Central New England HealthAlliance Section: Human Resources

Policy	
HA-60-58 Human Resources Record Keeping Guidelines	
Developed By: Human Resources	**Effective Date:** 2/21/18
Policy Owner: Human Resources	**Approved by:** Julie DeBono, Senior Director, Human Resources Deborah K. Weymouth, MBA, FACHE President & CEO UMass Memorial HealthAlliance-Clinton Hospital
Applicability: This policy applies to all departments within HealthAlliance-Clinton. This policy applies to all payroll documentation and records related to accurately completing time records for all employees.	
Keywords: Record keeping, retention, documentation, payroll, regulations	

Policy

To ensure HealthAlliance-Clinton is in compliance with state and federal regulations for retention of all required Human Resources records. To provide information to those individuals responsible for payroll processing activities regarding the storage and retention of documentation supporting payroll timekeeping records.

Definitions

N/A

Required Criteria for Procedure (if indicated)

All supervisors, managers, directors and those who are delegated payroll responsibility are required to comply with this policy. Human Resources will retain all employee records at a minimum as mandated by State and Federal requirements per the attached Record Retention Reference Tool. Records will be destroyed after the specified time period.

Employees may review their records upon written request during normal business hours in the Human Resources Department. HealthAlliance-Clinton will provide access to the file within 5 days of the date on which the written request was submitted. Employees may also request in writing a copy of their file.

The following lists payroll timekeeping records and Human Resource records that must be retained, the time period for these documents to be retained and applicable regulations or HealthAlliance-Clinton policies governing their retention.

Clinical/Departmental Procedure (if indicated)

Document	Length of Retention	Legal Citation
Hard Copy Work Schedules Electronic Schedules	5 years	455 Code Mass.Regs 2.06
Time Sheets	5 years	455 Code Mass.Regs 2.06
Kronos Records (Hours worked each day and each week by employee)	5 years	455 Code Mass.Regs 2.06
Employee Exception Reporting	5 years	455 Code Mass.Regs 2.06
Communications from employees regarding time reporting (email, written notes, etc.)	5 years	455 Code Mass.Regs 2.06
Approved Time Sheet Reconciliations to Schedules	5 years	455 Code Mass.Regs 2.06
Paid Time Off Request Forms	5 years	
Jury Duty Forms	5 years	
Bereavement (documentation, if required)	5 years	
Miscellaneous - Other related payroll and HR documentation including situations resulting in paid time off	5 years	
EEO Reports	3 years.	7 years
Employee relations files	No specific requirement.	Keep current calendar year plus 2 prior calendar years. If another incident occurs within 2 years, the file is kept 2 years from the date of the new incident.
CORI forms and reports	7 years after date of termination.	
Employment Applications	2 years.	Current calendar year plus two prior calendar years.
Health plan subscriber lists and requisitions	No specific requirement.	5 years
I9s	3 years after date of hire or 1 year past end of employment, whichever is longer. EEO indicated I9s cannot be filed in personnel folder.	3 years after date of hire or 1 year past end of employment, whichever is longer.
Occupational health employee medical records	30 years after date of termination.	30 years after date of termination.
Pension files	No specific requirement.	Only destroy after employee receives a distribution.
Personnel files (employee files)	No specific requirement.	Current calendar year plus 7 prior years from date of termination. Check for Pension Plan information before destroying.
Tuition applications Sybilla Orth Young scholarship applications	3 years.	Current calendar year plus 3 prior years.
Benefit Plan 5500s	7 years	7 years

All documentation should be maintained in hard copy personnel folders by employee. Email should be maintained electronically in personal folders by employee.

NOTE: The length of retention for the documents identified above may be extended due to certain circumstances.

MONITORING:

The next level of supervision of the employee responsible for retaining these documents should periodically monitor that the documents are being retained for the appropriate time period.

Supplemental Materials

N/A

Rescission

HA-60-58 dated 12/2016

References

N/A