

## **PROCEDURE 207-1**

### **MAINTENANCE OF PERSONNEL RECORDS**

**Effective 05-01-2021, Resolution No. 014-21**

The Department of Human Resources is responsible for overseeing recordkeeping for all personnel records and information, and for deciding what information should be collected, and how it should be stored and secured. The Director of Human Resources or the Director's designee is the official custodian of personnel records except that the Director of the Department of Financial Management & Administration or the Director's designee is the official custodian of records maintained by that office.

#### **Employee Responsibilities**

Employees are responsible for keeping their personal information such as name changes and contact information current and for verifying that the information necessary for administration of benefits and income tax withholding is current and accurate. The County will rely upon the information provided by the employee.

#### **Official Personnel Files**

The Department of Human Resources will maintain the official personnel file. At a minimum, the personnel file will contain applications for employment, records pertaining to change in status, performance records, documentation of corrective action, commendations, and records of completion of County-required training.

#### **Employee Medical Records**

Medical records means any record containing information pertaining to an employee's mental or physical health including, but not limited to, drug testing results, fitness for duty examinations, healthcare authorizations for an employee to resume work, records in support of work restrictions, requests for accommodation of a disability or leave of absence, records relating to hazardous exposures and workplace injuries, and immunization records.

Due to legal requirements regarding confidentiality of employee health information, departments/agencies/offices may not retain original or copies of employee medical records. All such records must be sent to the Department of Human Resources except where state law requires medical records to be maintained on-site. Medical records will be maintained by the Department of Human Resources and/or the Department of Financial Management & Administration and will be maintained separate and apart from the employee's personnel file.

#### **Other Records Maintained by the Department of Human Resources**

The Department of Human Resources will maintain, separate and apart from the employee's personnel file, records pertaining to background checks, I-9 forms and supporting documents, and records relating to investigations of employee relations matters.

#### **Records Maintained by the Department Financial Management & Administration**

The Department of Financial Management & Administration will maintain records for the purposes of administering benefits including workers' compensation benefits, completing payroll and withholding requirements, and for other human resource information systems management functions. Upon an employee's separation from employment, the Department of Human Resources will archive the

employee's Department of Financial Management & Administration records with the Department of Human Resources records.

### **Employee Training Records**

Records of employee attendance at or completion of training required by County policy or procedure will be maintained in Oracle. Other records of employee attendance at or completion of training will be maintained by the employee's department/agency/office in a separate training file.

### **Supervisor Working Records**

Supervisors may maintain records related to the employees who report to them. These "working files" may be used to keep notes, both positive and negative, about their employees' attendance, performance, and conduct. The records should contain only objective, factual information and not personal opinions or unsupported statements. They should not contain information regarding an employee's physical or mental health except for documentation of the reason an employee provides for absence or tardiness. Information contained in supervisor working files should be maintained only as long as it is needed and relevant.

### **Exceptions**

Except for the provisions of this procedure related to records maintained by the Department of Financial Management & Administration, this procedure does not apply where an agency or office other than the Department of Human Resources is the custodian of its own records.