

AP 342 – PERSONNEL RECORDS PROCEDURE

Associated Board Policy: 342.00 – Personnel Records

Procedure Owner: Human Resources Generalist

Related Procedure: None

I. Procedure Scope and Purpose

Cowley College's Human Resources Department is responsible for maintaining various types of information on each employee to ensure complete, accurate and current information. Personnel files serve as the historical record of information concerning the employee from date of hire to separation.

All personnel files (with the exception of the Supervisor's Working file) are securely maintained in the Human Resources and Payroll offices and are maintained in accordance to federal and state legal requirements.

II. Definitions

Supervisor Working File: Maintained by the employee's supervisor or manager. This file is not part of the official Employee Personnel file.

- A. Notes, memos or other informal documentation about the employee's performance, attendance or conduct.
- B. Conversation notes related to performance or possible future disciplinary actions.
- C. Summary of discussion notes

Medical File: This file is maintained in the Human Resources office and is a separate file from the Employee Personnel file.

- A. Health, Dental and Vision insurance application and forms
- B. Life insurance applications and forms
- C. Voluntary benefits applications and forms
- D. Family Medical and Leave Act (FMLA) reports and related applications and paperwork
- E. Physician's notes (return to work, medical certifications, medical restrictions, follow-up status updates)
- F. Accident and injury reports (Worker's Comp reports, First Report of Injury)
- G. Any other form or document that contains private medical information about an employee

Confidential File: Confidential files are securely maintained in the Human Resources office.

- A. Kansas Public Employees Retirement System (KPERS) enrollment and beneficiary forms
- B. 403B applications and beneficiary forms
- C. Pre-employment background check reports
- D. Equal Employment Opportunity (EEO) and Veterans status identification forms

Employee Personnel File: This is the *official* employee file. Employee Personnel files are securely maintained in the Human Resources office.

- A. Employee Application, resume and cover letter
- B. Signed and Acknowledged job description
- C. Employment Approval Form
- D. College transcripts
- E. Employment Letters
- F. Signed Policy Acknowledgements (Handbook, Work Comp, Harassment)
- G. Signed and notarized Oath of Affirmation
- H. Employment Change forms
- I. Direct deposit information
- J. Tax Forms (W4 and K4)

- K. Certificates of completion (training and certifications)
- L. Disciplinary notices and records of formal discussion with employee
- M. Performance evaluations
- N. Tuition Assistance applications
- O. Performance Improvement Plans
- P. Emergency Contact List
- Q. Verifications of employment and Loan requests (with authorization for release)
- R. Resignation letter

Garnishment & Child Support File: These files are securely maintained in the Payroll office.

- A. Wage garnishment forms
- B. Child support form
- C. Record of payments made

Miscellaneous File: These files are securely maintained in the Payroll office.

- A. Monthly payroll deduction forms
- B. Time off requests forms

III. Procedure

A. Updating Personnel Records

Employees are responsible for maintaining current home address, phone, and emergency contact information through the HR/Payroll system. If the employee is unable to make the change, he or she must notify the Human Resources Department who will update the information. Changes made in the HR/Payroll system will automatically update records maintained by our various benefits carriers.

It is the responsibility of supervisors or administrators in departments to notify Human Resources of changes in job duties, work schedule, or other position-related information through an approved Employee Change Form.

B. Release of Information

Administrators, supervisors and staff are not permitted to release employee information to any individual or agency requesting such information. Such requests must be forwarded to the Human Resources Department who will properly handle the request.

Upon receipt of a telephone or written request, the Human Resources Department will only provide the following information on an active or terminated employee:

1. Employee name
2. Dates of employment
3. Position or job title

Written requests for information for *mortgage or loan applications*, will be provided only if an authorization for release form is signed provided by the employee and provided to the Human Resources department.

Information pertaining to mortgage or loan requests may include:

1. Employee name
2. Dates of employment
3. Position or job title
4. Salary (past and present)
5. Probability of continued employment
6. Raises or pay increases

Requests for employment information by the Kansas Department of Labor Unemployment Agency and other states in connection with an unemployment compensation application will be provided, as required by law,

without the use of a release form, since this inquiry is initiated by the terminated employee who has filed a claim with the state agency.

Employees will be notified by the Human Resources department when the College is required to provide personnel information by a subpoena, warrant, or other court order.

- C. Access to Personnel Files by Supervisors and Administrative Officers
Supervisors and Administrative Officers do not have access to personnel files maintained by Human Resources. However, information regarding work record or employment history will be provided to direct managers or supervisors by the Human Resources Director who will provide the pertinent information on a need-to-know basis.

- D. Access to Personnel Files by Employees
An employee may contact the Human Resources department to view his or her personnel file. If an employee disagrees with information in his or her personnel file, the employee may submit a written rebuttal to the Director of Human Resources explaining his/her position that will be placed in the employee's personnel file.

A written request is required from former employees when requesting access to their personnel files.

- E. Records Retention
Employee personnel records will be retained according to federal and state law requirements.

IV. Effective Date

This procedure became effective September 21, 2020.

V. Signature and Title

This procedure implemented by: Megan Sweaney

Title: Human Resources Generalist