STATECIVILSERVICE

JOB AIDS AND RESOURCES

Documentation and Reporting Requirements

Employee File – Confidential and Public Records

Revised 11/2/18

Agencies must maintain personnel files for each employee. The personnel file should consist of records relevant to his/her employment and service history. Confidential items should be maintained in a manner that allows them to be separated from the public record. ALL personnel records should be handled with discretion. The following information is not all-inclusive. For additional information regarding Public vs Private Information, refer to Job Aids and Resources: Public vs. Private Information.

NOTE: While certain information in an employee's personnel file is confidential, it may be shared between agencies in Louisiana state government. The State of Louisiana is considered one employer, therefore, when employees transfer employment from one agency to another, or when individuals seek reemployment, confidential information may be shared to ensure the process is seamless and there is no interruption in benefits and eligibilities for the employee.

Confidential Information

- Social Security Number
- Address & Telephone Number (when employee requests confidentiality)
- Scores and notes of interview panel members
- Performance Evaluations (including the evaluation and comments)
- Internal grievance documents
- Letters of counseling, warning or reprimand
- Documentation of Suspension Pending Investigation
- Pre-discipline ("Loudermill") notices UNLESS discipline results
- Medical Records
- Insurance Claim Forms
- Life insurance applications
- Requests for payment of insurance benefits
- Beneficiary information (retirement, insurance, etc.)
- Bank information
- Pay check deductions
- Tax information
- College transcripts
- Date of birth
- Age

Public Information

- Appointment Affidavits (SF-13)
- Record of Appointments
- Record of changes in status or position (promotion, reassignment, etc.)
- Copy of current position description
- Records of completed training courses
- Copies of applications or appointments
- Attendance and leave records (excluding confidential medical records)
- Letters supporting formal disciplinary actions
- Rate of pay and salary information

Retention of Personnel Records

Personnel records, whether public or confidential, are usually grouped into four main categories: personnel, medical, payroll and employment verification. Personnel and medical files should be

maintained indefinitely for current employees and for employees who separated from an agency after October 1, 2000. This is the current stance of the Archives and Records Management Division of the Department of State, whose responsibility is to approve formal retention schedules for records.

In accordance with the U.S. Department of Homeland Security, Form I-9 must be retained on employees for specific periods of time and in either electronic or paper format. For more information on I-9 regulations, refer to www.uscis.gov.

Payroll related records should be maintained for at least five calendar years. Agencies are encouraged to review exceptions in existing law or regulations, as well as any federal grant requirements to ensure that any applicable laws, regulations, or grants do not require longer retention periods.

DO NOT DESTROY any documents, files, or records without the approval of the Archives and Records Management Division of the Department of State.

Examples of Public Documents	Examples of Confidential Documents and/or Information
State of Louisiana Employment Application and Resumes	Social Security Numbers
Employee name, job title and pay	Employee address and phone number, when the employee has requested
Records of Attendance	Performance evaluation documents and overall evaluations
Annual leave slips	Insurance documents such as claim forms, application forms, request for payment of insurance benefits
Records of internal investigations (after completion of an investigation)	Internal grievance documents
Appointment affidavits (SF-13)	Letters of counseling, warnings or reprimands
Record of appointments	Tax Information
Record of changes in status or position	Pay check deductions
Copy of current position description (SF-3)	Bank Information
Records of completed training courses	Scores and notes of interview panel members
Letters supporting formal disciplinary actions	College Transcripts
Pre-discipline notices ONLY IF disciplinary action results	Pre-disciplinary notices if no discipline action resulted
Driver's License (except SSN is confidential)	Beneficiary Information (insurance, retirement, etc.)
	Birth Certificates
	Death Certificates

NOTE: Due to the variety of records and the methods in which records are used or maintained, this is not an all-inclusive list of public v. confidential information. Questions regarding specific documents or pieces of information should be directed to your agency attorney or legal counsel.