

This matrix summarizes the HR records retention rules most relevant for faculty offices, academic departments & schools. The complete HR records retention schedules are available on this web page:

<https://uwaterloo.ca/records-management/records-classification-and-retention-schedule/human-resources>

For advice on managing your HR files and their required documents, contact the Human Resources department. For more information on the HR records retention schedules and secure destruction of records, contact the University Records Manager.

**UW Human Resources Record Retention Schedules**

**Matrix for Faculties, Academic Departments & Schools**

**HR Administration**

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| **Appointments (Chairs and Directors of Academic Units)** | [**HR07**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR07.pdf) | Faculties | * Retain records of search for incumbent and previous incumbent. Securely destroy older records. * Records of unsuccessful candidates, feedback, and ballots: retain for 1 year after appointment approved, then securely destroy | Nominating committee agendas and minutes, position profiles and selection criteria, advertisements, lists of actual and potential candidates, nominations, candidates' CVs, interview questions, timetables, end of term reviews, solicited feedback on candidates, comment summaries, reference reports, ballots and ballot summaries, recommendations, announcements, and related correspondence. |
| **Appointments (Non‐Regular)**   * Includes: Research, visiting, adjunct, and special faculty; research and teaching assistants; postdoctoral fellows; research associates; visiting researchers, scholars, and scientists; temporary and casual staff; co-op and work study student positions. | [**HR08**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR08_0.pdf) | Hiring units | 1 year | Advertisements, unsuccessful candidates' application materials, interview questions and notes, rankings, references, and related correspondence.  **Successful candidate’s application file and appointment letter become part of that person's employment file.** |
| **Appointments (Regular Faculty)** | [**HR10**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR10_0.pdf) | Faculties, Academic departments and schools | 1 year | Unsuccessful candidates' application materials, hiring and appointment committee records, applications for a labour market opinion for hiring foreign academics, and related correspondence.  **Successful candidate’s application file and appointment letter become part of that person's employment file.** |
| **Appointments (Regular Staff)** | [**HR12**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR12_0.pdf) | Hiring units | 1 year | Advertisements, unsuccessful candidates' application materials, hiring committee records, interview questions and notes, rankings, references, and related correspondence.  **Successful candidate’s application file and appointment letter become part of that person's employment file.** |
| **Employment Files (Other Faculty)**   * Includes: Adjunct, research, visiting, and special appointments | [**HR20**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR20_0.pdf) | Hiring units | 5 years after last period of employment | Copies of letters of appointment/contracts, CVs and other application documents, performance reviews and related documentation where applicable, notices of awards, and related correspondence. |
| **Employment Files (Regular Faculty)** | [**HR22**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR22_0.pdf) | Academic departments and schools | * 5 years after termination of employment or retirement * Tenured faculty members: transfer files to Archives * Securely destroy all other records. | Records related to initial appointment as specified in Policy 75, Section 3A3; letters of appointment; records related to reappointment, tenure and promotion files which are withdrawn or do not progress to the President; annual performance review documentation; notices of promotion and /or tenure decisions; notices of leaves, etc., and related correspondence. |
| **Employment Files (Research/Teaching Assistants, Postdoctoral Fellows)** | [**HR26**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR26_0.pdf) | Hiring units | 5 years after termination of employment | CVs and other application materials, copies of appointment letters/contracts, documentation related to job performance where applicable, copies of relevant qualifications, and related correspondence. |
| **Employment Files (Temporary / Casual Staff)** | [**HR28**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR28_0.pdf) | Hiring units | Minimum 3 years & a maximum of 5 years after termination of employment | Application forms, resumes, copies of appointment letters/contracts, documentation related to job performance where applicable, and hours worked, copies of relevant qualifications, and related correspondence. |
| **Tenure and Promotion: Committee Minutes** | [**HR38**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR38_0.pdf) | Faculties, academic departments and schools | 40 years, then transfer  to Archives | DPTC & FTPC minutes (excluding candidate files) |
| **Tenure and Promotion: Candidates’ Files** | [**HR38**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR38_0.pdf) | Academic departments and schools | * Retain files related to probationary reappointment and withdrawn tenure and promotion files as part of the member's employment file * Securely destroy copies of candidates' files which progress to the FTPC once the final decision, including any appeal, has been rendered. | |
|  | [**HR38**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR38_0.pdf) | Faculties | * Retain files related to reappointment appeals and tenure and promotion files which do not progress to the president as part of the member's employment file; * Securely destroy copies of candidates' tenure and promotion files which progress to the president once the final decision, including any appeal, has been rendered. | |
| **Discipline (Faculty) Case Files** | [**HR43**](https://uwaterloo.ca/records-management/sites/ca.records-management/files/uploads/files/HR43_0.pdf) | Faculties | * No disciplinary action taken: 3 years after conclusion of investigation * Disciplinary action taken: 3 years after last disciplinary action | Complaints and allegations, notes, memoranda, investigation documents, reports, settlement agreements, disciplinary decisions, and related correspondence. |

**Note:**  **Re: Regular Staff**

**The official regular staff employee file is stored within Human Resources.**

Any secondary staff employee file maintained by the department must be returned to Human Resources Administration for purging when an employee **i) departs the institution; *or*  ii) transfers to another department; *or* iii) transfers to a new manager within the same department.**