

## Human Resources Records Retention – Drawer Set-Up Guide

### Human Resources Record Retention Responsibility

It is the responsibility of each site to maintain complete and accurate Human Resources (HR) records at all times. HR records must be maintained in the appropriate file drawer, by year, utilizing section dividers. Section dividers sort the records by active/inactive employee status, document type, and year. Failure to properly maintain HR records may lead to significant fines for the location.

### HR Records: Current Year Drawer

The *Current Year Drawer* should contain HR records for all active employees as well as employees terminated during the current year. Section dividers are used to organize HR records for the current calendar year.

The following list describes the type of HR records to be filed in each section:

- **Employment Applications** – Employment applications, filed by month, for applicants who have not been hired.
- **Active Personnel Files** – All new hire paperwork, excluding the I-9 Form.
  - Note:** All I-9 Forms and supporting documents must be kept in a separate file apart from the personnel file labeled *Active Employee Employment Eligibility*. Refer to the *Permissible Documents List* on page 3 for more information.
- **The following documents are legally required and must be in each employee’s personnel file:**
  - W-4 Form
  - Notice of Wage Rate (Non-exempt employees hired after 8/16/10)
  - Work Permits (for employees 18 year of age or younger and still enrolled in school)
- Any document required by law **must** be obtained from current employee, if missing from the personnel file.
  - Note:** Do **not** back date any forms.
- If the Background Screening Consent and Authorization Form is missing from the personnel file, explain to the employee that we would like to have a complete personnel file for him/her and ask, **but do not require**, the employee to complete the missing form.
- If the Diocese of Sacramento Application or Interview Guide is missing from the personnel file, do **not** complete the missing forms.
- The following new hire documents should be in each employee’s file:

- Employee Handbook Acknowledgement Forms
- Employee Live Scan Approval
- PT100
- Signed Job Description

Contact the Lay Personnel Department to determine where you should file any additional documents that are not on the *Permissible Documents List* **before** including these documents in the personnel file.

- **Do not destroy/throw away any documents not on the *Permissible Documents List*.**
  - Personnel files for all active employees must be maintained and retained for the duration of the employees' employment with the location.
  - When the employee terminates employment, move the file to the *Inactive Personnel File* section for the year they were terminated.
- **Active Employee Employment Eligibility (I-9 Form)** – I-9 Form Employment Eligibility Verification Forms
    - I-9 Form is NOT required for employees hired on or before November 6, 1986**
    - File I-9 Form documents in alphabetical order.
    - Staple copies of supporting documentation, such as passport, driver's license, social security card and/or other acceptable documents to the back of the I-9 Form.
    - When an employee terminates employment, his/her I-9 Form and supporting documentation must be moved to the *Inactive Employment Eligibility* file for the year they were terminated.
      - For example, if an employee terminates their employment in 2016, place their I-9 Form and supporting documentation in the *2016 Inactive Employment Eligibility* file.
  - **Workers' Compensation Documentation**
    - Create a separate file for each Workers' Compensation claim.
    - Maintain the Physical Capabilities/Work Restriction Forms and other supporting Workers' Compensation information in this file.
    - When the employee terminates employment, move the Workers' Compensation file to the *Inactive Workers' Compensation* file in your HR records drawer for the year they were terminated.
  - **Employee Medical Documentation (ML, FML, LOA, etc.)** – All Medical/Family Leave documentation as well as all LOA documents and documents related to the interactive process should be kept in this file.
    - Doctor's note pertaining to restrictions of the employee that are not Workers' Compensation related should be placed in this file.
    - When an employee terminates employment, move the file to the *Inactive Employee Medical Documentation (ML, FML, LOA, etc.)* section of your HR records drawer for the year he/she was terminated.
  - **Current Year Inactive Employee Personnel File**
  - **Current Year Inactive Employee Employment Eligibility File (Form I-9)**
  - **Current Year Inactive Employee Workers' Compensation File**
  - **Current Year Inactive Employee Medical Documentation (ML, FML, LOA, etc.) File**

## HR Records: Previous Two Years Drawer

HR records for the previous two (2) years are filed, by year, in a drawer separate from the current year. There are section dividers for records from the previous year and for records that are three (3) years old. Guidelines for documents filed in these sections are the same as those for the current year sections.

Only inactive employees HR records are filed in the *Previous Two Years* drawer. All HR records for active employees are maintained in the *Current Year* drawer.

Records older than three (3) years should be placed in a records storage box. The records are not to be destroyed until they meet the requirements of the *Diocesan Document Retention Policy*.

### **EXCEPTION: Inactive Employee Employment Eligibility File (I-9 Form)**

Destroy the I-9 Form three (3) years after the employee has been terminated.

The following dividers are used for records from the previous two (2) years:

- **Employment Applications**
- **Inactive Employee Personnel File**
- **Inactive Employee Employment Eligibility File (I-9 Form)**
- **Inactive Workers' Compensation File**
- **Inactive Employee Medical Documentation (ML, FML, LOA, etc.) File**

## Legally Required Documents

All employees must have the following legally required documents available in the appropriate file. If any of these documents are missing from the HR Record files, obtain a new copy from the employee.

- **Personnel File**
  - W-4 Form
  - Notice of Wage Rate (Non-exempt employees hired after 8/16/10)
  - Work Permits (for employees 18 year of age or younger and still enrolled in school)
- **Active Employee Employment Eligibility (I-9 Form) File**
  - I-9 Form
  - Clear copies of supporting documents used for employment eligibility verification

## Personnel File Permissible Documents List

The following documents should be filed in an employee's personnel file:

- Employment applicant and resumes
- Employee Interview Guides
- Job Offer Letters
- All applicable new hire paperwork as listed below:
  - Employee Handbook Acknowledgement Forms/Addendums
  - Employee Live Scan Approval Email
  - PT100
  - Signed Job Description

- W-4 Form
- Notice of Wage Rate (Non-exempt employees hired after 8/16/10)
- Work Permits (for employees 18 year of age or younger and still enrolled in school)
- PT800 Direct Deposit Form
- New Employee Safety Orientation Checklist
- Transcripts (if applicable)
- Letter of Recommendation (if applicable)
- New Hire Checklist
- Benefit Enrollment Items as listed:
  - PT1001 Benefit Payroll Deduction Authorization
  - PT10 Employee Benefit Election Form
  - SACL201 Lay Employee Pension Plan Beneficiary Designation
  - 403(b) Savings and Investment Forms
  - 403(b) Beneficiary Designation Form
- Notification Letter/Terms of Employment (PTOU)
- PT200 Personnel Transaction – termination/change
- PT690 Separation Checklist
- Resignation Letter
- Sexual Harassment Training Certificate (if applicable)
- Leadership Training (if applicable)
- Catechistic Training (if applicable)
- Blood Bourne Pathogens Training (if applicable)
- TB Clearance (if applicable)
- Shield the Vulnerable Certificates
- Continuing Education Documents (if applicable)
- PT501 Paid Leave/Time Off Request
- Employee Evaluations/Reviews
- PT900 Documented Corrective Actions
- PT655 Request to Inspect Personnel File
- Credentials/Required Certification

**ATTENTION: The I-9 Form and documentation MUST be kept in the *Employee Employment Eligibility Files*.**

**Questions: If you have any questions regarding the disposition of other documents not listed, contact the Lay Personnel Department.**

## Payroll

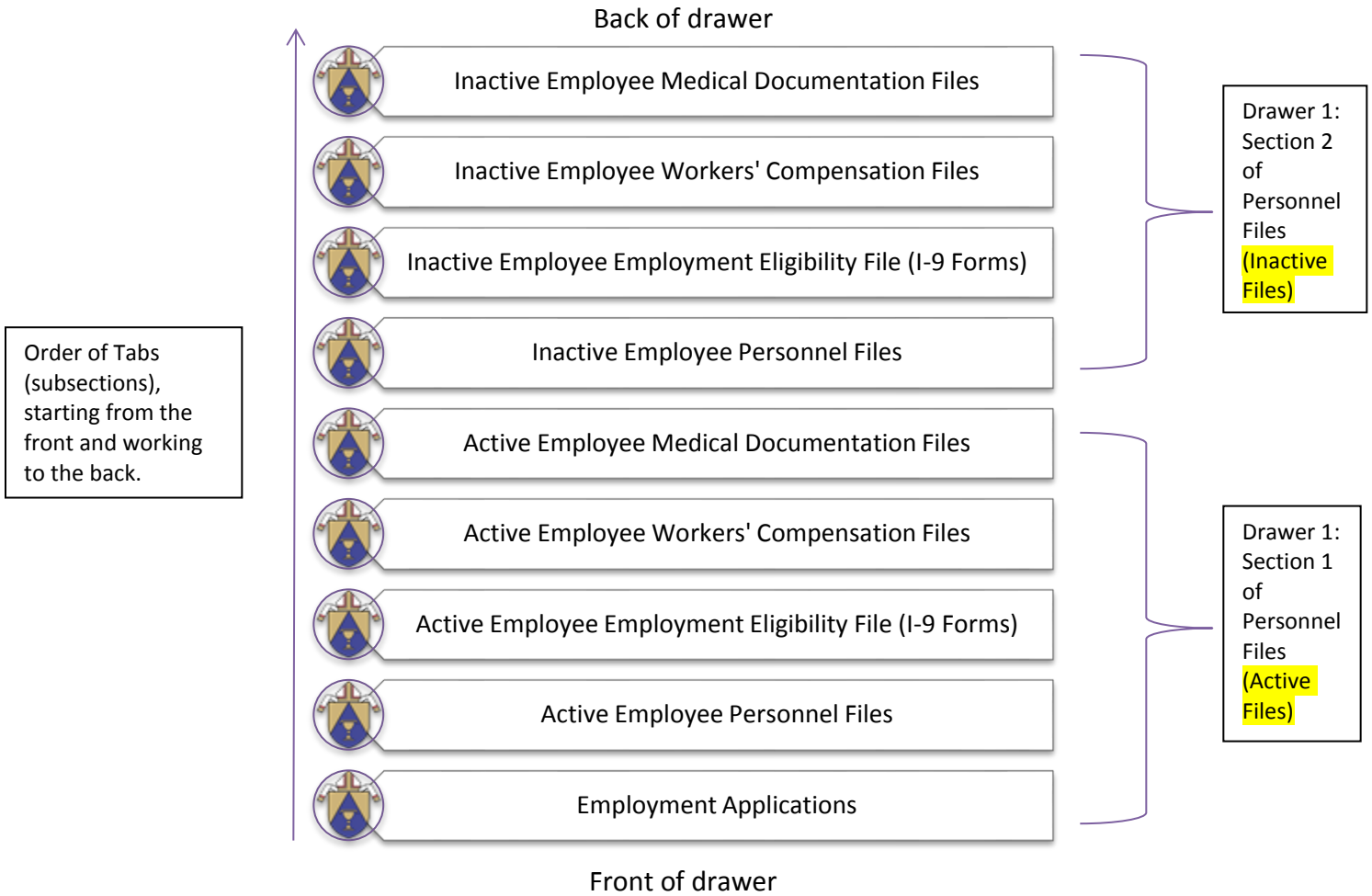
At the conclusion of each payroll cycle, the ADP Payroll Report for the previous pay period is generated. The ADP Payroll Report lists all employee time records (punches) from the selected pay period. All employees must review their pay records and revisions listed on the report. By signing the document (timesheet), the employee confirms that the time records are accurate.

Locations are required to retain payroll records for seven (7) years. Payroll records consist of time card reports, weekly work schedules, and state specific payroll documents. Records should be separated by year and stored in a secure manner in either binders or drawers. Payroll records older than three (3) years must be placed in a records storage box, labeled, and stored in a secure location.

# Human Resources Retention Quick Reference Guide

## HR Records for the Current Year Drawer

Example: All 2016 Personnel Records



### Two (2) HR Records Drawers:

#### 1. HR Records for the Current Year

\* Example: HR Records for Current Year 2016

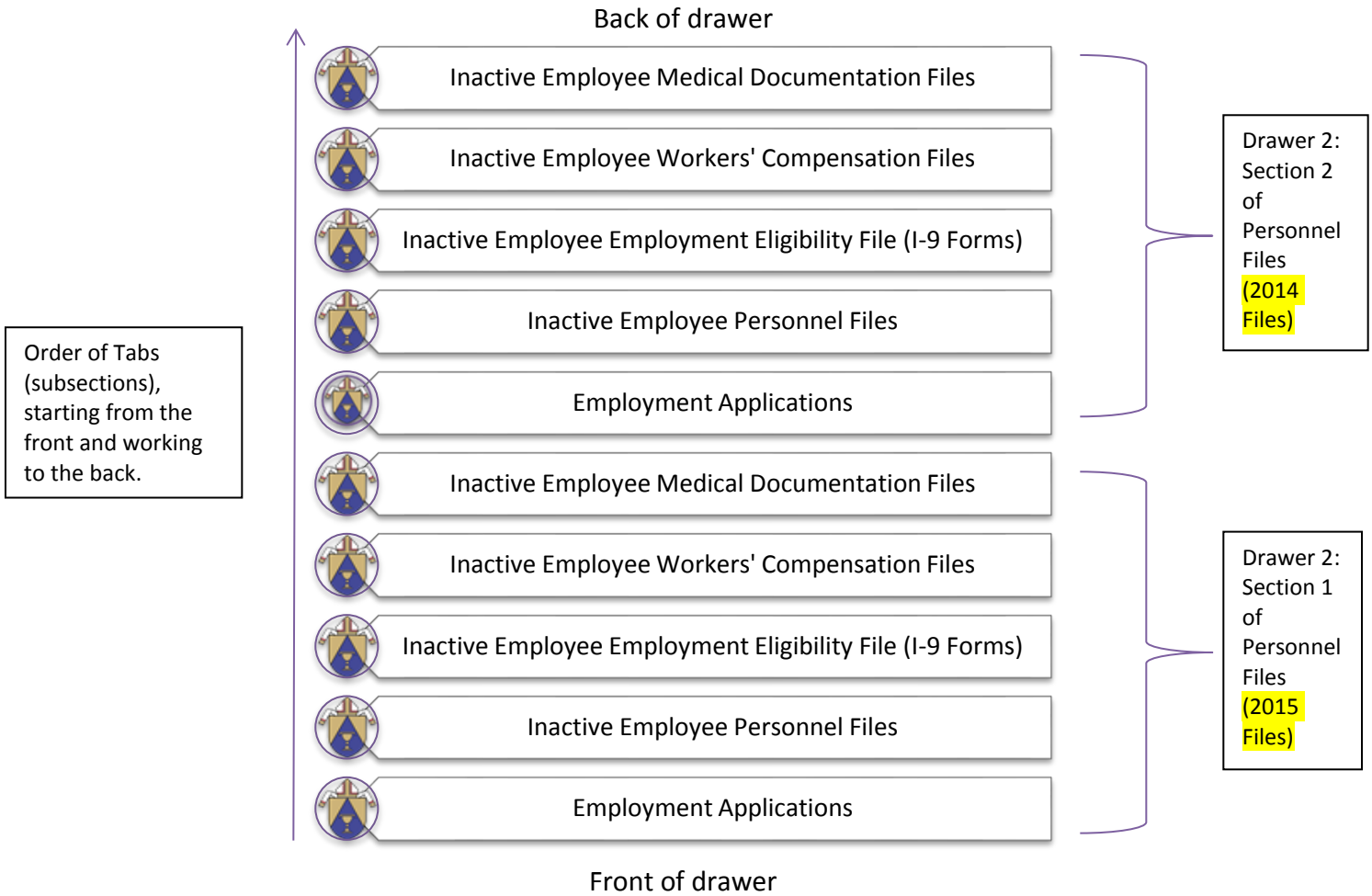
#### 2. HR Records for the Previous Two (2) Years

\* Example: Combined HR Records for Years 2014/2015

# Human Resources Retention Quick Reference Guide

## HR Records for the **Previous Two (2) Years Drawer**

Example: All 2014/2015 Personnel Records



### Two (2) HR Records Drawers:

#### 1. HR Records for the Current Year

\* Example: HR Records for Current Year 2016

#### 2. HR Records for the Previous Two (2) Years

\* Example: Combined HR Records for Years 2014/2015