

Policy Statement

The Office of Human Resources (OHR) retains human resources (HR) records in accordance with university requirements, as well as federal and state laws governing record retention.

Scope

The HR Record Retention Policy applies to members of Carnegie Mellon creating and/or receiving University HR Records by or on behalf of the university.

HR records for individuals covered by a collective bargaining unit may be subject to additional retention requirements.

Definitions

Human Resources (HR) Record: Employee information records in electronic (including email), paper, photographic or other media format. University HR Records also include HR policies and compliance reports required by law.

Additional definitions can be found in the [HR Glossary of Terms](#).

Procedures

The HR Records Retention Schedule specifies the Retention Periods for the material categories of University Human Resources Records. Any material category or categories of University HR Records that appear to have been omitted or not addressed adequately in the Records Retention Schedule should be addressed to the Office of General Counsel.

Refer to [Appendix A](#) for the HR Record Retention Schedule.

Responsibilities

Office of Human Resources: Develops HR records retention processes and standards for monitoring compliance with this Policy.

Office of the General Counsel: Provides guidance regarding the legal retention requirements for documents and issues Litigation Holds to preserve records that are potentially relevant to actual or anticipated litigation.

Official Repository: Office or Department primarily responsible for retaining the HR records for the Retention Period required by this Policy as outlined in [Appendix A](#) below.

Related Resources

[HR Glossary of Terms](#)

[OHR Directory](#)

Appendix A: HR Record Retention Schedule

Type of Record	Official Repository	Source or System of Record	Retention Period
Applicant and New Hire			
Recruiting and screening documents such as applications, resumes and educational transcripts Note: Recruitment (or search) firms hired by the university must adhere to OFCCP and university record keeping and affirmative action requirements	Office of Human Resources	Workday	4 years from the hiring decision*
Faculty recruiting and screening documents maintained outside of Workday	Originating Department	Department Files or Interfolio	4 years from the hiring decision*
Employment			
Records relating to onboarding and employment history, including: - Job descriptions - Staff Handbook and policy acknowledgements - Offer letter and employment agreement (if applicable) - Notices of appointment, promotion, or tenure - Driver’s License (if required for the position) - Records relating to job offers, promotion, demotion, transfer and furlough	Office of Human Resources	Workday – Permanent Department Files: On-site – Duration of university employment + 2 years Off-site / Archive – Permanent	Permanent
Payroll / Time and Attendance			
Notification of pay increases / decreases	Originating Department	Department Files	Separation + 4 years
Compensation history, tax forms, direct deposit authorization	Office of Human Resources	Workday	Permanent
Time and attendance records (Time Cards, PTO)	Office of Human Resources	Workday	Permanent
Training and Development			
Education and training records	Originating Department	Department Files	Separation + 4 years
Performance Management			
Letters of recognition and awards	Originating Department	Department Files	Separation + 4 years
Performance evaluations (e.g. provisional period and annual reviews)	Originating Department	Workday – Permanent Department Files:	Permanent

Type of Record	Official Repository	Source or System of Record	Retention Period
		On-site – Duration of university employment + 2 years Off-site / Archive – Permanent	
Warnings, counseling and disciplinary notices	Office of Human Resources	Secured HR Files	Permanent
Employee Separation			
Resignation / Termination notice and supporting documentation	Originating Department	Workday – Permanent Department Files: On-site – Duration of university employment + 2 years Off-site / Archive – Permanent	Permanent
Employee Separation Agreements	Office of Human Resources	Secured HR Files	Permanent
Clearances and Investigations			
References and employment background check results	Office of Human Resources	Secured HR Files	Permanent
Child protection clearances	Office of Human Resources	Secured HR Files	Permanent
Drug Test Results	Office of Human Resources	Secured HR Files	Permanent
Workplace investigation records involving employee discipline matters, grievances, and ethics hotline claims	Office of Human Resources	Secured HR Files	Permanent
Benefits and Medical			
Benefit and retirement records, including: <ul style="list-style-type: none"> - Benefit enrollment forms - Elective retirement contribution percentages - Authorization of payout or transfer of vested retirement balances 	Office of Human Resources	Secured HR Files or Benefits Carrier	Permanent
Medical records (non-HIPAA), including: <ul style="list-style-type: none"> - Doctor’s notes - Medical leave records - Injury and illness reports 	Office of Human Resources	Secured HR Files	Permanent

Type of Record	Official Repository	Source or System of Record	Retention Period
- Workers' compensation claims			
Other			
Form I-9 Employee Eligibility Verification	Office of Human Resources	Workday	3 years, or 1 year after separation, whichever is later
Affirmative action self-identification of disability, race/ethnicity, gender and veteran status	Office of Human Resources	Workday	Permanent
EEO investigations, ADA accommodations requests and supporting documents including medical documentation submitted by the employee	Office of Human Resources	Secured HR Files	Permanent
Non-medical leave records including military and personal leaves of absence	Office of Human Resources	Secured HR Files	Permanent
Records relating to the employment of minors, including: <ul style="list-style-type: none"> - Work Permits - Parental Acknowledgement Forms (for minors under the age of 16) - Notification Letters 	Originating Department	Department Files	Separation + 4 years
Collaborating visitor questionnaire and executed visitor agreement	Originating Department	Workday	Permanent
University HR records			
Affirmative Action Plans and supporting documentation	Office of Human Resources	Secured HR Files	Permanent
Benefit and Retirement Plan documents	Office of Human Resources	Secured HR Files	Permanent
Compensation program description	Office of Human Resources	Secured HR Files	Permanent
Collective Bargaining Agreements	Office of Human Resources	Secured HR Files	Permanent
Records of activities related to union organization	Office of Human Resources	Secured HR Files	Permanent
HR Administrative Policies	Office of Human Resources	Secured HR Files	Permanent
Staff Handbooks and various operating location addenda	Office of Human Resources	Secured HR Files	Permanent

*Note: If an applicant is ultimately not hired, the records should still be retained for four (4) years after the no-hire decision is made.