

## **VII-6.02-UMCES Policy on Personnel Files for Non-Exempt and Exempt Staff Employees**

Approved December 18, 2006. Revised November 9, 2023.

### **I. Purpose and Applicability**

This policy establishes responsibility for maintenance, access and control of personnel files for all University of Maryland Center for Environmental Science (UMCES) employees.

### **II. Definitions**

Personnel file: a confidential business record and property of the institution that employs the employee. The file, in electronic or paper format, consists of personal demographics and information relating to the individual's employment.

### **III. General**

- A. All personnel files are confidential and are to be secured accordingly. Anyone handling personnel files shall maintain confidentiality of the material at all times. This includes while the material is being transmitted electronically, or via FAX or mail.
- B. To maintain confidentiality, personnel files are secured in the UMCES Office of Human Resources (UMCES HR). All records to be included in personnel files are prepared by or delivered directly to UMCES HR. All filing, removal, re-filing and/or processing of data electronically of personnel records is to be accomplished only by UMCES HR staff.
- C. Records may not be removed from UMCES HR except by authorization from the UMCES Chief Human Resources Officer (CHRO) or designee.
- D. All requests for verification of employment for current or former employees are to be directed to the UMCES CHRO. Non-confidential information such as dates of employment, position(s) held, and current salary may be released upon request. Confidential information shall not be released unless UMCES HR is in receipt of a written release signed by the employee, court order, or subpoena.
- E. The following persons have authorized access to individual personnel files:
  - 1. UMCES CHRO or designee
  - 2. The Employee
  - 3. The employee's current supervisor or any individual within the organizational unit who is in the chain of authority above the employee
  - 4. legal counsel to the University or those in UMCES chain of authority above the employee
  - 5. Auditors (University System of Maryland, Institution, Legislative auditors)
  - 6. An authorized agent for an employee who has written authorization signed by the employee for access to or disclosure of a confidential personnel record.

- F. Employees shall have access to their own personnel files during regular business hours and upon such reasonable prior notice as UMCES HR may require.
  - 1. All files shall be reviewed in the presence of the UMCES CHRO or designee.
  - 2. At the time of such review, the UMCES CHRO or designee may require the employee to initial and date all records in their file(s). Employees who request copies of materials from their file(s) may be charged a fee.
  - 3. An employee who objects to information in their personnel file may place a statement to that effect in the file.
- G. Personnel files include but are not limited to the following:
  - 1. Employment application and/or resume.
  - 2. College transcripts.
  - 3. Job descriptions.
  - 4. Records relating to hiring, promotion, demotion, transfer, reassignment, layoff, compensation, education and training.
  - 5. Letters of recognition.
  - 6. Disciplinary documents.
  - 7. Performance evaluations.
  - 8. Documents relating to separation from employment.