

REQUEST FOR APPROVAL OF RECORDS RETENTION SCHEDULE

STD. 72 (REV. 4-87)

Submit three copies with three copies of the Records Retention Schedule, STD. 73.

DEPARTMENT, BOARD OR COMMISSION	EMPLOYMENT DEVELOPMENT DEPARTMENT	BILLING CODE	23336
DIVISION, BUREAU OR OTHER UNIT	PERSONNEL PROGRAM DIVISION	Total Cubic Feet	2092
ADDRESS	800 Capitol Mall, Sacramento		
SCHEDULE NUMBER	16	PAGE NUMBER(S)	1-11
		SCHEDULE DATE	12-25-88
IF THIS IS A REVISION OF AN EXISTING SCHEDULE (including addition or deletion of pages), enter the following information from the EXISTING schedule:			
SCHEDULE NUMBER	16	PAGE NUMBER(S)	1-10
APPROVAL NUMBER	87-15	APPROVAL DATE	01-16-87

PART I—AGENCY STATEMENTS

TO: (1) DEPARTMENT OF GENERAL SERVICES
OFFICE OF RECORDS MANAGEMENT

(2) CHIEF, STATE ARCHIVES
1020 O Street, Room 130
Sacramento, CA 95814
445-4293 or ATSS 485-4293

As the person directly responsible for maintenance of the records listed on the attached schedule, I certify that I have reviewed the need for the records, that each retention period is necessary and correct as scheduled, and (for a revised schedule) that all items on the previous schedule have been accounted for.

SIGNATURE—MANAGER DIRECTLY RESPONSIBLE FOR THE RECORDS	TITLE	DATE
<i>[Signature]</i>	RECORDS MANAGEMENT ANALYST	12-25-88

In accordance with Government Code 14755, approval of the attached Records Retention Schedule by the Department of General Services is hereby requested. Retention periods have been established by this agency after a careful evaluation of all the factors listed in Section 1667 of the State Administration Manual.

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the retention and disposal of records. (Per Section 1611 of the State Administrative Manual.)

SIGNATURE—RECORDS MANAGEMENT COORDINATOR

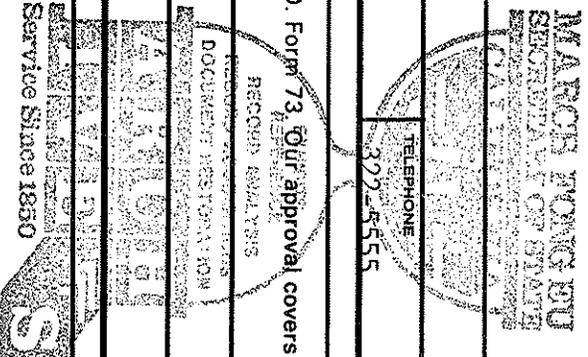
TITLE	DATE	TELEPHONE
RECORDS MANAGEMENT ANALYST	12-26-88	322-5555

PART II—DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

The Department of General Services has no jurisdiction over entries made in Column 16 of STD. Form 73. Our approval covers Columns 1 — 15 and 17 only.

SIGNATURE	APPROVAL NUMBER	DATE
<i>[Signature]</i>	89-009	1-18-89

PART III—ARCHIVAL SELECTION (Per Government Code Section 14755)



THE ATTACHED RECORDS RETENTION SCHEDULE:

Contains no material subject to further review by the California State Archives.

Contains material subject to archival review. Items stamped "Hold/Notify Archives" may not be destroyed without clearance by the Secretary of State. (State Administrative Manual Section 1614)

SIGNATURE—CHIEF OF ARCHIVES	DATE
<i>[Signature]</i>	FEB 15 1989

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 5-85)

See instructions on reverse
and in SAM 1600

DEPARTMENT (1) Employment Development Department		SCHEDULE NUMBER (2) 16	DATE (3) December 25, 1988
ORGANIZATIONAL UNIT Personnel Programs Division MIC 54 (ARU 302)		PAGE 1	OF 11 PAGES (4)
ADDRESS (number, street, city) 800 Capitol Mall Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	

ITEM NUMBER (6)	CUBIC FEET (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (Triple-space between items) (9)	Media (10)	Vital (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
1	4		Exam History	P		4 yr			4 yr	X	Exempt per Government Code Section 18934.
2	4		Classification History	P		10			10		
3	1		Department Organization Changes	P		10			10		
4	2		State Personnel Board Calendars	P		2			2		
5	2		Misc. Personnel Management Services Files	P							
			a) Out-of-class request			4			4		
			b) Salary Rate Memo			2			2		
			c) Board of Control Recommendations			2			2		
			d) Overgrade			SEE REMARKS					Retain until all overgrade employees have been reassigned or separated.
			e) Red Circle			2			2		
6	4		Special Studies	P		2-5			2-5		
7	2		Correspondence a) Personnel b) Business	P		2 1			2 1	XI XI	Contains names and home addresses.
8	2		Conflict of Interest Files	P		7			7	XI	Retention of seven years, Government Code Section 81009.
9	1		Division Training Files	P		SEE REMARKS					Retain until employee leaves Division.
10	1		Adverse Action	P		ACTIVE			ACTIVE	XI	Retain until employee separates from State service. Retain according to the type of separation.

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ORGANIZATIONAL UNIT Personnel Programs Division MIC 54 (ARU 302)	PAGE 2	OF 11 PAGES (4)
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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
11	1 8		Form 100-836A Control Cards a) Active b) Inactive	P		2 2			2 2	X	Government Code Section 19705,18934.
12	7		Std. Form 664 - Certification of Eligibles	P		3			3	X	
13	10		Form 267A - Answer Sheets	P		2			2	X	
14	18		Std. Form 678 - Application for examination	P		3			3	XI	Three year statute for taking adverse action for fraud in securing employment. Ref. EDD Legal Division ruling.
15	1		Std. Form 678 - Ethnic Stubs	P		1			1	X	
16	7		Exam folders (QAP, Ethinc Census, etc.)	P		2			2	X	
17	3		Correspondence	P		2			2	X	
18	4		Workers' Compensation Files	P		4			4	XI	
19	2		Attendance Records (ARU 302 ONLY) Std. Form 672, Attendance Report	P		5			5	XI	Retention of five years or after audit EDD maintains documents in ledger by year, One ledger for each field office. Due to large volume of documents, entire ledgers are purged every five (5) years in lieu of a month - to - month purge.

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)			
20	5		DE 3809, Sign-in Sheet	P		5			5	XI		
			Std. Form 603, Report of Absence Without Pay.	P								
			Std. Form 673, Report of Extra Hours to be Paid.	P								
			Exception Listing	P								
			Memos	P								
21	1		Employer-Employee Relations	P		4			4	XI		
			Grievance Files	P								
			Employee Assistance Program	P		3			3			
			Strike Contingency Plans	P		1			1			
22	3		DE 3373, Training Attendance Record	P		1		1				
			DE 3555, Special Training Request	P		3		3				

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DEPARTMENT (1) Employment Development Department	SCHEDULE NUMBER (2) 16	DATE (3) December 25, 1988
ORGANIZATIONAL UNIT Personnel Programs Division MIC 54 (ARU 338)	PAGE 4	OF 11 PAGES (4)
ADDRESS (number, street, city) 800 Capitol Mall, Sacramento	DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	

ITEM NUMBER (6)	CUBIC FEET (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (Triple-space between items) (9)	Media (10)	Vital (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
23			Std. 215 TAU Memorandum Std. Form 243 Designation of Persons Authorized to Receive Warrants Std. Form 407 Change in Payroll Header	P P Current P		1			1	XI	1 calendar year Current until superseded or cancelled. Retain for two years from end of fiscal year involved. Then two more fiscal years or until audited - which ever occurs first. (Maximum of four years).
			DE 601 Staff Action Request	P		Active +5			Active +5		Five years from date of separation from State Service (Dept).
			Std. Form 603 Report of Absence Without Pay	P		5			5		Five calendar years or until audited (Ref. justification for form CD37 et. al).
			Std. Form 607 Change in Established Positions.	P		4			4		Same as Std. Form 407
23	1100		Personnel Payroll Records: CD 37 Payroll Trans. Register CD 38 Payroll Warrant Register CD 46 Shift Differential CD 66 Report of Exceptions	P		ACTIVE +4			ACTIVE +4	XI	Retention of five years, or after audit. EDD maintains documents in ledgers by year. One ledger for each office. Due to large volume of documents, Entire ledgers are purged every five (5) years in lieu of a month-to-month purge

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DEPARTMENT (1) Employment Development Department		SCHEDULE NUMBER (2) 16	DATE (3) December 25, 1988
ORGANIZATIONAL UNIT Personnel Programs Division, MIC 54 (ARU 338)		PAGE 6	OF 11 PAGES (4)
ADDRESS (number, street, city) 800 Capitol Mall Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	

ITEM NUMBER (6)	CUBIC FEET (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (Triple-space between items) (9)	Media (10)	Vital (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
			Std. Form 608 Established Position Record (Permanent)	P		Current +2			Current +2		Retain as "current" until record (permanent) position is abolished or reclassified. Then retention for two years from end of fiscal year involved.
			Std. Form 608A Established Position Record (Temporary)	P		Current +2			Current +2		Retain as "current" until record (temporary) position is abolished or reclassified. Then retain for two years from end of fiscal year involved.
			CD Form 609 (DE 8631) Certification of Salary Adjustments and Controllers Tabulating Listing of Salary Adjustments.	P		SEE REMARKS					When denied, retain three salary adjustment years from date of of denial. When approved, retain one year from effective date.
			Std. Form 609A Certification for Merit Salary Adjustment	P		SEE REMARKS					Approved, retain for one year from date of approval. Denied, retain for three years from date of denial.
			Std. Form 611 Employee Record	P		ACTIVE			ACTIVE		Retain as "active" until employee separates from State service. Then retain according to the type of separation.
			Std. Form 612 Employee Transfer Data	P		5			5		Five years from separation.
			Std. Form 614 Signature Card	P		ACTIVE			ACTIVE		Until superseded or when employee separates.

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
			Std. Form 616 Standard Clearance and Waiver Form	P		4			4		Retain for two years from end of fiscal year involved. Then retention of two more years or until audited, which ever comes first. REASON: Payroll files the Std. Form 616 with Std. Form 607 and Std. Form 625. Therefore, these documents must have the same retention schedule.
			Std. Form 625 Request for Certification	P		4			4		Same as Std. 616
			Std. Form 636 Report of Performance for Probationary Employees	P		SEE REMARKS					Last three reports, combination of Std. 636 and 637. Retention provides a more comprehensive picture of the employee when used for employment consideration.
			Std. Form 637 Individual Development Plan 1	P		SEE REMARKS					See Std. 636.
			Std. Form 639 Salary Garnishment	P		ACTIVE +4			ACTIVE +4		Retain as "active" until garnishment is satisfied. Then retain for four years from end of pay period involved or until audit, whichever comes first.
			PERS 155, Notice of Change/Certification of Contribution Rate	P		CURRENT			CURRENT		Retain as "current" until employee separates from State service.

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ADDRESS (number, street, city) 800 Capitol Mall, Sacramento	DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)	

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
			PERS 823, Certification of Correction - member Contribution and Collection Due	P		CURRENT			CURRENT		Retain as "current" until employee separates from State service, then retain according to type of separation.
			Std. Form 642 Employee Leave Record	P		ACTIVE +5			ACTIVE +5		Five years after separation disciplinary action/retirement age 75.
			Std. Form 642A Employee Leave Record (White)	P		ACTIVE +5			ACTIVE +5		Same as Std. 642.
			Std. Form 645 Employee Suggestion Form	P		ACTIVE +1			ACTIVE +1		Retain for one year from date of final decision by the Merit Award Board.
			Std. Form 664 Certification of Eligibles	P		5			5		Five fiscal years.
			Std. Form 672 Attendance Report	P		5			5		Five fiscal years or until audited. (See justification for CD37).
			Std. Form 673 Report of Extra Hours to be Paid	P		5			5		Five fiscal years or until audited. (See justification for CD37).
			Std. Form 674 Payroll Adjustment Notice	P		5			5		Five fiscal years or until audited.
			Std. Form 680 Personnel Action Request	C		ACTIVE +6mo.			ACTIVE +6mo.		Retain for a period of no less than 6 months following the close of the fiscal year in which the data was key entered to SCO data base.

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
			Std. Form 680A Personnel Action Request (Padded "PAR")	P		ACTIVE +6mo.			ACTIVE +6mo.		Same as Std. 680
			Std. Form 686 Employee Action Request	P		ACTIVE +6mo.			ACTIVE +6mo.		Same as Std. 680
			Std. Form 689 Oath of Allegiance State Employees	P		CURRENT			CURRENT		Same as PERS 823
			Std. Form 692 Dental Enrollment Authorization Plan	P		CURRENT			CURRENT		Retain as "current" until superseded or cancelled.
			Std. Form 696 Dental Plan Direct Pay Authorization	P		CURRENT			CURRENT		Same as Std. Form 692
			Std. Form 698 Life Insurance Enrollment authorization	P		CURRENT			CURRENT		Same as Std. Form 692
			Std. Form 100-678 Application	P		CURRENT +5			CURRENT +5		Five (5) years from date of separation from Department
			Std. Form 700 Vision Plan Enrollment	P		CURRENT			CURRENT		Retain as current until superseded.
			DE 1228 Application for Employment	P		CURRENT +5			CURRENT +5		DE 1228 replaced with SPB Form 678 effective 6/1975 retained five (5) years from date of separation from Department.
			HBD-12 Enrollment Form	P		CURRENT			CURRENT		Retain as "current" until superseded or cancelled.

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
			HBD-21 Request for Continual Coverage & Direct Payment Authorization	P		CURRENT			CURRENT		Same as HBD-12
			DE 2676 Request for Position Action	P		5			5		
			DE 4589 Confirmation Notice Re, Eligibility for Appointment	P		5			5		Five (5) fiscal years
			DE 8553 Revolving Fund-Salary	P		CURRENT +1			CURRENT +1		Current year plus 1 year.
			Notice of Personnel Action (NOPA)	P		CURRENT			CURRENT		Retain as "current" until superseded or cancelled.
			Revolving Fund Forms	P		5			5		Five (5) calendar years. Payroll Unit retains same as the retention on warrant registers and other related documents.
			Separation Records	P		CURRENT +5			CURRENT +5	XI	Resignation without fault, voluntary retirement, rejection on probation retained for three (3) years from effective date of separation. Layoff - five (5) years from effective date of separation. Disability retirement, termination by disciplinary action, resignation without fault, AWOL retained until person reaches age 70.

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
24	700		Official Personnel folders	P		ACTIVE			ACTIVE	XI	Retain as "active" until employee separates from State service. Then retain according to type of separation.
			DE 7014 Employee Leave Record Intermittent	P		ACTIVE			ACTIVE		Same as "Official Personnel Folder".
			DE 7014A Employee Leave Record Part-Time	P		ACTIVE			ACTIVE		Same as "Official Personnel Folder".
			DE 7015 Employee Leave Record Full-Time	P		ACTIVE			ACTIVE		Same as "Official Personnel Folder".
25	129		<u>Miscellaneous Records</u>								
			DE 8610 Employers Report of Industrial Illness/Injury	P		5			5	XI	Retain five (5) calendar years if no benefits are paid. Retain indefinitely if benefits are paid. NOTE: Closing a case does not preclude reopening there is no statute to preclude reopening.
			DE 7013 Absence request	P		5			5		Five (5) fiscal years or until audited
			CAL-OSHA No. 200 log and Summary of Occupational Injuries & Illness	P		SEE REMARKS					Retain to age 70 if separation or retired.
			SCIF 3067 State Employee Report of Industrial Illness/Injury	P		5			5		

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
			Merit Award Board Correspondence	P		5			5		Retain in Personnel Folder.
			Name Change File	P		5			5		
			Std. Form 612 Employee Trasfer Data			ACTIVE			ACTIVE		Retain as "active" until employee separates from State service, then retain according to the type of separation.
			Correspondence (Related to a specific employee - Job related)			ACTIVE SEE REMARKS			ACTIVE		Retain letters of commendation and correspondence related to job related illness or injury, until employee separates from State service, then according to the type of separation. Retain all other correspondence three (3) years from the date of issue (Per EDD Legal Staff).