

# UNIVERSITY OF CALIFORNIA

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SANTA BARBARA • SANTA CRUZ

EMPLOYEE BENEFITS PLAN ADMINISTRATION

300 LAKESIDE DRIVE, 5th FLOOR  
OAKLAND, CALIFORNIA 94612-3556

September 15, 1995

Director Smith

Subject: Disposition Schedules for Benefits Forms

I am writing to you in response to the letter you sent Assistant Vice President Swartz on August 4, 1995 concerning the disposition schedules for benefits forms. As I indicated in our conversation this morning, I am sorry that my response has taken so long, but I wanted to do a thorough review of our historical records before I responded to you.

The retention schedule we use on most of our forms reads as follows:

5 years after separation, except in cases of disability, retirement or disciplinary action, in which cases retain until age 70.

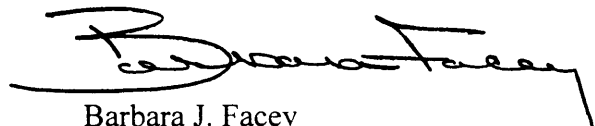
This is to confirm that the comma between disability and retirement **should** be retained. They are two mutually exclusive categories.

In reply to your question concerning the requirement that the document be retained until the employee attains age 70, I have been unable to find any historical information as to why this age was chosen. I'm attaching a 1990 communication from your office that confirms this retention period, and so I assume that your office, if not the originator, did agree in 1990 with this retention period. (Your question was actually more specific. It asked why a form for an employee involved in disciplinary action must have his/her form retained to age 70. However, if you reread the statement above, age 70 refers to all three cases of disability, retirement and disciplinary action, not just disciplinary action.)

I am going to ask Dorothy Dana, our Department's Legal Counsel, to review the age 70 issue and will get back to you as soon as I get a response from her. In the meantime, I will set up the meeting we discussed this morning for the week of October 9 to discuss benefits retention schedules in general and, more specifically, how they are affected by the use of emerging technologies such as imaging and the Internet.

If you have any additional questions before we meet, please feel free to call me at 987-0308.

Sincerely,

A handwritten signature in black ink, appearing to read "Barbara Facey". The signature is fluid and cursive, with a large initial "B" and a long, sweeping underline.

Barbara J. Facey  
Manager, Communications  
& Training  
UC Benefits

cc: Carole Swartz  
Mary Stephens  
Lucy Cuevas

TO: CHAIR OF UNIVERSITY RECORDS MANAGEMENT COMMITTEE

FORM REVIEW REQUEST FOR RETENTION PERIOD AND PRIVACY NOTIFICATION

Date 4/16/90	Return By 4/30/90	Form No./Revision Date UBEN 100 (R7/90)
Form Type SNAPOUT	Form Title ANNUITANT MEDICAL/DENTAL/LEGAL PLAN ENROLL/CHANGE/CANCEL	

Please review the attached form for retention period and privacy notification and provide instructions for the next printing of the form by completing the sections below. If you have any questions, you may reach me at 987-0380. When completed, please return this form to:

Marsha Van Cleve  
Office of the President Forms Coordinator  
8th Floor - Kaiser Bldg., Oakland

RETENTION

- Retention period is OK.
- Retention period to be established by the Committee of Records Disposition Schedules. Please note on form: 'RETN: Pending'.
- Retention period needs to be changed to conform to the Records Disposition Schedule. Retention period on form to be printed as follows:

PRIVACY

- Privacy notice is not applicable.
- Privacy notice is OK.
- Privacy notice needs to be changed according to instructions below:

~~Office of Record~~  
Accounting: 5 years after separation, except in cases of disability, retirement or disciplinary action, in which cases retain until age 70.

Other Copies: 0-5 years after separation

Assessed with 5/1/90

OP Benefits -  
5 years after  
Final  
payment  
5/15/90

APPROVED BY: Arthur E Crooks

DATE: 4-26-90