SHR Service Team File Management Protocols and Work Flows

I. Active Staff Personnel File

Personnel files contain documents relating to the employee's employment with the university. This includes applications, job description, and performance documents including performance appraisals, awards and letters of warning. See Local Schedule for a more inclusive list of documents that are to be filed in the personnel file. Personnel files are used by service teams, compensation, employment and labor in the course of their work and are subject to subpoenas and other appropriate records requests. The files must be signed out using the file outcard, noting person's name who is checking it out and date.

A. Active Staff Document Work Flow

Each team should have an accordion file to place Active employee documents that are to be filed into the employee's personnel file. ***Note: Any item that contains information pertaining to the physical or psychological condition of an individual must be kept separately from the main personnel file.***

I-DOCs

I-DOCS are personnel summaries that have a 2-fold purpose. One, they act as a snapshot at the time they were printed and two, they aid in the accurate filing of the document. Since many documents have several names on them having an I-DOC as a cover sheet aids the student employee in filing it in the correct file.

Examples: of documents which should have an I-DOC attached to the front: EAR, appointment extensions, resignation from one dept to work in another, separations, wage increases, etc.

- Print I-DOC and staple backup documentation behind it
- Highlight employee name on I-DOC
- Black out any other employee names (co-workers) on documentation (e.g. e-mail with awards for several employees)
- Place in accordion file
- Documents filed by Service Team's student worker

Non I-DOC documents

Example, Performance Appraisal, Warning Letters

- Highlight employee's name
- Place in accordion file
- Documents filed by Service Team's student worker

II. Separated Staff Personnel File

Separated staff personnel files are processed for retention per the University disposition schedule. Please contact the Operations & Records coordinator to get access to a separated employee's personnel file.

B. Separated Staff Document Work Flow

Each team should have an accordion file in which to place Separated employee documents that are to be filed in the personnel file. Only documents that are to be filed in the personnel file should be placed in this accordion, including Separated employee documentation (I-DOC, Separation DCD and initiating back-up-stapled together in that order).

Unemployment Insurance Termination forms are forwarded to Benefits. There is no need to keep a copy of the form; Benefits is the Office of Record for the form. AB2410s are not kept in the personnel file; they may be kept with the employee's time and attendance records or as otherwise determined by the team (e.g. in an AB2410 folder by month/or year).

The contents of the Separated Staff accordion file will be picked up periodically and filed by a Projects student.

III. Service Team Business Records

A. Damage Payments
   Damage payment documentation (Report and Release) is to be filed in the employee's personnel file.

B. Time Records:
   Service Teams maintain time records (paper). CruzPay is the office of record for eligible employees on CruzPay.
   1. Time records retention
   The retention schedule for time records is 5 years after date of last transaction. Time records that have reached their disposition schedule should be purged yearly.

   2. Time record for employees that transfer between teams
   Any existing paper time records for employees that transfer between teams are forwarded to the new team.

   3. Time records storage for separated employees
   Whether time records for separated employee's are kept in file drawers or storage boxes is determined by each team. If the time records are boxed in banker boxes they should be labeled by separation year, purge year and service team. A list of contents (i.e. employees) taped to the outside of the box would be beneficial for locating a file. Time Records that have reached their disposition schedule should be purged yearly.

C. Catastrophic Leave Program Documents
   The retention schedule for Cat leave documents is 5 years after leave end date.
   Documents that have reached their disposition schedule should be purged yearly.

D. AB2410s (Final Pay Time Reporting Worksheet)
   AB2410s are not kept in the personnel file. They may be kept with the employee's time and attendance records or as otherwise determined by the team. The retention schedule on AB2410s is 5 years after date of last transaction. Forms that have reached their disposition schedule should be purged yearly.

E. Time Benefit Rosters (TBRs)
   The retention schedule for TBRs is 5 years after date of last transaction. Rosters that have reached their disposition schedule should be purged yearly.

F. Leave of Absence Request forms
   The retention schedule for Leave of Absence Request forms is 3 years after leave end date or leave denial. These forms should <u>not</u> go in the personnel file even though not all leaves are medically related. Forms that have reached their disposition schedule should be purged yearly.

G. FMLA forms
   The retention schedule for Family Medical Leave Act (FMLA) forms is 3 years after leave end date or leave denial.
   If exist, FMLA noticing documents should be kept for 3 years *(business practice per Cathy Schoenfeld 8/08)*.

H. Medical Files
   Medical files are not to be confused with LOA or FMLA files. Medical files contain Intent to Medically Separate letters and back-up documentation.

   The retention schedule for medical files is 5 years from date of closure. Files that have reached their disposition schedule should be purged yearly.

   Benefits is the office of record for original medical separation documents which includes the Request for Medical Separation Review, the Summary Report for Medical Separation and Review of Request for Medical Separation.

   Risk Management is the Office of Record for workers compensation claims and associated documents.

IV. Payroll/ Expense Transaction forms

Accounting- Payroll is the office of record for Payroll/Expense Transaction forms which include the following, but is not limited to:

Additional Pay Time Reporting Worksheet (UPAY 644C)
Direct Payment form
Expanded Payroll Time Reporting Worksheet (UPAY 644E)
Intercampus Payment forms (One-time or Ongoing)
Leave Accrual Transfer form (UPAY 807)- obsolete 1998
LX/RX (UPAY 644D)
One-Time Payment Authorization Worksheet (UPAY 564)
One-Time Payment form
Payroll Transfer- Single or Mass

A. One-Time Payments
One-Time Payment backup documentation associated with an award may be filed in the employee's personnel file.

B. Intercampus Payment Form
1. UCSC is Home Campus: UCSC employee receiving payment through UCSC for work completed at another campus

Time records are to be kept with the employee's time record file. Other intercampus back-up documentation is to be filed into the employee's personnel file.

2. UCSC is <u>not</u> Home Campus: Non-UCSC employee working at UCSC and getting paid through another campus (different home campus)

Service team creates an employee folder to include time records and other personnel documents. Service team maintains employee file during employment and after separation/ end of term.

C. Time Reporting Worksheets(TRWs)
Accounting-Payroll is the Office of Record for TRWs. It is SHR business practice to retain TRWs for one year *(Service Team Associates 2007)*.

V. Recruitment Files

Recruitment Files are maintained by the Service Team and purged after three years.

Recruitment Files should be labeled with the following information:
- Unit
- Job Title
- ER#
- Purge Date

Recruitment Files <u>must</u> contain:
- Interview Notes
- Matrix: Pinks/ASL equivalent
- Reference Check Materials/Notes

Recruitment Files <u>may</u> contain:
- Approvals for hire/depending on unit needs

Please try not to duplicate information that exists electronically

Recruitment Files <u>may NOT</u> contain:
- BIR/Livescan Forms

Please keep background check information separate from Recruitment Files and shred once results are provided.

VII. Student Files

Service Teams maintain student files.

The retention schedule for student time records is 5 years after date of last transaction.
Upon separation (or transfer to another team), student files may be placed in storage boxes that are labeled by purge year and service team. A list of contents (i.e. student names) should be taped to the outside of the box would be beneficial for locating a file.

VIII. Student to Staff Appointments

If a student employee transfers to a staff appointment with <u>no break in service</u> the student personnel file is to be forwarded to Employment to be merged with their new staff appointment personnel file. Time records are processed as noted above in VII.

Student personnel files for new staff hires <u>with</u> a break in service (separation) will not be merged with their staff personnel file.

References:
The Information Asset Management (IAM) Local Schedule can be found on the Service Team S:\ drive, shared folder.
S:\Shared\Local Schedule