

Human Resources Records Summary*This schedule applies to records in all formats***Permanent Records****Comments**

Administrative records including turnover and vacancy reports and spreadsheets, job descriptions, ideas for progress files, training manuals, unpublished reports, employee handbook, organizational charts, reference and subject files, staff and telephone lists, strategic and long range planning working papers and final plans; some benefit records including pension administration records not transferred to personnel files, contracts and agreements, and annual summary records of contributions; records stored in electronic payroll system.

See detailed schedule for exact list of record series, retention periods, and disposition procedures.

Temporary Records

Routine administrative files; non-permanent benefit records; non-permanent personnel records; and non-permanent payroll records.

Destroy budget records by shredding after seven years. See detailed schedule for exact list of record series, retention periods, and disposition procedures.

Email

Email accounts including sent email, inbox, folders, calendar

Transferred to archives by IMTS according to museum records policy

Enterprise data management systems

Database systems such as the collections management system, business systems, and sales and ticketing systems.

Maintained in perpetuity and managed by IMTS

The Cleveland Museum of Art Records Retention and Disposition Schedule

Administrative Records--All Departments

This schedule applies to records in all formats

| Item # | Record Title (Other Titles) | Description | Retain in Office | Retain in Archives | Total | Comments |
|--------|--|---|---------------------|------------------------------|----------------------|--|
| 1 | Administrative Files, Routine, all departments | A) Annual and other reports, unpublished, including statistics and program summaries; grant administration files; minutes and related material prepared by your department; policy statements and procedure manuals; and subject files regarding special projects and short and long term (strategic) planning. | CY + 4 years | P | P | |
| | | B) Budget working papers and details | 7 years | | 0 7 years | |
| | | C) Email | A | P record accounts only | P record accounts | See institutional records management policy on the Ingalls Library website for the list of record and non record accounts by department |
| | | D) Enterprise data management systems | *P | | 0 *P | Data contained within EMS systems remains in the system in perpetuity. Reports, statistics, and other documents created from the data should be treated like regular departmental business records and transferred to archives at the appropriate time. System installation and management, and the migration of data to new systems, is the responsibility of IMTS. |

The Cleveland Museum of Art Records Retention and Disposition Schedule

Administrative Records--All Departments

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|--|--|--|---|-----------------|-----------------|--|
| | | E) Project plan rooms | A | see comments | see comments | Project plan rooms are transferred to archives at the conclusion of the project. They are retained for CY + 2 years and then appraised for retention. Non permanent materials are included in appropriate destruction authorization forms. |
| | | F) Routine business: calendars, diaries, employment/intern/volunteer files, inventories, mailing lists, requests for service, research materials, vendor catalogs, time cards and sheets, training files, travel files | A | | 0 A | Transfer personnel files of terminated employees (including change of status, annual reviews, training files, etc.) to Human Resources for incorporation into the official museum record. |

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| Item | Record Series | Description | Retain in Office | Retain in Archives | Total | Comments |
|---------------------------------|--|--|------------------|--------------------|--------|--|
| 1 Administrative Records | | | | | | |
| 1.1 | Administrative Records Nonpermanent Retain until no longer useful then discard | Routine departmental administrative records; Birthday and anniversary lists; Intranet information (outdated information and shell for other HR components of the Intranet); Party and staff perk planning files | Active | 0 | Active | |
| 1.2 | Administrative Records Nonpermanent Retain in office for specified amount of time | Salary and benefit surveys including working papers in response to requests for information; Equal Employment Opportunity Commission (EEO-1) Report filed electronically with the Department of Labor; Program files including incentive programs, tuition reimbursement, health club memberships, etc.; Budget working papers and details | CY + 6 yrs | 0 | 7 yrs | These records currently have various retention periods from 4-7 years. Changing all to 7 years will simplify management. |
| 1.3 | Administrative Records Permanent in Office | Turnover and vacancy reports and spreadsheets; Job descriptions; Ideas for Progress files; Training manuals (commercially produced and in house) and accompanying records | *P | 0 | *P | |

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|------------|--|---|--|----------|----------|---|
| <p>1.4</p> | <p>Administrative Records Permanent in Archives</p> | <p>1.4.1 Annual unpublished reports including statistics, program summaries, and quarterly reports if produced 1.4.2 Employee handbook 1.4.3 Organizational charts 1.4.4 Reference and subject files 1.4.5 Staff and telephone lists 1.4.6 Strategic and long range planning working papers and final plans</p> | <p>1.4.1 CY + 3 1.4.2 Electronic edition *P 1.4.4 CY + 3 1.4.5 Electronic edition *P 1.4.6 A + 3</p> | <p>P</p> | <p>P</p> | <p>1.4.2 Send electronic copy to archives each time handbook is updated. Paper copies with significant annotations should also be sent to archives when no longer useful to HR. 1.4.3 Vital Record . Send copy to archives each time org chart is updated. 1.4.4 This record series will be heavily weeded. 1.4.5 Office copy is continually updated; archives retains each update. 1.4.6 Discard working papers, transfer final plans only.</p> |
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2 Benefit Records

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| <p>2.1</p> | <p>Benefit Records Health Insurance Nonpermanent</p> | <p>Administrative records pertaining to health and life insurance benefits and flexible spending and health saving accounts including contracts, enrollment forms for plans and flexible spending accounts, payment and billing plans, health plan terminations, changes in beneficiary forms, correspondence, and other administrative records. HIPAA law obligates confidentiality of personal health information in certain benefit documents. Storage and destruction of records must be held to the highest standard of confidentiality.</p> | <p>A + 2 yrs</p> | <p>12 yrs</p> | <p>15 yrs</p> | <p>If a plan remains in effect for a long period of time (such as Kaiser health insurance), records can be transferred to archives and will be held until two years following the termination of the plan. Statutory Requirement: One Year after termination of the particular plan. "Every employer shall keep on file any employee benefit plans such as pension and insurance plans, as well as copies of any seniority systems and merit systems which are in writing, for the full period the plan or system is in effect, and for at least 1 year after its termination." 29 C.F.R. § 1627.3. (EEOC Regulations)</p> |
| <p>2.2</p> | <p>Benefit Records Workman's Compensation Nonpermanent</p> | <p>Workers compensation records including claims (filed and unfiled), payments to Ohio BWC and third party administrators, OSHA logs, blank accident forms and statistical reports</p> | <p>A + 10 yrs</p> | <p>0</p> | <p>A + 10 yrs</p> | <p>Ohio Revised Code 4123.52 requires medical claims be retained for six years following last payment of benefits and lost time claims be retained for ten years from last date of payment of compensation or from date of death. For administrative purposes both types of claims have been conflated to ten years. Prior to 2014 medical claims were destroyed as per the legal requirement of seven years.</p> |

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| 2.3 | Benefit Records Deferred Pension Plan | 2.3.1 Pension study and analysis records 2.3.2 Pension administration records (not transferred to personnel files) | 2.3.1 A + 7 yrs 2.3.2 CY + 3 yrs | 2.3.1 0 2.3.2 P | 2.3.1 9 yrs 2.3.2 P | 2.3.1 records related to pension changes made in 2002; study is ongoing. |
| 2.4 | Benefit Records 401K Retirement Plan Nonpermanent | Administrative records including correspondence and detailed records of employer contributions and payments | CY + 3 yrs | 2 yrs | 6 yrs | |
| 2.5 | Benefit Records 401K Retirement Plan Permanent | 2.5.1 Contracts and Agreements 2.5.2 Annual summary records of contributions | 2.5.1 *P 2.5.2 CY + 3 yrs | 2.5.1 0 2.5.2 P | 2.5.1 *P 2.5.2 P | |

3 Personnel Records

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|-----|--|--|---|--------|--------|--|
| 3.1 | Bargaining Unit Contract Negotiations | Contracts and all ancillary materials including correspondence, memos, emails, reference material, and information about the union | Current Contract + 4 yrs or as needed for reference | 10 yrs | 15 yrs | |
| 3.2 | Bargaining Unit Records | records other than contract negotiations pertaining to union business and grievances | CY + 3 yrs | 3 yrs | 7 yrs | |

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| 3.3 | Grievance Files Not Bargaining Unit | records concerning grievances or performance issues that result in disciplinary action or termination | A + 7 yrs or at discretion of HR director | 0 | 7 yrs unless action taken, see comments | If a grievance is filed with the EEOC or a law suit is filed, records must be retained until final disposition of the matter (Title 29, Section 1602.14, USCFR). At final disposition transfer relevant records to personnel file, send remainder to archives for three years, then destroy. |
| 3.4 | Medical Files | includes family medical leave act information, diagnosis and treatment files, and notes from doctors; arranged by employment status and then alphabetical by employee | A (term of employment) + 2 yrs | 30 yrs | A + 30 yrs | long term retention of medical records is required by OSHA. HIPAA law obligates confidentiality of personal health information in certain benefit documents. Storage and destruction of records must be held to the highest standard of confidentiality. |
| 3.5 | Personnel Files | Includes recruitment activity documents, immigration records, resumes, annual reviews, etc. | A + 2 yrs | 5 yrs | 7 yrs (see comments) | Pension vested employees: retain in office until pension payments are no longer made to employee or designated beneficiary, then to archives for four years, then destroy. Non vested employees to archives for five years then destroy. |
| 3.6 | Recruitment Activity | All records related to recruitment not transferred to individual personnel files 3.6.1 Applications not considered 3.6.2 Candidates for employment | 3.6.1 CY + 1 yr 3.6.2 A + 5 yrs | 0 | 3.6.1 2 yrs 3.6.2 A + 5 yrs | |

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|----------|---|--|---|-------|-----------------|---|
| 3.6.3 | Recruitment Activity I-9 Federal verification for employment eligibility | Employment eligibility forms | one or three years (see comments) | 0 | see comments | retention: one years after termination or three years after date of hire, whichever is longer, then destroy |
| 3.6.4 | Recruitment Activity Immigration Records | Records pertaining to legal issues related to obtaining visas and green cards for employees not filed in personnel files | A + 6 yrs | 0 | 7 yrs | |
| 4 | Payroll Records | | | | | |
| 4.1 | ADP Workforce Now | Payroll software management system. Includes absentee reports, employee earnings records, procedure manual, time cards, and time card reports | *P | 0 | *P | Records are stored in the ADP system in perpetuity. Any data destructions after seven years must be initiated by CMA. |
| 4.2 | Attendance Calendars | | CY + 2 yrs | 0 | 3 yrs | Kept in binders as a back up to the ADP system |
| 4.3 | Authorization for payroll reduction | | CY + 1 yr | 5 yrs | 7 yrs | |
| 4.4 | Payroll checks | | 7 yrs | 0 | 7 yrs | |
| 4.5 | Payroll check requests for employee deductions | Mostly for 403b, union dues, and United Way | CY + 1 yr | 5 yrs | 7 yrs | |

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| 4.6 | Payroll ledgers and registers | | 7 yrs | 0 | 7 yrs | Received on CD. End of year payroll information is needed for six years to calculate pensions |
| 4.7 | W-2s | | CY + 1 yr | 5 yrs | 7 yrs | Received on CD |
| 4.8 | W-4s | | 4 yrs after termination of employee | 0 | 4 yrs after termination of employee | |