



Retention of Employee Personnel Records

No. 4085

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Affected Parties:
Faculty
Staff

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1.0 Purpose

The purpose of this policy is to set forth procedures to safeguard the collection and maintenance of personal information pertaining to employee records, including hours worked, as permitted or required by law to be so collected and maintained. Personnel records, both in manual and automated format, must be maintained with accuracy, completeness, and timeliness. Safeguards should be established to secure the records. This policy clearly assigns employee records management responsibilities to the hiring department, Human Resources, and Payroll.

In addition to compliance with the Department of Human Resources Management (DHRM), Policy 6.10 *Personnel Records Management*, (http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol6_10personnelrecordsmanagement.pdf?sfvrsn=2), and Policy 6.05, *Personnel Records Disclosure*, (http://web1.dhrm.virginia.gov/itech/hrpolicy/pol6_05.html), the University's management of employee personnel records adheres to University Policy 4080, Release of Human Resources Records and Select Employee Information, (<http://www.policies.vt.edu/4080.pdf>), describing the university's release of official records under *The Virginia Freedom of Information Act* and the *Privacy Protection Act of 1976*.

2.0 Policy

The hiring department (department) is responsible for maintaining files on employees. It is the intent of these guidelines to clearly communicate responsibilities for maintaining and safeguarding records at the department level and central Human Resources.

Personnel records are to be maintained in a secure location, and access to the information in them is to be restricted only to authorized department representatives. All employee manual and automated record systems must be maintained in a manner that safeguards the records from disclosure to others in compliance with University Policy 4080, Release of Human Resources Records and Select Employee Information (<http://www.policies.vt.edu/4080.pdf>), DHRM Policy 6.10, *Personnel Records Management* (http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol6_10personnelrecordsmanagement.pdf?sfvrsn=2), and DHRM Policy 6.05, *Personnel Records Disclosure* (http://web1.dhrm.virginia.gov/itech/hrpolicy/pol6_05.html).

2.1 Hiring Department Responsibilities

2.1.1 Recruitment and Selection Records

For each position (both salaried and wage), the department must retain interview and selection records in compliance with the state records retention schedules. Records that should be maintained include:



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1. screening documentation/matrix;
2. interview questions and answers;
3. copy of work sample and response, if applicable;
4. reference check letters and documentation;
5. selection notes, including reasons for non-selection of each applicant;
6. any relevant communication with candidates;
7. advertising and recruiting efforts; and
8. any other recruitment-related documents.

The university's central applicant tracking system, managed by Human Resources, will serve as the system of record for application materials, including resume and other documents submitted with the application. Departments are responsible for dispositioning all applicants in the applicant tracking system at the conclusion of a search.

2.1.2 Salaried Personnel Records

The hiring department must establish and retain a file in compliance with the state records retention schedules (<http://www.lva.virginia.gov/agencies/records/retention.asp>) for salaried employees that includes employment-related documents such as hiring, promotion, evaluation, and disciplinary actions. Employees may request copies of the information maintained in their file, per the employee handbooks. Information maintained should include, but is not limited to:

1. a copy of the employee's application or resume;
2. a copy of the employee's offer letter;
3. any documentation of employee performance created outside the university's electronic performance management system;
4. original transcript with official raised seal from the institutional source (required for all faculty who will be teaching).

A Certificate of Records Disposal (<http://www.lib.vt.edu/urig/destroy-form.html>) must be obtained from University Records & Information Governance (<http://www.lib.vt.edu/urig/index.html>) before final destruction.

2.1.3 Wage Personnel Records

Wage personnel records must be retained in compliance with the state records retention schedules (<http://www.lva.virginia.gov/agencies/records/retention.asp>) by the university. A Certificate of Records Disposal (<http://www.lib.vt.edu/urig/destroy-form.html>) must be obtained from University Records & Information Governance (<http://www.lib.vt.edu/urig/index.html>) before final destruction.

Human Resources does not establish individual personnel files for wage employees. The hiring department has primary responsibility for the establishment and maintenance of the following records:

1. any record describing the wage employee's job responsibilities and tasks (i.e. the Wage Appointment Form P117 (<http://www.hrapps.hr.vt.edu/resourceguide/docs/forms-library/P117.pdf>));
2. a copy of the employee's application or resume;



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3. a copy of the employee's offer letter (with the exception of emergency and sporadic hires);
4. any documentation of employee performance, if the department has an evaluation process;
5. the Wage Employment Information Supplement (P12W) form (<http://www.hr.vt.edu/forms/procedures/nonstudentwage/>); and
6. original transcript with official raised seal from the institutional source (required for all faculty who will be teaching). (See University Policy 4296, Adjunct and Wage Faculty Payments (<http://www.policies.vt.edu/4296.pdf>)).

Wage employee personnel records should include only employment-related documents such as employee history including hiring, promotion, evaluation, and disciplinary issues. Employees should be given copies of the information at the time it is placed in the file.

2.2 University Central Administrative Office Responsibilities

2.2.1 Human Resources Responsibilities

Human Resources will establish a personnel record in an electronic or paper format based on hire date.

The following personnel records must be retained in compliance with the state records retention schedules (<http://www.lva.virginia.gov/agencies/records/retention.asp>) by the university. A Certificate of Records Disposal (<http://www.lib.vt.edu/urig/destroy-form.html>) must be obtained from University Records & Information Governance (<http://www.lib.vt.edu/urig/index.html>) before final destruction. Human Resources will maintain records including:

2.2.1.1. Salaried Employee Personnel Records

Contents of the Central Personnel File for employees should include:

1. signed offer letter (staff) or Terms of Faculty Offer (faculty);
2. salary information – including any processed salaried transactions and supporting documentation;
3. retirement election;
4. health insurance election and supporting documentation;
5. life insurance election;
6. leave plan election where applicable;
7. acknowledgement of policies/handbook; and
8. Written Notices/Standards of Conduct.

2.2.2 Payroll Department Responsibilities

The Payroll Office will maintain the following records for both salaried and wage personnel.



2.2.1.1 State and Federal Withholding Forms

State and federal withholding forms must be retained in accordance to state and federal records retention schedules by the university. All active state and federal withholding forms are centrally maintained by the Payroll Office for one year from the date last worked. Purged forms are submitted to University Records & Information Governance (<http://www.lib.vt.edu/urig/index.html>) on a fiscal-year basis to be maintained for additional time required, then properly destroyed.

2.2.2.2 I-9 Records

The hiring department is responsible for completing the electronic Employment Eligibility Verification Form (I-9) (<http://www.controller.vt.edu/resources/payroll/onlinei9.html>), or, if the electronic system is unavailable, completing and submitting the hard copy form (<https://www.uscis.gov/sites/default/files/files/form/i-9.pdf>) to Payroll to be maintained. I-9 records are maintained by the Payroll Office in accordance with state and federal regulations.

3.0 Procedures

All records are to be maintained in accordance with departmental guidelines detailed within this document.

4.0 Definitions

Wage Employee: An employee who is hired to meet temporary, seasonal or part-time workload needs. Wage employees are paid for hours worked and are not covered by the Virginia Personnel Act and are considered non-exempt for purposes of overtime compensation.

Employee Personnel Records: Documentation of employee history including hiring, promotion, evaluation, and disciplinary actions.

5.0 References

Department of Human Resources Management, Policy 2.20, Types of Employment

http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol2_20typesofempl.pdf?sfvrsn=2

and associated 2013 memorandum of amendment:

http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/assets/policymemos/memoonpolicy2_20_1500hoursmodification.docx?sfvrsn=2

Department of Human Resources Management, Policy 6.05, Personnel Records Disclosure

http://web1.dhrm.virginia.gov/itech/hrpolicy/pol6_05.html

Department of Human Resources Management, Policy 6.10, Personnel Records Management

http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol6_10personnelrecordsmanagement.pdf?sfvrsn=2

Virginia Freedom of Information Act

<http://law.lis.virginia.gov/vacodepopularnames/virginia-freedom-of-information-act/>



Privacy Protection Act of 1976

<https://leg1.state.va.us/cgi-bin/legp504.exe?951+sum+HB2422>

Records Retention and Disposition Schedule, General Schedule No. 103, Personnel Records

http://www.lva.virginia.gov/agencies/records/sched_state/GS-103.pdf

Virginia Tech, University Policy 4032, Recruitment Guidelines for On- and Off-Campus Wage and Salaried Classified Positions

<http://www.policies.vt.edu/4032.pdf>

Virginia Tech, University Policy 4080, Release of Human Resources Records and Select Employee Information

<http://www.policies.vt.edu/4080.pdf>

Virginia Tech, University Policy 4296, Adjunct and Wage Faculty Payments (P14 Payments)

<http://www.policies.vt.edu/4296.pdf>

Virginia Tech, University Policy 4320, Guidelines for Fair Labor Standards Act

<http://www.policies.vt.edu/4320.pdf>

Virginia Tech, University Policy 4415, Worker's Compensation Program

<http://www.policies.vt.edu/4415.pdf>

Wage Employee Time Worked Tracking and Approval System (TimeClock Plus)

<http://www.controller.vt.edu/resources/payroll/timeclock.html>

Employment Eligibility Verification Form (I-9) Online System

<http://www.controller.vt.edu/resources/payroll/onlinei9.html>

6.0 Approval and Revisions

Approved July 13, 1995, by Associate Vice President for Personnel and Administrative Services, Ann Spencer.

- Revision 1
 - Throughout the policy, the retention schedule was changed to reflect the current policy as administered by the Records Management Services.
 - The phrase destroyed by shredding has been added as the method of destroying records meeting retention schedules. Also added is the statement: A Certificate of Records Disposal must be obtained from Records Management Services before final destruction.
 - The official workweek has been changed from Friday noon to Friday noon to Friday midnight to the following Friday at midnight.
 - Revised record retention schedules have been included.

Approved September 8, 2000, by Assistant Vice President for Personnel Services, Linda S. Woodard.



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October 10, 2001: Technical corrections to update policy links and name change for the Commonwealth of Virginia's Department of Human Resource Management (formerly Department of Personnel and Training).

- Revision 2
 - Formatted the policy to match the current policy layout.
 - Update the links for Policy 4320, the Wage Employee Time Records, and Employee Eligibility Verification Form (I-9).
 - Throughout the policy, Personnel Services Department was changed to Human Resources.
 - Provided clarity for departments in understanding their recordkeeping responsibilities for wage employees.
 - Removed the section related to Typing Test Scores as typing tests are no longer given.

Approved June 21, 2010 by Vice President for Administrative Services, Sherwood G. Wilson.

- Revision 3
 - Renamed policy from "Guidelines for Retention of Wage Employee Personnel Records" to "Retention of Employee Personnel Records."
 - Defined contents of both wage and salaried records across the hiring department, central Human Resources, and Payroll Office.
 - Removed specifics the Worker's Compensation program in section 2.2.1.3 and referenced University Policy 4415.
 - Removed sections regarding employee access to their own file and disclosure to third parties, as these are addressed by University Policy 4080.
 - Updated department titles and references throughout.

Approved January 31, 2017 by Vice President for Administration, Sherwood G. Wilson.