



Personnel File Setup Office of Human Resources

Personnel Files Best Practices

- Personnel files should only contain job related information as outlined in the chart below.
- Employees covered by a collective bargaining agreement may request that information be removed from their personnel file in accordance with the contract.
- Employees may submit a statement disputing information in their file, and this statement is to be maintained with the document under dispute in the personnel file.
- Employees have a right to inspect and request a copy of their personnel file. A copy of the file must be issued to the employee within a reasonable period of time.
- Internal access is limited to those employees with a legitimate job related need. The Senior Human Resources Professional (SHRP) or designee will ensure the requestor has a legitimate job-related need to access such files. However, since file contents are subject to public records law they may need to be disclosed upon request, unless exempted by law.
- Access to the Controlled Access records should be scrutinized and redacted as appropriate in consultation with Employee and Labor Relations.
- The current employing unit is responsible for maintaining the personnel file.
- When an employee transfers from one employing unit to another, the responsibility for the personnel file is transferred to the SHRP or designee in the new employing unit.
- A personnel file may contain several records. Each record within the file must be maintained or destroyed according to the university or unit retention schedule for that specific record. Retention Schedules are located at library.osu.edu/projects-initiatives/osu-records-management/retention-schedules/
 - A college/VP unit may have an individualized retention and management schedule, provided it has been approved by University Archives.

I-9 - Employment Eligibility Verification

- Filed centrally for entire department or college/VP unit. The location is determined by the Senior Human Resources Professional (SHRP)
- The document is to be kept separate from the employee's personnel file.
- Required for employees hired on/after November 7, 1986

Supervisory Notes

- Files kept by supervisors containing employment related information may be subject to public disclosure.
- This file must be maintained in a secure location (e.g., locked drawer in supervisor's desk).
- All documents in this file are to be dated and contain factual, not subjective information.
- While not part of the personnel file, this file may be used to document observed work performance and behavior and may include informal notes to be used in future discussions regarding an employee's job performance.
- Supervisors must be consistent and equitable in record keeping.

Electronic Personnel Files

- If maintaining personnel files electronically, these must be maintained through a university-approved platform.
- Information on how these records should be classified using the electronic personnel file platform can be found [here](#).

The Personnel File and Controlled Access Records must be maintained separately. Below is guidance for the set up for the contents of each.

Personnel File Records	Controlled Access Records
<p><i>(Generally shared in response to a public records request; consult with HR Employee and Labor Relations, Legal Affairs, or the Office of University Compliance and Integrity regarding requests for any of these documents)</i></p>	<p><i>(Generally not shared in response to a public records request; consult with HR Employee and Labor Relations, Legal Affairs, or the Office of University Compliance and Integrity regarding requests for any of these documents)</i></p>
<p>Job information</p> <ul style="list-style-type: none"> • Acceptance letter • Acknowledgement of receipt of auditor of state fraud reporting system information • Application (signed upon hire) • Compensation information • Letter of offer • Non-medical test results • Personnel data information • Position description • Requests for Personnel Actions <p>Performance information</p> <ul style="list-style-type: none"> • Awards, certifications, achievements • Disciplinary actions issued (e.g., verbal or written reprimand, suspension, termination) • Examples of work • Letters of commendation or letters of complaint • Performance evaluations • Training sessions attended <p>Miscellaneous information <i>(May or may not be subject to Public Records Law)</i></p> <ul style="list-style-type: none"> • Employee requests to examine their personnel file • Exit interview questions • Leave forms (not medically or FML related) • Letter of resignation • Records of policy or job information given to employee 	<p>General information</p> <ul style="list-style-type: none"> • Benefit plan choices and beneficiary information • Education records (any records other than directory information, directly related to a student and maintained by the university, including employment records of individuals employed as a result of their status as a student) • EEO/Affirmative action data • Grievances • Interview evaluation forms and reference checks • Investigatory notes, including any case reports or summaries completed at the conclusion of an investigation • Attorney-client communications • Legal actions including EEOC/OCRC complaints • Promotion and Tenure records <p>Medical Information</p> <p style="color: red; font-size: small;">File cannot be released without prior consent and written release from the employee. Contact HR Employee and Labor Relations for assistance with a consent and release form.</p> <ul style="list-style-type: none"> • FML information • Injury reports • Medical exam reports (e.g., Fitness for Duty) • Reasonable accommodation requests (ADA)/Transitional Work Agreements