

Applies to: All Employees in the Operations and Facilities Management Department (OFMD)

GUIDELINES:

Issued: August 15, 2016

Revised:

PURPOSE:

To provide guidance to OFMD management regarding the appropriate contents of a personnel file, along with highlighting the requirements for maintaining employment records. Specifically, the personnel file details significant events occurring during the course of employment and may include written documents, e-mails, fax transmissions and other correspondence, created as confirmation of an employment action. A personnel file must be kept consistently for all employees within the department.

All documents and information related to the personnel file are considered proprietary to the University and must be handled in a confidential manner. Therefore, each administrator, manager and supervisor should use or disclose personnel file information only as necessary in the normal course of business.

GUIDELINES:

A. Mandatory Items

The following items **must** be maintained in the Electronic Employee/Personnel File maintained by HRMS. If a Supervisor does not have access to the HRMS Electronic Personnel file then they should also keep a paper file with the following items indicated below:

	Electronic Personnel File		Supervisor Optional paper file	Comments
	HR/ Payroll	Supervisor		
Employment Application (may include Resume or CV)	X			If hiring supervisor using TAM then all documents collecting during the recruiting period will become part of the employee's Electronic Personnel file..
Reference Checks or Employment Verification documents		X		
Personnel Information Sheet				
Test documents used to make an employment decision		X		
College Transcripts, and other Education Records	X			TAM
Licensure, Credentialing and Board Certification, or General Certification documents	X	X		TAM - new updates after initial hire are supervisor's responsibility
Job Descriptions	X	X	X	TAM - new updates after initial hire are supervisor's responsibility
Employment Actions – final documents related to hiring, promotion, demotion, transfer, layoff or reduction in work force, and compensation data		X		
Payroll records, time and leave records	X			
Work related training Records	X			
Letters of Recognition/Commendation		X	X	
Disciplinary Notices and Warnings		X	X	
Performance Evaluations		X	X	
Termination Records	X			
Exit Interviews		X		
Records relating to other employment practices – in addition to the above		X		

For the items the Supervisor is responsible for inputting into the Electronic Personnel file, the supervisor must scan the document and email to the OFMD payroll representative.

B. Items NOT Appropriate for a supervisor to keep in the optional paper personnel file. Neither is it appropriate to scan and email these items to the payroll representative to include in the Electronic Personnel file.

There are specific documents that are **not** appropriate for the employee personnel file. While the following documents and information must be collected and maintained, it should be kept in a separate file in the Department Business Office.

- Medical Records - documents that identify physical exams, medical leaves, worker's compensation claims, drug/alcohol testing, medical claims forms and request for accommodation for disability. (Subject to HIPAA regulations)
- Equal/Employment Opportunity - documents that identify an individual based on protected classification, such as their race, gender, disability or veteran status. This excludes information collected on the Personnel Information Form.) Notes regarding an internal/external investigation should also be maintained in a separate file.
- Immigration Documents, Form I-9 Employment Eligibility and Work Permits for Minors
- Health & Safety Training Records and other OSHA documents
- Garnishments Orders – documents related to court ordered deductions must be processed through the Human Resources and Payroll Departments. Duplicate records should not be kept in the department
- Recruitment Records – documents such as interview notes, advertisement announcements, refusal to hire records
- Supervisory Notes – general notes or e-mail documentation kept by direct supervisor

C. Compliance

Personnel files should be retained for a period of seven (7) years after an employee separates completely from the University.

D. Access to Personnel File

The University has the right to use information contained in the personnel file as necessary in the normal discourse of our business. Any senior manager or administrator who has a legitimate business need may access certain data as necessary.

Employee:

1. An employee may review his/her file in the appropriate business office in the presence of a department representative. Requests to review a file should be made to the appropriate department representative. An appointment will be made at the earliest convenience of both parties. If copies are requested, at the department's discretion, copies should be made for the employee.
2. An employee may request a correction or deletion of information contained in their file. This request will be reviewed with the department Executive Director or Business Manager before a final decision is made. If the request is denied, the employee may either add a note of disagreement to the file or pursue the Medical School's WUSM HR office for additional review/resolution.
3. Under no circumstance should the employee be permitted to take his/her file out of the department.
4. Employees should not have access to the following records:
 - a. Security records

- b. Information regarding another employee
 - c. Complaint or grievance documents
 - d. Medical records
 - e. Personnel or budgeting information relating to advancement prospects or salary changes.
5. Terminated employees may not view or obtain a copy of their personnel file.

Internal (WU/WUSM Department):

To help maintain consistency and continuity in their employment data, the personnel file should accompany an employee who transfers from one department to another. Otherwise, a manager who does not have supervisory authority over the employee and/or is outside of the current department should not be given access to the personnel file.

Third Party Access to Personnel File:

1. Individuals requesting information to verify employment should be directed to the University automated system (1-800-367-5690) or the web site www.theworknumber.com. Please see Employment Verification Policy for details regarding the information that may be related.
2. All requests for access to the entire personnel file from individuals outside of the University must be directed to the WUSM Office of Human Resources.