

Interim University of Alaska Human Resources Records Retention and Disposition Schedule

Retention Periods are Expressed in Years Unless Otherwise Noted

Item No.	Record Title	Minimal Retention Time	Custodian Location	Disposition	Description/Details
Payroll					
1	Pay Roll #1 - Manage w/ Employment Action #1 Series (Record series includes: deductions, payments of benefits, amounts and dates of wage payments, taxes, and other pay related records. Examples: automatic deposit request, campus card payroll deduction forms, union dues deduction forms, reallocation allowance documentation) For a complete list of records see MAU HR Document Inventory list. ¹	Termination year +6 years	Payroll or Personnel	Destroy 7 years after termination	FICA, IRS, others Davis-Bacon Act: 29 CFR 5.5 4y (after tax paid) UA R04.01.060B** (Government/Court ordered pay actions separate from official personnel file.) Business Process Reason: Records in Payroll series (payroll file) are maintained in conjunction with Employ series. Having a single trigger point for purging/destroying records that are managed together reduces cost and improved compliance with retention schedule. (extends retention)
2	Pay Roll #2 - Manage w/Employment Action #2 Series (Record series includes: employment documents required for retirement or estate verification. Examples: bonus letters, estate disbursement, journal vouchers, labor distribution [reallocation], retirement plan election forms) ¹	Termination year +50 years	Payroll/Personnel	Destroy 51 years after termination	FICA, IRS, others Davis-Bacon Act: 29 CFR 5.5 4y (after tax paid) Business Process Reason: Alaska Division of Retirement (DOR) Necessary for DOR required verifications for as long as DOR may require verification. (extends retention)
3	Pay-Timesheets - Manage w/Employment Action #2 Series ¹	Termination year +50 years	Payroll - Long-term storage prior to 2005 is on microfilm 2005 and after is digital in OnBase. UAS will continue to Microfilm.	Destroy 51 years after termination	FICA, IRS, others Davis-Bacon Act: 29 CFR 5.5 4y (after tax paid) Business Process Reason: Alaska Division of Retirement (DOR) Necessary for DOR required verifications for as long as DOR may require verification. (extends retention)

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Personnel Records					
4	I-9 and supporting documents - Manage w/Employment Action #1 Series (Backup documents may include: Birth Certificate, Drivers License, Passport, Social Security Card, Tribal Card, VISA) ¹	Termination year +6 Years	Personnel	Destroy 7 years after termination	IRCA (Immigration Reform & Control Act) UA Regulation 04.01.060.B** "Immigration forms" separate from official personnel file. Term +3 years covers requirements for any employee. Business Process Reason: Records in I-9 Series are maintained in conjunction with Employment 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).
5	Application Hired - Manage w/Employment Action #1 Series (File may include: Application, cover letters, and other miscellaneous documentation submitted with application) ¹	Termination year +6 years	Recruitment/Personnel - manage w/Employment Action # 1 Series at the time of hire becomes part of Personnel record	Destroy 7 years after termination	Executive Order 11246/OFCCP Rules, ADEA and others. 2 year retention Business Process Reason: If applicant is hired, these items become part of the Hire Record and maintained with Employment Action #1 Series records in the personnel file (Per UA Regulation 04.01.060 hire record required part of Personnel Record) (extends retention past the minimum 2 years)
6	Demographic - Manage w/Employment Action #1 Series (File may include: Change forms, personnel data) ¹	Termination year +6 years	Personnel	Destroy 7 years after termination	IRS requires 4 years retention after taxes are paid. Business Process Reason: Demographic Series records are maintained in conjunction with employment action #1 Series records in the personnel file. (extends retention past the minimum 4 years)
7	Employment Action #1 Series (Record series may include documents related to employment status or conditions such as rate of pay, promotions, transfers, terminations, and employee related data. Examples include: Agreement to maintain confidentiality, International Forms, release time approval, Social Security Card) ¹	Termination year + 6 years	Personnel	Destroy 7 years after termination	Executive Order 11246/OFCCP Rules, Alaska Statute 18.80.220, and others Business Process Reason: Even though Employee Retirement Income Security Act (ERISA) does not apply to UA 6 years after termination is still a good business practice and a standard business practice.
8	Employment Action #2 Series (Record series includes employment documents required for retirement or estate verification. May include: beneficiary designations, hiring proposal, job forms, promotion approval, resignation letters, sabbatical, TRS verification, bonus letters) ¹	Termination year +50 years	Personnel transfer to records center after term + 6 years	Destroy 51 years after termination	Executive Order 11246/OFCCP Rules, Alaska Statute 18.80.220, and others require a 2 year minimum retention Business Process Reason: Alaska Division of Retirement (DOR) Necessary for DOR required verifications for as long as DOR may require verification. (extends Retention)

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9	Ethics Documents - Manage w/Employment Action #1 Series (Record series may include: Ethics Determination Request or Ethics Disclosure for: Employment of Immediate Family Member Disclosure, Employment or Service Outside UA Disclosure, Interest in Grants, Contract etc, Notification of Receipt of Gift.) ¹	Termination year +6 years	Personnel	Destroy 7 years after termination	2 AAC 07.950 (Ethics Act) Alaska Statute 18.80.220 requires a 2 year minimum retention. 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. (As of Fall 2009, General Counsel has pushed retention of ethics documents to the MAU level.)
10	Medical # 1 - Manage w/Employment Action #1 Series (File may include: Notice of previous injury/illness, leave share program donation form, leave share transfer program, UAFT disability leave bank approval, workers compensation form [copies]) ¹	Termination year +6 Years	Personnel Risk Management maintains original copies of workers compensation documents	Destroy 7 years after termination	Occupational Safety & Health Administration (OSHA): 29 CFR 1904.1 UA Regulation 04.01.060B** Additional Restrictions on access, disclosure, and tracking. HIPAA does not apply to employment related medical information (FML, Workers Compensation, Life Insurance Eligibility) It does apply to Health Care election and dependent forms. Business Process Reason: Medical Series #1 records maintained in conjunction with Employment #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.
11	Medical #2 - Manage w/Employment Action #2 Series (Record series includes employment documents required for retirement verification and includes sick leave without pay.) ¹	Termination year +50 years	Personnel	Destroy after 51 years after termination	Alaska Division of Retirement (DOR) Leave without pay (LWOP) records needed for 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. UA Regulation 04.01.060.B** Additional restrictions on access, disclosure, and tracking. HIPAA does not apply to employment related medical information (FML, Workers Compensation, Life Insurance eligibility).

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12	Performance - Manage w/Employment Action #1 Series Records Series contains documents related to employee performance and may include: letters of reprimand, commendations, performance evaluations, and disciplinary actions. ¹	Termination year +6 years	Personnel	Destroy 7 years after termination	Fair Labor Standards Act (FLSA) requires 2 year minimum retention Business Process Reason: Performance Series records are maintained with Employment Series records in the Personnel file. (Per UA Regulation 04.01.060 performance records are maintained in the personnel file.)
13	Personnel Training Records - Manage w/employment action #1 Series (Record series includes documents related to selection for training, training certificates related to employment) ¹	Current year +3 years	Personnel	Destroy after 4 years	Fair Labor Standards Act (FLSA): 29 CFR Part 516
14	Polygraph (All records related to a polygraph test in relation to an investigation including documentation of employee's access to the property/person being investigated.)	Current year +3 years	Personnel	Destroy after 4 years	Employee Polygraph Protection Act 29 CFR 801.30 & 801.35**
15	Substance - (Record Series includes documents related to pre-employment drug testing and selection for random drug testing and results) ¹	Current year +5 years	UAA, UAF, SW - MAU HR UAS - Risk Management	Destroy after 6 years	49 CFR 382.401 This regulation only applies to CDL drivers.
Recruitment					
17	Application - Manage w/Recruitment (Record Series includes: applicant related documents for persons not hired. May include: application, cover letter.) ¹	Current year +2 years	Recruitment	Destroy after 3 years	Executive Order 11246/OFCCP Rules, ADEA and others. 2 year retention Business Process Reason: Applicant not hired records are maintained in the recruitment file along with Recruitment Series records. Both Series have same retention length.
18	Recruitment (Record Series includes recruitment documents. Examples: Job Postings, Position Requisitions, Request to Recruit, recruitment advertising, EEO summary, review and candidate selection documents, screening notes scoring sheets) ¹	Current year +2 years	Recruitment	Destroy after 3 years	Rehabilitation Act: 41 CFR60-741.8 (a), (b)

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Miscellaneous					
19	Human Resources Document Inventory list	Until Superseded	SW HR Operations	Destroy after superseded by new or updated inventory	
20	Human Resources Records Retention Procedures	Until Superseded	SW HR Operations	Destroy after superseded by new or updated procedures	
21	Issues (Documentation of employee related issues.)	Until administrative need is met	HR Directors	Destroy after administrative need is met.	Business process reason: Issue file documentation is used for possible future employment action or defending litigation.
22	Regulation Related Unrepresented Employees-Complaints, Grievances, Investigations - Official File	Until administrative need is met Indefinitely - Files related to historical interpretations of CBAs or UA Regulations	Official Records hold determined by hearing officer as specified in UA Regulations	Destroy after administrative or management need is met	ADA (20CFR 1602.20); ADEA (29USC 626(a); 29 CFR 1627.3) Title VII: (29CFR 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. May be retained indefinitely for documentation of historical interpretations of Collective Bargaining Agreements (CBA) or UA Regulations.
23	Regulation Related Unrepresented Employees-Complaints, Grievances, Investigations - Working Copy	Until administrative need is met	MAU HR, Chancellor's Office, SW Labor Relations (LER) and OGC may have working copies. It depends on the Campus	Destroy after administrative or management need is met.	N/A: retention of working copies not legally required. MAU HR, Chancellor's Office, SWHR Labor Relations (LER), and Office of the General Counsel (OGC) may have a working copy for file. Business Process Reason: Business use of working copies vary by case and MAU.

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24	Represented Employees - Complaints, Grievances, Investigations - Official File	Until administrative need is met Indefinitely - Files related to historical interpretations of CBAs or UA Regulations	SWHR Labor and Employee Relations	Destroy after administrative or management need is met	ADA (20CFR 1602.20); ADEA (29USC 626(a); 29 CFR 1627.3) Title VII: (29CFR 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. May be retained indefinitely for documentation of historical interpretations of Collective Bargaining Agreements (CBA) or UA Regulations.
25	Represented Employee - Complaints, Grievances, Investigations - Working Copy	Until administrative need is met	MAU HR, Chancellor's Office, and OGC may have working copies. It depends on the Campus	Destroy after administrative or management need is met	N/A: retention of working copies not legally required. MAU HR, Chancellor's Office, and Office of the General Counsel (OGC) may have a working copy for case. Business Process Reason: Business use of working copies vary by case and MAU.
Foot Note	¹ For a complete list of records see HR Document inventory list. http://www.alaska.edu/hr/procedures/PDF/reference.reference.doc_inv.pdf .				

As of 2/24/2010