



Human Resources

MEDICAL CENTER HUMAN RESOURCES POLICY NO. 109

A. SUBJECT: Personnel Records

B. EFFECTIVE DATE: July 1, 2013 (R)

C. POLICY:

Employee information stored in Medical Center Human Resource personnel files is accurate and protected from improper disclosure. Federal and state laws require that certain information be gathered and maintained in personnel files. Additionally, sound personnel decisions require that the Medical Center collect and retain information concerning employment history and performance. Because University of Virginia is a public institution, some personnel records are available to the state upon request.

D. PROCEDURE

1. *The Official Human Resources Personnel File*: an electronic file maintained centrally by the Medical Center Human Resources Department. File contents may include, but would not be limited to, the following: basic identifying information (e.g., name, address, phone number(s), employee number, social security number, and job title), employment applications and other official hiring-related documents, performance appraisals, compensation records, and documentation of formal employment actions (promotions, transfers, disciplinary actions, etc.).
2. *The Supervisory File*: the employee's current supervisor may also maintain an informal file which may include supervisory notes and documentation. When an employee transfers from one department to another, the current supervisor is responsible for forwarding the *Supervisory File* to the manager of the hiring department in a way that protects the confidentiality of the information contained in the file. The *Supervisory File* shall be retained for five years following termination of employment with the Medical Center.
3. IRS regulations require employers to submit wage and withholding information under the employee's name as shown on the employee's social security card. To comply with these regulations, an employee must present his/her social security card bearing the full legal name at the time of hire. This is the name that will be used for the employee's personnel record. All subsequent changes to an employee's name will be made only upon the employee's presentation of an updated social security card. An employee may be required to present his/her social security card upon request.
4. The following documents are separately maintained from the *Official Human Resources Personnel File*: confidential references, criminal background checks, confidential investigation or

(SUBJECT: Personnel Records)

grievance/complaint records, attorney-client communications, and documentation related to medical leave.

5. The Medical Center may disclose certain basic information (employment status, job title and annual salary) in response to an appropriate request under the Freedom of Information Act and disclose information for purposes of law enforcement investigation, public safety, public health reporting and regulatory compliance, accreditation and licensure, to the extent permitted by law. Employees shall be made aware of such requests and releases of information prior to the release, whenever possible.
6. Current and former employees may request to inspect and obtain a copy of their *Official Human Resources Personnel File*. The Medical Center shall respond to such requests within a reasonable period of time and may charge a reasonable fee for copying the records. A Human Resources staff member will normally be present during the inspection of the personnel file. Employees may also review their *Supervisory File* upon request. The supervisor or a designee will normally be present during the review.
7. Internal access to personnel records is limited to Human Resources and supervisory personnel who are considering the employee for promotion, transfer, accommodations, or other personnel action, and to other authorized employees who have a legitimate need to access the record; in these cases, access shall be limited to the minimum information necessary.
8. Employees who question the accuracy or completeness of information in their files should discuss their concerns with Human Resources or the department manager. Human Resources and/or the manager shall consider the objections and exercise authority to remove any erroneous information.
9. External or internal requests for access to personnel records made in accordance with this policy must be accompanied by a signed release from the employee or be made pursuant to court orders, subpoena or warrant. In the case of disclosure pursuant to employee signed release, subpoena, or court order, a record shall be maintained to document when and to whom personnel file information is disclosed.

SIGNATURE:



R. Edward Howell, CEO, UVA Medical Center

DATE:

6/20/13

Medical Center Human Resources Policy No. 109 (R)
Approved December 2002
Revised March 2004, June 2007, June 2010, June 2013
Approved by Chief Human Resources Officer
Approved by Medical Center Administration