	Term year + 6y	no#	Application- Candidate Hired		Paper-pre 2004? Digital-post 2004?	Personnel	4c: Copies Dept Vary- most leave it to Dept to print copy of App if desired from UAKjobs.		
45	Personnel	App-Hired #1	2y	Term year + 6y		Cover Letter -- Candidate Hired	Cover Letter (UAKjobs)*	Paper-pre 10/05 Digital post 10/05	Personnel			
46	Personnel	App-Hired #1	2y	Term year + 6y		Drivers License- not in support of I-9 (if required for hire, attached to application)		Paper	Personnel	UAA- Personnel UAF: Personnel UAS: Personnel SW: N/A GI: Personnel/ payroll section		
50	Personnel	App-Hired #1	2y	Term year + 6y		References-Hired Candidate		Paper-pre 10/05 Digital-post 10/05	Personnel			
51	Personnel	App-Hired #1	2y	Term year + 6y		Resume- Hired Candidate		Paper-pre 10/05 Digital-post 10/05	Personnel			

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52	Personnel	App-Hired #1	2y	Term year + 6y		Vita-Hired Candidate		Paper-pre 10/05 Digital-post 10/05	Personnel			
42	Personnel	App-Hired #2	2y	Term year + 50y		Appointment Letter-Non Union		Paper	Personnel		R	
43	Personnel	App-Hired #2	2y	Term year + 50y		Appointment Letter-Union		Paper	Personnel	Labor Relations expectation: Signed Original in Personnel File, Signed Copy in Dept File UAFT Only (Copy to Labor Relations) <i>Reality is: Personnel usually doesn't have a signed copy.</i>	R	
67	Personnel	App-Hired #2	2y	Term year + 50y		Final Salary Placement-Candidate hired	UAKjobs* "Hiring Proposal" or "final offer"	Paper	Personnel		R	
53	Personnel	Bene	3y	N/A	095	COBRA Election/Rejection		Paper	Personnel	Personnel		
54	Personnel	Bene	3y	N/A		COBRA Notification to Vendor		Paper	Personnel	Personnel		
55	Personnel	Demo	4y (after tax paid)	Term year + 6y	B032	Change Form	Correct SSN (030)	Paper	Personnel	Personnel <i>Only retain for HR related changes. If person is student only-HR Does not retain.</i>		
56	Personnel	Demo	4y (after tax paid)	Term year + 6y	B370	Demographic - Personal Data		Paper	Personnel	Personnel		
57	Personnel	Demo	4y (after tax paid)	Term year + 6y		SS Card -Back up for Change Form (Name Change)		Paper	Personnel			
58	Personnel	Employ #1	2y	Term year + 6y		Agreement to maintain Assign and Maintain Confidentiality of intellectual property		Paper	Personnel			
59	Personnel	Employ #1	2y	Term year + 6y		Agreement to maintain Confidentiality-HR		Paper	Personnel			
60	Personnel	Employ #1	2y	Term year + 6y		Agreement to maintain Confidentiality-IT		Paper	Personnel			

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62	Personnel	Employ #1	2y	Term year + 6y		DMV Record (if job required)		Paper	Personnel			
63	Personnel	Employ #1	2y	Term year + 6y		DOL-Unemployment Claim Notice		Paper	Personnel			
64	Personnel	Employ #1	2y	Term year + 6y		DOL-Wage Earning Audit Request for Unemployment Claim <i>(multiple versions of Request Form: Between Semester, Temp/on call, termination, etc)</i>		Paper	Personnel			
1	Personnel	Employ #1	TBD	Term year + 6y	034	Education Demographic		Paper	Recruitment	Use to be used to determine previous experience for salary placement.		
3	Personnel	Employ #1	2y	Term year + 6y	no#	International Form (VISA copy attached)		Paper	Personnel	Personnel GI: Pysl file/personnel section if employment related, retained in HR.		
74	Personnel	Employ #1	2y	Term year + 6y		New Hire Check List		Paper	Personnel	SW doesn't use		
75	Personnel	Employ #1	2y	Term year + 6y		Other Forms of ID-not in support of I-9		Paper	Personnel	UAA-Personnel UAF Personnel UAS: Personnel SW: N/A GI: Personnel/ Payroll section		
76	Personnel	Employ #1	2y	Term year + 6y		Permission to Hire-Candidate Hired	UAKjobs *	Paper	Personnel			
85	Personnel	Employ #1	2y	Term year + 6y		Release Time Approval		Paper	Personnel			
93	Personnel	Employ #1	2y	Term year + 6y	B171	Student Status Verification		Paper	Personnel			
95	Personnel	Employ #1	2y	Term year + 6y		Tenure Approval		Paper	Personnel			
104	Personnel	Employ #1	2y	Term year + 6y		Visa- not in support of I-9		Paper	Personnel			

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61	Personnel	Employ #2	2y	Term year + 50y	B210	Beneficiary Designation Beneficiary Info for Benefits that UA is the plan administrator for must be retained. Vendors report that many UA Employees do not return beneficiary documents. Only the most recent employee signed copy need be retained.	Beneficiary Designation - Optional Beneficiary Designation - Standard (replaces forms 020,025)	Paper	Personnel		B Life, OPR, Pension, TDAs	
213	Personnel	Employ #2	2y	Term year + 50y	045	Emergency Hire (Discontinued form- now in UAKjobs)		Paper	Recruitment		R	
68	Personnel	Employ #2	2y	Term year + 50y		Hiring Proposal (&/or "Final Offer"-UAKjobs)	Final Salary Placement- Candidate hired	Electronic	Personnel		R	
69	Personnel	Employ #2	2y	Term year + 50y		HRST File E-mail (Termination Workflow)	Termination Form System Termination Form (B390)	Paper, Electronic	Personnel		R	
70	Personnel	Employ #2	2y	Term year + 50y	B015	Job Form	Personnel Action Form (PAF) Approval for Hire Personnel Assignment Form	Paper-most Termination : WF Others moving to WF soon	Personnel		R	
71	Personnel	Employ #2	2y	Term year + 50y		Job Form-Justification Letter		Paper	Personnel		R	
72	Personnel	Employ #2	2y	Term year + 50y		Letter of Appointment		Paper moving to electronic	Personnel		R	
125	Personnel	Employ #2	C+5y	Term year + 50y	090	LWOP		Paper	Personnel		R	
254	Personnel	Employ #2	2y	Term year + 50y		Pension Plan Beneficiary Form <i>Discontinued From</i> Only the most recent employee signed copy need be retained.		Paper	Personnel		B	
78	Personnel	Employ #2	2y	Term year + 50y		PERS Notification of Employment <i>Discontinued Form</i>	no longer in use-replaced by DOR E-reporting system	Paper Now done electronically	Personnel		R	

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79	Personnel	Employ #2	2y	Term year + 50y		PERS Temporary Service Verification Request		Paper	Personnel	-Copy kept to reduce future research	R	
80	Personnel	Employ #2	2y	Term year + 50y		PERS Termination <i>Discontinued Form</i>	no longer in use-replaced by DOR E-reporting system	Paper	Personnel		R	
81	Personnel	Employ #2	2y	Term year + 50y		PERS Verification of Service		Paper	Personnel	-Copy kept to reduce future research	R	
83	Personnel	Employ #2	2y	Term year + 50y	B180	PERS/TRS/ORP Option Statement		Paper	Personnel		R	
84	Personnel	Employ #2	2y	Term year + 50y		Promotion Approval		Paper	Personnel		R	
87	Personnel	Employ #2	2y	Term year + 50y		Resignation Letter		Paper	Personnel		R	
88	Personnel	Employ #2	2y	Term year + 50y		Retention Offer		Paper	Personnel		R	
89	Personnel	Employ #2	2y	Term year + 50y		Sabbatical Approval		Paper	Personnel		R	
100	Personnel	Employ #2	2y	Term year + 50y		TRS Notification of Employment <i>Discontinued Form</i>		Paper	Personnel		R	
101	Personnel	Employ #2	2y	Term year + 50y		TRS Termination <i>Discontinued Form</i>		Paper	Personnel		R	
102	Personnel	Employ #2	2y	Term year + 50y		TRS Verification of Service		Paper	Personnel	-Copy kept to reduce future research	R	

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Record ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names (* indicates current form name)	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
103	Personnel	Employ #2	2y	Term year + 50y		TRS Verification of Unused Sick Leave		Paper	Personnel		R	
264	Personnel	Ethics	2y	Term year + 6y	no#	Ethics Determination Request Form		Paper	General Cou	(Must be signed by Gen Counsel then original filed at MAU HR)		
266	Personnel	Ethics	2y	Term year + 6y		Ethics Disclosure - Interest in Grants,Contract...		Paper	General Cou	(Must be signed by Gen Counsel then original filed at MAU HR)		
265	Personnel	Ethics	2y	Term year + 6y		Ethics Disclosure - Notification of Receipt of Gift		Paper	General Cou	(Must be signed by Gen Counsel then original filed at MAU HR)		
117	Personnel	Med #1	C+5y	Term year + 6y		File Review Log		Paper	Personnel			
86	Personnel	Other Manage w/ employ	2y	Term year + 6y		Request to Review File		Paper	Personnel	Manage with employment action #1 Series		
151	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	IRS	8233 Form- Tax Exempt Statement -	Tax Exempt Statement - UA	Paper	Payroll	Fax copy to PBA, Intercampus mail Original to PBA, MAU Retain copy in: UAA: Personnel UAF: Personnel UAS: Personnel SW: Personnel, Copy to UAF Payroll GI: Personnel, Copy to Payroll		
152	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	172	8233 Tax Exempt Attachment (personal services)		Paper	PBA	Fax copy to PBA, Intercampus mail Original to PBA, MAU Retain copy in: UAA: Personnel UAF: Personnel UAS: Personnel SW: Personnel, Copy to UAF Payroll GI: Personnel, Copy to Payroll		
155	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	027	Benefits/Deduction data entry <i>Discontinued form (~1996)</i>		Paper	Personnel	Personnel		
180	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	Campus Card Payroll Deduction Form	Wolf Card Payroll Deduction Form	Paper	Payroll	Personnel		

MAU HR Retention

<i>Note: See Retention Series Summary for retention basis</i>											Basis to Archive	
<i>*1: See Retention Series Summary for retention length</i>											R=Ret verification	
Record ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names <i>(* indicates current form name)</i>	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
162	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	Employment in a Job Not Covered by Social Security		Paper	Personnel			
2	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	145	Financially Interdependent Partners (FIP) Statement		Paper	Personnel			
171	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	Local 6070 Membership Dues or Fees Deduction	UACEA Membership form (195) Local 6070 AHECTE Membership	Paper	Personnel	Personnel		HR Union Dues
177	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		PERS Voluntary Savings Plan	New Form	Paper	Varies			
178	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		PERS Withdrawal of Volunteer Savings	???	Paper	Varies			
185	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	158	Social Security Exemption for Temp Employees		Paper	PBA			
192	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	UA Choice Health Plan Enrollment Form	Dependent Enrollment	Paper	Personnel	<i>HIPPA requirements apply to this document.</i>		
193	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	UA Choice Opt-Out Form		Paper	Personnel	<i>HIPPA requirements apply to this document.</i>		
194	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	B125	UA Choice Supplemental Benefit Election Form	Flexible Spending Account	Paper	Personnel			
197	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	UAFT Service Fee Deduction		Paper	Personnel			HR Union Dues

MAU HR Retention

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Record ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names (* indicates current form name)	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
198	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	United Academics Adjuncts AAUP/AFT Dues Deduction		Paper	Personnel			HR Union Dues
199	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	no#	United Academics Dues or Agency Fee Deduction		Paper	Personnel			HR Union Dues
202	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	IRS	W-4 Form - >10,EXEMPT,EARNED INC		Paper	Personnel			
203	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	IRS	W-4 Form - NORMAL		Paper	Personnel			
204	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	IRS	W-5 Form - Earned Income Credit		Paper	Personnel			
205	Personnel	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y	IRS	W-8BEN Form		Paper	Personnel			
154	Personnel	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		Awards		Paper	Personnel		R	
156	Personnel	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		Bonus Letter		Paper	Personnel	Personnel (UAA- submitted to payroll then filed in personnel after processed)	R	
6	Personnel	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		Letter of Agreement - "Assignment Agreement" and letter <i>Used for EE on loan to and being paid by another organization.</i>		Paper	Personnel		R	
176	Personnel	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	no#	Pension/ORP Fund Sponsor Enrollment/Change Form	Pension Enrollment/Change	current for	Personnel		R B	

MAU HR Retention

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Record ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names (* indicates current form name)	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
182	Personnel	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	no#	Retirement Plan Election Form		Paper	Personnel		R	
188	Personnel	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	175	Tax Deferred Annuity		Paper	Personnel		B	
190	Personnel	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	B190	TDA Salary Reduction Agreement		Paper	Personnel		R B	
191	Personnel	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		TRS Waiver of Supplemental Contribution <i>Discontinued Form</i>		Paper	Personnel		R	
195	Personnel	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y		UA Retirement Plan Notification Form		Paper	Personnel		R	
73	Personnel	Performance	2y	Term year + 6y		Letter of Appreciation		Paper	Personnel			
211	Personnel	Performance	2y	Term + 6y		Letter of Reprimand		Paper	Personnel			
212	Personnel	Performance	2y	Term + 6y		Performance Eval		Paper	Personnel			
210	Personnel	Performance Mange w/ employ	2y	Term + 6y		Disciplinary Action Documentation		Paper	Personnel			
216	Personnel	Recruit	2y	N/A		Request to Recruit- Candidate Hired <i>(discontinued form)</i>	UAKjobs *	Paper	Recruitment			
217	Personnel	Recruit	2y	N/A		Vacant Position		Paper	Recruitment			
96	Personnel	Training	2y	Term year + 6y		Training Documentation		Paper	Personnel			
10	Recruitment	App	2y	*1		Applicant Form--UAKjobs - Candidate Not Hired	Optional Form (Recruitment)	electronic	Recruitment			

MAU HR Retention

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Record ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names <i>(* indicates current form name)</i>	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
11	Recruitment	App	2y	*1		Application- Candidate Not Hired		Paper- pre 2004? Digital- post 2004?	Recruitment	4C: Depts asked to shred any copies they have after recruitment closed.		
12	Recruitment	App	2y	*1		Background Check Results-Flagged-Not Hired		Electronic/paper	Recruitment	UAA filed by person in "Background Check file"		
15	Recruitment	App	2y	*1		Cover Letter -- Candidates Not Hired	Cover Letter (UAKjobs)*	Paper- pre 10/05 Digital post 10/05	Recruitment			
22	Recruitment	App	2y	*1		Final Salary Placement-Candidate not hired <i>(discontinued form)</i>	UAKjobs Final offer tab*	Paper	Recruitment			
23	Recruitment	App	2y	*1	110	Optional Form (Recruitment)	UAKjobs Applicant Form*	Paper	Recruitment			
24	Recruitment	App	2y	*1		Other Position Specific Documents in support of Application		Paper or Electronic	Recruitment			
25	Recruitment	App	2y	*1		Permission to Hire-Candidate not Hired <i>(portfolios original are returned to the candidate)</i>	UAKjobs Hireing Proposal*	Paper	Recruitment			
27	Recruitment	App	2y	*1		Portfolios-Candidate not hired <i>(portfolios original are returned to the candidate)</i>	UAKjobs or recruitment file	Paper or Electronic	Recruitment	<i>Per Jeannine S. If requested and reviewed, should be kept w/ recruit file.</i>		
30	Recruitment	App	2y	*1		References- Candidates Not Hired	UAKjobs *	Paper- pre 10/05 Digital- post 10/05	Recruitment			
32	Recruitment	App	2y	*1		Resume- Candidate Not Hired	UAKjobs *	Paper- pre 10/05 Digital- post 10/05	Recruitment			
33	Recruitment	App	2y	*1		Sample Work	UAKjobs or recruitment file	Paper or Electronic	Recruitment			

MAU HR Retention

Note: See Retention Series Summary for retention basis											Basis to Archive	
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Record ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names (* indicates current form name)	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
34	Recruitment	App	2y	*1		Sample Work-not hired	UAKjobs or recrutement file	Paper or Electronic	Recruitment			
38	Recruitment	App	2y	*1		Testing Documents		Paper	Recruitment			
39	Recruitment	App	2y	*1		Vita-Candidate Not Hired	UAKjobs *	Paper-pre 10/05 Digital-post 10/05	Recruitment			
47	Recruitment	App-Hired #1	2y	Term year + 6y		EE/OA Documentation (in UAKjobs)-Hired	EE/OA Form (Blue Form) Recruitment Flow (145)	Electronic	Recruitment			
49	Recruitment	App-Hired #1	2y	Term year + 6y		Permission to Hire-Candidate Hired (Discontinued form- Now in UAKjobs)	UAKjobs *	Paper	Recruitment			
19	Recruitment	Recruit	2y	*1		EE/OA Documentation (in UAKjobs)	EE/OA Form (Blue Form) Recruitment Flow (145)	Electronic	Recruitment			
20	Recruitment	Recruit	2y	*1		EEO Consultant Review (discontinued form)	UAKjobs EEO Summary*	Paper	Recruitment			
21	Recruitment	Recruit	2y	*1		EEO Summary (UAKjobs)	EEO Consultant Review	Electronic	Recruitment			
214	Recruitment	Recruit	2y	*1		Job Posting-UAKjobs (contains job description for positions not associated with a PD)	Position Requisition	Electronic	Recruitment			
28	Recruitment	Recruit	2y	*1	no#	Position Description	JEF (Job Evaluation Form) Job Evaluation PEQ (Position Evaluation Questioner) Job Description	Paper-pre 10/05 Electronic-post 10/05	Recruitment			
215	Recruitment	Recruit	2y	*1	B380	Position Requisition (still used @UAS per VC direction for direct appointments.)	UAKjobs Job Posting*	Paper	Recruitment			
29	Recruitment	Recruit	2y	*1	145	Recruitment Flow (discontinued form)	Applicant Flow Report EE/OA Form (Blue Form) UAKjobs EE/OA documentation*	Paper	Recruitment			
31	Recruitment	Recruit	2y	*1		Request to Recruit- Discontinued form (now in UAKjobs)	UAKjobs *	Paper	Recruitment			
36	Recruitment	Recruit	2y	*1		Screening Summary		Paper	Recruitment			
13	Recruitment/ Personnel	App - Hired	2y	Term year +6y		Background Check-Authorization to Release Information (Disclosure of Felony)		Paper	Recruitment / Personnel	per OGC-retain with results with employee file		

Note: See Retention Series Summary for retention basis										Basis to Archive		
*1: See Retention Series Summary for retention length										R=Ret verification		
Record ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names (* indicates current form name)	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
14	Recruitment/ Personnel	App - Hired	2y	Term year +6y		Background Check-Authorization to Release Information (Standard new hire check) <i>*for checks with no flagged results--write note "Completed & not flagged." and initial.</i>		Paper	Recruitment / Personnel	per OGC-retain with results with employee file UAA: Recruitment UAF: Recruitment UAS: Recruitment Background Check Release file SW: Recruit GI: Recruit		HR Bkgrd Check
267	Recruitment/ Personnel	App-Hired #1	2y	Term year + 6y		Background Check Results- Not Flagged		Electronic/paper	Varies	UAA filed by person in "Background Check file" per OGC-retain with employee file		
44	Recruitment/ Personnel	App-Hired #1	2y	Term year + 6y		Background Check Results-Flagged- Hired (and Justification)		Electronic/paper	Varies	UAA filed by person in "Background Check file" per OGC-retain with employee file		
134	Recruitment/ Personnel	App-Hired #1	2y	Term year + 6y		Background Check Results-Non-Flagged		Electronic	Recruitment	Per OGC- maintain with employee file.		
16	Recruitment: Criminal File	App Hired	2y	Term +6 (if hired)	N/A	Criminal Background Determination		Paper	Recruitment			
17	Recruitment: Criminal File	App Hired	2y	Term +6 (if hired)	N/A	Criminal Background Release of Information		Paper	Recruitment			
18	Recruitment: Criminal File	App Hired	2y	Term +6 (if hired)	N/A	Criminal Background Results		Paper	Recruitment			
161	Varies by dedn and MAU	Pay #1	4y (after tax paid) Fed contract +3y	Term year +6y	065	Employee Selected Deduction Form <i>Not retirement related deductions</i>	PERS/TRS Supplemental Defined Benefit Deduction Form	Paper	Payroll	Personnel or Payroll (depends on dedn & MAU)		
108	Varies by dedn and MAU	Pay #2	4y (after tax paid) Fed contract +3y	Term year + 50y	065	Employee Selected Deduction Form <i>Retirement related deductions</i>	PERS/TRS Supplemental Defined Benefit Deduction Form	Paper	Payroll	Personnel or Payroll (depends on dedn & MAU)	R	
26	Varies by MAU	App	2y	N/A		Portfolios-Candidate Hired		Paper or Electronic	Recruitment	UAF: Dept UAA,UAS, SW,GI: Recruit <i>Per Jeannine S. If requested and reviewed, should be kept w/ recruit file.</i>		

MAU HR Retention

Note: See Retention Series Summary for retention basis										Basis to Archive		
*1: See Retention Series Summary for retention length										R=Ret verification		
Record ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names (* indicates current form name)	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
66	Varies by MAU	employ #1	2y	Term year + 6y	040	Exit interview Responses		Paper	Personnel	UAA: Personnel unless defames other Employees, then to HR Consultant involved. All other MAUs: No longer done		
91	Varies by MAU	employ #1	2y	Term year + 6y		Spreadsheets of Job Changes (from labor, Class & Comp, Provost, etc) -Market adjust -Fac Promotions -Job Family Movement -etc Official Authorization. Does not need a job form in addition for approval.		Paper	Personnel	Central File- MAU's may generate/retain Job Forms per MAU Procedure UAA: Personnel Supervisors Office. Job form completed referencing list for each EE. Provost signs. Job form to personnel file. UAF: HR and Budget work off list, list in central file. UAS: List maintained by HR Techs: Job form completed for each EE, routed to budget and HR Dir to sign. Job form to Personnel file. SW: Tara's Compensation Files. Job form completed for each EE. signed by supervisor and budget. GI: In HR Manager's files. Job form completed for each employee.		
92	Varies by MAU	employ #1	2y	Term year + 6y		SS Card-(for verification of name, SSN on hire)		Paper	Personnel	UAA- (keep with I-9, don't retain dupe copies) UAF: Personnel UAS: Personnel SW: Personnel GI: Personnel - Payroll Section		
259	Varies by MAU	Grieve	resolution	until released by Gen Counsel		Complaint Files (Official complaints including union and non union grievances, fair labor complaints, etc)		Paper	Labor	Official record maintained by General Counsel. Labor Relations keeps copy also. MAU's do not need to retain their copy beyond initial resolution.		
123	Varies by MAU	Med #1	C+5y	Term year + 6y	B247	Leave Share Program Donation Form	Leave Share Program Donation Form (077)	Paper	Personnel	UAA: Leave Program Administrator UAS: Payroll of Donor UAF: Payroll of Donor SW: Payroll of Donor GI: Payroll of Donor		
7	Varies by MAU	Other	none	None		Signature Authority (timesheets, A/P, etc)		Paper		Per MAU Practice by Authority type Destroy when no longer needed per MAU practice.		

MAU HR Retention

Note: See Retention Series Summary for retention basis										Basis to Archive		
*1: See Retention Series Summary for retention length										R=Ret verification		
Record ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names (* indicates current form name)	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
157	Varies by MAU	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		Child Support Order/Release		Paper	Payroll	UAA: Garnish File UAF/SW: Pysl-put in confidential sleeve. UAS: Pysl-pull when file requested GI: Pysl Office- Garnish/Levy file		x
164	Varies by MAU	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		Garnishment Order	Tax Levy	Paper	Payroll	UAA: Garnish File UAF: Pysl-put in confidential sleeve. UAS: Pysl-pull when file requested GI: Pysl Office- Garnish/Levy file		
35	Varies by MAU	Recruit	2y	N/A		Screening Notes		Paper	Recruitment	UAA: Not asked for- if dept sends Recruit UAF: Retained by dept, summary to HR UAS: Recruit-Don't approve hire 'til received SW: Recruit-Don't approve hire 'til received GI: Recruit-Don't approve hire 'til received		
262	Varies by MAU Gen Counsel recommends Personnel	Ethics	2y	Term year + 6y	no#	Ethics Disclosure - Employment of Immediate Family Member Disclosure		Paper	General Cou	UAA: Recruit/Ethics File UAS: Recruitment/Ethics File SW: General Council GI: Personnel <i>(Must be signed by Gen Counsel then original filed at MAU)</i>		HR Ethics_Nepo
263	Varies by MAU Gen Counsel recommends Personnel	Ethics	2y	Term year + 6y	no#	Ethics Disclosure - Employment or Service Outside UA Disclosure		Paper	General Cou	UAA: Recruit/Ethics File UAS: Recruitment/Ethics File SW: General Council GI: Personnel <i>(Only sent to Gen Counsel in complex cases, original filed at MAU)</i>		HR Ethics_Outside

A	N	C	D	E	F	G	H	I	K	M	O	S
	<i>Note: See Retention Series Summary for retention basis</i>										Basis to Archive	
Record	<i>*1: See Retention Series Summary for retention</i>										R=Ret verification	
ID #	File Until Purged	Record Series	Required Retention	UA Extended Retention	FORM #	NAME OF DOCUMENT	Previous Form Names (* indicates current form name)	Medium	Responsible Unit	Comments (Distribution/Location)	G=grant audits B=Beneficiary Claim	Document Type (OnBase)
164	Varies by MAU	Pay #1	4y (after tax paid) Fed contract +3y	Term year + 6y		Garnishment Order	Tax Levy	Paper	Payroll	UAA: Garnish File UAF: Pysl-put in confidential sleeve. UAS: Pysl-pull when file requested GI: Pysl Office- Garnish/Levy file		
35	Varies by MAU	Recruit	2y	N/A		Screening Notes		Paper	Recruitment	UAA: Not asked for- if dept sends Recruit UAF: Retained by dept, summary to HR UAS: Recruit-Don't approve hire 'til received SW: Recruit-Don't approve hire 'til received GI: Recruit-Don't approve hire 'til received		
262	Varies by MAU Gen Counsel recommends Personnel	Ethics	2y	Term year + 6y	no#	Ethics Disclosure - Employment of Immediate Family Member Disclosure		Paper	General Cou	UAA: Recruit/Ethics File UAS: Recruitment/Ethics File SW: General Council GI: Personnel <i>(Must be signed by Gen Counsel then original filed at MAU)</i>		HR Ethics_Nepot
263	Varies by MAU Gen Counsel recommends Personnel	Ethics	2y	Term year + 6y	no#	Ethics Disclosure - Employment or Service Outside UA Disclosure		Paper	General Cou	UAA: Recruit/Ethics File UAS: Recruitment/Ethics File SW: General Council GI: Personnel <i>(Only sent to Gen Counsel in complex cases, original filed at MAU)</i>		HR Ethics_Outside

Note: See "Document Inventory" for list of documents in each series.
See Legal Summary for other legal retention requirements information.

Note: UA Records Retention Schedule at
(www.alaska.edu/records/records/rds/) based on this document

File	Retention Series	UA Retention Length	Legally Required Retention*	Basis for Longest Legally Required Retention	UA Retention Business Process Justification/Notes	Confidentiality & Access
	<i>(manage with Series)</i>	Based on Calendar Year		See Legal Requirements for other laws requiring retention.	Justification for extending retention beyond legal minimum or managing w/ another Series.	Per BOR P04.01.062 Additional restrictions Noted
Issues	Issue <i>documentation for possible future employment action or defending litigation.</i>	-Until no longer needed.	N/A Until final disposition	N/A ADACFR 1602.20; ADEA (29USC 626(a); 29 CFR 1627.3) Title VII: (29 CFR 1602.14, 29 CFR 1602.21)	Business Process Reason: Issue files vary greatly in the length of time they are needed for business use and will be reviewed on a case by case basis. If notice of possible action is given issue file must be kept, at minimum, until final disposition.	
Medical	Med(ical) #1 <i>(manage w/ Employment Action #1 Series)</i>	Term +6y	C+5y	OSHA: 29 CFR 1904.1 FMLA: 29 CFR 825.500	Business Process Reason: Medical Series records maintained in conjunction with Employment Action #1 Series records (usually in separate files). Retention extended for improved efficiency, reduced costs, and increased compliance with schedule. Records purged at trigger point after termination instead of on yearly basis. At UA Medical records related to exposure are maintained by Risk/Safety office and not in the personnel File thus removing the requirement for long term retention based on OSHA.	UA Reg 04.01.060.B** HIPAA** <i>-HIPPA does not apply to employment related medical info (FML, Workers Comp, Life Insurance eligibility) It does apply to Health Care election and Dependant forms.</i> Additional restrictions on access, disclosure, and tracking.
Medical	Med(ical) #2 <i>(manage w/ Employment Action #2 Series)</i>	Term +6y	C+5y	AK Div of Retirement	Business Process Reason: Leave with out Pay (LWOP) records needed for Div of Retirement (DOR) retirement verification for as long as DOR may require verification. (extends retention). At UA Medical records related to exposure are maintained by Risk/Safety office and not in the personnel File thus removing the retention requirement based on OSHA.	UA Reg 04.01.060.B** HIPAA** <i>-HIPPA does not apply to employment related medical info (FML, Workers Comp, Life Insurance eligibility) It does apply to Health Care election and Dependant forms.</i> Additional restrictions on access, disclosure, and tracking.
N/A EEO Office retained	EEO Complaint	Refer to future EEO Retention schedule.			Not retained in MAU HR offices except SW (HR Class and Comp Director is EEO Officer for SW Employees) Retained by MAU EEO/Affirmative Action Office	

Note: See "Document Inventory" for list of documents in each series.
See Legal Summary for other legal retention requirements information.

Note: UA Records Retention Schedule at
(www.alaska.edu/records/records/rds/) based on this document

File	Retention Series	UA Retention Length	Legally Required Retention*	Basis for Longest Legally Required Retention	UA Retention Business Process Justification/Notes	Confidentiality & Access
N/A Risk Retained	Med(ical)-Exposure	N/A	Term +30y Not retained in HR	OSHA: 29 CFR 1910.1020(d)	Not retained in HR Maintained by Risk Services	UA Reg 04.01.060.B**
N/A vendor retained	Bene(fits)	Current year +3y	3y	COBRA, others		
None	H1B		N/A		Michelle Pope can find no reference to requirement for a separate file. Employer sponsored visa documentation should be retained in the personnel file and follow the Employment Series retention.	
Payroll	Pay #1 <i>(manage w/ Employment Action #1 Series)</i>	Term +6y	4y (after tax paid)	FICA, IRS, others Davis-Bacon Act: 29 CFR 5.5	Business Process Reason: Records in Payroll Series are maintained in conjunction with Employment Action #1 Series. Having a single trigger point for purging/destroying records that are managed together reduces cost and improved compliance with retention schedule. (extends retention)	UA R04.01.060.B** (gov/court ordered pay actions separate from official personnel file.)
Payroll	Pay #2 <i>(manage w/ Employment Action #2 Series)</i>	Term + 50y	4y (after tax paid)	AK Div of Retirement	Business Process Reason: Necessary for Div of Retirement required verifications for as long as DOR may require verification. (extends retention)	
Personnel	App(location) -Hired <i>(manage w/ Employment Action #1 Series)</i>	Term +6y	2y	Exec Order 11246/OFCCP Rules, ADEA and others.	Business Process Reason: If applicant hired, becomes part of Hire record and maintained with Employment Action #1 Series records in the personnel file (Per UA R04.01.060 hire record required part of Personnel Record) (extends retention)	
Personnel	Demo(graphic) <i>(manage w/ Employment Action #1 Series)</i>	Term +6y	4y (after tax paid)	IRS	Business Process Reason: Demographic Series records are maintained in conjunction with Employ Series records in the Personnel file. (extends retention)	
Personnel	Employ(ment Action) #1	Term + 6 years	2y	Exec Order 11246/OFCCP Rules AK Stat. 18.80.220, and others	Business Process Reason: Even though ERISA does not apply to UA 6 years after termination is still good business practice and a standard business practice.	
Personnel	Employ(ment Action) #2	Term +50y	2y	AK Div of Retirement	Business Process Reason: Necessary for Div of Retirement required verifications for as long as DOR may require verification. (extends retention)	

Note: See "Document Inventory" for list of documents in each series.
See Legal Summary for other legal retention requirements information.

Note: UA Records Retention Schedule at
(www.alaska.edu/records/records/rds/) based on this document

File	Retention Series	UA Retention Length	Legally Required Retention*	Basis for Longest Legally Required Retention	UA Retention Business Process Justification/Notes	Confidentiality & Access
Personnel	Ethics	Term +6y	2y	2 AAC 07.950 (Ethics Act) AK Stat. 18.80.220	Business Process Reason: General Counsel recommends retention at least until Termination. Retention extended for improved efficiency, reduced costs, and increased compliance with schedule. Records purged at the same trigger point after termination as the rest of the personnel file. <i>As of Fall 2009, General Counsel has pushed retention of ethics documents to the MAU level.</i>	
Personnel	Performance <i>(manage w/ Employment Action #1 Series)</i>	Term +6y	2y	Fair Labor Standards Act (FLSA)	Business Process Reason: Employee Performance documents (commendations, reprimands, etc) are maintained with Employment Action #1 Series records in the Personnel file. (Per UA Reg 04.01.060) Retention extended for improved efficiency and compliance.	
Personnel	Polygraph	Current year +3y	3y	Employee Polygraph Protection Act (29 CFR 801.30, & 801.35)		29 CFR 801.30 & 35**
Personnel	Training <i>(manage w/ Employment Action #1 Series)</i>	Current year +3y	3y	FLSA:	Business Process Reason: Training Series records are maintained with Employment Action #1 Series records in the Personnel file.	
Personnel/ I-9	I-9 <i>(manage w/ Employment Action #1 Series)</i>	Term +6y	Term +3y	IRCA (Immigration Reform & Control Act) UA Reg 04.01 <i>Per Michelle Pope-keeping I-9 with Personnel file increases INS audit risks. INS Auditors obtain access to all Personnel File and can greatly expand inquiry/audit.</i>	Term +3y covers requirements for any Employment Action Series. Business Process Reason: Records in INS Series (I-9 file) are maintained in conjunction with Employment Action Series records usually in a separate file. Having a single trigger point for purging/destroying records that are managed together reduces cost and improved compliance with retention schedule. (extends retention)	Per IRCA** UA Reg 04.01.060.B** <i>"immigration forms" separate from official personnel file</i>
Recruitment	App(location) <i>(manage w/ Recruit Series)</i>	Paper: CY+2y UAKjobs:CY+5y	2y	Exec Order 11246/OFCCP Rules, ADEA, and others.	Business Process Reasons: App-not hired records are maintained in the Recruitment file along with Recruit Series records. Both Series' have same retention length.	
Recruitment	Recruit(ment)	Paper: CY+2y UAKjobs:CY+5y	2y	Rehabilitation Act: 41 CFR60-741.8(a), (b)		

Note: See "Document Inventory" for list of documents in each series.
See Legal Summary for other legal retention requirements information.

Note: UA Records Retention Schedule at
(www.alaska.edu/records/records/rds/) based on this document

File	Retention Series	UA Retention Length	Legally Required Retention*	Basis for Longest Legally Required Retention	UA Retention Business Process Justification/Notes	Confidentiality & Access
Substance	Substance	Current year +5y	5y	49 CFR 382.401 <i>This Reg only applies to CDLs</i> UA R04.02.050		
Substance	Substance-Sup(ervisor) <i>(manage w/ Substance Series)</i>	Current year +5y	"indefinite" term or transfer +2y	49 CFR 382.401 <i>This Reg only applies to CDL Drivers</i> UA R04.02.050	Business Process Reason: Substance-Sup Series records are maintained with Substance Series records in the Drug Testing File. (Extends Retention)	
Timesheets	Pay-Timesheets <i>(manage w/ Employment Action #2 Series)</i>	Term 50y	"Until No longer Needed"	AK Div of Retirement	Business Process Reason: Necessary for Div of Retirement required verifications for as long as DOR may require verification. (extends retention)	
Grievances, Complaint, investigations	Represented Employees - Grievances, Complaint, investigations - working copy	-Until no longer needed	N/A	N/A: retention of working copies not legally required	MAU HR, Chancellor's office, and OGC may have a working copy for case. Business Process Reason: -Business use of working copies vary by case and MAU.	
Grievances, Complaint, investigations	Regulation related Unrepresented Employees - Grievances, Investigations - working copy	-Until no longer needed	N/A	N/A: retention of working copies not legally required	MAU HR, Chancellor's office, SWHR Labor and Employee Relations (LER) and OGC may have a working copy of file. Business Process Reason: -Business use of working copies vary by case and MAU.	
Grievances, Complaint, investigations	Represented Employees - Grievances, Complaint, Investigations - Official File	-Until no longer needed -Indefinitely- Files related to historical interp of CBAs or UA Regs	Until Final Disposition	ADA (29CFR 1602.20); ADEA (29USC 626(a); 29 CFR 1627.3) Title VII: (29 CFR 1602.14, 29 CFR 1602.21)	SWHR Labor and Employee Relations is the official record holder. Business Process Reason: -Records in this series vary in the length of time they are needed for business use. Most are retained indefinitely for documentation of historical interpretation of Collective Bargaining Agreements(CBAs) or Regs.	

Note: See "Document Inventory" for list of documents in each series.
See Legal Summary for other legal retention requirements information.

Note: UA Records Retention Schedule at
(www.alaska.edu/records/records/rds/) based on this document

File	Retention Series	UA Retention Length	Legally Required Retention*	Basis for Longest Legally Required Retention	UA Retention Business Process Justification/Notes	Confidentiality & Access
Grievances, Complaint, investigations	Regulation related Unrepresented Employees - Grievances, Investigations - Official File	-Until no longer needed -Indefinitely- Files related to historical interp of UA Regs	Until Final Disposition	ADA (29CFR 1602.20); ADEA (29USC 626(a); 29 CFR 1627.3) Title VII: (29 CFR 1602.14, 29 CFR 1602.21)	Official records hold determined by hearing officer as specified in UA Regs. Business Process Reason: -Records in this series vary in the length of time they are needed for business use. Most are retained indefinitely for documentation of historical interpretation of Regs.	
None	None	None	None	Records in this Series are not retained by MAU HR. They have been left on the inventory to for clarification purposes.		
Varies by record	Other	per series managed with	none for MAU HR	Records with no legal retention requirements for MUA HR. Some records in this series have legal requirements that dictate retention at the System wide level by SW HR.	Business processes dictate retention.	

*Different laws define the starting point of retention in differently and many do not define the starting point at all. See "Legal Requirements Detail" for more details on starting points based on individual laws and requirements.

** For additional information regarding file access restrictions see "Access Restriction Summary"

*** Term + "x" means that records will be retained for "x" years past the calendar year the employee terminates in. Example: Jane Smith terminates on 3/12/91 "Term + 6" records would be retained for the year of termination plus 6 calendar years or until 12/31/97 and then destroyed.

Legal Requirements Summary

Retention Series	Record Type	Description	Law	Required Retention Length	Source	Notes
App-Hired App	Application	<i>Apps, Resumes, Candidate tests & results, physical exam request, physical exam results (if used in employment decision), Interview & Reference notes</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 ADEA	1y after action or record 1y after action or record 1y after action or record 2y 2y 2y after action or record 2y 1y after action	BLR BLR BLR BLR - BLR - BLR BLR RU	
App-Hired App	Application	<i>Applicant Log</i>	Exec Order 11246/OFCCP Rules	2 years	RU	
App-Hired App	Application	<i>applicants over age 40</i>	ADEA	2 years	RU	
Not Maintained by MAU HR offices	Benefits	<i>COBRA</i>	COBRA	3 after qualifying event (recommended)	BLR	EEs eligible for 18m following qualifying event. Extend to 3y in event EE claims not notified of COBRA right (per BLR/analysis)
Not Maintained by MAU HR offices	Benefits	<i>Benefit Plan Info, plans, summary plan descriptions "SPDs", annual reports</i>	ADEA: 29USC 626(a); 29 CFR 1627.3 ERISA (EE Retir Income Secrty Act)	1y after action - n/a	BLR BLR	per MP UA not subject ERISA to but wise to follow as good business practice (6years).
Bene	Benefits: disability	<i>App for disability Insurance,</i>	ADA: 29 CFR 1602.20	1y after action or record	BLR	
Grievances, Complaints - Official	Complaints- Official	<i>Official complaints related to union or non-union grievances, FSLA complaints, and other non-EEO complaints.</i>	ADA 29 CFR 1602.20 ADEA: 29USC 626(a); 29 CFR 1627.3 Title VII: 29 CFR 1602.14 29 CFR 1602.21	Final Disposition Final Disposition - Final Disposition -		
Demo	Demographic	<i>Identification Info: name, address, SSN, DOB, gender</i>	FMLA: 29 CFR 825.500 Fed Unem. Tax Act (FUTA) AK Stat. 18.80.220	3y n/a 2	BLR BLR BLR	UA not subject to FUTA per MP
Demo	Demographic	<i>Certification of age (if under 18)</i>	FLSA:	3y	BLR	
Not Maintained by MAU HR offices	EEO	<i>EEO-1</i>	Title VII: 29 CFR 1602.14 29 CFR 1602.21	current year -	BLR BLR	Retained by SWOHR Class & MAU EEO Offices

Legal Requirements Summary

Retention Series	Record Type	Description	Law	Required Retention Length	Source	Notes
App-Hired App	Application	<i>Apps, Resumes, Candidate tests & results, physical exam request, physical exam results (if used in employment decision), Interview & Reference notes</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 ADEA	1y after action or record 1y after action or record 1y after action or record 2y 2y 2y after action or record 2y 1y after action	BLR BLR BLR BLR - BLR - BLR BLR RU	
Not Maintained by MAU HR offices	EEO	<i>Classification Studies</i>	AK Stat. 18.80.220	2y	BLR	Retained by SWOHR Class
Not Maintained by MAU HR offices	EEO	<i>Affirmative Action plans and supporting evidence of good faith efforts; Seniority or merit systems(FLSA)</i>	Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rules	2y 2y 2y	BLR BLR BLR	Retained by SWOHR Class
EEO-Compliant	EEO Complaint	<i>EEO/Affirmative Action Complaint documentation</i>	Exec Order 11246/OFCCP Rules	2y		Retained by SWOHR Class & MAU EEO Offices
Employ #1 Employ #2	Employment Action	<i>hire, promotions, transfers, terminations, selection for OT, lay off, recall, discharge, etc.)</i>	ADEA: 29USC 626(a); 29 CFR 1627.3 Title VII: 29 CFR 1602.14 29 CFR 1602.21 ADA	1y after action - 1y after action or record - 1y after action or record	BLR BLR BLR BLR RU	
Employ #1 Employ #2	Employment Action	<i>hire, promotions, transfers, terminations, selection for OT, lay off, recall, discharge, pay raise,</i>	Exec Order 11246/OFCCP Rules Rehabilitation Act: 41 CFR60-741.8(a), (b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 Div of Retirement (DOR)	2y 2y 2y after action or record 2y DOR requires records as long as verification may be needed.	BLR - BLR - BLR BLR Benefits Dept.	

Legal Requirements Summary						
Retention Series	Record Type	Description	Law	Required Retention Length	Source	Notes
App-Hired App	Application	<i>Apps, Resumes, Candidate tests & results, physical exam request, physical exam results (if used in employment decision), Interview & Reference notes</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 ADEA	1y after action or record 1y after action or record 1y after action or record 2y 2y 2y after action or record 2y 1y after action	BLR BLR BLR BLR - BLR - BLR BLR RU	
Employ #1 Employ #2	Employment Action	<i>Includes records that support denial or qualification for benefits</i>	<i>ERISA (EE Retirement Income Securities Act)</i>	<i>n/a (see note)</i>	RU	per MP UA not subject to but good idea to follow as good business practice. ("as long as relevant")
Ethics	Ethics	<i>Official Action that affects your personal or financial interest; Misuse of Position; Abuse of Subordinates; Misuse of Resources; Partisan politics; Use of information; Gifts; Participation in Grants, Contracts, Leases & Loans; Representation of 3rd Parties; and Post-Employment Actions.</i>	Alaska Executive Branch Ethics Act (Alaska Statute 39.52)	2y	GC	As of Fall 2009, General Counsel has pushed retention of ethics documents to the MAU level. General Counsel recommends keeping as long as their an employee. Approved Term+6 for improved efficiency and compliance.
Med #1 Med #2	FMLA Leave Records (FML leave time off, medical cert)	<i>date of FML leave/intermittent leave; hrs of leave; ee notices, descriptions of FML, Policies: benefits & unpaid leaves, premium payment by ees on FML, requests for leave & response, dispute records</i>	FMLA: 29 CFR 825.500	3y	BLR	
H1B	Immigration Public Information				MP	there is no legal requirement that she can find for such a file.

Legal Requirements Summary

Retention Series	Record Type	Description	Law	Required Retention Length	Source	Notes
App-Hired App	Application	<i>Apps, Resumes, Candidate tests & results, physical exam request, physical exam results (if used in employment decision), Interview & Reference notes</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 ADEA	1y after action or record 1y after action or record 1y after action or record 2y 2y 2y after action or record 2y 1y after action	BLR BLR BLR BLR - BLR - BLR BLR RU	
I-9	I-9	I-9 supporting Docs	IRCA: 8 CFR 273a (2)(A) (Immigration Reform & Control Act)	3y after employment start or 1y following termination) <i>which ever is later</i>	BLR	Recommend: separate file
Issue	Issues	Complaints or other employee relations or disciplinary issues that do not move to an official compliant or grievance.				
Med #1 Med #2	Medical	Illness/Injury (Job Related) - Forms 300, 300A, & 301 or equivalent. - old forms 200 & 201 disease, disability, death, harmful exposure	OSHA: 29 CFR 1904.1 AK Stat. 18.60.030 AK Stat. 23.30.065	Current year +5y 5y n/a	BLR BLR BLR	
Med #1 Med #2	Medical	Physical Exam requests, results	Exec Order 11246/OFCCP Jobs for Vets Act (JVA) 41 CFR 60-300.8	2y 2y after action or record	BLR BLR	
Med #1 Med #2	<i>Medical</i>		<i>HIPPA</i>	<i>n/a</i>	BLR	<i>-Privacy Policy -"designated privacy official - all ee's with access: policy and procedure training.</i>
Med #1 Med #2	Medical File		ADA	1y after action or record	BLR	access limited to ee's supervisors, managers, safety works & workers comp/insurance carriers

Legal Requirements Summary

Retention Series	Record Type	Description	Law	Required Retention Length	Source	Notes
App-Hired App	Application	<i>Apps, Resumes, Candidate tests & results, physical exam request, physical exam results (if used in employment decision), Interview & Reference notes</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 ADEA	1y after action or record 1y after action or record 1y after action or record 2y 2y 2y after action or record 2y 1y after action	BLR BLR BLR BLR - BLR - BLR BLR RU	
Med #1 Med #2	Medical: Accommodati ons	<i>request for accommodations</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21	1y after action or record <i>1y after action or record</i> -	BLR BLR BLR	
Med #1 Med #2	Medical: Accommodati ons	<i>request for accommodations, response, justification for rejections</i>	Exec Order 11246/OFCCP Rules Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8	2y 2y 2y after action or record	BLR BLR - BLR -	
Not Maintained by MAU HR offices	Medical	any medical exam results (30y after term if exposure related)	OSHA: 29 CFR 1910.1020(d)	30y after term	BLR	UA Retention by Risk Services
Not Maintained by MAU HR offices	<i>Payroll grid</i>	<i>Salary grids</i>	<i>FLSA:</i>	2y	BLR	UA Maintained by SWOHR HRS
Pay #1 Pay #2	Payroll	<i>pay periods, daily/weekly hrs, OT, deductions, payments of benefits, amounts and dates of wage payments, W-4 W4-E; annual records: total wages, taxable pay, reasons taxable pay doesn't match total pay, state unemploy, dedns for unemployment ins, experience rating data.</i>	Fed Unem. Tax Act (FUTA) IRS SSA (FICA) AS 23.20.105	n/a 4y after (see note) 4y Unspecified	BLR BLR BLR BLR/AS	UA not subject to FUTA per MP IRS: 4y after payment, deduction, or return due date. AK Unemployment-"Must keep records containing info that dept. prescribes"

Legal Requirements Summary

Retention Series	Record Type	Description	Law	Required Retention Length	Source	Notes
App-Hired App	Application	<i>Apps, Resumes, Candidate tests & results, physical exam request, physical exam results (if used in employment decision), Interview & Reference notes</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 ADEA	1y after action or record 1y after action or record 1y after action or record 2y 2y 2y after action or record 2y 1y after action	BLR BLR BLR BLR - BLR - BLR BLR RU	
Pay #1 Pay #2	Payroll:	<i>rate of pay, other compensations,</i>	Title VII: 29 CFR 1602.14 29 CFR 1602.21 FLSA EPA (Equal Pay Act)	1y after action or record - 2y 3y	BLR BLR RU BLR	
Pay #1 Pay #2	Payroll:	<i>rate of pay, other compensations,</i>	Exec Order 11246/OFCCP Rules Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220	2y 2y after action or record 2	BLR BLR - BLR	
Pay #1 Pay #2	Payroll:	<i>ee's name, address, ssn, dob, gender, occupation, job title, hrs worked, rate of pay, weekly compensation, OT, deductions, pay period date, date paid</i>	ADEA: 29 USC 626(a); 29 CFR 1627.3 OWBPA: 29 USC 626(a), (f) Equal Pay Act (EPA) FSLA IRS AK Stat. 23.05.080; 23.10.100	3y 3y 3y 3y 4y after (see note) 3y 3y	BLR BLR BLR BLR BLR - BLR BLR	IRS: 4y after payment, deduction, or return due date.
Pay #1 Pay #2	Payroll: Federal Contracts	<i>ee's name, ssn, gender, dob, occupation, classification, hrly/daily/weekly rate of pay, cost of benefits or cash equivalents; hours worked, deductions; actually pay,</i>	Davis-Bacon Act: 29 CFR 5.5	3 years after close out of contract	BLR	

Legal Requirements Summary

Retention Series	Record Type	Description	Law	Required Retention Length	Source	Notes
App-Hired App	Application	<i>Apps, Resumes, Candidate tests & results, physical exam request, physical exam results (if used in employment decision), Interview & Reference notes</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 ADEA	1y after action or record 1y after action or record 1y after action or record 2y 2y 2y after action or record 2y 1y after action	BLR BLR BLR BLR - BLR - BLR BLR RU	
Pay #1 Pay #2	Payroll: Tax Records	<i>income tax w/holdings</i>	IRS FICA (Fed Insurance Contrb. Act) Fed Unem. Tax Act (FUTA)	4y after (see note) 4y n/a	BLR RU RU	UA not subject to FUTA per MP IRS: 4y after payment, deduction, or return due date.
Pay Pay Effort Pay-Timesheet	Payroll: Time Sheets & Leave/Effort	<i>Used for grant effort certification Used for verification of LWOP, OT, PT hours</i>	Equal Pay Act (EPA) FLSA 29 USC 206 29 CFR 1620.32 Davis-Bacon Act: 29 CFR 5.5 Alaska DOR	3y 3y - 3y after contract closeout As long as needed for verification.	BLR BLR BLR	Per MP "after close" means close out of grant not grant renewal cycle or roll over into a different grant. Many grants have requirements longer than 3 years. Unable to retain timesheets for varying retention lengths based on specific grant requirements so retention based on longest current retention requirement: UAF grants that last 10 years and require retention for 7 years. DOR-Timesheets needed for DOR verifications as long as needed.
Polygraph	Polygraph	<i>All records related to a polygraph test in relations to an investigation including documentation of ee's access to the property/person being investigated.</i>	Employee Polygraph Protection Act	3 after date of test	BLR	Restricted Access: access limited to: ee, employer, court or gov agency subject to court order.
Recruit App-Hired	Position Descriptions	<i>Evaluation of position and rates, job description</i>	Equal Pay Act (EPA) FLSA AK Stat. 18.80.220	3y 2y 2y	BLR BLR BLR	
Performance	Performance/ Discipline	<i>Any records related to promotion, demotion, transfer, lay-off or termination</i>	Title VII -29 CFR 1602.14	1y - involuntary termination Final Resolution-Charges filed.		

Legal Requirements Summary

Retention Series	Record Type	Description	Law	Required Retention Length	Source	Notes
App-Hired App	Application	<i>Apps, Resumes, Candidate tests & results, physical exam request, physical exam results (if used in employment decision), Interview & Reference notes</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 ADEA	1y after action or record 1y after action or record 1y after action or record 2y 2y 2y after action or record 2y 2y 1y after action	BLR BLR BLR BLR - BLR - BLR BLR RU	
Performance	Performance/ Discipline	<i>Performance Evals, Disciplinary action</i>	FLSA:	2y	BLR	
Recruit	Recruitment	<i>Job Postings/Ads</i>	ADEA: 29USC 626(a); 29 CFR 1627.3 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Rehabilitation Act: 41 CFR60-741.8(a), (b) Jobs for Vets Act (JVA) 41 CFR 60-300.8	1y after action - 1y after action or record - 2y 2y after action or record	BLR BLR BLR BLR - BLR	
Substance Substance-Sup	Training Records	<i>Transportation Workers Supervisor Train Documentation of training for the purpose of qualifying supervisors to make a determination of need for substances testing based on reasonable suspicion</i>	49 CFR 382.401	"Indefinite" two years after individual ceases to perform those functions.	DE review of 49 CFR	
Substance	Substance Testing	<i>Drug Testing of Transportation Workers (CDL) Testing Results and follow up.</i>	49 CFR 382.401	5 years (positive results) see 49CFR382.401(b) for others with shorter retention.	DE review of 49 CFR	
Training	Training Records	<i>Selection for training/apprenticeship, test papers,</i>	ADEA: 29USC 626(a); 29 CFR 1627.3 Title VII: 29 CFR 1602.14 29 CFR 1602.21	1y after action - 1y after action -	BLR BLR BLR BLR	Apprenticeship: later of date of application or successful completion

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Legal Requirements Summary

Retention Series	Record Type	Description	Law	Required Retention Length	Source	Notes
App-Hired App	Application	<i>Apps, Resumes, Candidate tests & results, physical exam request, physical exam results (if used in employment decision), Interview & Reference notes</i>	ADA: 29 CFR 1602.20 Title VII: 29 CFR 1602.14 29 CFR 1602.21 Exec Order 11246/OFCCP Rehabilitation Act: 41 CFR60-741.8(a),(b) Jobs for Vets Act (JVA) 41 CFR 60-300.8 AK Stat. 18.80.220 ADEA	1y after action or record 1y after action or record 1y after action or record 2y 2y 2y after action or record 2y 1y after action	BLR BLR BLR BLR - BLR - BLR BLR RU	
Training	Training Records	<i>Selection for training/apprenticeship, test papers,</i>	Exec Order 11246/OFCCP Rules Jobs for Vets Act (JVA) 41 CFR 60-300.8	2y 2y after action or record	BLR BLR	
Training	Training Records	<i>safety & health</i>	OSHA	3y	BLR	
Training	Training Records	<i>Certificates, training agreements,</i>	FLSA 29 CFR Part 516:	3y	BLR dol.gov	.
Not Maintained by MAU HR offices	<i>Union Agreements</i>	<i>CBA's</i>	<i>FLSA/EP: 29 USC 206 29 CFR 1620.32</i>	<i>3y after agreement ends</i>	BLR	UA Maintained by SWOHR Labor
Not Maintained by MAU HR offices	Waiver of Rights	<i>Settlement or severance agreements that include waivers of ee's right to sue for ADEA rights, all related docs</i>	OWBPA: 29 USC 626(a), (f)	1y after term (recommended not required)	BLR	

BLR = Business Legal Research
RU = Rockhurst University