

Maintenance of Personnel Files for Frostburg State University Employees

I. Purpose

To establish guidelines for the maintenance, access and control of personnel files for all Frostburg State University employees. These procedures are written in compliance with University System of Maryland (USM) Policy VII – 6.02 – *Policy on Personnel Files for Non-Exempt and Exempt Staff Employees*. At FSU, said policy shall also pertain to maintenance of Faculty personnel files which are maintained in the Office of Human Resources (OHR). The Director of Human Resources will assure that the provisions of the aforementioned policy are met.

Agreements negotiated by Memorandum of Understanding (MOU) or recognized bargaining units will supersede, if so specifically written, portions of this procedure.

II. Definitions

Personnel File- A confidential business record and property of Frostburg State University. The file, in electronic or paper format, consists of personal demographics and information relating to the individual's employment.

III. General Guidelines

- A. The official personnel file of each employee shall be maintained in the Office of Human Resources. The file is confidential and shall be secured accordingly. Authorized individuals handling personnel files shall maintain confidentiality of information at all times and under all circumstances, including during transmittal of personnel documents whether by fax or electronically. Failure to do so may result in disciplinary action.
- B. All records included in the personnel file are prepared by or delivered directly to the Office of Human Resources. All maintenance and processing of files shall be accomplished by Office of Human Resources personnel only.
- C. Records shall not be removed from the Office of Human Resources without authorization from the Director of Human Resources or designee.
- D. Requests for verification of employment for current or former employees shall be directed to the Office of Human Resources. Non-confidential information such as dates of employment and salary may be released upon request. Confidential information may only be released upon receipt of a written release signed by the employee, a court order, or a subpoena.
- E. The following individuals have authorized access to individual personnel files:
 - 1. The Director of Human Resources and designated OHR staff.
 - 2. The employee.

3. The employee's current supervisor or other individual within the organizational unit who is in the chain of authority superior to the employee.
 4. Legal counsel.
 5. Auditors from USM, FSU, or the Maryland Legislature.
 6. An authorized agent for an employee who has written authorization from that employee.
- F. Employees shall have access to their own personnel files during regular business hours and upon prior notice of at least one hour to the Office of Human Resources. All files shall be reviewed in the Office of Human Resources in the presence of the Director of Human Resources or designee. At the time of review, employees may be required to initial and date all records in the file. Employees who request copies of documents shall receive the first five (5) pages free of charge. The employee shall be charged \$.25 per page for all additional pages.
- G. Any employee who objects to information in his/her personnel file may place a statement to that effect in the file.
- H. Personnel files may include but are not limited to the following documents:
1. Employment application and/or resume
 2. College transcripts
 3. Job description or Position Information Form
 4. Records relating to hiring, promotion, demotion, transfer, reassignment, layoff, compensation, education and training.
 5. Letters of recognition
 6. Disciplinary documents.
 7. Performance evaluations (PMP's)
 8. Documents relating to separation from employment.
- I. Medical records shall be maintained in a separate file.
- J. Frostburg State University shall follow the retention schedule for files maintained by the University as prescribed by law.

Reference(s):

USM Policy VII – 6.02, USM Policy On Personnel Files for Nonexempt and Exempt Staff Employees
FSU Employee Handbook

All policies are available on:

FSU Web Page
USM Web Page
FSU Employee Handbook

March 2005