



CHESTERFIELD COUNTY ADMINISTRATIVE POLICIES AND PROCEDURES

Department: Human Resources
Subject: Personnel Records

Policy Number: 6-6
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I. INTRODUCTION

This administrative procedure establishes policies and procedures relating to the retention and maintenance of personnel records for all county employees.

This procedure applies to official personnel records maintained by the Department of Human Resources (HR) for every county employee, and addresses issues regarding establishment and maintenance of unofficial records that may be maintained by any other individual or department.

II. ESTABLISHMENT OF OFFICIAL RECORDS

HR will be the official office of record for the collection, storage and dissemination of personnel information relating to county employees and will establish an official personnel record for each employee at the time of employment. Documents are scanned by HR and maintained in an electronic format. The Police Department and Sheriff's Office maintain counseling and disciplinary documents within the Office of Professional Standards and these documents may not be collected, stored or disseminated by HR.

III. ESTABLISHMENT OF DEPARTMENTAL RECORDS

Department directors will ensure that only personnel information deemed to be critical to the operation of the department is maintained in unofficial personnel records. The following principles will be observed:

- A. The existence of any personnel data system cannot be kept secret.
- B. There must be a procedure for an individual to review information in a record pertaining to him and how it is being used. All data about an employee must be open to that employee and to HR.
- C. An individual must have recourse to prohibit the use of information in a manner other than for what it was collected or intended. If an employee believes that information is being misused, he should inform HR in writing.
- D. An individual must be allowed to correct or amend information by producing evidence to support his claim.
- E. Departments maintaining personal data must insure the reliability and confidentiality of the data and take precautions to prevent its misuse.

These principles do not apply to records maintained by the Police Department and the Sheriff's Office containing data gathered through background investigations or records maintained by the Office of Professional Standards.

IV. RELEASE OF INFORMATION

Employees may review their own official personnel files by contacting HR for an appointment. Release of information to anyone other than the employee will be consistent with the Freedom of Information Act and Personal Privacy Act of 1976 and other applicable rules of federal, state and local government. (Inquiries from the public regarding employee information must be referred to HR.) No information regarded as confidential shall be released prior to obtaining a release signed by an employee or former employee. Department directors, an employee's supervisor, the County

Attorney's Office, Human Resources, or other management representatives with a legitimate need to review these records, and the department HR liaison may have access to the files of employees within their department without a signed release of information.

V. PROCEDURE

A. **File Organization** – The personnel file shall initially contain:

1. Original Application for Employment (not including EEO Form)
2. Offer Letter, if applicable
3. Signed Offer Acceptance Form, if applicable
4. Original Personnel Action Form
5. W-4 Federal Withholding Allowance Certificate
6. VA-4 Employee's Virginia Income Tax Withholding Exemption Certificate
7. ID Photo/Driver's License
8. Social Security Card (copy)
9. County New Hire Placement Form for Full-Time Employees, if applicable
10. VRS Member's Information and Beneficiary Designation, if applicable
11. County Certification of Prohibition Against VRS In-Service Distribution, if applicable
12. Signed Acknowledgment and Receipt of Administrative Policies and Procedures
13. Signed Acknowledgment and Receipt of Employee Handbook
14. Health Care and Dental Enrollment Forms, if applicable
15. Deferred Compensation Enrollment Form, if applicable
16. Long Term Disability Form/Authorization, if applicable
17. Optional Group Life Insurance Form, if applicable
18. Child Support Disclosure Form

Information from these documents is used to build the employee electronic data file.

B. **File Maintenance** – Additional documents will be added to the employee's personnel file as soon as possible after submission to HR. These documents shall include:

1. National Safety Council Certificate of Completion (of defensive driver training)
(Moved from file organization list, since these documents come later.)
2. Applications for Employment (if selected for another county position)
3. Personnel Action Forms and supporting documents
4. Employee Development Program Documents (Performance Appraisal Reports)
5. Letters of Commendation/Reprimand
6. Reports of Separation/Letter of Resignation
7. VRS Application for Service or Disability Retirement
8. VRS Refund Request and Membership Withdrawal
9. Health and Dental Care Open Enrollment and Change Forms
10. Deferred Compensation Enrollment/Change Form
11. Training Certificates
12. Documentation of employee recognition, including but not limited to, Cash Award forms, Non-cash Award forms, Recognition Central STAR certificates

13. Place On/Remove from FMLA Form
14. Miscellaneous Benefit Forms
15. Release of Information Forms

Departments other than HR originating such documents will be responsible for forwarding them to HR for placement in the official files. These documents are used to update the electronic files. Also, departments are responsible for forwarding all other personnel related documents, such as performance documentation, to HR to be placed in the employee's personnel file.

C. Correction of Data

Employees are responsible for periodically reviewing information contained in their official records and are encouraged to contact HR to schedule an appointment to review their personnel file. If an employee believes that any information maintained in the official record is in error, he should notify HR in writing presenting evidence supporting his claim.

Personal, job, and salary data contained in the electronic file is printed on the Personnel Action Form.

D. File Retention and Disposition

Personnel records will be retained by HR as long as the employee is actively employed by Chesterfield County and for the number of years after separation specified by the Library of Virginia, at which time the records will be destroyed in compliance with the Library of Virginia's Records Retention and Disposition Schedule.