

FILES TO CREATE FOR EMPLOYEES: PERSONNEL, ADMINISTRATIVE, I-9 AND MEDICAL HISTORY

PERSONNEL FILE

Generally, documents found in the Personnel file are official employment-related documents that have been presented to and signed by the employee or provided by the employee to the supervisor. The Personnel file must be maintained in a locked cabinet in a secure area and maintained by HR. Personnel records are considered confidential, and each facility shall maintain a current, accurate and confidential personnel record on each employee.

Sections for Personnel File:

A. Pre-Employment & Current Employment

- a. Application for employment
- b. Authority to release information
- c. Temporary appointment agreement
- d. Copy of driver's license and social security card
- e. Verification of education and transcripts
- f. Job Posting
- g. Coded Register or letter from DOP
- h. Offer Letter
- i. Hire above minimum letter
- j. Certification Memo
- k. Personnel transaction documents and forms
- l. Emergency contact information
- m. V1/V2 Prior State Employment form(s)

B. Payroll & Benefits

- a. Payroll forms, corrections, changes, settlement or buy-backs
- b. Attendance records (unless you use UKG for this info)
- c. Call-off information
- d. Benefit information
- e. Tax forms
- f. Direct deposit/Pay card forms

C. Performance

- a. Employee Performance Appraisals (EPA)
- b. Disciplinary actions
- c. Awards

D. Education/Training

- a. Completed course certificates for on-the-job training or seminars

ADMINISTRATIVE FILE

Employee records should be maintained by HR staff in files separate from the Personnel file to protect the employee's privacy rights and to insulate the agency from liability. These records also must be kept confidential with restricted access.

Documents for Administrative File:

- A. Background check information
- B. Garnishment orders
- C. Consumer reports
- D. Discrimination claims and/or reports, including investigative materials regarding human rights complaints
- E. Employee grievances
- F. EEO complaints and documents
- G. Family court documents or orders
- H. Investigative reports concerning alleged misconduct

The following records are **NOT** acceptable to be maintained in either the Personnel or Administrative files. These records must be kept in separate files that are confidential, with restricted access maintained by HR.

I-9 FILE

Immigration records including Employment Eligibility Verification forms (I-9) required by the DOJ to facilitate federal government audits.

MEDICAL RECORDS FILE

- a. Medical records and history for employee or family member and those related to ADA, FMLA, Worker's Comp and Rehab Act
- b. Fitness for duty exam results
- c. Work related injury or illness claims
- d. Employee Assistance Program (EAP) documents and records

****Please refer to DCR Policy 140.00 Personnel Records for additional information.**