

LEHMAN COLLEGE: DEPARTMENTAL RETENTION SCHEDULE 7/11/2016

HUMAN RESOURCES

| Item | Record Series Title | Description / Examples | Retention | CUNY Schedule Reference |
|-------------|----------------------------------|---|---|------------------------------------|
| HR-1 | Unsolicited Resumes | Unsolicited resumes, correspondence, other items received by Human Resources but unrelated to any advertised positions | While Needed | General 10[10] c |
| HR-2 | Employment Verification Requests | External or internal requests for verification of employment, including authorizations | 1 year after final disposition of request | General 14[33] c |
| HR-3 | Chancellor's Reports | Information included in the Chancellor's Report, and other records gathered to certify information included in the Chancellor's Report | 6 years | General 23[23] b |
| HR-4 | Metrics Reports | Reports prepared for the VP of Administration and Finance about department's goals and plans | 6 years | General 23[23] b |
| HR-5 | Subpoena Records | Records that are not included in litigation files | 1 year after date of response | Attorney 6[880] |
| HR-6 | Vacancy Requests | Personnel requisition made to civil service or personnel office, requesting that vacancy be filled, including budget requests and approvals | 6 years | Budget 5[52] and Personnel 34[335] |

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| HR-7 | Tuition Waivers | Payment requests made to the CUNY Office of the University Comptroller for College staff tuition reimbursement | 6 years | Fiscal 8[206], 12[210] b, and 41[242] |
| HR-8 | Audit Records--Fiscal | Audits filed pursuant to Section 35, General Municipal Law, conducted by the Office of the State Comptroller, the New York City Comptroller, or an outside auditing firm | Permanent | Fiscal 22[214] a |
| | | Other external audits | 7 years | Fiscal 22[214] b |
| | | Internal audits conducted by College or University officials | 7 years | Fiscal 22[214] c |
| HR-9 | Fiscal Audit Backup Records | Including, but not limited to, summaries, posting records, and related records created by an auditing office as part of the auditing procedure | 6 years | Fiscal 23[215] |
| HR-10 | Annuity Reports | Reports of hours worked by skilled trade workers | 6 years | Fiscal 39[238] |

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| HR-11 | Workers' Compensation Records | Case records if claim allowed | 18 years after injury or illness, or 8 years after last payment, whichever is longer | Insurance 2[247] a |
| | | Case records if claim disallowed after trial, or case otherwise disposed of without an award after the parties have been given due notice | 7 years after injury or illness | Insurance 2[247] b |
| | | Employee injury records created pursuant to Section 110, Workers' Compensation Law | 18 years after injury or illness, <i>regardless of outcome of case</i> | Personnel 18[741] |
| HR-12 | Periodic Payroll Ledgers | Periodic payroll, including detailed information necessary for salary verification for retirement and Social Security purposes | 55 years | Payroll 1[291] b |

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| HR-13 | Retirement Verification Records | Records used in lieu of missing or incomplete periodic payroll records, including detailed information necessary for salary verification for retirement and Social Security purposes | 55 years | Payroll 1[291] b |
| HR-14 | Pay Advance Forms | For amounts paid to employees under special circumstances based on a specific payroll, when records are maintained separate from payroll itself | 6 years | Payroll 1[291] d |
| HR-15 | Executive Compensation Plan | Request for and/or authorization given to eligible employee to get paid for unused vacation time | 6 years | Payroll 1[291] d and 7[297] |
| HR-16 | Payroll Reports | When needed for audit or other fiscal purposes | 6 years | Payroll 2[292] a |
| | | When not needed for audit or other fiscal purposes | While Needed | Payroll 2[292] b |

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| HR-17 | Time Sheets | Employee's time cards, sheets, or books | 6 years | Payroll 5[295] |
| HR-18 | Sick Leave Donations | Employee request for and/or authorization given to employee to use or donate sick, vacation, personal, or other leave | 6 years | Payroll 7[297] |
| HR-19 | Payroll Deduction Requests | Employees' voluntary payroll deduction request forms | 5 years after authorization expires | Payroll 9[299] |
| HR-20 | Pension Enrollment Records | Records regarding employee's application to participate in retirement/pension programs, including but not limited to enrollment information, payroll deduction records, and Pension Election Forms | 55 years | Payroll 12[302] |
| HR-21 | Form 1042-S | Employer's copies of IRS forms for foreign persons indicating U.S. source income subject to withholding | 4 years | Payroll 17[307] |
| HR-22 | Form IT-2104 | Employer's copies of NY State withholding allowance certificates | 4 years after superseding certificate filed or employment terminated | Payroll 18[308] |

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| HR-23 | Form W-4 | Employer's copies of U.S. tax withholding forms submitted by employees | 4 years after superseding certificate filed or employment terminated | Payroll 18[308] |
| HR-24 | Direct Deposit Records | Including, but not limited to, applications to begin or terminate direct deposit, transaction logs, or similar reports | 6 years after authorization expires | Payroll 20[722] |
| HR-25 | Benefits Enrollment Declination Records-- | For retirement system | 55 years | Payroll 21[723] a |
| | <i>Employee's declaration of intention to decline membership or participation in retirement system or benefit plan, including copy of written notification of options provided employee by the College</i> | For benefit plan | 6 years after termination of employment | Payroll 21[723] b |

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| HR-26 | Personnel Records-- Master Summary Records | Master summary record from personnel file, including but not limited to age, dates of employment, job titles, and civil service status | Permanent | Personnel 1[310] a |
| HR-27 | Personnel Records-- Employee Files | For each employee (including those for non-resident aliens), including but not limited to PAFs, PDFs, resumes, applications, finger print forms, credit checks, performance reviews, correspondence, appointment/reappointment letters, Workplace Violence Prevention Program training, and any other records not part of the master summary records | 6 years after termination of employment | Personnel 1[310] b |
| HR-28 | Disabled Employee Records | Records for faculty or staff who have requested accommodations | 6 years after termination of employment | Personnel 1[310] b |
| HR-29 | Visa Files--General Information | Official communications with Department of State/Department of Homeland Security concerning visa policies, authorizations, instructions, and certifications | Permanent | General 10[10] a |

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| HR-30 | Visa Files--Visa Holders | Records of visa holders (including faculty and other visiting scholars), including but not limited to correspondence, copies of DS-2019s, and other related documentation | 6 years after termination of employment | Personnel 1[310] b |
| HR-31 | Case Files--Disciplinary | Records of disciplinary investigations and proceedings regarding employees | 6 years after termination of employment, or 6 years after final decision rendered, whichever is longer | Personnel 2[311] |
| HR-32 | Time and Leave Requests | Employee's time records covering leaves, absences, hours worked, and scheduling, including but not limited to requests for change of work schedules, vacation schedules, reports of absences, and requests for leaves without pay | 6 years | Personnel 3[312] |

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| HR-33 | Employee Health and Life Insurance Records | For employees with or without dependent survivors | 3 years after termination of employee's or dependent survivor's coverage, whichever is longer | Personnel 8[318] a |
| | | Claims for benefits | 1 year | Personnel 8[318] b |
| | | Health and life insurance coverage reports | 6 years | Personnel 8[318] c |
| | | Declination statements filed by employee | 6 years after termination of employment | Personnel 8[318] d |
| | | Refund forms, doctors' notes, FMLA medical support records, and other medical records not related to exposure to toxic substances or harmful physical agents | 3 years after termination of employment | Personnel 20[910] |

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| HR-34 | Unemployment Insurance Records | Claim filed by employee, when claim is approved | 6 years after final payment | Personnel 9[319] a |
| | | Claim filed by employee, when claim is disqualified | 3 years after filing | Personnel 9[319] b |
| | | Claim payment reports | 6 years | Personnel 9[319] c |
| HR-35 | Case Files--Grievances | Employee grievances, investigative records, hearing proceedings, decisions, and other records | 10 years after grievance resolved | Personnel 13[323] |
| HR-36 | Personnel Oath | Official copy of oath of office or record of official signature of public employee | Permanent | Personnel 16[328] |
| HR-37 | OSHA Annual Logs | Logs tracking incidents of work-related injuries and illnesses | <i>5 years, unless logs contain information needed for Workers' Compensation records, then retain for 18 years after injury or illness</i> | Personnel 17[329] |

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| HR-38 | Attestation Forms | Employee attestation of knowledge of code of ethics, staff policy manual, or other official policies or procedures | 3 years after attestation superseded, or upon termination of employment | Personnel 24[743] |
| HR-39 | Form I-9 | Employment verification forms | 3 years from date of hiring or 1 year after termination of employment, whichever is longer | Personnel 27[911] |
| HR-40 | Personnel Vacancy Notices | Job announcements and descriptions when duties of position are described in detail, including but not limited to announcements, organizational charts, and search committee members | Permanent | Personnel 33[334] a |
| | | When duties of position are not described in detail | 6 years | Personnel 33[334] b |
| HR-41 | Civil Service Canvass Letters | Letters sent by department to eligible applicants to take Civil Service exams | 6 months after expiration of eligible list, or 3 years, whichever is longer | Personnel 35[336] e |

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| HR-42 | Employment Application Records-- Not Hired | Application forms, resumes, other items received from applicants for advertised positions when the applicant is not hired and records are not sent to the Office of Diversity, Compliance & Inclusion | 3 years | Personnel 36[337] |
| HR-43 | Recruitment Records | Recruitment, hiring, interview, and selection records, including but not limited to correspondence, reports, selection criteria, interview notes, background check records, rating and ranking forms, evaluations, and other records pertaining to the hiring, promotion, demotion, transfer, layoff, and termination of employees | 3 years after completion of personnel action | Personnel 37[750] |

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