

**Institutional Handbook of Operating Procedures**  
**Policy 03.01.02**

Section: Human Resources Policies	Responsible Vice President: Executive Vice President of Business and Finance
Subject: General	Responsible Entity: Human Resources

**I. Title**

*Employee Files*

**II. Policy**

The Office of Employee Records is the central repository for all UTMB personnel employee records. As the official record owner, Employee Records is responsible for the maintenance and management of all institutional and department employee personnel files. Employee files will be maintained in accordance with this policy to promote consistency and standardization across UTMB and its entities. All electronic institutional personnel files (eIPF) will be maintained via TIFF format. Any documentation forwarded electronically to Employee Records must be in JPEG, PDF, WORD, EXCEL or TIFF format.

Departments are responsible for forwarding any current and future paper or eFile documents to Employee Records to be incorporated into the eIPF. Only direct supervisors will have access to view the ImageNow eIPF. Other users' access will be granted once verification of need or identification is provided. Other users may include, but would not be limited to, employees, HR managers, Office of Institutional Compliance, Chairpersons, and/or Legal Affairs.

Neither the departmental employee files nor eIPF may retain personal medical information. While the department maintains a "paper" file during the eIPF conversion, as custodians, the department is responsible to ensure that employee department files are located in a secure environment to which only authorized staff members have access.

Nothing should be filed in the employee's file that has not been discussed with the employee. UTMB complies with applicable federal and state laws and regulations, and strives to maintain an environment which does not discriminate against applicants or employees on the basis of race, color, national origin, sex, age, religion, disability, sexual orientation, gender identity or expression, genetic information or veteran status.

Violation of this policy may result in disciplinary action up to and including termination of employment.

**III. Contents of Institutional Employee Files**

The following "original scanned" paper documents or e-documents, as applicable, shall be maintained in the "eIPF". Other paper documents should be forwarded to Employee Records within 7 days of hire date.

NOTE: If an "original" document is not available, a copy will be made available and marked as "original".

1. Application/Résumé/Online Profile/curriculum vitae with signature page, contracts, memorandum of understanding, biographical sketch,
2. Transfer Request(s) which resulted in hiring,

3. Counseling & discipline records (verbal disciplinary documentation is only included if attached to other disciplinary action),
4. New Employee Documentation Checklist (Onboarding)
  - a. Public Information Survey
  - b. Public Access Form
  - c. Political Aid
  - d. Affidavit
  - e. Benefits / Retirement Selections (includes Optional Retirement)
  - f. Standard & Regulations Form
  - g. Drug Free Workplace Form
  - h. W-4

(NOTE: I-9 documentation will be maintained separately from all other documentation.)

5. Employment Verification
6. Signed Job Description or Verification of Receipt of Job Description with Unit/Position Addendum
7. Federal Certificate of Age (Minors 16 – 18)
8. Insurance Coverage Notification
9. Letters of Recommendation/References
10. Signed Performance Appraisals (Re-evaluation Forms/Action Plans)
11. Personnel Action Forms (PO2s)
12. International visa/employment authorization documentation (if applicable).
13. Pre-employment Test Results (if applicable)
14. Professional educational licenses/certifications and verifications (copies allowed if originals required for posting in work area)
15. Exit Interview
16. Grievance documentation

Other information may be maintained if required by law or regulatory agencies.

#### **IV. Retention of Institutional Employee Files**

Institutional employee files and associated documentation will be maintained during the employment life cycle. Upon separation, UTMB employment profile, retirement, public access and disciplinary documentation will be maintained for a period of 75 years. Remaining file documentation will be maintained for a period of seven years, both in accordance with the University's [established records retention schedule](#).

As departmental files are moved to the eIPF, maintenance and storage will be managed by Employee Records. Until this transfer is complete, departments will maintain custodianship of department employee file documents. These documents shall be maintained during the employment life cycle. Upon separation, please refer to "Separation from UTMB" section of this policy for appropriate disposition of department employee files to Employee Records in accordance with established records retention schedule.

#### **V. Inter-departmental Transfers**

When an employee transfers from one department to another, the exiting department shall forward the entire employee file to Employee Records within two weeks.

**VI. Separation from UTMB**

The entire employee departmental paper file shall be forwarded to Employee Records within 30 days after an employee’s separation date.

1. This file shall be maintained for a period of seven years.
2. After seven years, any documentation not included in the Contents of Institutional Employee Files section of this document and not required by law shall be discarded.

**VII. Quality Assurance**

Quality assurance (QA) will be done on all documentation prior to acceptance. Original paper documentation cannot be purged until acceptance is complete, and must be held for 30 days to ensure QA acceptance. Once QA and archive is complete, Employee Records will purge file according to University’s retention schedule. Employee Records will maintain said documents as original scan for file integrity and avoid loss of data. Any documentation provided to Employee Records not meeting electronic scanned document guidelines will have to be rescanned as instructed in policy above.

**VIII. Dates Approved or Amended**

<i>Originated: 05/11/1999</i>	
<i>Reviewed with Changes</i>	<i>Reviewed without Changes</i>
03/07/2013	
12/05/2017	

**IX. Contact Information**

Human Resources Employee Relations  
 (409) 772-8696