

California State University, Fresno

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:<br>O - Operational<br>F - Fiscal<br>L - Legal<br>H - Historical<br>V - Vital |   |   |   |   | Retention Source Authority  | Retention Period                   |
|                          |                                       |   | O  | F | L | H | V |   |                                    |
| 1.1                      | Personnel Files - Typical Documents * |   |  |   |   |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Employment Applications **            | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X  |   | X |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Resume/faculty biography              | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X  |   | X |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Appointment letters                   | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X  |   | X |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |

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|                          |  |   | O               | F          | L         | H              | V         |                            |   |                                    |
|                          | Required state forms (e.g., Oath of Allegiance, Designation of Person Authorized to Receive Warrants).                                 | For Faculty:<br>Faculty Affairs<br>All Others:<br>Human Resources     | X               |            | X         |                |           |                            | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Other new hire paperwork   | For Faculty:<br>Faculty Affairs<br>All Others:<br>Human Resources     | X               |            | X         |                |           |                            | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Position descriptions  | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X               |            | X         |                |           |                            | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Personal data information and changes, including name, address, education level (e.g., Request for Nondisclosure of Employee Address). | Human Resources   | X               |            | X         |                |           |                            | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |

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|                          |  |   | O  | F | L | H | V |   |                                    |
|                          | 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 Transaction and Student Employment Payroll Transaction forms). | For Faculty:<br>Faculty Affairs<br>All Others:<br>Human Resources     | X  | X | X |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Court procedures (e.g., Notice of Judgment Against Wages).   | Payroll/<br>Chancellor's Office                                       |  | X | X |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | 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 |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Permanent status letters   | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X  |   | X |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |

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|                          |  |   | O  | F | L | H | V |                            |   |                                    |
|                          | Memoranda or letters of praise, counseling or reprimand. | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X  |   | X |   |   |                            | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Notices of training completed.                           | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X  |   | X |   |   |                            | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Performance evaluations.                                 | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X  |   | X |   |   |                            | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |

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|                          |  |   | O  | F | L | H | V |   |                                    |
|                          | Salary adjustment and payment documentation.                                     | For Faculty:<br>Faculty Affairs<br>All Others:<br>Human Resources     | X  | X | X |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Pay separation forms and resignation letters (including FERP/Rehired Annuitant). | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X  | X | X |   |   | 30 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Emergency contact information  | Human Resources   | X  |   | X |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |
|                          | Other job-related personnel records  | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources |  |   | X |   |   | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658 | 10 years after separation from CSU |

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|                          |  |   | O  | F | L | H | V |                            |   |
|                          | Final disciplinary records, in accordance with collective bargaining agreement.  | For Faculty:<br>College/School Dean<br>All Others:<br>Human Resources | X  |   | X |   |   |                            | 29 U.S.C. Section 201-219<br>29 CFR Section 1627.3 or<br>28 U.S.C. Section 1658<br>10 years after separation from CSU |
| 1.2                      | <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: |   |  |   |   |   |   |                            |   |
| 1.3                      | Verification of right to work in the U.S. (e.g., Form I-9, Foreign National Information form).   | For Faculty:<br>Faculty Affairs<br>All Others: Payroll Services       | X  |   | X |   |   |                            | 8 U.S.C. Section 1324a<br>3 years or 1 year after termination of employment, whichever is longer                      |
| 1.4                      | EEOC Charge of Discrimination and related documents.   | Chancellor's Office   | X  |   | X |   |   |                            | 29 C.F.R. Section 1602.14<br>10 years after separation from CSU   |

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|                          |   |   | O  | F | L | H | V |  |  |
| 1.5                      | DFEH Charge of Discrimination and related documents.  | Chancellor's Office   | X  |   | X |   |   | 29 C.F.R. Section 1602.14                      | 10 years after separation from CSU   |
| 1.6                      | 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.   |
| 1.7                      | Return to Work documentation (May be either NDI (Nonindustrial Disability Insurance) or Workers' Compensation related). | For Worker's Compensation:<br>Risk Management<br>All Others:<br>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. |

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|                          |  |  | O  | F | L | H | V |                                 |   |
| 1.8                      | 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.  |
| 1.9                      | 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. |
| 1.10                     | American with Disabilities Act claim documentation.  | Chancellor's Office / For Faculty: Faculty Affairs / All Others: Human Resources | X  |   | X |   |   | 29 C.F.R. Section 1602.14       | 10 years after separation from CSU  |
| 1.11                     | 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  |

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|                          |   |  | O  | F | L | H | V |                            |   |
| 1.12                     | 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        |
| 1.13                     | 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: Faculty Affairs / All Others: Human Resources | X  | X | X |   |   | 28 U.S.C. Section 1658     | At least 4 years from the date of the document        |
| 1.14                     | Any information that is not job-related.  | For Faculty: Faculty Affairs All Others: Human Resources                         |  |   | X |   |   | 28 U.S.C. Section 1658     | At least 4 years from the date of the document        |
| 1.15                     | 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: Faculty Affairs / All Others: Human Resources | X  |   | X |   |   | 28 U.S.C. Section 1658     | Keep at least 10 years after separation from the CSU. |

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| 1.16                     | 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: Faculty Affairs / 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. |
| 1.17                     | Whistleblower documentation  | Chancellor's Office / For Faculty: Faculty Affairs / 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                              |
| 1.18                     | <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 Actions). | Campus Departments / Payroll Services  | X  | X | X |   |   | 29 U.S.C. Sections 201-219<br>Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2)<br>28 U.S.C. Section 1658 | 4 years  |

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|                          |                                 |                                       | O  | F | L | H | V |  |                  |
|                          | Leave accrual and usage records | Campus Departments / Payroll Services | X  | X | X |   |   | 29 U.S.C. Sections 201-219<br>Unemployment Insurance<br>Code Section 1085 (22<br>California Code of<br>Regulations Section 1085-2)<br>28 U.S.C. Section 1658 | 4 years          |
|                          | Employee leave records          | Payroll Services                      | X  | X | X |   |   | 29 U.S.C. Sections 201-219<br>Unemployment Insurance<br>Code Section 1085 (22<br>California Code of<br>Regulations Section 1085-2)<br>28 U.S.C. Section 1658 | 4 years          |

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|                          |  |                                       | O               | F          | L         | H              | V         |  |                  |
|                          | Authorization for compensating time off  | Campus Departments / Payroll Services | X               | X          | X         |                |           | 29 U.S.C. Sections 201-219<br>Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2)<br>28 U.S.C. Section 1658  | 4 years          |
|                          | 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<br>Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2)<br>28 U.S.C. Section 1658<br>CA Business & Profession Code Section 17208 | 4 years          |

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|                          |   |   | O  | F | L | H | V |  |                  |
|                          | 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<br>Unemployment Insurance<br>Code Section 1085 (22<br>California Code of<br>Regulations Section 1085-2)<br>28 U.S.C. Section 1658 | 4 years          |
|                          | Work schedules  | Campus<br>Departments /<br>Payroll Services | X  |   | X |   |   | 29 U.S.C. Sections 201-219<br>Unemployment Insurance<br>Code Section 1085 (22<br>California Code of<br>Regulations Section 1085-2)<br>28 U.S.C. Section 1658 | 4 years          |

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|                          |   |                             | O  | F | L | H | V |   |  |
|                          | 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<br>Unemployment Insurance Code Section 1085 (22 California Code of Regulations Section 1085-2)<br>28 U.S.C. Section 1658 | 4 years  |
|                          | W-4 forms   | Payroll Services            | X  | X | X |   |   | 26 C.F.R. Sections 31.6001-1 to 31.6001-6   | As long as the documents are in effect plus 4 years            |
|                          | 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. |

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|                          | 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<br><br>26 C.F.R. Section 301.6501   | Most income tax documents should be kept for at least 6 years.<br><br>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 Fund), Payroll Exceptions Report). | 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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|                          |   |   | O  | F | L | H | V |                               |  |
| 1.19                     | Conflict of Interest Statements (Form 700)      | Human Resources / Chancellor's Office                             |  |   | X |   |   | Government Code Section 81009 | 7 years  |
| 1.20                     | 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. |
| 1.21                     | Recruitment Records - all applicants/candidates | For Faculty:<br>Faculty Affairs<br>All Others:<br>Human Resources |  |   |   |   |   |                               |  |

California State University, Fresno

**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:<br>O - Operational<br>F - Fiscal<br>L - Legal<br>H - Historical<br>V - Vital |   |   |   |   | Retention Source Authority                             | Retention Period   |
|                          |   |  | O  | F | L | H | V |  |  |
|                          | A recruitment file typically includes, but is not limited to, applications (including incomplete submissions) and resumes considered for the position, employment tests, reference checks, writing samples, and advertising records, rating sheets and recommendations. | Chancellor's Office / For Faculty: Faculty Affairs / All Others: Human Resources | X  |   | X |   |   | 29 C.F.R. Section 1602.48                              | When an applicant/ candidate has been solicited, recruitment documents are to be kept for 3 years from the date of the hiring decision (recruitment documents for the applicant/candidate hired should be transitioned to the Personnel File). |
| 1.22                     | 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.   |
| 1.23                     | 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<br>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.  |

California State University, Fresno

**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:<br>O - Operational<br>F - Fiscal<br>L - Legal<br>H - Historical<br>V - Vital |   |   |   |   | Retention Source Authority  | Retention Period  |
|                          |   |   | O  | F | L | H | V |   |   |
| 1.24                     | Background Checks includes, but is not limited to, employment verification, education verification, reference checks, and -- ONLY AFTER A CONDITIONAL JOB OFFER HAS BEEN MADE -- criminal records checks. If job related, DEPENDING UPON THE POSITION, additional checks may include credit history checks, motor vehicle records/licensing, sex offender registry checks, and/or professional licensing/credential verification. | For Faculty:<br>Faculty Affairs /<br>All Others:<br>Human Resources | X  |   | X |   |   | Equal Employment Opportunity Commission (EEOC) Regulation 29 CFR Section 1602.49. | The Background Check Records should be maintained and destroyed no later than the termination of the new hire's employment or 2 years from rejection. |
| 1.25                     | Volunteer Records   | Human Resources   | X  |   | X |   |   |   | 3 years after the end of the fiscal year in which the specific individual no longer has any volunteer relationship with the CSU.                      |

# California State University, Fresno

## 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:<br>O - Operational<br>F - Fiscal<br>L - Legal<br>H - Historical<br>V - Vital |   |   |   |   | Retention Source Authority | Retention Period |
|                          |                    |                             | O  | F | L | H | V |                            |                  |

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

\*\* Please refer to Coded Memorandum HR 2007-11 (<https://cyou.calstate.edu/Policies/HRPolicies/HR2007-11.pdf>) for further information regarding the "Internet Applicant Rule." CSU's Record Retention policy of 10 years exceeds the 2-year period required by the Office of Federal Contract Compliance Programs (OFCCP) regulations. Accordingly, these records should be retained pursuant to CSU's Record Retention policy.

**• Custodian of Records**

When the "Chancellor's Office" is referenced as the Custodian of Records, it is being referenced in its CSU systemwide capacity.

**• Electronic versus Hardcopy:**

Retention standards apply regardless of whether the record is created or maintained in paper or electronic format. All records must be maintained in readable format regardless of changes in technology or equipment obsolescence. Hardcopy versus Electronic. Electronic copies satisfy the law for enforceability of a transaction and as evidence in a dispute. (Per CSU General Counsel). Civil Code Sections 1633.1 et seq and Evidence Code Section 1521.

**• System Data Records:**

Data responsive to records identified within this Records Retention and Disposition Schedule should be retained for the period identified by each listed Record Identifier.

**• In case there is a litigation hold on documents, contact your University Counsel regarding the retention period of these documents.**