

UC SANTA BARBARA HUMAN RESOURCES
GUIDANCE ON RECORD RETENTION FOR STAFF PERSONNEL FILE DOCUMENTS

DOCUMENT TYPE	OFFICE OF RECORD	FILE	RETENTION SCHEDULE
RECRUITMENT RECORDS (includes job postings, advertisements, applications, search committee records, test and test results, records of job offers.)	HOME DEPARTMENT	RECRUITMENT FILE	Retain records 4 years after the end of the fiscal year in which the specific pre- employment or recruitment activity has ended.
BACKGROUND CHECK RECORDS	<i>HUMAN RESOURCES</i>	HR FILE CABINETS AND REQUEST FOR LIVE SCAN SERVICES FILE (PAPER) HR INTRANET DATABASE HIRERIGHT DATABASE	Retain records for 5 years after the end of the fiscal year in which the administrative use ceases.*
BACKGROUND CHECK CONFIRMATION NOTICES OF SATISFACTORY COMPLETION	<i>HOME DEPARTMENT</i>	EMPLOYEE PERSONNEL FILE	Retain records for 5 years after the end of the fiscal year in which the administrative use ceases.*
NEW HIRE DOCUMENTS**	<i>BUSINESS & FINANCIAL SERVICES</i>	EMPLOYEE PERSONNEL FILE	After employee receives first paycheck, all department copies of new hire documents are destroyed.
NEW EMPLOYEE APPLICATION	HOME DEPARTMENT	EMPLOYEE PERSONNEL FILE	Retain records for 5 years after the end of the fiscal year in which the employee separates from the University.
COMPENSATION MEMOS & NOTICES			
PERFORMANCE APPRAISAL			
TRAINING /PROFESSIONAL DEV RECORDS	HOME DEPARTMENT	EMPLOYEE PERSONNEL FILE	Retain records for 5 years after the end of the fiscal year in which the training takes place.
REASONABLE ACCOMMODATION/ TRANSITIONAL RETURN TO WORK RECORDS**	HOME DEPARTMENT	EMPLOYEE MEDICAL FILE	Retain records for 5 years after the end of the fiscal year in which the employee separates from the University. If the employee transfers to another department or location, do not transfer documents to new department without consulting Disability Services.
DOCTOR'S NOTES	HOME DEPARTMENT	EMPLOYEE MEDICAL FILE	For FMLA/PDL-retain records 5 years from completion of leave. For doctor's notes- retain records 5 years from
FMLA/PDL LETTERS & NOTICES**			

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WORKERS COMPENSATION RECORDS**	<i>CENTRAL CLAIMS ADMINISTRATOR</i>	EMPLOYEE MEDICAL FILE	Retain records for 5 years after the end of the fiscal year in which the employee separates from the University or transfer to another department or location. If the employee transfers to another department or location, do not transfer documents to new department without consulting the Claims Administrator.
CORRECTIVE ACTION /DISCIPLINARY ACTION/INVESTIGATION REPORTS	HOME DEPARTMENT	EMPLOYEE PERSONNEL FILE	Retain records for 5 years after the end of the fiscal year in which the employee separates from the University.+
PPSM COMPLAINT/ UNION GRIEVANCE RECORDS	<i>EMPLOYEE & LABOR RELATIONS</i>	EMPLOYEE GRIEVANCE/ COMPLAINT FILE	Home Department maintains a separate file for grievances/complaints files filed by staff employees. This file is only retained until the grievance/ complaint is resolved or closed. If employee transfers to new department/location, do not transfer the file.
SEPARATION- RESIGNATION, PROBATIONARY RELEASE, TERMINATION, LAYOFF, MEDICAL SEPARATION**	HOME DEPARTMENT	EMPLOYEE PERSONNEL FILE	Retain records for 5 years after the end of the fiscal year in which the employee separates from the University.
STUDENT EMPLOYEE RECORDS	HOME DEPARTMENT	EMPLOYEE PERSONNEL FILE	Retain records for 3 years after the end of the fiscal year in which the student no longer has any employment relationship with the University.
TIMECARDS/ TIME REPORTS	Retention requirements for Timecards and Related Records- Contact Business & Financial Services		

* The term “administrative use ceases” is used for background check records due to the following varying requirements. If the employee does not successfully pass the background check/investigation, then the records shall be retained for 5 years after the end of the fiscal year in which the investigation occurs. If the employee successfully passes the background and investigation check required as an employee subject to the Peace Officer Standards and Training (POST), then the records shall be retained for 5 years after the end of the fiscal year in which the employee separates from the university. If the employee successfully passes the background check and is not an employee subject to the POST Program requirements, then the records shall be retained for 5 years after the end of the fiscal year in which the employee’s background is checked. If the employee has been investigated because of their needs to access category 1 or category 2 quantities of radioactive materials unescorted, then the records shall be retained for 5 years after the end of the fiscal year in which the individual no longer requires unescorted access.

* *Retention Guidance also applies to academic records/faculty files

+ Per applicable policy/union contract, employee may request removal of disciplinary document from