



NICHOLLS STATE UNIVERSITY
Policy and Procedure

Title: Personnel File Policy		Control No.:		
Replaces:		Reference Dated:		
Distributed By: Human Resources		Distributed To : All Departments		
Approved By:		Date: March 1, 2008		
Review:	Date: _____ By: _____	Date: _____ By: _____	Date: _____ By: _____	Date: _____ By: _____

Purpose:

The records necessary to support personnel management are of paramount importance, and must be thoroughly maintained. This maintenance includes systematic and timely placement of the necessary records into the file, exclusion of extraneous records from the file, and constant monitoring of necessary changes to keep all files current.

Definition:

At Nicholls State University, personnel files for employees consist of official personnel file(s) and departmental personnel file(s). The official personnel file(s) for each employee are kept in a secure area in the Human Resources Office. Departmental personnel files for each employee will be maintained in the office of the employee’s supervisor.

Documents contained in the official personnel file are separated into public files and confidential files. The public file is accessible by the public under applicable public records law; the confidential file is **not** accessible by the public. Should a request be made to inspect or copy any document in the public file, the employee has the right to request that his/her address and phone number not be disclosed. Furthermore, an employee’s Social Security Number and date of birth are not subject to the Public Records Act (R.S. 44:1-427).

Policy:

The use of personnel files generally is restricted to formal institutional meetings, normal administrative requirements, or cases otherwise required by law. Employees shall be notified prior to the release of information to an outside individual or agency unless the employee has previously signed an authorization to release the information requested.

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Contents of Files:

Official Personnel File

Each document concerning an employee shall be placed in the employee's official personnel file within a reasonable amount of time.

The **official personnel** file for an employee may contain the following documents:

Public Record:

1. SF-10 Application form, Unclassified Employment Application and/or resume
2. Employee Name, Job Title, Pay
3. Appointment Affidavits
4. Records related to appointments
5. Changes in status or position (promotion, reassignment, resignation, dismissal etc)
6. Letters reporting dismissals
7. Copy of the current position description
8. Drug-Free Workplace acknowledgement statements
9. Copies of Employee Notification Forms (Personnel Action Forms)
10. Records of completed training courses
11. Certifications and licenses
12. Letters of commendation
13. Acknowledgement forms regarding University policies
14. Death Certificates
15. Original leave requests for employees who are requesting leave in order to accept a paid appointment during his/her regular assigned work hours (Ex: teaching and adjunct course, serving as a camp counselor, performing work on a grant, etc.)

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Confidential Information:

1. Employee Social Security Number
2. Employee Address and phone number when the employee has requested confidentiality.
3. High School and college transcripts; Civil Service Grades
4. Tax withholding information
5. Bank information
6. Scores and notes of interview panel members
7. Performance appraisal forms and overall ratings
8. Paycheck deductions
9. Insurance documents such as claim forms, application forms, requests for payment of insurance benefits.
10. Beneficiary information for insurance, retirement, etc.
11. Health and life insurance enrollment forms, including beneficiary designation forms
12. Internal grievance documents
13. Criminal Background Checks
14. Retirement membership forms
15. Documents concerning garnishments, child support and tax levies
16. Biographical data sheets that contain such information as address, phone number, date of birth, race, sex, and marital status
17. Board of Supervisors Justification and Certification form (if applicable)
18. Original letters of counseling and letters of reprimand for the employee
19. Originals of disclaimers the employee chooses to make relative to performance improvement notices, letters of counseling, letters of reprimand or any other material in the file
20. Reports of Internal Investigations
22. Performance Improvement notices: i.e. letters of reprimand, employee performance notice form, various supporting documentation
23. Letters supporting formal disciplinary actions: suspension without pay, reductions in pay, involuntary demotion, dismissals, reassignments
24. Letters of recommendation or Reference Check Form(s)
25. Birth Certificates
26. Drivers License

Departmental Personnel File

Unless otherwise noted, only copies of documents should be kept in site files. The originals shall be forwarded to Human Resources for inclusion in the employee's official file. The following may be placed in an employee's site-based personnel file without notification of the employee:

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1. Copies of work assignments (including Faculty Workload Surveys if applicable)
2. Copies of records related to appointments
3. Copies of changes in status or position (promotion, reassignment, etc)
4. Copies of Employee Notification Forms (Personnel Action Forms)
5. Copies of Letters of commendation
6. Copies of records of completed training courses
7. Employee campus wide identification number
8. Employee Address and phone number when the employee has requested confidentiality
9. Copies of scores and notes of interview panel members
10. Copies of Performance appraisal forms and overall ratings
11. Copies of internal grievance documents
12. Copies of employee performance improvement notices if no disciplinary action resulted
13. Copies of letters of counseling and letters of reprimand for the employee
14. Copies of disclaimers the employee chooses to make relative to performance improvement notices, letters of counseling and letters of reprimand
15. **Original** leave requests for sick, annual and compensatory leave
16. **Original** supervisory documents including the Employee Chronological Record form used for commendations, notations and performance improvement

Medical records of any type and I-9 forms are maintained entirely separate from the official personnel file.

If applicable, a worker's compensation file is maintained in the Human Resources Office for each employee who files an accident/incident report under the worker's compensation program.

If applicable, a FMLA file is maintained in the Human Resources Office for each employee who files for FMLA benefits. This file includes the original leave request, medical statements, and other pertinent documentation.

An employee may examine his/her official personnel file during normal working hours in the presence of a Human Resources Office staff member. The employee may obtain copies of any materials in his/her official personnel file for the standard cost for copying as outlined by the Louisiana Administrative Code.