

**AGENDA ITEM 10.a**

**POLICY 008 HUMAN RESOURCES RECORD ACCESS AND CONFIDENTIALITY POLICY**

**RECOMMENDED DIRECTIVE:** The Board hereby approves the Policy 008 Human Resources Records Access and Confidentiality Policy to be implemented upon approval.

**DISCUSSION:** It was recognized that the College does not have a policy governing the accessibility of personnel records. The accreditation standard III Human Resources Section requests for a policy and procedures for accessibility to personnel records and year after year the self study report maintained that the college does not have an actual policy but follow an established practice. It is the practice that now is written into a policy to meet this accreditation standard.

In 2011 the Human Resources Committee reviewed similar policies on this matter at other institutions including the College of the Marshall Islands which the WASC accepted when the college's accreditation was reaffirmed. The final product as presented here is very brief and limited to accessibility only as necessitated by Standard III. It was understood that procedures that will include file management and disposal of personnel files and other types of information under the Human Resources need to be created but must be separate from this policy. The HR Office is researching into this area for policy/procedure development.

In the months of January and February 2013, the Human Resources Committee continued the review/development of this policy by soliciting input from the college wide community. The committee received no negative response to the creation of neither this policy nor its contents. The common comments and recommendations have to do with clarity of "authorized college administrators" and question on file management and disposal which are not part of this policy. The rationale for the absence of file management and disposal is explained above; the college needs to have separate procedures for management and disposal of files which the HR is researching already. This policy is meant to provide procedures and guidelines for accessibility to employee records to meet Standard III.

The implementation of the policy ensures the college meets Standards III and provides personnel and the Human Resources Office specific easy to follow procedures to carry out this responsibility. The procedures under this policy promote a very organized well documented process for access and assures confidentiality of records and legitimacy of access.

The other committees that reviewed this policy included the Management Team, Executive Committee and the Cabinet. The legal counsel also reviewed and input into this policy.

**ACTION TAKEN:**

\_\_\_\_\_ Approved as presented

\_\_\_\_\_ Approved w/ modifications

\_\_\_\_\_ Disapproved

\_\_\_\_\_ Deferred to a later meeting

**VOTE:**

\_\_\_\_\_ aye \_\_\_\_\_ nay \_\_\_\_\_ abstain

**DATE:** \_\_\_\_\_

## **POLICY 008**

### **HUMAN RESOURCES RECORD ACCESS AND CONFIDENTIALITY POLICY**

#### **1. POLICY**

It is the policy of COM-FSM for the Office of Human Resources to maintain official personnel record of all employees of the college. The personnel file is to include documents related to hiring, promotion and discipline of the employee as well as performance appraisals, recommendations/awards, training and changes in job title, job description, job classification and placement. Medical information and other sensitive information are maintained in a separate confidential file.

Access: An employee or his/her immediate supervisor may review the employee's personnel file during regular business hours or request copy of a document from the file. The review is to take place in the presence of a designated staff member of HR. A log is maintained in each employee file to record the date and person reviewing the file and date and document copied and for whom.

Confidentiality: All materials in an employee's file remain confidential and will not be disclosed except to authorized college administrators. The contents of an employee's personnel file may not be disclosed to third parties without the notarized authorization of the employee. The authorization must describe specifically the records to be disclosed and the persons to whom they are to be disclosed. The Office of Human Resources is to assure the security and privacy of these records.

#### **2. PURPOSE**

The purpose of this policy is to ensure confidentiality of personnel files kept in the Human Resources Office and to provide procedures for accessibility of the files.

#### **3. APPLICATION**

This policy applies to personnel files at the college under The Human Resources Office. .

#### **4. RESPONSIBILITIES**

The President has overall responsibility for implementing this policy. The Office of Human Resources is responsible for the day-to-day implementation of this policy.

#### **5. PROCEDURES**

An employee or his/her supervisor may access the employee's personnel file by completing the Personnel Records Request Form (Appendix R). Upon receipt of the form and approval of the request by the HR Director, the Human Resources Office schedules a time when the requested document can be viewed or copied. A log is maintained in each employee's file to record the type of document, the date when viewed or copied and the name of the person accessing the file.

#### **6. DEFINITIONS**

Authorized College Administrators include the immediate supervisor and second level supervisor such as a Coordinator, Director, Dean or Vice President and President.

# APPENDIX R Personnel Records Request Form

## PART A: File Requested

NAME: _____	Position: _____
Last                      First                      Middle	
Date of Request: _____	[ ] Regular Employee                      [ ] Part Time Employee
Campus: _____	

## PART B: Requestor's Information and Purpose

NAME: _____	Position: _____
Last                      First                      Middle	
Check the applicable box below.	
<input type="checkbox"/> This is my personnel file I am requesting viewing.	
<input type="checkbox"/> I am the immediate supervisor and I have employment related needs for viewing this file.	
<input type="checkbox"/> I am the second level supervisor and I have employment related needs for viewing this file.	
<input type="checkbox"/> I am the Vice President in this department and I have employment related needs for viewing this file.	
<input type="checkbox"/>	
Other _____	
Specify relationship and purpose of request	
I certify that the information provided on this form is true. I understand any attempt to defraud the College will be met with appropriate disciplinary action.	
REQUESTOR'S SIGNATURE	DATE

## Part C: List Documents and Copies Requested For.

<p>Write the name of documents below clearly, include the number of copies requesting.</p> <ol style="list-style-type: none"> <li>1. _____</li> <li>2. _____</li> <li>3. _____</li> <li>4. _____</li> <li>5. _____</li> <li>6. _____</li> </ol>
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## PART D: Human Resources Office Use Only

Date completed form is received: _____ HR Staff initial: _____
Actions Taken: <input type="checkbox"/> Inform HRO Director on _____ <input type="checkbox"/> Requestor viewed the file on _____ <input type="checkbox"/> Provide personnel INFORMATION and COPIES requested on _____ <input type="checkbox"/> Others _____ Date and Time _____
_____ _____ _____ _____