



Recommended Guidelines on EMPLOYEE FILES

HR Offices are expected to transfer employee files in the following format:

1. **Personnel** – sign-ups, Performance Plans and Reviews, benefits, disciplinary letters, training certificates, etc. Grievance records are recommended to be placed in a separate confidential file.
 - **Section 1** Personal Data Changes
 - Personnel Action Requests
 - Anything to do with PHRST transactions
 - **Section 2** Payroll information/Employee File Summaries
 - W-4/W-2 Processing
 - P-1 Pension Actuarial Information
 - Wage attachments
 - Union Dues info
 - Direct Deposit info
 - **Section 3** Performance Review/Plan
 - Disciplinary Letters/Suspensions
 - Commendation Letters
 - **Section 4** Timecards
 - VSI CSI**
 - Annual Leave Audit
 - **Section 5** Emergency Contact Info
 - Miscellaneous Documents – i.e. request by employee to review file
 - Employment/Wage Verification
 - **Section 6** Sign-Up Information/Checklists
 - Policy Statements
 - Application/Resume
 - Driver's License, Social Security Card
 - Professional License/Other Certifications
 - Authorized Driver Designation
 - Life Insurance Worksheet (for hires prior to 2003)
 - Confidentiality Statement

Training Related Materials – certificates, class attendance documentation
Education reimbursements
DD214 – military discharge
(Other Internal Agency Approval Forms)

2. Medical (Purple) - FMLA, Donated Leave, medical certifications, ADA, Short-term disability, Long-term disability, disability pension applications, workers' compensation documents, doctor's notes, etc. HIPPA file: (file within health file) – any benefits related information – i.e. FSA, Health/Dental/Life Insurance Enrollment forms and Payment Information/copies of checks, benefit refund adjustment, Dependent Birth Certificates, Blood Bank info., Insurance Claim/Wage Verification (car accident lost time)

3. Administrative (Yellow) – References, criminal background, check, drug test, disciplinary letters over two years old, I-9 Employment Eligibility Verification.

FILE MAINTENANCE & PROCEDURES

- All documents are filed in chronological order with the latest ones on top.
- For employee transfer within an agency, all files are sent to the receiving HR Office. No copies are maintained at the previous HR Office.
- For employee transfer within State government, but outside of the agency, all files are sent to the receiving HR Office. However, the Administrative portion of the file is to be appropriately purged by the HR Specialist prior to sending. A copy of the VS1 is retained in the HR Office. Please be reminded that HIPAA and other medical related information should be forwarded separate from the master file.
- For employees leaving state employment, all files (not necessary to merge in chronological order) are stored with other separated employee files.
- HR Offices may continue to use their current procedures to handle and store information on 1139 and casual/seasonal hires.
- Per Merit Rule 16.2, upon request, HR shall schedule an appointment for an employee to review her/his Personnel file under the supervision of an employee from HR.
- For all cert list packets – The successful candidate's application is placed in that employee's personnel file. Other applications, reference checks of unsuccessful applicants, interview notes and the cert list are returned to the designated area/person in each agency for storage/reference. Appropriate documents, for cert lists issued by HRM, will be returned by the assigned party to HRM.
- Grievance information is kept in a separate file.
- Garnishment/wage attachment – information kept in a separate confidential file.