

University of Iowa Employee Personnel Files

HR Unit Representative Meeting February 21, 2008

**Presented by:
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File Structure

1. Personnel File

a. Personnel Folder -- Credentials,
Appointment History,
Attendance,
Development,
Employment History,
Immigration, and
Performance

b. Medical Folder-----FMLA,
Non FMLA, and
ADA

2. Recruitment Record

(Consistent with EOD policies and procedures)

3. Grievance Record

4. Supervisor (Working) Notes (Notes that serve as reminders to the supervisor of key events)

PERSONNEL FILE: Personnel Folder Content/Retention

CURRENT PAPER CONTENT	FOLDER TYPE	FUTURE ELECTRONIC DOCUMENT	CURRENTLY ON SELF SERV	RETENTION POST UI EMPLOY
	Credentials			
Resume/CVs/Application		Resumes/CVs/Application		3 years
Resumes/CVs (plus faculty attachments)		Resumes/CVs (plus faculty attachments)*		3 years
Credential Release and Verification		Credential Release and Verification		3 years
		Certifications/licenses	X	3 years
		Degrees	X	3 years
	Appt History			
		Requisitions	X	3 years
		Appointment and Salary History	X	3 years
		Special compensation	X	3 years
		Workers Compensation Report of Injury	X	5 years
	Attendance			
		Absence report--electronic	X	3 years
		Absence report hard copy	X	3 years
		Time record	X	3 years
	Development			
Continuing Education (CEU's, professional development)		Continuing Education (CEU's, other professional development)		3 years
		Development, include application, notification, My Training	My Training	3 years
Orientations (department, college, university)		Orientations (department, college, university)		3 years
	Empl History			
Essential & Marginal Function Analysis		Essential & Marginal Function Analysis		3 years
Job description		Job description		3 years
Offer Letter		Offer letters	X	10 years
		Offer letters (DEO only)	X	10 years
		Offer letters (new faculty; 0%)	X	10 years
Behavior Risk Management (intro letter, RTW letter, report)		Behavior Risk Management (intro letter, RTW letter, report)		3 years
Copyright (see Intellectual Property)		Copyright (see Intellectual Property)		7 years
CDL Test – during employment		CDL Test – during employment		3 years
Conflicts of commitment		Conflicts of commitment		3 years
Conflicts of interest (employment; research; workplace)		Conflicts of interest (employment; research; workplace)		3 years

CURRENT PAPER CONTENT	FOLDER TYPE	FUTURE ELECTRONIC DOCUMENT	CURRENTLY ON SELF SERV	RETENTION POST UI EMPLOY
Conflicts of commitment and interest		Conflicts of commitment/interest		3 years
Conflicts of interest in employment		Conflicts of interest in employment		3 years
Extension of probationary period		Extension of probationary period		3 years
Flexible work/telecommuting arrangements		Flexible work/telecommuting arrangements		3 years
Intellectual property, incl copyright and patent		Intellectual property, include copyright and patent		7 years
MOU, individual agreement/ contracts, includes joint appts		MOU, individual agreement/ contracts, includes joint appts		10 years
Named chair designations		Named chair designations		3 years
Named chair designations and collegiate fellows (letter only)		Named chair designations and collegiate fellows (letter only)		3 years
Patents (see Intellectual Property)		Patents (see Intellectual Property)		7 years
Recall, reinstatement, and placement papers		Recall, reinstatement, and placement papers		3 years
Service commitments		Service commitments		3 years
	Immigration			
Immigration status documentation (as needed for future use)		Immigration status documentation		3 years
	Performance			
Performance appraisals		Performance appraisals		3 years
Recognition/commendation		Recognition/commendation		3 years
Statement of expectations		Statement of expectations		3 years
Performance action/improvement plans		Performance action/improvement plans		3 years
Discipline		Discipline		3 years
Discipline, within one unit		Discipline, within one unit		3 years
Discipline, when transferring units (i.e., accessible by receiving dept/college)		Discipline, when transferring units (i.e., accessible by receiving dept/college)		3 years
Competencies, including oral communication		Competencies, including oral communication		3 years
PTEAP		PTEAP		3 years
Performance review, DEO		Performance review, DEO		3 years
Peer reviews (post-tenure)		Peer reviews (post-tenure)		3 years
Probationary reviews		Probationary reviews		3 years
Clinical track contract renewal reviews		Clinical track contract renewal review		3 years
Clinical track non-contract renewal reviews		Clinical track non-contract renewal reviews		3 years

PERSONNEL FILE: Medical Folder Content/Retention

CURRENT PAPER CONTENT	FOLDER TYPE	FUTURE ELECTRONIC DOCUMENT	CURRENTLY ON SELF SERVICE	RETENTION DURING EMPLOYMENT	RETENTION POST UI EMPLOY
	Medical				
FMLA		FMLA		3 years post action	3 years post action
Health Certification Form		Health Certification Form		3 years post action	3 years post action
Notification Letter		Notification Letter		3 years post action	3 years post action
Withdrawal Letter		Withdrawal Letter		3 years post action	3 years post action
Authorization Letter		Authorization Letter		3 years post action	3 years post action
Release to Work Form		Release to Work Form		3 years post action	3 years post action
Health Certification for Family Member		Health Certification for Family Member		3 years post action	3 years post action
Adult Son/Daughter Letter and Medical Form		Adult Son/Daughter Letter and Medical Form		3 years post action	3 years post action
Exhaustion of Leave Letters and Medical Form		Exhaustion of Leave Letters and Medical Form		3 years post action	3 years post action
Other FMLA documents		Other FMLA documents		3 years post action	3 years post action
ADA		ADA		3 years post action	3 years post action
Disability Accommodation Request Form		Disability Accommodation Request Form		3 years post action	Transfer to FSIDS
Medical Request Letter and Form related to Accommodation		Medical Request Letter and Form related to Accommodation		3 years post action	Transfer to FSIDS
Non FMLA Leave		Non FMLA Leave		3 years post action	3 years post action
Request for Leave and Medical Form		Request for Leave and Medical Form		3 years post action	3 years post action
Authorization for Non FMLA Leave Letter		Authorization for Non FMLA Leave Letter		3 years post action	3 years post action
Release to Work Letters and Medical Form		Release to Work Letters and Medical Form		3 years post action	3 years post action
Exhaustion of Leave Letters and Medical Form		Exhaustion of Leave Letters and Medical Form		3 years post action	3 years post action
Other Non FMLA Documents		Other Non FMLA Documents		3 years post action	3 years post action
Non ADA Medical		Non ADA Medical		3 years post action	3 years post action
Medical Request Letter and Form not related to an ADA Accommodation		Medical Request Letter and Form not related to an ADA accommodation		3 years post action	3 years post action
Temporary Restricted Work Plan		Temporary Restricted Work Plan		3 years post action	3 years post action
Other Non ADA Medical Documents		Other Non ADA Medical Documents		3 years post action	3 years post action

CURRENT PAPER CONTENT	FOLDER TYPE	FUTURE ELECTORNIC DOCUMENT	CURRENTLY ON SELF SERVICE	RETENTION DURING EMPLOYMENT	RETENTION POST UI EMPLOY
Work Related Injury		Work Related Injury		5 years post action	5 years post action
Patient Status Reports		Patient Status Reports		5 years post action	5 years post action
Temporary Restricted Work Plan		Temporary Restricted Work Plan		5 years post action	5 years post action
Other Work Related Injury Documents		Other Work Related Injury Documents		5 years post action	5 years post action

* OSHA imposes extended record retention periods in certain circumstances, including cases of exposure to hazardous materials. Please contact the Office of the General Counsel in situations relating to OSHA and/or exposure to toxic substances.

SEPARATE AND NOT PART OF THE PERSONNEL FILE:

Grievance, Dispute Resolution and Discrimination Record

CURRENT PAPER CONTENT	FUTURE ELECTRONIC DOCUMENT	CURRENTLY ON SELF SERVICE	RETENTION DURING EMPLOYMENT	ELR ONLY
Appeals	Appeals		1 year	7 years
Correspondence: faculty with administrators	Correspondence: faculty with administrators		1 year	7 years
Discrimination complaints	Discrimination complaints		1 year	7 years
Grievances pursued through collective bargaining processes	Grievances pursued through collective bargaining processes		1 year	7 years
Grievances pursued through P&S process	Grievances pursued through P&S process		1 year	7 years
Grievances, faculty, including MOUs	Grievances, faculty, including MOUs		1 year	10 years
MOU's	MOU's		1 year	10 years

Storage Requirements

- Documents with SSN's
 - If you are keeping paper documents with SSN, the file should be stored securely.
- Copies of I-9's for employees requiring recertification should be shredded when out of date.
- Medical files are to be stored in a separate secure file.
- Obtain supervisor notes when employee leaves department and shred except in cases of existing appeals/claims.

Best Practice Strategies:

File and Folder Maintenance and Clean Up

- Maintain files and folders centrally in departmental HR area.
- Maintain file of terminated employees by year.
- Maintain file clean out system.
- New department of transferring employee arrange with former department to physically transfer Personnel File (including Medical Folder).
- Color code folders for easier search
- Copies of immigration approval notices can be maintained in Personnel Folder. Save information necessary for refilling foreign national petitions with FSIS.
- Develop a schedule for destroying documents and follow it.
- Lock Medical files and Personnel file documents that contain SSN's.
- Conflict of Interest/Commitment and Conflict of Interest employment documentation remains in original department upon transition unless it is apparent that the conflict will continue to exist in the new department/unit. Such documents should be retained for three years following the employee's departure from the University and destroyed thereafter.