

Record Series Identifier	Record Series Name			
1.0	HUMAN RESOURCES/PAYROLL			
Record Identifier	Record Title	Custodian of Records	Retention Source Authority	Retention/Destruction Period
1.1	<b>Personnel Files - Typical Documents*:</b>		28 U.S.C. Section 1658	5 years after date of separation
	Employment Applications	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Resume	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Appointment letters	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Other new hire paperwork	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Position descriptions	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Personal data information and changes, including name, address, education level (e.g., Request for Nondisclosure of Employee Address)	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation

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	Employee Personnel transaction forms and supporting documentation for actions such as reclassification, reassignment, promotion/demotion, time-based changes, etc. (e.g., Employee Transaction forms, including CSU Personnel/Payroll Transaction and Student Employment Payroll Transaction forms)	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Court procedures (e.g., Notice of Judgment Against Wages)	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Employee benefit enrollment and change documentation. Benefits include health and welfare programs, voluntary programs, retirement programs, and tax savings programs.	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Permanent status letters	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Memoranda or letters of praise, counseling or reprimand	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Notices of training completed	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation

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	Performance evaluations (e.g., Student Performance Report)	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Salary adjustment documentation	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Separation forms and resignation letters (including FERP/Rehired Annuitant)	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Emergency contact information	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Other job-related personnel records	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Final disciplinary records, in accordance with collective bargaining agreement	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
1.2	<b>Personnel Files for Separated Employees</b>		28 U.S.C. Section 1658	5 years after date of separation
1.3	<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:			

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1.4	Verification of right to work in the U.S. (e.g., Form I-9, Foreign National Information form)	HR/Payroll	8 U.S.C. Section 1324a	3 years or 1 year after termination of employment, whichever is longer
1.5	EEOC Charge of Discrimination and related documents	HR/Payroll	29 C.F.R. Section 1602.14	5 years after date of separation
1.6	DFEH Charge of Discrimination and related documents	HR/Payroll	29 C.F.R. Section 1602.14	5 years after date of separation
1.7	Workers' Compensation claims and related documents	HR/Payroll	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.

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1.8	Return to Work documentation (May be either NDI (Nonindustrial Disability Insurance) or Workers' Compensation related)	HR/Payroll	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.
1.09	Social Security, and Medicare Tax Records (e.g., deduction records for Social Security and Medicare)	HR/Payroll	26 U.S.C. Sections 3101-3128	6 years after date of separation
1.10	American with Disabilities Act claim documentation	HR/Payroll	29 C.F.R. Section 1602.14	5 years after date of separation
1.11	Medical information protected by the California Confidentiality of Medical Information Act	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation

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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)	HR/Payroll	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).	HR/Payroll	28 U.S.C. Section 1658	At least 5 years from the date of the document
1.14	Any information that is not job-related	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
1.15	Any documents related to grievances, litigation or complaints, both formal and informal (e.g., non-litigation settlement agreements)	HR/Payroll	28 U.S.C. Section 1658	Keep at least 5 years after separation from the A.S., or 5 years after resolution of matter, whichever is later.
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)	HR/Payroll	28 U.S.C. Section 1658	At least 5 years from the date the document was created or was last in effect.

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1.17	Whistleblower documentation	HR/Payroll	28 U.S.C. Section 1658	5 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)	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
	Leave accrual and usage records	HR/Payroll	28 U.S.C. Section 1658	6 years after date of separation

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	Employee leave records	HR/Payroll	28 U.S.C. Section 1658	7 years after date of separation
	Authorization for compensating time off	HR/Payroll	28 U.S.C. Section 1658	8 years after date of separation



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	Authorization for extra hours/Overtime documentation (e.g., Report of Extra Hours to be Paid)	HR/Payroll	28 U.S.C. Section 1658	9 years after date of separation	
	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)	HR/Payroll	28 U.S.C. Section 1658	10 years after date of separation	

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	Work schedules	HR/Payroll	28 U.S.C. Section 1658	11 years after date of separation
	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)	HR/Payroll	28 U.S.C. Section 1658	12 years after date of separation
	W-4 forms	HR/Payroll	28 U.S.C. Section 1658	As long as the documents are in effect plus 5 years

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	W-2 forms returned by Post Office (can also order from the State Controller's Office)	HR/Payroll	Revenue and Taxation Code Section 19704	Most income tax documents should be kept for at least 6 years.
	W-2 - Electronic copies of all W-2s and register	HR/Payroll	Payroll	15 years - Source: The American Payroll Association - 2010 Payroll Source book and 26 CFR Section 301.6501. Records (i.e. payroll registers, payroll tax deposits) may be needed up to 15 years after the filing date in the event of an IRS collection action.
	Income tax records (e.g., fee waiver tax liability and domestic tax liability forms, including Nonresident Alien Employee Federal Income Tax Withholding Authorization)	HR/Payroll	28 U.S.C. Section 1658	Most income tax documents should be kept for at least 5 years.

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	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)	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation
1.19	Family Medical Leave Act (FMLA) Records	HR/Payroll	28 U.S.C. Section 1658	At least 5 years from the date of the document or the event, whichever is later.

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1.20	Recruitment Records			
	A recruitment file typically includes applications, resumes, reference checks, writing samples, advertising records, rating sheets and recommendations	HR/Payroll	Title VII, FEHA, ADA, ADEA	When an applicant has been solicited, recruitment documents should be kept for 4 years (or duration of any claim or litigation involving hiring practices. (Recruitment documents for the applicant hired should be transitioned to the Personnel File).
	Unsolicited applications - Both part- and full-time	HR/Payroll	CALChamber	Destroy immediately
1.21	Reimbursements - including cell phone, tuition, mileage, etc.	HR/Payroll	28 U.S.C. Section 1658	5 years after date of separation

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1.22	Employment Retirement Income Security Act Records (ERISA) e.g., Qualified Medical Child Support Orders	HR/Payroll	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.

**Notes:**