


DEPT. OF ECONOMIC DEVELOPMENT
LABOR DIVISION

AUG 09 2011


GENERAL SCHEDULE #7 - Human Resource Records

This Retention and Disposal Schedule revises and amends General Schedule #7 that was approved on December 2, 2003, and it entirely supersedes and replaces General Schedule #4 that was approved on March 5, 1996.

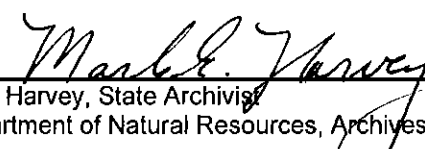
This Retention and Disposal Schedule covers **human resource records** that are common to most departments in state government. The records that are described on the attached pages are deemed necessary (1) for the continued effective operation of state government, (2) to constitute an adequate and proper recording of its activities, and (3) to protect the legal rights of the government of the State of Michigan and of the people. We, the undersigned, believe that this schedule meets the administrative, legal, fiscal and archival requirements of the State of Michigan.



Jeremy S. Stephens, State Personnel Director
Civil Service Commission
6-10-11
(Date)



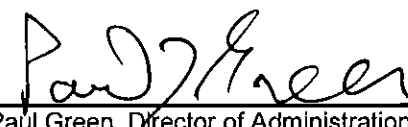
Brice Sample, Director
Department of Technology, Management and Budget, Records Management Services
6/28/11
(Date)



Mark Harvey, State Archivist
Department of Natural Resources, Archives of Michigan
7/27/11
(Date)



Susan Przekop-Shaw, Assistant Attorney General
Department of Attorney General, Labor Division
8/11/11
(Date)



Paul Green, Director of Administration
Office of the Auditor General
8/19/11
(Date)

APPROVED

State Administrative Board
9/15/2011
(Date)

State of Michigan
Department of Technology, Management & Budget - Records Management Services
Records Retention and Disposal Schedule

General Schedule #7--Human Resource Records

Item Number	Series Title	Agency Retention	Total Retention	State Administrative Board Approval Date
GS7.01 -	<u>Personnel Files</u>	ACT	ACT+7	9/15/2011

These files are maintained for each employee and contain records that document all human resources related transactions that occurred during the employees' period of active employment. These files may include resumes, applications, withholding cards, beneficiary designations, performance evaluations, pay adjustments, jury duty forms, position action requests, name and address changes, service ratings, position action information, counseling and disciplinary documents, related correspondence, life insurance and accidental duty death enrollment and beneficiary forms (supersedes item #GS4.E), notifications by employee of qualifying event (supersedes item #GS4.G), applications for continuation of insurance (COBRA) (supersedes item #GS4.L), etc. Copies of these files that are maintained throughout the agency may be destroyed in accordance to the retention periods defined in General Schedule #1 - Non-records. NOTE: This record series applies to all employees (permanent and seasonal). ACT = until the employee makes a departure other than a leave of absence.

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GS7.01A - Personnel Records--retain only the most current/applicable version of the form **SUP** **SUP** **9/15/2011**

The following documents may be retained in the personnel file, but only the most current/applicable version of the form needs to be retained, and previous (superseded) versions may be destroyed. This series supersedes General Schedule #4, items B, I, J, K, M, N and R.

- Oaths of Office
- Union Membership Applications and Authorizations for Payroll Deduction
- Conflict of Interest and Disclosure
- State Employees Combined Campaign Current Deductions (paper records are obsolete)
- Payroll Deduction for Reserved Parking Assignment (when the records are maintained on-site by the Human Resources Office)
- State of Michigan United States Savings Bond Payroll Saving (when the records are maintained on-site by the Human Resources Office)
- Credit Union Payroll Deduction or Change of Payroll Deduction Forms (when the records are maintained on-site by the Human Resources Office)
- Motor Vehicle Driver Agreement Form
- Employee Personal Data Form
- Final Compensation Beneficiary Affidavit (CS-140a)
- Alternative Work Schedules
- Information Technology Acceptable Use Certification

GS7.01B - Personnel Records--retain the most current version plus one previous version of the form **ACT** **ACT** **9/15/2011**

The following documents may be retained in the personnel file. ACT = The current version of the form needs to be retained, and the most recent previous version needs to be retained. This series supersedes General Schedule #4, items C, D, F, H, O and Q.

- Enrollment Applications for health, vision and dental care plans (when the records are maintained on-site by the Human Resources Office)
- Long Term Disability Plan Applications (CS-1691) (when the records are maintained on-site by the Human Resources Office)
- Group Accident Insurance Forms
- Payroll Direct Deposit Authorizations
- Final Compensation Beneficiary Designation (CS-140)
- Flexible Benefits Selection Form (when the records are maintained on-site by the Human Resources Office)

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GS7.02 -	<u>Selection Files (obsolete)</u>	CR+1	CR+4	12/2/2003
	<p>These files document the appointment and selection of individuals for state employment. They may contain employment lists, transfer lists, selection criteria, evaluation of candidates, position descriptions, applications, interview questions, reference checks, rating forms, ICHAT and LEIN checks, and appointment recommendations/notifications. In 2010 these files were replaced by the NEOGOV system.</p>			
GS7.03 -	<u>Position Files</u>	ACT	ACT+5	12/2/2003
	<p>These files document the establishment, reclassifications, restriction, and modification of all state positions. These files may include Position Action Requests, Position Descriptions, Applications for Classification Redetermination, related correspondence, compensation information, etc. ACT = while the position code is in use.</p>			
GS7.04 -	<u>Time and Attendance Records</u>	CR	CR+5	12/2/2003
	<p>These records document payroll activity within state agencies and are maintained by pay period. They may include time and attendance reports, leave usage approvals, individual time sheets signed by employees, etc. Note: These records may be found at individual worksites.</p>			
GS7.05 -	<u>Workers Disability Compensation Files</u>	ACT	ACT+15	9/15/2011
	<p>These files document Worker's Disability Compensation claims due to on-the-job injury or illness. They may include initial injury claim forms, accident reports, notices of commencement of compensation payments, employee wage data, copies of time and attendance records, medical documentation and reports, related correspondence, Family Medical Leave Act information, etc. ACT = while the person is employed by the department they filed the claim with.</p>			

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GS7.06 -	<u>Request for Personal Services (CS-138) Files</u>	CR+1	CR+5	12/2/2003
	<p>These files document the hiring of contractual services provided by outside vendors. A request includes information such as the date the request was created and /or updated, the vendor and vendor ID, the amount requested for each independent contractor and special personal services, the effective and ending dates of the services requested, employees who may be affected by the hiring of a contractor, funding source, justification for requesting services, and other pertinent information as well as approval paths.</p>			
GS7.07 -	<u>Medical Records (Non-exposure)</u>	ACT	ACT+7	12/2/2003
	<p>These files contain employee medical information pertinent to employment. They are maintained separately from the employee personnel file (see item #GS7.01). They may contain medical leave applications, insurance forms (including long term disability forms), leave extension requests, medical certifications by physician, applications for continuation of insurances, doctor's releases, supporting medical documentation, blood tests, vision and hearing tests, etc. See Item #GS7.16 for Medical Records where exposure to hazardous materials has occurred. ACT = while employee works for the State of Michigan.</p>			
GS7.08 -	<u>Unsolicited Employment Applications/Resumes</u>	DISP	DISP	9/15/2011
GS7.09 -	<u>Grievance Files</u>	ACT	ACT+7	12/2/2003
	<p>These files document grievances filed against state agencies. These records may include: pre-hearing reports, grievance forms, related correspondence, summary sheets, employee history information, decisions, etc. ACT = until the grievance is closed.</p>			
GS7.10 -	<u>Supplemental Employment Files</u>	CR+1	CR+3	12/2/2003
	<p>These files document requests for approval to engage in supplemental employment activities. They may include related correspondence. Some Human Resources Offices maintain these documents in the employee's personnel file (see item #GS7.01).</p>			

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GS7.11 -	<u>Unemployment Compensation Files</u>	CR+1	CR+5	12/2/2003
	These files may include the following: request to Employer for Wage and Separation Information UA-555, Notice of Determination or Redetermination (UA-1302), check stubs, charge statements (US1136), Credit Statements (UA1137), Notice of Overpayment Adjustment (UA-1141), Notice to Employer of Receipt of Protest (UA1142), Earnings History Report, etc.			
GS7.12 -	<u>Union Contract Negotiation Files</u>	EXP	EXP+3	12/2/2003
	These records are organized by union contract and may include ground rules proposals/counter proposals, final contracts, secondary negotiations, meeting minutes and collective bargaining agreements and related correspondence.			
GS7.14 -	<u>Discrimination Complaint Records</u>	ACT	ACT+7	12/2/2003
	These records document the investigation into all discrimination complaints, including confidential employee sexual harassment complaints and claimant complaints. The files may include completed questionnaires from management, staff, and/or witnesses to the alleged violation, correspondence, documents detailing the complaint, investigatory records, Department of Civil Rights documentation, litigation documentation from court systems, etc. ACT = until the case is resolved.			
GS7.15 -	<u>Reasonable Accommodation Files and Ergonomic Assessments (supersedes item #GS5.27)</u>	ACT	ACT+7	9/15/2011
	These records document all reasonable accommodation requests submitted by agency employees and ergonomic assessments. These files may include Reasonable Accommodation Request forms (CS-1668) (Article XI, Section 5), Reasonable Accommodation Evaluations (CS-1670), and Reasonable Accommodation Responses (CS-1669), medical documentation stating limitations, etc. ACT = while employee works for the State of Michigan.			

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GS7.16 -	<u>Medical Records (Exposure)</u>	CR	CR+30	9/15/2011
	<p>These records are maintained separate from the employee personnel file and may contain the following documentation: medical leave applications, insurance forms (including long term disability forms), leave extension requests, medical certifications by physician, application for continuation of insurances, doctor's release, supporting medical documentation, exposure documentation, blood tests, vision and hearing test, etc. See Item #GS7.07 for Medical Records where no exposure to hazardous materials has occurred.</p>			
GS7.17 -	<u>MIOSHA Log and Summary of Occupational Illnesses and Injury</u>	CR+5	CR+5	12/2/2003
	<p>In accordance with 29 CFR 1904.2, these logs document all recordable occupational injuries and illnesses occurring at worksites.</p>			
GS7.18 -	<u>Wage and Tax Listing (obsolete)</u>	CR+1	CR+5	9/15/2011
	<p>This listing, filed annually, contains year to date wage and tax information.</p>			
GS7.19 -	<u>School/Community Participation Leave Requests</u>	CR+1	CR+3	12/2/2003
	<p>This form approves the use of leave time to participate in authorized school or community activities.</p>			
GS7.20 -	<u>Network User ID Request Form (DIT-161) (authorized requestor copy)</u>	ACT+5	ACT+5	9/15/2011
	<p>The Network User ID Request Form (DIT-161) is used to establish, document, manage and discontinue the allocation of user access rights for individuals accessing State of Michigan information technology resources to prevent inadvertent and inappropriate access to resources not authorized for the individual user. The form is created by the originating agency and is transmitted to DTMB for creation of the user ID, password, and implementation of the technical requirements for access to the identified information technology resources. This record series covers the document maintained by the originating agency, not the documentation maintained by DTMB. ACT = per procedure 1350.20 retain until the final de-registration of users who no longer require access to State of Michigan protected information technology resources, or until completion of an audit of authorized users.</p>			

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GS7.21 -	<u>I-9 File (supersedes item #GS4.A)</u>	ACT	ACT+3	9/15/2011

Federal Form I-9 documents verification by employers of identity and immigration status of all new employees. These files will contain the Employment Eligibility Verification forms, a copy of one document from List A or a copy of one document from List B and C. This file may also include a copy of driver's license and any Department of Homeland Security correspondence and subsequent documentation regarding "no match" verification. Note: These files may be maintained in the personnel file or they may be maintained separately. ACT = 8 CFR 274 a.2 (1998) requires that employers maintain signed copies of I-9 forms for 3 years after the date of hire or one year after termination, whichever is later.

GS7.22 -	<u>Federal, State and Local Tax Withholding Forms (supersedes item #GS4.P)</u>	SUP+6	SUP+6	9/15/2011
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These forms are completed by the employee to calculate tax withholding. They may be maintained in the personnel file (see item #GS7.01) or electronically in HRMN.

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