

CLEMSON UNIVERSITY
VICE PRESIDENT FOR BUSINESS AND FINANCE
ASSOCIATE VICE PRESIDENT FOR PERSONNEL MANAGEMENT
AND DEVELOPMENT

EMPLOYEE DEVELOPMENT AND TRAINING

CU 00798 ORIENTATION/WORKSHOP FILES

Description: Files used to organize orientation and workshops for new employees at Clemson University. Information includes surveys, brochures, and handwritten notes.

Retention: 2 years; destroy.

CU 00799 EMPLOYEE SUGGESTION PROGRAM FILES

Description: Records concerning employee suggestion for cost-saving ideas and improvements to Clemson University. Information includes suggested change, cost savings, suggested direction for implementation, and related information.

Retention: 2 years; destroy.

RECRUITMENT AND EMPLOYEE SERVICES

CU 00842 EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM (EPMS) NOTIFICATION

Description: Used to notify employees' performance review and review date. .

Retention: 1 year; destroy.

CU 00843 DUAL EMPLOYMENT REQUEST FORMS

Description: Used internally by employees to request permission to seek additional work in state government and externally by other state employees seeking additional work at Clemson University.

Retention: University employees - Until approved or rejected. Transfer to Personnel Files. Other employees - 1 year, destroy.

CU 00844 LEAVE-TRANSFER PROGRAM FILES

Description: Document the University's leave-transfer program. Series includes Receive Request forms, Donate Request forms, and computer printouts reflecting information taken from the forms.

Retention: 3 years; destroy.

CU 00845 I-9 FORMS (Employee Eligibility Verification)

Description: Document an individual's eligibility for employment. Includes employee information and verification, employer review and verification, and instructions for completing the form.

Retention: 3 years after hiring date or 1 year after termination of employment, whichever is later; destroy.

CU 00846 INCIDENT FILES

Description: Document incidents which occurred on campus as reported to the Recruitment and Employee Services Office by Clemson University employees. Incidents are recorded by handwritten notations.

Retention: 5 years; destroy.

CU 00847 EMPLOYEE EXIT INTERVIEWS

Description: Used to gather information from employees being terminated and requesting an exit interview. Information includes employee background, date of termination, employees suggestions for improvements, and other related information.

Retention: 5 years; send to University Archives

CU 04668 PICK-UP LABOR FORMS

Description: Document work and pay of students and temporary employees at Clemson University. Information includes employee's name, department and beginning work date, rate of pay, and other related information. Information in this series is available in the Personnel Database and Information System. This system includes paper documents, microfilm, electronically generated printouts, disks and/or tapes.

Retention: Paper documents (including printouts), and microfilm: 15 years after termination of employment; destroy. Information on disks and tapes: 5 years, delete or destroy, provided information on Pick-up Labor Forms has been microfilmed.

Supersedes CU 00841

CU 06866 HIRING DOCUMENTATION

Description: Retained by the staff of Employee and Recruitment Services to document requirements for available positions, announcements for position vacancies, and analysis of position hiring activity. Information includes position descriptions, job advertisements, Clemson University Recruitment and Employee Services Job Analysis forms, position activity notices, and other related information.

Retention: 5 years after position is filled; destroy.

CU 16311 EMPLOYEE BACKGROUND CHECKS

Description: Records created by university staff to assist in the process of hiring for employment based on data obtained from the South Carolina Law Enforcement Division (SLED), credit reporting agencies, and background check vendors. Information consists of employees' name, address, date of birth, social security number, and driver's license number as well as the results of the background check.

Retention: 5 years after separation from employment; destroy.

CU 90003 EMPLOYMENT APPLICATIONS (Not Hired)

Description: Completed employment applications and personal resumes of application who were not hired by the university.

Retention: 2 years from the date of rejection or making of the record; destroy.

CU 90007 GRIEVANCE FILES

Description: Files concern grievance proceedings initiated by university employees. Information includes copies of each grievant's original grievance filing, copies of the decisions rendered at each level of the grievance procedures, copies of the grievance and appeals procedure for state agencies and state employees, and copies of the final decision rendered by the State Employee's Grievance Committee.

Retention: *Record copy:* 15 years after resolution; destroy.

Duplicates: 2 years after resolution; destroy.

CU 90013 PERSONNEL FILES (Active and Terminated)

Description: Records are created by the Office of Human Resources to document personnel files of current and former employees of the university. Information consists of employment applications, letters of recommendation, employee awards, resumes, and performance appraisals. Series may also include Employee Profile, dual employment information, separation records, and related correspondence.

Retention: 15 years after termination of employment; destroy.

Supersedes CU 04669

DIRECTOR OF ADMINISTRATION

CU 10019 EMPLOYEE RELATIONS AND ARBITRATION FILES

Description: Document resolution of arbitration issues related to personnel matters and employee working conditions. Information includes description of incident, any written reprimand, and employee performance data, records related to suspension or substandard performance, conditions concerning the work environment, results of arbitration proceedings and other related information.

Retention: 3 years after resolution; destroy.

CU 10020 COUNSELING REFERRALS

(Employee Assistance Files)

Description: Document employees' or their family members' request for referrals to counseling services. Information included name of employee or family member, employment status, personal background data, date of contact, description of problem, consent from for referral information, type of referral, date and other related information.

Retention: 3 years after termination of employment; destroy.

PAYROLL AND EMPLOYEE BENEFITS

CU 00677 TRIAL BALANCE FOR PAYROLL FUNDS

Description: Documents cash balances for unrestricted payroll funds. Includes transaction description, current month activity (debit, credit), balance (debit, credit), and related information.

Retention: 3 years; destroy.

Supersedes: CU-VPBF-FM-43

CU 00678 PAYROLL AND FRINGE BENEFITS VOUCHERS

Description: Document charges to each department for payroll and benefit expenses. Information includes payroll gross, total fringe benefits charged, approving signature with date, and related information.

Retention: 5 years; destroy.

Supersedes: CU-VPBF-FM-45

CU 00679 CANCELLED PAYROLL CHECKS

Description: Cancelled checks drawn against the university's payroll account. Information includes employee's name and address, date, and net amount to be paid.

Retention: 3 years; destroy.

Supersedes: CU-VPBF-FM-46

CU 00680 INSURANCE BILLINGS AND RECEIPT BOOKS

Description: Information concerning insurance coverage and adjustments for subscribers in the Insurance Benefits System. Information includes group identification number, net change and reason, receipts for cash payments made by employees for dependent coverage, and related information.

Retention: 3 years; destroy.

Supersedes: CU-VPBF-FM-47

CU 00681 DEDUCTION REGISTERS

Description: Documents the amounts deducted from employee salaries. Information includes deductions for tax levy, insurance benefits, savings, loans, and other related information.

Retention: 3 years; destroy.

Supersedes: CU-VPBF-FM-51

CU 00682 SPECIAL PAY

Description: Documents special pay received by university employees. Information includes pay base, unscheduled emergency time – hours, authorization, and other related information.

Retention: 4 years; destroy.

Supersedes: CU-VPBF-FM-52

CU 00683 PERSONNEL ACTION FORMS

Description: Document personnel actions as they occur for university employees. Information includes employee, position, service, personnel action, and related information.

Retention: 3 years; destroy.

Supersedes: CU-VPBF-FM-53

CU 00684 AUTOMATIC BANK DEPOSIT AUTHORIZATIONS

Description: Documents deposit of payroll checks directly into employee accounts. Information includes employee name, copy of deposit slip, effective date, and other related information.

Retention: 3 years after termination, cancellation, or change of authorization; destroy.

Supersedes: CU-VPBF-FM-54

**CU 00685 EMPLOYEE DEDUCTIONS INFORMATION FORM
(Authorization Cards for Voluntary Deductions)**

Description: Document deduction of monies from employee wages. Information includes payroll period beginning date, deduction description, effective coverage, and other related information.

Retention: 3 years after termination, cancellation, or change of authorization; destroy.

Supersedes: CU-VPBF-FM-56

CU 00686 COMPARISON REPORTS

Description: Document what was billed to an employee's deduction account and what was paid. Information includes employee contribution, employee plus state contribution, billing and difference, and other related information.

Retention: 3 years; destroy.

Supersedes: CU-VPBF-FM-59

CU 16028 SUBPOENAED EMPLOYEES RECORDS FILES

Description: Created as a result of attorneys' requests to subpoena employee records. Information Includes name of plaintiff, name of defendant, date of subpoena, deadline for response, request for copies of employee records, university response, university fees for copies of information, and any related information.

Retention: 3 years, destroy.

CU 16038 EMPLOYEE W-2 FORMS RETURNED AS UNDELIVERABLE

Description: Created by the Office of Payroll to document that the employee copy of the W-2 form was returned as undeliverable to the university. Series include employee background information, such as name, address, social security number, federal and state wages, address of current tax year, taxes withheld, and any related information.

Retention: 4 years after the due date of such tax for the return period to which the records relate, or the date such tax is paid, whichever is later, destroy.

CU 16039 EMPLOYER COPY OF EMPLOYEE W-2 FORMS

Description: Created to document file copies of employee Wage and Tax Statement (W-2 Form). Includes employer name and address, calendar year, employee social security number, federal income tax withheld, wages, tips, other compensation, social security tax withheld, social security wages, state or local tax withheld, state or local wages, and employee's name and address.

Retention: 4 years, destroy.

Supersedes CU-VPBF-FM-49

CU 16980 FOREIGN PERSON TAX DOCUMENTATION

Description: Used to document U.S. tax status, income, taxes, and treaty exempt income paid to foreign national employees, payments of U.S. source financial aid to foreign national students, and payments to foreign national independent contractors. Records consist of Internal Revenue Service (IRS) Form 1042 Annual Withholding Tax Return for U.S. Source Income of Foreign Persons which includes any United States income sources and their tax liability; Form 1042-S Foreign Person's U.S. Source Income Subject to Withholding which includes contact information for withholding agent and recipient as well as the amounts of net incomes and taxes paid; Form W-9 Request for Taxpayer Identification Number and Certification which includes tax payer contact information and Taxpayer Identification Number (TIN); and Form W-8BEN Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals) which

includes contact information of beneficial owner, claim of Tax Treaty Benefits, and Certification. Records also include international scholarship reports and information on payments to foreign national independent contractors, which support the 1042-S forms and the 1042 return.

Retention: Office: 1 year,

University Records Center: 6 years, destroy.

CU-VPBF- FM-7 AUTHORIZATION FOR ANNUITY CONTRACTS /ANNUITY BILLINGS AND RECEIPT BOOKS

Description: Agreements between Clemson University and employees who have elected to reduce their salaries in order to buy into annuity systems. Information includes employee name, amount of salary reduced, to whom payment is made, employee's social security number, employee signature and the terms of the contract. Also included in the series are annuity billings and receipt books.

Retention: Permanent; microfilm.

CU-VPBF- FM-48 REPORT FOR RETIREMENT

Description: Document amounts contributed by employees during each quarter to the State Retirement System. Information includes employee name, social security number, membership contribution up to \$4,800, member's contribution over \$4,800, non-member contribution, retirement contribution, service credit, and totals.

Retention: Permanent; microfilm.

CU-VPBF- FM-50 VERIFICATION OF UNIFIED WAGE REPORTING

Description: Documents amount of employee payroll that goes to the federal government. Information includes name, address, social security number, FICA taxable wage, wages and income tax data, and state retirement data.

Retention: 30 years; destroy.

**CU-VPBF- AUTHORIZATION FOR VOLUNTARY WITHHOLDING
FM-55**

Description: This series is used to record Payroll Deduction Authorization Forms used in deducting from employee's salary monies necessary to pay for the Deduction Program. Information includes name, social security number, department name, amount deducted, company to whom the deduction is to be paid, date, and employee signature.

Retention: 5 years after termination or cancellation of authorization and completion of all audits; destroy.

**CU-VPBF- EMPLOYEE WITHHOLDING AND EXEMPTION
FM-57 CERTIFICATES**

Description: Document the number of withholdings and exemptions claimed by employees. The Withholding Allowance Certificate includes employee's name, address, social security number, marital status, total number of allowances claimed, additional amounts, if any, being deducted from each pay, exemptions, employer's name and address, office code, and employer's identification number. The Withholding Exemption Certificate includes employee's name, address, social security number, number and type of exemptions, name of dependents, date, and signature. (ex. W-4, W-5, etc.)

Retention: 5 years after termination or superseded by new certificate and completion of all audits; destroy.

**CU-VPBF- EMPLOYEE PAYROLL AUTHORIZATION AND COST
FM-58 DISTRIBUTION**

Description: Documents amount of pay each employee is to be paid. Information includes department number, payroll ending date, social security number, employee name, rate of pay, account number, work code, hours, units, and signature of department head with date.

Retention: 5 years and after completion of all audits; destroy.

12-807.5 **COMPUTER OUTPUT REPORTS FROM PAYROLL
FINANCIAL DATABASES (non-permanent)**

(See: General Records Retention Schedule for State Colleges and Universities)

Description: Document all current and year-to-date earnings for each employee of the university. Information includes social security number, employee name, gross pay, maintenance, federal tax, state tax, FICA, retirement, insurance, net pay, check code, and check number; also includes various accounting records relating to payroll.

Retention: Until updated, superseded, or no longer needed for reference; destroy.

DIRECTOR OF WAGE AND SALARY ADMINISTRATION

CU 08149 POSITION DESCRIPTIONS

Description: Document actual job tasks performed by position incumbent. Information includes employee name, title, classification code slot, job purpose, description of job position, and tasks. Positions may be classified as delegated or non-delegated. Delegated positions are approved by the University. Non-delegated positions must be approved by the State Budget and Control Board's Office of Human Resources.

Retention: Until no longer needed for reference; destroy.

CU 08150 REALLOCATION/RECLASSIFICATION STUDIES

Description: Document studies concerning position reallocation and reclassification requests. Includes analysis of positions; names and social security number of position incumbents; name of department and information concerning the basis for reclassification and reallocation requests.

Retention: 3 years after completion of study and until no longer needed for reference; destroy.

CU 08151 REGRESSION ANALYSIS

Description: Document pay comparison and analysis of salary grade ranges. Information includes employees' names, social security number, department, salary grade ranges, drafting plots, and estimated salary statistics.

Retention: 3 years after completion of analysis and until no longer needed for reference; destroy.

CU 08152 TEMPORARY SALARY ADJUSTMENT REQUESTS

Description: Document temporary salary adjustments for university employees. Information includes any adjustment awarded to an employee for the temporary performance of extra work and responsibilities. Final approval must come from the State Budget and Control Board's Office of Human Resources.

Retention: 3 years after salary action; destroy.

CU 08153 SALARY SURVEY

Description: Analyzes and compares the salaries of Clemson University positions with similar positions at other universities and/or private industry. Survey reflects name of position, annual salary, grade, salary comparison and other related information.

Retention: 3 years after completion of survey and until no longer needed for reference; destroy.

CU 08154 EMPLOYEE SUPPLEMENTAL SALARY REQUESTS

Description: Document supplemental wages or adjustments to an employee's salary. Information includes employee's name, department, background information, type of adjustment or supplemental and approval date. Salary supplements may take the form of bonus, awards, special pay, and other additional monetary or salary adjustments.

Retention: 3 years; destroy.

CU 08155 EXCEPTIONAL HOURLY RATES FOR STUDENTS

Description: Document student hourly wages that exceed the student pay scale. Information includes student's name, background information, hourly rate, approval by the Wage and Salary Administration of an exceptional hourly rate and other related information.

Retention: 3 years after termination; destroy.

CU 08156 HIRE ABOVE MINIMUM REQUESTS

Description: Created by the requesting department to document employees hired above the minimum pay grade. Information includes employee's name, social security number, special qualifications or work experience, and other related information.

Retention: 3 years after date of hiring; destroy.

CU 08157 ORGANIZATIONAL CHARTS

Description: Document the organizational structure of the University by department and job classification. Includes name of department, titles of positions according to classification, grade, and reporting structure.

Retention: 2 years and until superseded; destroy.

CU 08158 POSITION ACTIVITY NOTICE (Regular Positions)

Description: Submitted by departments to request funding for positions. Includes name of incumbent, name of department, position title, social security number, and salary information.

Retention: 3 years after issuance of notice; destroy.

CU 08159 POSITION ACTIVITY NOTICE (Temporary Grant Positions)

Description: Submitted by university departments to request funding for temporary grant positions. Includes name of position incumbent, name of department, position title, social security number, and salary information.

Retention: 3 years after following cancellation of grant contract or submission of final expenditure report; destroy.

VP FOR BUSINESS & FINANCE – CHIEF FINANCIAL OFFICER

CU 15582 W-9 FORMS (Request for Taxpayer Identification Number and Certification)

Description: Created by University administrative personnel and required by the Internal Revenue Service to document taxpayer identification numbers of vendors doing business with the University and/or individual contractors seeking employment. Includes name and address of vendor, individual/sole proprietor, corporation, partnership, other, backup withholding status, taxpayer identification number, and certification to include signature and date.

Retention: Until superseded and no longer needed for reference, destroy.