

Title: Records Retention – Human Resources

<input type="checkbox"/> Initial Action:	New
<input type="checkbox"/> Board Resolution:	24-074
<input type="checkbox"/> Last Revised:	
<input type="checkbox"/> Policy:	11/6/2024
<input type="checkbox"/> Procedure:	11/6/2024
<input type="checkbox"/> Last Review:	
<input type="checkbox"/> Effective:	12/5/2024
<input type="checkbox"/> Responsibility:	Executive Director of Human Resources

Policy:

Cecil College recognize that accurate and effective record keeping is not only vital to the continued operation of the College but is critical in meeting legal obligations. Therefore, it is important to establish an approved Records Management Program within Human Resources. “Records Management” is defined as the field of management responsible for the efficient and systematic control of, the maintenance, use and disposition of records including the processes for capturing and maintaining evident of and information about business activities and transactions in the form of records. A sound Records Management Program within Human Resources will aid in:

- providing evidence of compliance with Federal, State and/or Local government laws and regulations,
- protecting the College, students, personnel, and trustees in the event of litigation, government investigation and/or audit,
- ensuring the integrity of the human resources of the College, and
- preserving the history of the human resources of the College

Procedure:

To accomplish the goals of the Records Management Program, retention periods should be assigned to all records created by Human Resources. With the retention periods in place, control of records inventory will be more efficient.

Records are defined as any documentary material in any form or received in connection with the transaction of business and includes: (i) written materials, email, books, photographs, photocopies, publications, forms, microfilms, tapes, computerized records, maps, drawings, and other materials in any format as well as (ii) data generated, stored, received, or communicated by electronic means for use by, or storage in, an information system or for transmission from one information system to another.

Following legal requirements established in the Code of Federal Regulations 2 CFR 200.334 Retention Requirements for Records, guidelines set forth in COMAR 14.18.02, and standard

management practices for business, a retention period for all Human Resources records will be established.

- A. Retention periods will be documented in a Records Retention Schedule as outlined within the procedure section.
- B. The Executive Director of Human Resources or a human resources employee as directed by the Executive Director of Human Resources is responsible for:
1. Implementing and monitoring records management practices pursuant to this policy.
 2. Updating the Records Retention Schedule as applicable.
 3. Training HR staff on the importance of effective records management practices.
 4. Preserving records as required under this policy.
 5. Disposing or archiving of records upon approval and within the parameters set forth in the Records Retention Schedule.
 6. Establishing safeguards against damage, removal, or loss of records.

Type of Record	Location	Retention
General/Routine Correspondence and Office Files- Correspondence, memoranda and miscellaneous subject files related to the activities of Human Resources	Human Resources	3 years, or until such value ends or deposited in the archives for permanent retention. This does not include active employee files.
Search Committee Files- Includes personnel requisition which includes posting information, screening tools, interview notes, resumes received, and other records related to hire/no hire decision	Human Resources	Onsite for 1 year from the date position was filled; 3 years in archives.
Unsolicited Applications- Applications received not specific to posted job posting.	Human Resources	6 months from date received.
Form I-9-Form I9 and related supporting documentation	Human Resources	3 years after hire date or 3 years after termination date, whichever is later.
Background Checks- Background check results	Human Resources	1 year onsite; 5 years in archives.

OSHA Logs-OSHA related documentation as required to post by federal and state law.	Human Resources	Calendar Year + 5 in Human Resources Office then transfer to archives for permanent retention.
Worker's Compensation Records-Injury report, medical reports, bills, and related materials	Human Resources	3 years onsite; 27 years offsite
Employee TB Results: Results for TB test as required for specific positions.	Human Resources	3 years onsite; 27 years offsite
Unemployment Insurance Quarterly Reports-Reports related to unemployment.	Human Resources	Calendar Year in Human Resource Office then 5 years in archives.
Employee Files- which includes all human resources and payroll related items. At time of termination combine with HIPAA file, which includes medical documentation.	Human Resources	1 year onsite after termination date; 6 years in archives after termination date.
College Salary Schedules- Records by fiscal year of applicable salary schedules per employee type (faculty, staff)	Human Resources	Permanent
Salary Increase History: List of any general salary increases, including list of employee adjustments	Human Resources	Permanent
Employee benefits documentation: summary plan descriptions, annual reports, notices of reportable events, plan termination	Human Resources	6 years from documentation receipt.

Litigation Hold:

Human Resources may receive legal notification to impose a litigation hold to preserve specific documents and records. As soon as Human Resources is made aware of this information, a litigation hold directive will be issued to the legal custodian. The litigation hold directive overrides any record retention schedule that may have otherwise called for the transfer, disposal, or destruction of the relevant documents until the Executive Director of Human Resources has

cleared the hold.

If a litigation hold is placed with respect to certain documents, there is a legal duty to maintain these documents in their original form, and they should not be destroyed or altered until resolution.

A "Records Clean-Up" will be conducted at least once a year. During this time Human Resources staff will:

1. update the Records Retention Schedule by reviewing current retention periods and adding any new records to the schedule,
2. purge office files,
3. arrange for the transfer of records to archives, and,
4. with proper authorization, handle disposition of obsolete records.