

Sample Personnel File Organization

While all organizations are different and this structure may not work for everyone, the following is one way to organize employee files.

- **Generally all employee files are closed records.** RSMo §610.021. Therefore, access to **ALL** employee files should be limited to those who “need-to-know.” The suggested color coding emphasizes that for some files fewer people have a need to know.
- Members of the public are only entitled to name, position, salary and length of service of officers and employees. RSMo §610.021.
- Maintain a separate record which contains the public information to make responding to requests easy and to avoid inadvertently disclosing confidential information.

Green—Official personnel file with subparts:

Master Personnel Record - has the longest retention period 75 years from date of hire. This entire file including the sub parts is accessed by supervisors when making employment decisions.

New Hire Forms

- Employment application and/or resume
- Notice of appointment
- Orientation checklist
- Equipment and property check-out forms
- Receipts for handbook and other policies, including anti-harassment and drug testing policy
- Consent forms for background check, credit check, etc.
- Special licenses and certifications

Performance and Discipline

- Performance appraisals, commendations, awards and other evidence of specific accomplishments
- Disciplinary records

Compensation and Job Status

- Compensation adjustment forms
- Job status change forms and related information

Training Record – Some training records have a shorter retention period – so maintain separate

- Training records

Attendance Record – Shorter retention period – so maintain separate

- Attendance records

Yellow—**Confidential files:**

Confidential File – Subparts have varying retention requirements. Contains employment related documents which are necessary for human resources and compliance with certain statutes but should not be used in employment decision.

Pre-employment Documents

- Employment references
- Background investigation reports
- Criminal history reports
- Pre-employment screening tests
- Interview notes
- Data collection forms on gender, race/ethnic origin, military status and disability

Employment Verification

- I-9 forms

Benefit Documents

- Benefits enrollment forms and related documents
- Termination of Employment Benefit Documents and COBRA

Tax Documents

- Tax forms (W-4, etc.)

Investigations

- Internal and external investigation files of complaints by or against the employee (Excluding Internal Affairs Investigations)

Notes and Correspondence

- Supervisory notes and correspondence

Termination of Employment

- Exit interview forms and notes

Red—**Restricted file:**

Restricted File – Subparts have varying retention requirements. The file contains medical information about employees that is necessary for human resources but should not be used in employment decision, except some information from this file may be necessary when considering a reasonable accommodation request.

Medical Records

- Medical history questionnaires
- Medical evaluations and related documents
- Notes from doctors
- Any documents about past or present health, medical condition, or disabilities

FMLA/ADA

- Requests for leave including FMLA leave and related documents
- Requests for Americans with Disabilities Act (ADA) accommodations and related documents

Work Comp

- Workers' compensation history, claims and related documents

Drug and Alcohol Testing

- Results of drug/alcohol tests and related documents

EMPLOYEE PUBLIC INFORMATION SHEET

Fiscal Year _____

Name: _____

Position: _____

Change in Position: _____

Date: _____

Salary: _____

Change in Salary: _____

Date: _____

Length of Service: _____