


Welcome HR Professionals



ACUMEN INFORMATION SERVICES INC. 276-4567

Legal Compliance, Certified Records Management & Consulting



Retention Management

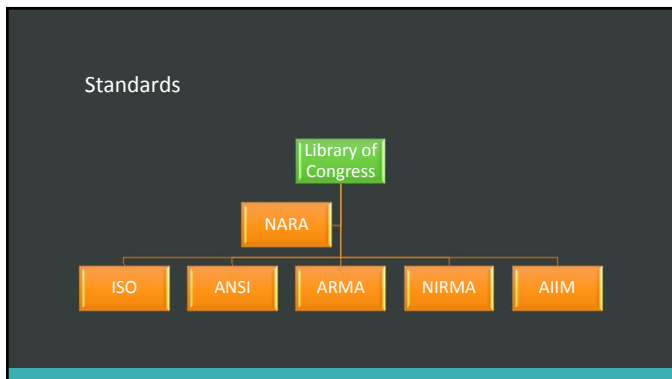
BACKGROUND AND RIM FUNDAMENTALS

RIM – Records and Information Management


 Ownership	 Program
 Records (Data Ownership)	 Responsibility

Prove it.



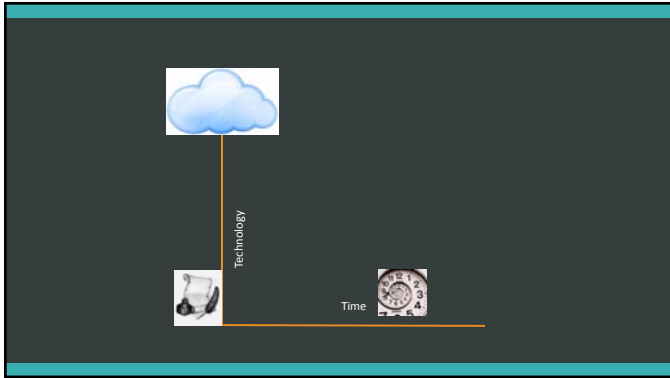


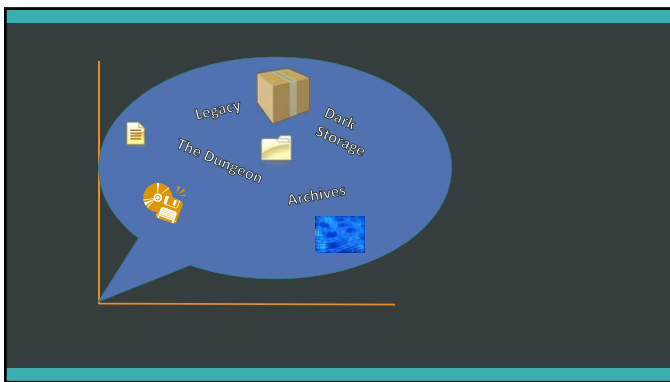
The Courts



Consistent	Repeatable
Reliable	Proven through procedures
Audit Worthy	Creation, use, identification, disposition
Normal Course	Policy
Enforcement	Executive ownership
Ownership	Assigned responsibilities

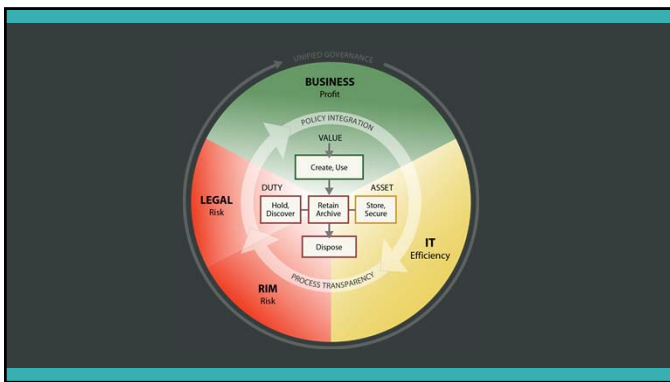
- ### Components
- 
- Policy
 - Procedures
 - Training
 - Inventory/Classification
 - Network of Records Coordinators
 - Retention Management (RRS)
 - Destruction
 - Ownership
 - Annual Audits
 - Records Hold
 - Vital Records
 - Historical Records Preservation











BAMP	LEVEL 1	LEVEL 2	LEVEL 3	LEVEL 4	LEVEL 5
Availability
Retention
Disposition
Integrity
Transparency
Accountability
...

Who is exempt?

- No business or government entity is exempt from the legal requirements of records retention





Human Resources Retention Management

THE CONCEPT OF RETENTION MANAGEMENT

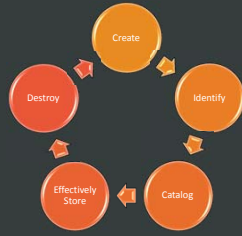
Records Retention

- What it is
- Why it is important
- Who is obligated
- How it is accomplished



What is Retention Management?

- A precise method to manage and dispose of records according to legal, financial, and business requirements.





Human Resource Records



- Benefits
- Employee Files
- Health and Safety
- Training
- Labor Relations/ Grievances
- I-9
- Compliance

Building a Retention Schedule

Record Series
HUM1000



Building a Retention Schedule

Record Series	Subject
HUM1000	Human Resources/Benefits/Plans



Building a Retention Schedule

Record Series	Subject	Description
HUM1000	Human Resources/Benefits/Plans	Records related to company sponsored benefit plans. Includes insurance, pension, disability, incentive, medical, retirement, survivor programs, vesting criteria, vacation entitlements, sick leave benefits, educational assistance, relocation plans, savings plans, actuarial records, and correspondence explaining benefit plans.



Building a Retention Schedule

Record Series	Subject	Description	Data Owner
HUM1000	Human Resources/ Benefits/ Plans	Records related to company sponsored benefit plans etc.	VP of Human Resources



Building a Retention Schedule

Record Series	Subject	Description	Data Owner	Legal Retention
HUM1000	Human Resources/ Benefits/ Plans	Records related to company sponsored benefit plans etc.	VP of Human Resources	Active + 4



Building a Retention Schedule

Record Series	Subject	Description	Data Owner	Legal Retention	Industry Standards
HUM1000	Human Resources/ Benefits/ Plans	Records related to company sponsored benefit plans etc.	VP of Human Resources	Active + 4	Active + 6



Building a Retention Schedule

Record Series	Subject	Description	Data Owner	Legal Retention	Industry Standards	Total Retention
HUM 1000	Human Resources/Benefits/Plans	Records related to company sponsored benefit plans etc.	VP of Human Resources	Active + 4	Active + 6	Active + 6



Examples of HR Record Series



Examining Laws Governing HR Records

- **CODE OF FEDERAL REGULATION TITLE 29**-Labor
- **US CODE TITLE 29**-Labor
- **US CODE TITLE 42**-Public Health and Welfare
- **CODE OF FEDERAL REGULATIONS TITLE 8**-Aliens and Nationality
- **TITLE 8 ALASKA ADMINISTRATION CODE**-Labor and Workforce Development
- **ALASKA STATUTE 23**-Labor and Workers Compensation



Roles and Responsibilities - Ownership



Points to Ponder



- Depend on Industry Standards
- Research and document HR retention requirements
- Maintain HR retention as a department-wide commitment
- Seek to educate the entire organization on the legal requirements of recordkeeping
- Promote the benefits of RIM
- If your company does not have a full RIM Program you should seek professional help

HR Responsibilities

- Meet and discuss with HR Management
- Assign Records Coordinator responsibilities
- Educate the Records Coordinators on RIM
- Outline proposed retention schedule for HR
 - Seek legal approval
- Apply through departmental procedure



Thanks and Good Luck!

