

Access to and Maintenance of Personnel Records

LAST REVISED ON 09/2011

This policy applies to: All active employees.

I. Policy

Upon request, the University will provide current employees access to their personnel records as maintained in the Office of Human Resources and in the individual's employing unit. Review is limited to once a year.

II. Guidelines/Procedures

Access by Employee

Once a year, a current employee may, in the presence of either a representative of the Office of Human Resources (for personnel records maintained in Human Resources) or an administrator in the employing unit (for personnel records maintained in that unit), review his/her personnel records. Requests to review personnel records must be made in advance and review will occur during regular business hours at a mutually agreeable time. University ID must be presented at the time of review. An employee may make handwritten notes at the time of review, but may not remove the file or any portion thereof. Copies of items in a personnel record will be provided upon request.

The following types of documents or copies thereof are accessible for review: original hire or appointment letters and related forms and application documents, special action forms or records (such as transfer or promotion records), performance related documents (including probationary

reviews, annual reviews, performance action or improvement plans, counseling notes, warnings, and disciplinary documents), payroll and salary information, letters/notes of commendation, attendance records, and other action forms.

The following types of documents will not be made available for review and are not accessible to employees: supervisor's personal notes, documents protected by attorney-client privilege, documents being developed for use in conjunction with civil, criminal, or grievance processes or procedures, records relating to the investigation of a possible criminal offense, medical records, draft documents, and, for faculty or academic appointments only, letters, notes, or memoranda of external references secured from persons who are not current University employees and who do not receive an honorarium or fee for submitting the reference in conjunction with initial appointment, reappointment, promotion, or the award of tenure.

In the event an employee disagrees with a record in his/her file or believes there is an error, a statement of disagreement or rebuttal will be placed in the file upon request.

Access by Supervisors to Personnel Records in Human Resources

Supervisors, in the presence of a representative from the Office of Human Resources, may review their staff members' personnel records which are housed in Human Resources. Appointments should be arranged in advance during regular business hours at a mutually agreeable time. Unless otherwise authorized, review by supervisors is also subject to the above stated limitations on the types of personnel records which will not be made available for review. Hiring supervisors may also access and review a current employee's file who is a final internal candidate in connection with recruitment. See Policy #133: Recruitment and Selection (<https://www.rochester.edu/policies/policy/recruitment-selection/>).

III. Maintenance and Retention of Personnel Records

Personnel records are confidential and will be treated and maintained as such by Human Resources and the employee's employing unit. Any medical documentation pertaining to an employee must be maintained confidentially in a separate and secure (i.e., locked storage unit) file. Personnel records must be retained in accordance with the time frames set forth in Retention of University Records policy (<https://www.rochester.edu/adminfinance/records.html>).

See also:

- [#401 Changes in Personal Data \(https://www.rochester.edu/policies/policy/personal-data-changes/\)](https://www.rochester.edu/policies/policy/personal-data-changes/)
- [#406 Reference Checks \(https://www.rochester.edu/policies/policy/references/\)](https://www.rochester.edu/policies/policy/references/)

ABOUT THIS POLICY

Policy Number

404

Policy Group

Human Resources

Issuing Authority

Human Resources

Responsible Officer

Kathy Miner

Contact Information

[kathy.miner@rochester.edu \(mailto: kathy.miner@rochester.edu\)](mailto:kathy.miner@rochester.edu)

RELATED POLICIES

[Providing References \(https://www.rochester.edu/policies/policy/references/\)](https://www.rochester.edu/policies/policy/references/)

[Changes in Personal Data \(https://www.rochester.edu/policies/policy/personal-data-changes/\)](https://www.rochester.edu/policies/policy/personal-data-changes/)

POLICY KEYWORDS

[Administration \(https://www.rochester.edu/policies/all/?filter%5Btopics%5D=296\)](https://www.rochester.edu/policies/all/?filter%5Btopics%5D=296)

[Data \(https://www.rochester.edu/policies/all/?filter%5Btopics%5D=376\)](https://www.rochester.edu/policies/all/?filter%5Btopics%5D=376)