

Human Resources - Compliance Requirements

Last Updated	11/29/16	Intials of Completer(s): CJD/LR				
Compliance Requirement	Compliance Organization	Description of Requirement	Responsible Department	Responsible Party	Frequency	Last Date Completed
OSHA and OSHA 300 Log	US Department of Labor, OSHA	Employers with 11 or more employees must post, from February 1 to April 30, a summary of the total number of job-related injuries and illnesses that occurred in the prior calendar year. Required to post the annual totals of the information contained on the right-hand portion of OSHA Form 300, "Log and Summary of Occupational Injuries and Illnesses". The form is to be displayed wherever notices to employees are usually posted. Employers must prepare and maintain records of work-related injuries and illnesses. This must be done in the OSHA 300 Log Format.	Human Resources	Director, Compensation and Benefits/Benefit Admin.	Annually from February 1 - April 30	1/27/2016
403 B Audit (as part of ERISA Form 5500 Reporting)	IRS, Department of Labor & Pension Benefit Guaranty Corporation	403 B Audit (as part of ERISA Form 5500 Reporting)	Human Resources	Director, Compensation and Benefits	Annually due 7/31 - unless extension form 5558 is filed -	Plan year 2015 filed on 8/9/2016 as had filed extension request to give
403 B Plan fee disclosures	IRS, Department of Labor & Pension Benefit Guaranty	403 B Plan Fee Disclosures	Human Resources	Director, Compensation and Benefits	August	8/20/2016
Medicare Part D Notices	IRS, Department of Labor & Pension Benefit Guaranty	Medicare Part D Notices	Human Resources	Director, Compensation and Benefits /Benefit	Annually in October	9/30/2016
Credible Coverage Disclosure Confirmation	Center for Medicare Services; Dept of Health & Human Reserves	Credible Coverage Disclosure Confirmation	Human Resources	Director, Compensation and Benefits /Benefit Admin.	Within 60 days of beginning of plan year	3/15/2016
Summary of Benefits Coverage (SBC)	Health Care Reform Act	Uniform explanation of benefits, including RX. Must be sent to all Benefit eligible employees and COBRA participants annually by first day of ea. annual enrollment period.	Human Resources	Director, Compensation and Benefits /Benefit Admin.	Annually in November	2016 SBC documents prepared, posted/issued
Summary Annual reports on plans	IRS, Department of Labor & Pension Benefit Guaranty	Summary Annual reports on plans	Human Resources	Director, Compensation and Benefits	Annually - December 31	10/17/2016 Wrap plan;
(ERISA)Form 5500, Annual Return/Report of Employee Benefit Plan	Internal Revenue Service, US Department of Labor & Pension Benefit Guaranty Corporation	A return/report must be filed every year for every pension benefit plan and welfare benefit plan. RISD files individual 5500's for the following plans: - 403b Retirement Plan - July 31 (see above with 403b audit) - Medical Plan - July 31 - Dental Plan - July 31 - Disability & Life July 31	Human Resources	Director, Compensation and Benefits	Annually due 7/31 - unless extension form 5558 is filed - 10/15)	10/4/16 filed 5500; on time as had filed for extension
Federal DLT Posters		Federal posters must be posted	Human Resources	Director, Employment + EE Development	Must be posted at all times.	Audit last completed November 2016,

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DLT Posters	RI, Department of Labor & Training	Requires an employer to post DLT posters regarding wage, labor & safety laws.	Human Resources	Director, Employment + EE Development	Must be posted at all times.	
Consolidated Omnibus Budget Reconciliation Act (COBRA)	US Department of Labor	Requires employers to provide workers and their families who lose their health benefits the right to choose to continue group health benefits provided by their group health plan for limited periods of time under certain circumstances.	Human Resources	Benefit Strategies, Third Party Vendor (Benefit Administrator)	On-going	on going; as needed
Health Insurance Portability and Accountability Act of 1996 (HIPPA)	US Department of Labor	Require group health plans and health insurance issuers to: <ul style="list-style-type: none"> - Provide certificates of prior health coverage; (PPACA eliminated certs of prior health coverage) - Provide certain individuals special enrollment rights in group health coverage when specific events occur - Prohibit discrimination in group health plan premiums based on specific health factors - Guarantee that health coverage be available to and can be renewed by certain employers - Limits which types of conditions can be subject to a preexisting condition exclusion 	Human Resources	Benefit Admin Notices are sent out by the carrier	On-going	on going; as needed
Workers Compensation Coverage	RI, Department of Labor & Training	Employers with one or more employee must carry workers' compensation insurance coverage. They must also post worker's comp acct. carrier name and phone number	Risk Management	Beacon Mutual Insurance, provides the coverage notices/posters to Risk Manager who organizes the insurance coverage and is responsible for disbtributing to HR	On-going	Posted for the policy effective date beginning 4/1/14. Hr e- mailed Jen Howley 7//23/15 requesting new posters
First Report of Injury	RI, Department of Labor & Training	Employer must complete a First Report of Injury for an employee for any work-related injury, if that injury requires any medical treatment or if the employee loses full wages for at least three (3) days.	HR	Benefit Admin. notifies our insurance carrier and they are responsible for reporting to the state when applicable	On-going	On-going as incidents occur
Exchange Notice	Health Care Reform Act	Employer must send out the exchange notice	Human Resources	Benefit Admin	ongoing	on going; as needed
RI Fair Employment Practices Act	RI Fair Employment Practices Act	Employes must provide notices to their employees upon hire and within 10 days after being notified of pregnancy. Required to provide all employees a general notice of the law by 10/23/15.	Human Resources	Responsible Party	Director Employment	Policy distributed 10/21/15. Will be circulated again 12/2016. Policy included in new hire materials.

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Background Checks	Fair Credit Reporting Act	Must obtain employee's consent prior to obtaining a consumer report (including criminal background checks).	Human Resources	Third party vendor - Hire Image.	ongoing with new hires, those taking on new assignments requiring a check and those taking on responsibilities with supyervision/control of minors.	ongoing
Drug Free Schools	Drug Free Schools and Communities Act	Requires distribution of the college or university's drug and alcohol prevention and policy information	Human Resources - employees Student Affairs - students		Annual distribution and biennial review of drug and alcohol prevention program.	Employee distribution last completed 10/21/15. Next scheduled for 12/5/16
Form 1095C	Health Care Reform Act	Confirmation of employer - provided health insurance offer and coverage	Human Resources	Human Resources	By 03/31/2016 to employees	2/12/2016
Form 1094 C	Health Care Reform Act	Transmittal of employer provided health insurance offer and information returns	Human Resources	Human Resources	By June 30, 2016	6/24/2016
Form I-9, Employment Eligibility Verification	Department of Homeland Security U.S. Citizenship and Immigration Services	Employers are responsible for completion and retention of Form I-9 for each individual they hire for employment in the United States. This includes citizens and noncitizens.	Human Resources	Director, Employment and EE Development	Section 1 completed on first day of hire and overall completed within 3 business days of new hire start date.	ongoing