

# RECORDS/INFORMATION RETENTION AND DISPOSITION SCHEDULE

Record Series Identifier	Record Series Name								
1.0	PERSONNEL/PAYROLL								
Record Identifier	Record Title	Campus Custodian of Records	Record Value: O - Operational F - Fiscal L - Legal H - Historical					Retention Source Authority	Retention Period
			O	F	L	H	V		
1.1	Personnel Files - Typical Documents*:							29 U.S.C. Section 201-219 29 CFR Section 1627.3 or 28 U.S.C. Section 1658	<i>See 1.1, 1.2 and 1.3 below for retention periods based upon type of separation</i>
	Employment Applications <sup>1</sup>	For Faculty: College/School Dean All Others: Human Resources	X		X			" "	" "
	Resume/faculty biography	For Faculty: College/School Dean All Others: Human Resources	X		X			" "	" "
	Appointment letters	For Faculty: College/School Dean All Others: Human Resources	X		X			" "	" "

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	Required state forms (e.g., Oath of Allegiance, Designation of Person Authorized to Receive Warrants)	For Faculty: APS All Others: Human Resources	X		X			" "	" "
	Other new hire paperwork	For Faculty: APS All Others: Human Resources	X		X			" "	" "
	Position descriptions	For Faculty: College/School Dean All Others: Human Resources	X		X			" "	" "
	Personal data information and changes, including name, address, education level (e.g., Request for Nondisclosure of Employee Address)	Human Resources	X		X			" "	" "
	Employee Personnel transaction forms and supporting documentation for actions such as reclassification, reassignment, promotion/demotion, timebase changes, etc. (e.g., Employee Transaction forms, including CSU Personnel/Payroll Transacti	For Faculty: APS All Others: Human Resources	X	X	X			" "	" "
	Court procedures (e.g., Notice of Judgment Against Wages)	Payroll / Chancellor's Office		X	X			" "	" "

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	Employee benefit enrollment and change documentation. Benefits include health and welfare programs, voluntary programs, retirement programs, and tax savings programs.	Human Resources	X	X	X			" "	" "
	Permanent status letters	For Faculty: College/School Dean All Others: Human Resources	X		X			" "	" "
	Memoranda or letters of praise, counseling or reprimand	For Faculty: College/School Dean All Others: Human Resources	X		X			" "	" "
	Notices of training completed	For Faculty: College/School Dean All Others: Human Resources	X		X			" "	" "
	Performance evaluations (e.g., Student Performance Report)	For Faculty: College/School Dean All Others: Human Resources	X		X			" "	" "

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	Salary adjustment documentation	For Faculty: APS All Others: Human Resources	X	X	X			" "	" "
	Separation forms and resignation letters (including FERP/Rehired Annuitant)	For Faculty: College/School Dean All Others: Human Resources	X	X	X			" "	" "
	Emergency contact information	Human Resources	X		X			" "	" "
	Other job-related personnel records	For Faculty: College/School Dean All Others: Human Resources			X			" "	" "
	Final disciplinary records, in accordance with collective bargaining agreement	For Faculty: College/School Dean All Others: Human Resources	X		X			" "	" "
1.2	<b>Personnel Files for Separated Employees for the following Separation Types</b>								

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	Deceased	For Faculty: College/School Dean All Others: Human Resources		X	X			29 U.S.C. Sections 201-219 29 C.F.R. Section 1627.3	3 years after separation from CSU
	Voluntary resignation (without fault)	For Faculty: College/School Dean All Others: Human Resources		X	X			29 U.S.C. Sections 201-219 29 C.F.R. Section 1627.3	3 years after separation from CSU
	Voluntary service retirement	For Faculty: College/School Dean All Others: Human Resources		X	X			29 U.S.C. Sections 201-219 29 C.F.R. Section 1627.3	3 years after separation from CSU
	Rejection during probation	For Faculty: College/School Dean All Others: Human Resources		X	X			29 U.S.C. Sections 201-219 29 C.F.R. Section 1627.3	3 years after separation from CSU
	End of temporary employment	For Faculty: College/School Dean All Others: Human Resources		X	X			29 U.S.C. Sections 201-219 29 C.F.R. Section 1627.3	3 years after separation from CSU

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1.3	<b>Personnel Files for Separated Employees for the following Separation Types</b>								
	Disability Retirement	For Faculty: College/School Dean All Others: Human Resources		X	X			28 U.S.C. Section 1658	5 years after separation from the CSU or final payment, whichever is later
	Disability Separation	For Faculty: College/School Dean All Others: Human Resources		X	X			28 U.S.C. Section 1658	5 years after separation from the CSU or final payment, whichever is later
1.4	<b>Personnel Files for Separated Employees for the following Separation Types</b>								
	AWOL	For Faculty: College/School Dean All Others: Human Resources		X	X			28 U.S.C. Section 1658	5 years after separation from CSU
	Layoff	For Faculty: College/School Dean All Others: Human Resources		X	X			28 U.S.C. Section 1658	5 years after separation from CSU
	Non-retention (MPP Only)	Human Resources		X	X			28 U.S.C. Section 1658	5 years after separation from CSU

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	Resignation with fault	For Faculty: College/School Dean All Others: Human Resources		X	X			28 U.S.C. Section 1658	5 years after separation from CSU
	Involuntary Termination/Dismissal	For Faculty: College/School Dean All Others: Human Resources		X	X			28 U.S.C. Section 1658	5 years after separation from CSU
<b>1.5</b>	<b>Employment Records NOT to be Kept in Personnel File</b>								
	The following records should not be kept in the employee's personnel file because of privacy concerns or to prevent claims that others' access to certain information could expose an employee to retaliation:								
<b>1.6</b>	Verification of right to work in the U.S. (e.g., Form I-9, Foreign National Information form)	For Faculty: APS All Others: Payroll Services	X		X			8 U.S.C. Section 1324a	3 years or 1 year after termination of employment, whichever is longer
<b>1.7</b>	EEOC Charge of Discrimination and related documents	Chancellor's Office	X		X			29 C.F.R. Section 1602.14	5 years after separation from CSU
<b>1.8</b>	DFEH Charge of Discrimination and related documents	Chancellor's Office	X		X			29 C.F.R. Section 1602.14	5 years after separation from CSU

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1.9	Workers' Compensation claims and related documents	Risk Management	X	X	X			8 California Code of Regulations Section 10102	5 years after date of injury or date on which Workers' Compensation benefits were last provided, whichever occurs later. However, cases involving Permanent Disability should be kept permanently.
1.10	Return to Work documentation (May be either NDI (Nonindustrial Disability Insurance) or Workers' Compensation related)	For Worker's Compensation: Risk Management, All Others: Human Resources	X		X			28 U.S.C. Section 1658	5 years after date of illness/injury or date on which benefits were last provided, whichever occurs later. If NDI converts to a Workers' Compensation claim, defer to Workers' Compensation claims and related documents retention period.
1.11	Unemployment records held by the campus (not the files of the Third-Party Administrator, which serves as the official Custodian of Records)	Human Resources / Third Party Administrator		X	X			26 C.F.R. Section 301.6501(e)-1	Most unemployment tax records should be kept for at least 6 years.
1.12	Social Security, and Medicare Tax Records (e.g., deduction records for Social Security and Medicare)	Payroll Services/ State Controller's Office	X	X	X			26 U.S.C. Sections 3101-3128	Most social security and Medicare tax records should be kept for at least 4 years after the tax is due or paid, whichever occurs later.

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1.13	American with Disabilities Act claim documentation	Chancellor's Office / For Faculty: APS / All Others: Human Resources	X		X			29 C.F.R. Section 1602.14	5 years after separation from CSU
1.14	Medical information protected by the California Confidentiality of Medical Information Act	For Worker's Compensation: Risk Management, All Others: Human Resources			X			28 U.S.C. Section 1658	At least 4 years from the date of the document
1.15	Survey of ethnic or disabled or veteran status for reporting and recordkeeping purposes (e.g., data CSU is required to collect from the employee for state/federal agencies)	Human Resources	X		X			28 U.S.C. Section 1658	At least 4 years from the date of the document
1.16	Any information that may be alleged to be defamatory (Campuses may consult with their campus counsel when determining whether a document contains defamatory information).	Chancellor's Office / For Faculty: APS / All Others: Human Resources	X	X	X			28 U.S.C. Section 1658	At least 4 years from the date of the document
1.17	Any information that is not job-related	For Faculty: APS All Others: Human Resources			X			28 U.S.C. Section 1658	At least 4 years from the date of the document

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1.18	Any documents related to grievances, faculty status disputes, litigation or complaints, both formal and informal (e.g., non-litigation settlement agreements)	Chancellor's Office / For Faculty: APS / All Others: Human Resources	X		X			28 U.S.C. Section 1658	Keep at least 5 years after separation from the CSU, or 5 years after resolution of matter, whichever is later.
1.19	Health Insurance Portability and Accountability Act (HIPAA) documentation (e.g., forms CSU is required to have employees sign regarding privacy, disclosure of personal health information)	Chancellor's Office / For Faculty: APS / All Others: Human Resources	X		X			45 C.F.R. 164.530(j)(2)	At least 6 years from the date the document was created or was last in effect.
1.20	Whistleblower documentation	Chancellor's Office / For Faculty: APS / All Others: Human Resources			X			By analogy to the provisions of the Sarbanes-Oxley Act of 2002 (Section 802) regarding records retention (17 CFR 210)	7 years after the conclusion of the investigation
1.21	<b>Pay Related Records - Typical Documents*:</b>								
	Records of hours worked (e.g., Time and Attendance Report, Monthly Attendance Summary, Student Assistant Attendance Report, Student Time Voucher and timesheets, Student Attendance Reporting Spreadsheet, Miscellaneous Payroll/Leave Actio	Campus Departments / Payroll Services	X	X	X			29 U.S.C. Sections 201-219 Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2) 28 U.S.C. Section 1658	4 years

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	Leave accrual and usage records	Campus Departments /Payroll Services	X	X	X			29 U.S.C. Sections 201-219 Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2) 28 U.S.C. Section 1658	4 years
	Employee leave records	Payroll Services	X	X	X			29 U.S.C. Sections 201-219 Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2) 28 U.S.C. Section 1658	4 years
	Authorization for compensating time off	Campus Departments /Payroll Services	X	X	X			29 U.S.C. Sections 201-219 Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2) 28 U.S.C. Section 1658	4 years

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	Authorization for extra hours/Overtime documentation (e.g., Report of Extra Hours to be Paid)	Payroll Services	X	X	X			29 U.S.C. Sections 201-219 Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2) 28 U.S.C. Section 1658 CA Business & Profession Code Section 17200	4 years
	Records of additions to or deductions from wages (e.g., Pay Adjustment Request, Payroll Adjustment Notice, Report of Extra Hours to be Paid, Salary Garnishment, Dock)	Payroll Services	X	X	X			29 U.S.C. Sections 201-219 Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2) 28 U.S.C. Section 1658	4 years

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	Work schedules	Payroll Services / Campus Departments	X		X			29 U.S.C. Sections 201-219 Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2) 28 U.S.C. Section 1658	4 years
	Withholding documentation, (e.g., Employee Action Request form, Student Payroll Action Request form, Statement Concerning Your Employment in a Job Not Covered by Social Security)	Payroll Services	X	X	X			29 U.S.C. Sections 201-219 Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2) 28 U.S.C. Section 1658	4 years
	W-4 forms	Payroll Services	X	X	X			Continuing Education of the Bar, <u>Advising California Employers</u> (2d ed. 2004), Section 8.77 26 C.F.R. Sections 31.6001-1 to 31.6001-6	As long as the documents are in effect plus 4 years

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	W-2 forms returned by Post Office (can also order from the State Controller's Office)	Payroll Services	X	X	X			Revenue and Taxation Code Section 19704	Most income tax documents should be kept for at least 6 years.
	Income tax records (e.g., fee waiver tax liability and domestic tax liability forms, including Nonresident Alien Employee Federal Income Tax Withholding Authorization)	Payroll Services / State Controller's Office		X	X			Revenue and Taxation Code Section 19704  26 C.F.R. Section 301.6501	Most income tax documents should be kept for at least 6 years.  A 15-year records retention period may be necessary in cases where the Internal Revenue Service will undertake a collection action.
	Miscellaneous pay related documents (e.g., Proof of Lost or Destroyed Payroll Warrant and Request for Issuance of Duplicate Warrant, Request for Duplicate Controller's Warrant/Stop Payment, Request for University Check (State Revolving	Payroll Services / State Controller's Office	X		X			Miscellaneous statutes including, but not limited to, 29 U.S.C. Sections 201-219 Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2) 28 U.S.C. Section 1658	4 years

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1.22	Conflict of Interest Statements (Form 700)	Human Resources / Chancellor's Office			X			Government Code Section 81009	7 years
1.23	Family Medical Leave Act (FMLA) Records	Human Resources	X	X	X			29 C.F.R. Section 825.500	At least 3 years from the date of the document or the event, whichever is later.
1.24	Recruitment Records	For Faculty: APS All Others: Human Resources							
	A recruitment file typically includes applications, resumes, reference checks, writing samples, advertising records, rating sheets and recommendations	Chancellor's Office / For Faculty: APS / All Others: Human Resources	X		X			29 C.F.R. Section 1602.48	When an applicant has been solicited, recruitment documents should be kept for 3 years (recruitment documents for the applicant hired should be transitioned to the Personnel File).
1.25	Fee Waiver Records	Human Resources / Chancellor's Office	X	X	X			28 U.S.C. Section 1658	5 years after completion of the classes) for which the fee was waived.
1.26	Employment Retirement Income Security Act Records (ERISA) e.g., Qualified Medical Child Support Orders	Payroll Services	X		X			29 U.S.C. Sections 1001-1381 29 U.S.C. Section 1059	These records should be kept at least 6 years. However, records sufficient in detail to determine benefits due, or that may become due to employees, must be held an indefinite period of time.

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\* Typical documents may include a variation of standard State forms.