



*Our mission is to reunite people  
living with physical disabilities  
with the community.*

**POLICY:**                    **HUMAN RESOURCE (PERSONNEL) RECORDS**

**EFFECTIVE:**                **August 2011**

**PURPOSE:**                Wheels of Progress recognizes the expectations of employees that information about them stored in our personnel files is accurate, relevant, and safe 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 organization collect and retain information concerning employment history and performance.

It is Wheels of Progress' objective to maintain complete and accurate records regarding each employee and position, to comply with legal requirements regarding retention and release of personnel records, and to preserve the confidentiality of personnel records. Accordingly, this policy sets forth agency requirements for the retention and transfer of employees' personnel records, the release of personnel information, and the reporting of employee and position changes within each agency.

**REASON FOR POLICY:**

Due to the confidential nature of certain information contained in the personnel files, access to these records is restricted to authorized personnel and to other individuals only in accordance with organizational policy and federal/state laws. Removing documents from a personnel file is prohibited and is a major rule violation.

**OVERVIEW**

The personnel records consist of paper and digital records stored in a restricted area within the Human Resources Office. The personnel file may contain documents including, but not limited to, the following:

- Personal Services Form to hire, change status, retire, or terminate employment
- Personal Data Form listing personal, educational, and other information related to the employee
- Employment Agreement
- Payroll Authorization Agreement for Automatic Deposits, pay increases
- Federal W-4 and State G-4 Withholding Forms
- Garnishments, Tax Levy, Subpoenas, court ordered documentation
- Benefits elections, retirement information, beneficiary information

- Recognition letters from the Organization's President
- Letters of Offer, acceptance, commendation, resignation
- Performance Reviews, written reprimands
- Performance Improvement Plans (PIPs)
- Flexwork agreements
- Employment application, resume/curriculum vitae

## **THE PROCESS /PROCEDURE**

### **Placing Information into the Personnel File**

Materials may be placed into the personnel files only in accordance with policies and procedures established by the Organization. Correspondence relating to job performance or other such matters between a supervisor and an employee may be placed into the employee's file under the following conditions:

- Evidence that a copy has been provided to the supervisor and the employee.
- A signature or stamp from Human Resources confirming their review and approval for the document to be placed into the personnel file.
- The document clearly shows that a copy has been sent to Human Resources and to the employee's personnel file in Human Resources.

This procedure ensures that all parties involved are appropriately informed of such matters, thereby fostering an open and constructive relationship between management and employees at Wheels of Progress.

**Note:** Employees are not authorized to place information into their own personnel files.

### **Form I-9, Employment Eligibility Verification**

A Form I-9, Employment Eligibility Form must be completed by all employees' citizens and noncitizens hired after November 6, 1986. The United States Department of Homeland Security requires employers to document each new employee hired after November 6, 1986, is authorized to work in the United States. The Form I-9 Employment Eligibility Verification is maintained in the Office of Human Resources Records Department and is stored securely in a separate filing system. The Form I-9 is retained for three years after an employee is hired or for one year after an employee terminates his/her employment, whichever is longer.

### **File Review**

File reviews are by appointment only and require a 24-hour advance notice. You may email your request to any staff member in the Records Department. An employee reviewing his/her personnel file can initiate file reviews. Department

managers/supervisors are allowed to review the performance reviews of their direct reports. Department managers, supervisors and HR Representatives/Contacts are allowed to review the performance reviews of job applicants external to their department upon consideration of being hired. HR Representatives and Contacts are permitted to review files of the employees within their unit that they represent. In all cases, photo identification must be presented at the time of the review and a Records Office Staff member will monitor the review process to ensure the integrity of the file. An employee may obtain copies of documents from his/her personnel file. There is no charge for the first ten pages, but there is a fee of \$.25 per additional page, payable by check only made to the order of Wheels of Progress.

**Updating Personal Information**

It is important to keep personal information up to date. Employees are encouraged to contact the Human Resources Department to access and update their personal information such as name, home address, home telephone number, emergency contacts, etc.:

Contact	Phone	Email
Records	(347) 645-3265	HR@wheelsofprogress.org

**Employment Verification**

The Records Office responds only to inquiries made in writing through fax or US mail. Standard information such as employment dates, job title, and work department are provided. Salary information requires a signed consent form from the employee and can be found online at:

Requests to verify employment should sent to one of the following:

Fax: (212) 423-5858

Email: g.gallego@wheelsofprogress.org

Mail:

Wheels of Progress  
 The Office of Legal Affairs  
 1325 5<sup>th</sup> Avenue Suite 4B  
 New York, NY 10029-

**Legal Requests**

All legal requests are coordinated through Wheels of Progress' Office of Legal Affairs; these requests include subpoenas, attorney requests, or Open Records Act requests. The Records Office complies with such requests as advised by the Office of

Legal Affairs. The entire personnel file or limited information within the personnel file may be requested or subpoenaed through the courts and on the advisement of the Office of Legal Affairs, the relevant records are retrieved, assembled and forwarded to the Office of Legal Affairs for final handling. Requests for legal assistance should be sent to:

Fax: (212) 423-5858

Email: [g.gallego@wheelsofprogress.org](mailto:g.gallego@wheelsofprogress.org)

Mail:

Wheels of Progress  
 The Office of Legal Affairs  
 1325 5<sup>th</sup> Avenue Suite 4B  
 New York, NY 10029-

**Responsibilities**

Party	Responsibility
Office of Human Resources, Records	Offer assistance with policy interpretation, administer policy, and ensure compliance

The attached **matrix** indicates where employee records are held and includes a section entitled “Department File” which is intended as a guidance to departments; this list includes some documents that are also kept in the HR Records and is not intended to exclude departments from retaining other documents that are on the HR Records list but not specifically mentioned under “Departmental File”.

List of Documents	HR Records	Departmental Records	Confidential Folder / Case File
Application	x	x	
Background checks and/or criminal history reports			x
Beneficiary Designations			
Benefits Change			
Benefits Enrollment			
Claims against GU made to an outside agency (EEOC, Human Rights, OFCCP etc.)			x
COBRA letters, information			
Communication to/from attorneys			x
Confidentiality Statement	x	x	
Counseling Memos		x	
Credentials/licensure/certifications	x	x	

Disability Claims			
Disciplinary Actions, including Letters/Memos	x	x	
Documentation re accommodation (no medical)	x		
Emergency Contact Information		x	
Employee Relations advice to department			x
Employment Verifications and References	x	x	
Equipment, Uniforms, Property Check-out Forms		x	
Grievances, all documentation			x
I-9 Documents - separate file in Application extender	x		
Incident and/or Accidents Reports			
Interview records for current staff, Active + 5 years, then destroyed	x	x	
Interview records for non-hires, 2 yrs, then destroyed		x	
Investigations documentation			x
Lawsuits			x
Leave Request - less than 30 days		x	
Leave Request - more than 30 days	x	x	
Leave Request for FMLA	x	x	
Letters/Memos of Commendation		x	
Medical Information (Disability claim forms, Accident/Injury reports, Physical exams,			x
Medical leave, drug/alcohol testing, history re health or disabilities			
Medical Leave/Certification docs			
Offer Letter/Contract	x	x	
Orientation Checklist		x	
Performance Reviews - Annual (including self-appraisal)	x	x	
Performance Reviews - Interim (including self-appraisal)		x	
Personal Contact Information		x	
Personnel Transaction Forms (PTF) - including changes	x	x	
Position Description		x	
Pre-Employment Tests	x		
Probation Form	x	x	
Recruitment Request Form	x	x	
Resignation/Termination Forms	x	x	
Resume or CV	x	x	
Safety Training Records		x	
Signed "Emergency" Employee Designation Form		x	
Signed Handbook & Policy	x		

Acknowledgements			
Special Recognition/Awards	x	x	
Supplemental Data Forms	x	x	
Training or Education Records/Certificates		x	
Unemployment Claims/related Reports	x		
Workers Comp Documents (originals in Risk Management)			x