	THE JOHNS HOPKINS HEALTH SYSTEM CORPORATION AND THE JOHNS HOPKINS HOSPITAL HUMAN RESOURCES POLICY and PROCEDURE MANUAL	Policy Number	HR201
		Effective Date	<b>January 6, 2009</b>
	<u>Subject</u> Retention, Disclosure, and Disposition of Employee Records	Page	1 of 6
		Supersedes	February 1, 2004

## **POLICY**

The Johns Hopkins Health System Corporation (“JHHSC”) and The Johns Hopkins Hospital (“JHH”) maintain records of employees and applicants in compliance with all applicable federal, state, and local laws. Through the records maintenance program, JHHSC and JHH accomplish the following:

- (a) Identify the records of employees and applicants;
- (b) Maintain the confidentiality and security of the records of employees and applicants;
- (c) Preserve records of continuing value;
- (d) Preserve documents relevant to litigation, an investigation, or an audit that is ongoing or reasonably anticipated;
- (e) Systematically dispose of records of no continuing value; and
- (f) Facilitate the timely fulfillment of a governmental entity’s request for information.

## **DEFINITIONS**

**Central Employee File** – A collection of the following documents, regardless of form: application of employment, resume, initial federal and state tax forms completed by the employee, new employee orientation check list, employment offer letter, and other miscellaneous documents.

**Central Employee Records** – The office within the Human Resources Service Center/Benefits that is responsible for the retention, security, confidentiality, and timely disposition of the employee’s personnel file, DHS form I-9, benefit enrollment forms, and federal and state tax forms.


**Departmental Employee File** – Any Employee Records stored within the department, including the following: forms, data, reports, spreadsheets, anecdotal notes, memos, calendars, minutes, agendas, and e-mail communications.

**Employee Record** – Any document, regardless of form, that is related to the terms, conditions, and privileges of employment, including the application, selection, hiring, status, benefits, compensation, training, discipline, or promotion of an employee or former employee.

## **OTHER RECORDS MAINTENANCE AREAS**

The following departments are responsible for the retention and disposition of documents that concern an employee, applicant, or former employee, but are not Employee Records (defined above) subject to the requirements of this policy:

1. **Payroll Shared Services** – The division of the Finance Department responsible for the administration of salary, sick, and leave benefits.
2. **Career Services** – The office within the Human Resources Department responsible the recruitment and hiring of employees.
3. **Compensation Office** – The office within the Human Resource Department responsible for wage and salary guidelines, salary planning increases, job descriptions, classification status changes.
4. **HR Information Processing Center (HRIPC)** – The office responsible for processing HR transactions and maintaining records of these transactions.
5. **Health, Safety & Environment Department** – The department responsible for the environmental and fire-related safety of patients, students, and employees and for the inspection and maintenance of the facilities of the Johns Hopkins Medical Institutions.

	THE JOHNS HOPKINS HEALTH SYSTEM CORPORATION AND THE JOHNS HOPKINS HOSPITAL HUMAN RESOURCES POLICY and PROCEDURE MANUAL	Policy Number	HR201
		Effective Date	<b>January 6, 2009</b>
	<b>Subject</b> Retention, Disclosure, and Disposition of Employee Records	Page	2 of 6
		Supersedes	February 1, 2004

6. **Occupational Health Services** – The division of the Health, Safety & Environment Department responsible for the preliminary examination and screening of applicants, health evaluations, medical monitoring, counseling, and TB screening.
7. **Occupational Injury Clinic** - The division of the Health, Safety & Environment Department responsible for the evaluation and treatment of all line-of-duty injuries.
8. **EEO/AA/Diversity Office** – The office within the Human Resources Department responsible for ensuring the proper investigation and resolution of discrimination and harassment complaints, and for managing the equal employment opportunity complaint procedure to ensure compliance with federal, state, and local laws and regulations.
9. **Nursing Administration** – The division of Nursing and Patient Care Services that provides the coordination and consultation services necessary for the development and evaluation of all nursing programs, standards, and clinical practices.

## **PROCEDURE**

### **Confidentiality and Security of all Employee Records**


Central Employee Records implements administrative, physical, and technical safeguards to insure the confidentiality and security of employee files. Access to Central Employee Files is granted according to the following procedure:

1. Employees requesting to see their official Central Employee Files will be directed to contact an HR Consultant at 410-955-6783.
2. The HR Consultant will schedule an appointment with the employee to review the employee's file. The HR Consultant will be present to answer questions.
3. Identified 1199E union delegates are permitted access to the employee file, as authorized by the employee and as scheduled with an HR Consultant.
4. No file is to be reproduced for the employee's use.
5. After the review, the employee, the union delegate (if applicable), and the HR consultant will sign a form stating the date and time the employee reviewed the file.

### **Confidentiality and Security of Departmental Employee Files**

Each functional unit is responsible for implementing safeguards to insure the confidentiality and security of its Departmental Employee Files. The supervisor or manager of the department is responsible for insuring the confidentiality and security of a file that must be transferred to another department. An employee who is transferred is prohibited from carrying the Departmental Employee File to the new department. Access to Departmental Employee Files is granted according to the following procedure:

1. All functional units should implement a procedure and develop a form for accessing Departmental Employee Files that is similar to the JHHSC/JHH Central Employee Records procedure and form. (See Appendix 1.)
2. An employee may review the employee's Departmental Employee File in the presence of the employee's supervisor or manager. The supervisor or manager will answer the employee's questions.
3. Identified 1199E union delegates are permitted access to the Departmental Employee File, as authorized by the employee and as scheduled with the employee's supervisor or manager.

	THE JOHNS HOPKINS HEALTH SYSTEM CORPORATION AND THE JOHNS HOPKINS HOSPITAL HUMAN RESOURCES POLICY and PROCEDURE MANUAL	Policy Number	HR201
		Effective Date	<b>January 6, 2009</b>
	<u>Subject</u> Retention, Disclosure, and Disposition of Employee Records	Page	3 of 6
		Supersedes	February 1, 2004

4. No file is to be reproduced for the employee, except performance appraisals requested by the employee.
5. After the review, the employee, the union delegate (if applicable), and the supervisor or manager will sign a form stating the date and time the employee reviewed the Departmental Employee File.

### **Retention of Employee Records**

JHHSC and JHH will retain Employee Records in accordance with all applicable federal, state, and local laws. The Employee Records Retention Schedule in Appendix 1 lists the following for each Employee Record: the retention period, the official repository, and the form in which the record is maintained.

### **Employee Records Freeze**

JHHSC and JHH must not destroy or delete any Employee Record that may be relevant to litigation, an investigation, or an audit that is ongoing or reasonably anticipated, even if the document may have an adverse effect. The obligation to preserve applies to any relevant document, whether or not it appears on the retention schedule, and continues until the final disposition of the action. JHHSC and JHH will implement any records freeze issued by the Legal Department and will maintain the freeze until it is lifted by the Legal Department.

### **Disposition of Employee Records**

Annually, Central Employee Records will prepare the previous year's terminated files to be scanned by an outsider vendor. Scanned files are then put on a CD and maintained in the HR Service Center indefinitely. The paper files are destroyed by the outside vendor.

### **Disclosure of Employee Records**

JHHSC and JHH may release Employee Records in response to the following: (a) a subpoena or other court order if, in the opinion of the Legal Department, the records are required by law to be produced; (b) a proper request for information received from a law enforcement agency or other governmental entity; (c) a request from outside counsel retained to protect the legal interests of JHHSC or JHH, if the request has been coordinated or verified by the Legal Department; or (d) an employee's written and signed authorization that describes, with specificity, the records to be disclosed and to whom they are to be disclosed.

### **Microphotographed Records**

Original Employee Records may be microphotographed, in accordance with federal, state and local laws, and in accordance with the planned organizational operating procedure. Original records may only be destroyed or disposed of after inspection of the microphotographed records, and assurance that the records are complete, are of an acceptable quality, and are secured.


The following statement must be submitted with records to be microphotographed or scanned. It must appear at the beginning of each roll or fiche.

#### DECLARATION OF INTENT

I, \_\_\_\_\_ do hereby declare that the records microfilmed herein  
(Name and title)

are actual records of \_\_\_\_\_  
(Functional unit/Department)

created during its normal course of business.

	THE JOHNS HOPKINS HEALTH SYSTEM CORPORATION AND THE JOHNS HOPKINS HOSPITAL HUMAN RESOURCES POLICY and PROCEDURE MANUAL	Policy Number	HR201
		Effective Date	<b>January 6, 2009</b>
	<u>Subject</u> Retention, Disclosure, and Disposition of Employee Records	Page	4 of 6
		Supersedes	February 1, 2004

It is the policy of The Johns Hopkins Health System Corporation and The Johns Hopkins Hospital to destroy or otherwise dispose of the original records microphotographed herein. The destruction or disposition of the records microphotographed is only to be accomplished after inspection of the microfilm, microfiche to assure acceptable quality, completeness and maintenance by this means.

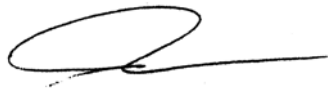
**SPONSOR**

Vice President, Human Resources

**CYCLE REVIEW**

3 years

**APPROVAL**





---

Vice President, Human Resources

1/6/09


---

Date

	THE JOHNS HOPKINS HEALTH SYSTEM CORPORATION AND THE JOHNS HOPKINS HOSPITAL HUMAN RESOURCES POLICY and PROCEDURE MANUAL	Policy Number	HR201
		Effective Date	<b>January 6, 2009</b>
	<b>Subject</b> Retention, Disclosure, and Disposition of Employee Records	Page	5 of 6
		Supersedes	February 1, 2004

**Appendix 1**  
**Employee Records Retention Schedule**

<b>Employee Category</b>	<b>Record Category: Record(s)</b>	<b>Retention Period</b>	<b>Official Repository &amp; Form</b>
<b>All Employees</b> <b>(including other employee categories below)</b>	<b>Employment Eligibility:</b> Form I-9	<b>3</b> years after date of hire or <b>1</b> year after date of termination, whichever is later	HR Services Center
	<b>Tax Forms</b>	<b>4</b> years after date tax is due or date tax is paid, whichever is later	HR Services Center
	<b>Wage and Hour-Payroll:</b> Employee Information Pay Rate and Amount Paid Each Pay Period SAP HR Transactions Form Hours Worked Daily and Weekly Overtime Compensation	<b>3</b> years from the date of last entry	Payroll Shared Services & HRIPC
	<b>Wage and Hour-Other:</b> Employment Contracts Earnings Records: Sign-In & Payroll Sheets Time Schedules/Cards/Sheets Wage Additions and Deductions Subminimum Wage Certificates Job Classifications Job Descriptions and Evaluations Performance Appraisals Basis for Wage Differentials (Sex-Based)	<b>3</b> years from date last effective <b>3</b> years from date of last entry <b>3</b> years from date of last entry <b>3</b> years <b>3</b> years from date last employed <b>3</b> years <b>3</b> years <b>3</b> years	
	<b>Leave Records:</b> SAP HR Transactions Form FMLA Records	<b>3</b> years	HRIPC HR Service Center/Benefits
	<b>Personnel Actions:</b> Disciplinary Action Failure to Hire Promotion, Demotion, Transfer, Layoff Termination Applications and Bid Forms Job Orders: Employment Agencies or Labor Orgs. Test Papers Physical Exam Results Related to Personnel Action	<b>1</b> year from date of action or date record was made, whichever is later	
	<b>Labor-Management Relations:</b> Records related to any payment, loan, promise, agreement, arrangement, or expenditure	<b>5</b> years from date report is filed	
	<b>Safety and Health:</b> OSHA 301 Injury and Illness Incident Report	<b>5</b> years from end of the calendar year the record covers	
	<b>Other Records:</b> Proof of Orientation Letter of Resignation	Indefinite Indefinite	
	<b>Departmental Employee File</b>	<b>3</b> years from date last employed	
<b>Students, Learners, and Disabled Employees</b>	<b>Certificates/Special Certificates:</b> Subminimum Wage: Students and Disabled Subminimum Wage: Learners	<b>3</b> years from date last employed <b>3</b> years from expiration date	
<b>Apprentices in Skilled Trades Employed Below Minimum Wage</b>	<b>Apprenticeship Program:</b> Applicants' Forms or List of Applicants	<b>2</b> years from date application received or length of apprenticeship, whichever is longer (when an annual report is required)	
	Other Apprenticeship Program Records	<b>2</b> years from date record is made (when required to file)	
	Certificate: Subminimum Wage	<b>3</b> years from expiration date	

	THE JOHNS HOPKINS HEALTH SYSTEM CORPORATION AND THE JOHNS HOPKINS HOSPITAL HUMAN RESOURCES POLICY and PROCEDURE MANUAL	Policy Number	HR201
		Effective Date	<b>January 6, 2009</b>
	<u>Subject</u> Retention, Disclosure, and Disposition of Employee Records	Page	6 of 6
		Supersedes	February 1, 2004

Employee Category	Record Category: Record(s)	Retention Period	Official Repository & Form
<b>Apprentices Under State Affirmative Action Plan</b>	<b>Individual Applicants and Apprentices:</b> Summary of Qualifications Basis for Evaluation, Selection, or Rejection Interview Records Original Application Job Assignment Promotion, Demotion, Layoff, or Termination Pay Rates/Compensation Hours and Other Conditions of Work Hours of Training	5 years	
<b>Child Laborers</b>	<b>Wage and Hour:</b> Certificate of Age: Minors Training Agreements	3 years from date last employed* 3 years from date last employed	
<b>Uniformed Service Members</b>	<b>Personnel Actions:</b> Hiring, Reemployment, and Termination <b>Leave Records</b>	Indefinite	

\* This retention period exceeds the legal requirement.