



Policy Number:

36

Effective: March 16, 2015

Revised: September 18, 2017;

November 14, 2019; November 8, 2022

Subject: Human Resource Records

PURPOSE:

Camden County Developmental Disability Resources (CCDDR) shall have a human resource file for each employee, intern, and volunteer. The record is the property of CCDDR and is maintained for the benefit of the employees, interns, volunteers, and CCDDR.

POLICY:

CCDDR will maintain the security and confidentiality of human resource files and safeguard the information contained in the files against loss, tampering, or use by unauthorized persons. The content and format of human resource records are standardized according to CCDDR procedures and CARF guidelines. The single official record (SOR) for each employee, intern, and volunteer shall include:

- Employment/Volunteer/Internship Forms (application; resume; education; signed job description; benefits; drug test; references; copies of driver's license; I-9 form; copies of Social Security card; automobile insurance information; employment, volunteer, or intern status; and employee, volunteer, or intern acknowledgement forms)
- Pay Changes/Volunteer Changes/Intern Changes (W-4, payroll deductions, direct deposit authorization, notices of pay changes, and notices of volunteer or intern changes)
- Performance (appraisals and disciplinary actions)
- Training and Certifications
- Medical information and Workers Compensation incidents (all correspondence pertaining to medical or health information, including health insurance information and first reports of injury, are not kept with the employee personnel record, but they are kept in a separate folder in a separate file cabinet)
- Criminal, other background checks, and security incidents (all correspondence pertaining to criminal or other background checks information, including Family Care Safety Registry and professional or personal reference checks, are not kept with the employee personnel record, but they are kept in a separate folder in a separate file cabinet)

The SOR shall contain separate sections for each aforementioned category. The SOR shall be maintained by the Local Agency Security Officer (LASO), as identified in Policy #46 – Access & Use of Fingerprint-Based Criminal History Record Information & Incident/Security Response, and kept in locked file cabinets within the administrative office of CCDDR. The LASO will keep

a list of CCDDR employees having authorized access to the SORs and keys to the file cabinets. Unless on the LASO's list of CCDDR employees having authorized access to the SORs, immediate supervisors will have limited view only access to the SOR of their subordinates, and that access will only be related to performance, training, and certifications. If an immediate supervisor who is not on the LASO's list of CCDDR employees having authorized access to the SORs needs to view performance, training, and/or certification records in a subordinate's SOR, the immediate supervisor must submit a written request to do so to the LASO or Executive Director. SOR viewing shall be in the presence of the LASO or CCDDR employee who is on the SOR authorized access list.

Employees, interns, and volunteers shall have the right to examine their SOR after making a written request to their immediate supervisor, the LASO, or the Executive Director. SOR viewing shall be in the presence of the LASO or CCDDR employee who is on the SOR authorized access list. Employees, interns, and volunteers may make copies of certain documents from their SOR for their personal records with permission from the LASO and/or Executive Director. No original documents from the SOR shall leave CCDDR's facility. Employee, volunteer, or intern records or information shall not be communicated to third parties unless doing so is allowed by law or the employee, volunteer, or intern signs a written authorization for CCDDR to do so. Any written authorization for release shall specifically identify the third-party to whom records and/or information are to be communicated.

Former employees', volunteers', and interns' SORs will be kept for a minimum of seven (7) years or whatever the applicable minimum is by Federal or State law in a secure, climate-controlled storage facility maintained by CCDDR.

REFERENCES:

- SB 40 Records Retention Schedule, MO Secretary of State's Office
- CARF Standards Manual
- All Applicable State & Federal Laws