

CCS Administrative Procedure

2.00.01 – I Personnel Record System and Retention

Implementing Board Policy [2.00.01](#)

Contact: Human Resources

1.0 Personnel Administration Objective and Responsibilities (summary of Board of Trustees Policy 2.00.01)

Community Colleges of Spokane (CCS), aware of its obligations as an institution of higher education and steward of the public trust, will ensure personnel administration procedures and practices comply with federal, state and local laws and statutes, are based upon sound human resource management principles, satisfy the standards of regional and national accrediting organizations, and promote a work environment of collegiality, respect and professionalism. Among these obligations is the management of an efficient and effective personnel records system, to include a compliant retention schedule.

- 1.1 CCS shall maintain an official file for each employee showing a record of employment and such other information that may be required for business and legal purposes.
- 1.2 This procedure shall provide information regarding the retention and confidentiality of personnel records in accordance with chapter [357-22 WAC](#), collective bargaining agreements, accreditation, and all relevant state and federal laws.
- 1.3 Personnel and payroll records/files are accessible to record custodians and, depending on the subject matter, may be available to review by the employee, manager(s), administrator(s), and executives of CCS who have a need for a bona fide employment related request.
- 1.4 Personnel and payroll records are open to the inspection of appropriate and responsible non-CCS employees including the state auditor, the Office of the State HR Director, and similar agents. Further, an employee may authorize in writing access to other individuals as provided in this procedure.
- 1.5 Some personnel records may be maintained in subject matter files, separate from personnel or payroll files, due to legal, confidentiality, or record management efficiency reasons. Access to these files varies dependent upon legal and confidentiality standards.
- 1.6 The Chief Administration Officer is responsible for managing and maintaining the official personnel file system. The Chief Business Officer is responsible for managing and maintaining payroll records/files.

2.0 Definitions

The following definitions are specific to the terms of this procedure and do not modify or revise similar terms as used in related procedures or collective bargaining agreements.

- 2.1 Personnel record: documents pertaining to an individual's application to and employment with the Community Colleges of Spokane. May include application for employment when applicant is hired; identification, criminal background checks; evaluation reports on job performance; records of employment status, position description and job classification; citations; letters of recommendation and other documents specific to that employee's employment.
 - 2.1.1 Not all personnel records are retained in official personnel files and may be separately filed in a subject matter file.
- 2.2 Personnel file (official): official file located in the Human Resources Office and containing original personnel records.

- 2.3 Personnel file (supervisor and/or department): a working file of personnel records maintained at the departmental level by the immediate supervisor. Accessible to employee, department's record custodian, and those managers within the chain of supervision for that employee. Differentiated from the official file in that information is either a copy of original documents forwarded to the official personnel file or working documents to be used to prepare a personnel record that will ultimately be forwarded to the official file.
- 2.4 Subject matter file (official): official files located in the Human Resources Office and containing original paper, electronic or authorized digitally imaged personnel records specific to a matter that for legal, confidentiality, or record management efficiency reasons is retained separate from an employee's official personnel file. Examples include, but are not limited to grievance files, medical information, unemployment appeals, labor and industry claims, and tenure files.
- 2.5 Personal information: includes telephone numbers, addresses, social security numbers and other personal information specific to the individual apart from his/her employment relationship with CCS.

3.0 Employee Rights

- 3.1 An employee and/or any person authorized in writing by the employee may review the employee's personnel file.
- 3.1.1 The employee may contact the Human Resources Office during business hours Monday through Friday and make an appointment to review his/her personnel file. The file will be produced within a reasonable timeframe, dependent upon workload and other reasonable considerations. Requests to review archived records require additional processing time.
- 3.1.2 The employee may request a copy of items in the personnel file, up to and including the entire file contents. Request shall be made in writing and on the appropriate record request form. The employee may be charged for copies at the discretion of the Chief Administration Officer and at the approved district rate.
- 3.1.3 Adverse material processing:
- 3.1.3.1 An employee must be provided a copy of all adverse material placed in the personnel file at the time the material is forwarded to the file.
- 3.1.3.2 After an employee becomes aware that adverse information has been placed in his/her personnel file, he/she has the right to add a statement of rebuttal or correction of such information.
- 3.1.3.3 Following separation of employment, a former employee retains the right of rebuttal or correction for a period not to exceed two years.
- 3.1.4 An employee has the right, at any time, to add job-related information to his/her personnel file. Determinations regarding the job-relatedness of any information will be made by the Chief Administration Officer, whose decision is final.

4.0 Record Retention Schedule

- 4.1 Official personnel records are governed by the Washington State Board for Community and Technical Colleges Records Retention Schedule. This retention schedule authorizes the destruction/transfer of public records documenting common functions and activities of personnel management. It is to be used in conjunction with the Washington State General Record Retention Schedule and other approved agency schedules that relate to the unique functions of employment, personnel management, labor relations, payroll and benefits.
- 4.2 Federal guidelines and/or different agencies may conflict with state retention guidelines. In this case, Human Resources will follow the most conservative retention schedule.
- 4.3 Personnel information shall be kept in the employee's personnel file as long as it has a reasonable bearing on:
- 4.3.1 The employee's job performance; or

- 4.3.2 The employer's efficient and effective management of the work unit, agency, institution, or the district.
- 4.4 Adverse material proven to be inaccurate or false, or information related to employee misconduct or alleged misconduct which is determined to be false, and all such information in situations where the employee has been fully exonerated of wrong doing shall be promptly removed from files unless:
 - 4.4.1 The employee requests that the information be kept; or
 - 4.4.2 The information is related to pending legal action or legal action(s) may reasonably be expected to result.

5.0 Confidentiality

- 5.1 Personnel records and files shall be maintained and secured in a manner in accordance with applicable laws to safeguard records from unauthorized access, removal or destruction. Access shall be limited to the employee, record custodians, manager(s), administrator(s), and executives of CCS who have a need for a bona fide employment related request, and authorized agencies.
- 5.2 The employee may also grant access to any other individual given expressed written permission by the employee to review the record/file. Such requests shall identify the individual by name, the date of review, and shall be signed. The Human Resources Office can provide a form in this regard upon request.

6.0 Record Disposal

- 6.1 Records may be archived. Archived records are transferred to the management of the CCS records manager. Confidentiality standards apply to archived information.
- 6.2 Records shall be retained consistent with this procedure's retention schedule. Thereafter, the records shall be disposed of in a manner that ensures both adequate destruction of the materials and confidentiality of record information during the disposal process.
- 6.3 Consistent with the Fair and Accurate Credit Transactions (FACT) Act of 2003, any document or disk containing personal information will be destroyed, defined as either shredding, burning, smashing or wiping, prior to disposal.

7.0 Interagency Transfer of Personnel Records

- 7.1 In the event an employee transfers or accepts a position with another Washington State agency, CCS Human Resources will, at the request of the new employing agency, coordinate the timely and secure transfer of the employee's personnel records as required by the succeeding agency.
- 7.2 Human Resources will retain the separated employee's CCS official personnel file for the duration of the applicable retention period.