

VII –6.02 -POLICY ON EMPLOYEE FILES FOR NONEXEMPT AND EXEMPT STAFF EMPLOYEES

(Approved by the USM Board of Regents on July 13, 2001; Amended October 9, 2015)

I. PURPOSE AND APPLICABILITY

This policy establishes responsibility for maintenance, access and control of employee files for all Nonexempt and Exempt Staff employees.

II. DEFINITIONS AND SCOPE

A. Employee File - A confidential business record and property of the institution that employs the Staff employee. The file, in electronic or paper format, consists of personal demographics and information relating to the individual's employment.

B. Contents of an Employee File

1. Employee files include but are not limited to the following:

- a. Employment application and/or resume.
- b. College transcripts.
- c. Job descriptions.
- d. Records relating to hiring, promotion, demotion, transfer, reassignment, layoff, compensation, education and training.
- e. Letters of recognition.
- f. Disciplinary documents.
- g. Performance evaluations.
- h. Documents relating to separation from employment.

C. Medical Records shall be maintained in a separate file and are not part of an employee file.

III. GENERAL

A. Confidentiality

USM Bylaws, Policies and Procedures of the Board of Regents

All employee files are confidential and are to be secured accordingly. Anyone handling employee files shall maintain confidentiality of the material at all times, including during the course of file transmission electronically via FAX or mail.

B. Responsibilities of the Office of Human Resources

Employee files are secured in the Human Resources Department at each institution location designated by the Chief Human Resources Officer (CHRO).

1. All records to be included in employee files are prepared by or delivered directly to the Human Resources Department.
2. All filing, removal, refiling and/or processing of the electronically of employee records is to be accomplished only by the Human Resources staff.

5. An authorized agent for an employee who has written authorization by the employee for access to or disclosure of a confidential employee record.

B. Employee Access

Employees shall have access to their own files and medical records during regular business hours and upon such reasonable prior notice as the Human Resources Department may require.

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