

File Retention of Personnel Related Records

The University of Michigan – Flint

University Human Resources

www.umflint.edu/HR

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Files We Will Be Discussing



- ◆ Personnel Records (including regular, temporary and workstudy employees)
- ◆ Medical Information
- ◆ Financial Files (per Financial Svcs & Budget)
- ◆ PeoplePay Files
- ◆ Job Search Files
- ◆ Tuition Refund/Reimbursement Files
- ◆ Promotion and Tenure Cases

Central vs. Operating Units

◆ Central Unit

- Unit that will be keeping the permanent record for the University. For the Flint Campus, HRRIS in Ann Arbor will be the central unit for personnel transactions. Flint-UHR is the operating unit.

◆ Operating Unit

- Unit that submits forms and retains copies of documents for records. For the Flint Campus, Flint-UHR is an operating unit as well as any Flint Department submitting paperwork to Flint-UHR for processing.



Personnel Record

- ◆ A personnel record is considered to be any accumulation of documents relating to the terms and conditions of employment for each faculty and staff member.

Reference SPG 201.46

Personnel Records

Personnel Records **Do Not** Include:

- ◆ Materials relating to the employer's staff planning with respect to more than one employee.
- ◆ Medical records. Medical documentation is kept in the Work Connections Office, as well as Flint-UHR for non-work related, and EHS for work-related illnesses/injuries.
- ◆ Information about a person other than the employee if disclosure of the information would constitute an unwarranted invasion of the other person's privacy.
- ◆ Investigations by the employer about a complaint or about criminal conduct by the employee.
- ◆ Records of grievance investigations.



Personnel Records

- ◆ Need to be separated into:
 - Application, resume, and paperwork processed though out the employee's employment
 - Employment Eligibility (I-9)
 - Medical Information

Personnel Information Files

Personnel Information Files Include:

- ◆ Publication Lists
- ◆ Initial hire and subsequent changes in Employment Status Forms (submittals)
- ◆ Staff Performance Evaluations (Faculty evaluations are kept per each Dean's guidelines.)
- ◆ Letters of Commendation
- ◆ Position Description
- ◆ Disciplinary Letters
- ◆ Probationary Letters

Breakdown of Filing

Personnel Information Files: In operating units, documents should be kept for the current year and past two fiscal years.

Left Side:

Current Job Description
Degrees After Hire
Resume
Orientation Checklist

Right Side:

Performance Evaluations
Probationary Period Completions
Appointment, Effort &
Salary/Reclassification Information
COI/COC disclosure forms
Miscellaneous Job Data Information
Reprimands (only past three years)
Offer Letter

The Flint-UHR Office maintains a hardcopy personnel file and scans these documents to WebNow.

Personal Information Files

Personal Information: In operating units, should be kept for the current year plus past two fiscal years only.

- ◆ Applications/Supplemental Forms without self-identifiers of ethnicity and gender.
- ◆ Criminal Records Check. *Kept in Flint-UHR and HRRIS only.*
- ◆ Tax Forms. *Kept in Flint-UHR and Payroll only.*
- ◆ Address/Name Change Information.
- ◆ Verification of Employment and Unprofessional Conduct Letters. *Kept in Flint-UHR only.*

The Flint-UHR Office scans these documents to WebNow.

Employment Eligibility

Employment Eligibility: On the Flint campus, employment eligibility is kept in the UHR office.

- ◆ Employment eligibility.
- ◆ Immigration Paperwork.
- ◆ I-9 Forms.

The Flint-UHR Office scans these documents to WebNow.

Medical Information

Medical Information: Medical information is very limited to departments.

Work Connections Files retain:

- Specific information regarding illness/injury.
- Sharing of information to Flint-UHR and EHS when appropriate for handling return to work or work related injury.
- Notes to supervisors regarding restrictions and return to work schedule.

Department Files are limited to:

- Information given by employee of illness/injury.
- Illness/Injury report when completed by the unit for work related injury.
- Return to work notification given by the employee or by Work Connections as well as any restrictions returning to work.

Transcript Information

- ◆ Transcripts of staff members should not be retained in their Personnel Records.
- ◆ Faculty transcripts, for use of accreditation, must be kept in the appropriate Dean's or Provost Office. We suggest these files be housed separately from personnel or personal information files. Transcripts can be held until the faculty member is no longer actively employed.

Tenure & Promotion Cases

- ◆ Faculty tenure and promotion cases, must be kept in the appropriate Dean's or Provost Office. We suggest these files be housed separately from personnel or personal information files. Copies of case books should be held for at least 7 years after the faculty member is no longer actively employed.

Temporary/Workstudy Files

- ◆ Temporary and Workstudy files are maintained identical to the regular faculty and staff.
 - At the department level, the retention of temporary/workstudy files is for the current fiscal year plus the past 2 fiscal years only.
 - At Central (Flint-UHR) temporary/workstudy files are scanned and kept indefinitely.



Time Reports

- ◆ We recommend that each department keep a copy of employee time reports, separate from personnel records for the past calendar year plus the current calendar year. (This can be in electronic format.)
- ◆ The Flint-UHR Office is the central office for time reports on the Flint Campus.



Benefits Files

- ◆ **Benefits Files:** For the Flint Campus, the Flint-UHR and Benefits Office (in Ann Arbor) are the central unit files. No benefit elections specific to a faculty or staff member should be held in the departments.

Financial Files

- ◆ Sponsored Programs, Gifts & Endowments – 7 years.
- ◆ General, Designated and Auxiliary Funds – Current year plus past 2 years.
- ◆ Rebilling Units – 7 years.
- ◆ Sales Tax Documentation – 6 years from fiscal year end.
- ◆ Unrelated Business Income Tax Documentation – 6 years from fiscal year end.

Reference SPG 604.10



Other Related Files

- ◆ PeoplePay Forms: Need to be kept separate from employee files, for the current year plus past two fiscal years.
- ◆ Training/Certificate: Should be kept in the department for use of setting goals, maintaining mandatory training and evaluation tools. Can be kept in the Personnel File or separate. The length of time is determined by the department.

Other Related Files (Con't)

- ◆ Tuition Reimbursements: Copies can be kept in the department for reference. Originals kept in Flint-UHR or Student Accounts (for UM-Flint classes). The length of retention time is the current year plus past two fiscal years.
- ◆ Job Search Folders: Faculty and staff job searches should be kept in the department for past 3 fiscal years plus the current fiscal year in which the job is filled.

Other Related Files (Con't)

- ◆ Computer Data Base of appointment and address information – *Kept in Flint-UHR/HRRIS.*
- ◆ Computer Data Base of information about the employment selection process – *Kept in UHR-HRAA/HRRIS.*
- ◆ Computer generated reports – can be run or kept in the department provided no protected information is directly linked to the employee...such as gender, ethnicity, age, etc.
- ◆ Grievance Files – *Kept in Flint-UHR.*
 - Grievance answers can be kept in the department with the appropriate supervisor but not in the employee's Personnel Records.
- ◆ Unemployment Compensation claims files – *Kept in Flint-UHR.*

Department Specific Files

- ◆ Departmental Information: Relating to individual staff members outside the definition of a personnel record should be retained in accordance with individually established departmental policies which should be documented.

For example: For materials supplied in support of appointment of a new faculty member, the department may wish to retain until the faculty member is evaluated and promoted.

- ◆ Tenure and Promotion: Files in Schools or Colleges about the tenure and promotion process should be retained for a period of six (6) years plus the current fiscal year after promotion.

Former Employees & Retirees

- ◆ The files of former employees need to be kept in the operating unit for seven (7) years following termination of employment.
- ◆ The files of retirees, survivors of active employees, and survivors of retirees, will be kept in the Flint-UHR Office until two (2) years after the individual's passing.



Release of Personnel Records

When a request is received for a copy of an employee's personnel record, please contact Flint-UHR. In most cases, the file which will be used for the request is the one in the Flint-UHR Office. General Counsel and Freedom of Information Act Officers will also be involved when appropriate.

Questions?

