

Personnel Files

Scope

This document sets forth the Research Foundation's (RF's) requirements regarding the contents of an employee's personnel file. Also refer to the RF's [Records Management Policy](#) and to [Recordkeeping Requirements for Labor Condition Applications](#) for further information.

Establishing an Employee's Personnel File

At each operating location, a personnel file must be established for each Foundation employee. The personnel file generally should contain personnel documents for an employee, including necessary personal and job-related information, in addition to any pre-employment records for the employee.

Required Documentation

The following table describes the documentation that is required to be retained in an employee's personnel file:

Topic	Documentation
Assignments	Employment application
	Applicant's resume
	Written communication to applicant regarding Research Foundation employment
	Letter of appointment
	Employee Assignment Form
Changes	Oracle Information Change Form
	Written notification memorandum and supporting documentation for an employee being demoted.
Performance Evaluation	Research Foundation of SUNY Individual Performance Program and Appraisal
Taxes	Employee's Withholding Allowance Certificate (IRS Form W-4), unless retained in a separate payroll file
	Employee's Withholding Allowance Certificate (NYS Form IT-2104) or Certificate of Exemption from Withholding (NYS Form IT-2104-E), unless retained in a separate payroll file.

Insurance	Insurance Enrollment Form or Graduate Student Employee Health Plan Enrollment Form
Convictions	Notice of Drug Statute Conviction for an employee
Conflict of Interest	Copy of a written determination made regarding a violation of the Conflict of Interest Policy
Terminations	Written notice given by employee who is resigning; written notice given by an employee who is retiring
	Signed letter by an employee acknowledging receipt of written notification letter informing employee of his or her exact date of termination and the exact date of cancellation of group health insurance benefits; or certified mail receipt from notification letter
	Written notification memorandum to an employee being terminated from employment for cause; supporting documentation for an employee being terminated from employment for cause
Requests for Information	Copy of a written governmental request for information regarding an employee and response
	Copy of a written nongovernmental request for information regarding an employee and the employee's written authorization and response

Required Documentation for Minors

An unexpired employment certification or vacation work permit must be included in personnel files for all minors employed by the Research Foundation.

Optional Documentation

- Locally required information.
- A reasonable amount of information that an employee requests to be placed in his or her file.

Documentation Not Kept in Personnel File

The following documents must be retained separately from the employee's personnel file in a secure locked file drawer:

- Protected Health Information (PHI). This includes any personally identifiable information about an employee's past, present, or future health or condition, the provision of health care, or the payment of health care. It does not include FMLA, Workers' Compensation, or Disability records.
If the staff members who have access to PHI are different from the staff members who handle the other documents listed below, PHI must be kept in a separate file.
- Form I-9 and documentation of work authorization.
- Self-Identification of Disabled Individuals Form.
- Self-Identification of Special Disabled Veterans, Vietnam Era Veterans, and Other Protected Veterans Form.

Note: Form I-9 and associated documentation of work authorization is required for all employees. The Self-Identification of Disabled Individuals Form and Self-Identification of Special Disabled Veterans, Vietnam Era Veterans, and Other Protected Veterans Form are optional.

Change History

- **May 9, 2011** - Removed IRS W-5 form reference due to elimination of AEIC in 2010; fixed broken links. Overall review; removed references to obsolete Payroll Manual Adjustment Form and Biweekly Deduction Coding Form.
- **March 27, 2003** - Revised to include information on Protected Health Information in accordance with HIPAA.

Feedback

Was this document clear and easy to follow? Please send your feedback to webfeedback@rfsuny.org.

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