301A: Human Resource Files

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Section: Human Resources
Subject: Human Resource Files
Approved by: Tony Massey
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Policy Owner: Director of Human Resources

Policy

It is the policy of Massey Services, Inc. to maintain records for each Team Member that relate to the Team Member's position and performance. The purpose of this policy is to establish guidelines for (A) management access to personnel files/security of files, (B) Team Member access to personnel files, (C) maintenance of records at the service centers, and (D) release of personnel information to outside sources.

General Information

Team Member personnel files describe the Team Member's work history with the company and will normally contain only such information needed by the company in conducting its business or required by state, federal or local regulations. This includes the following; applications/resumes, payroll information, performance appraisals, disciplinary records, educational information, absentee reports, handbook receipts, all new hire forms, certain test results, and licensing information. Confidential information such as I-9 forms, medical evaluation results, credit/criminal background results, Workers' Compensation reports, drug test results, and others will be maintained in a separate confidential file according to applicable regulations.

Various federal, state, and local laws require that certain records be retained for a specific length of time, and the company will comply with these requirements.

1. **Management Access to Personnel Files/Security of Files**
    - To maximize the security of personnel files, all records will be kept in the Human Resources Department. The files will be locked during non-working hours or when no one from the department is present. Access to the files is on a need-to-know basis and is limited. Examples of management personnel who would have a legitimate need to inspect personnel records would include the Executives, Regional Manager, Human Resources staff, and a department head who is considering a Team Member for a promotion, transfer, and other personnel action.
    - Such individuals should direct their request for review of the file to a Human Resources staff member, who will review the reason for the request and ensure proper sign-out procedures.
    - Management personnel must exercise security measures when removing files from the HR Department to ensure only those having a "need to know" have access to the files. This means that management personnel with files should maintain them in a locked drawer and out of sight if they are not returned to the HR Department the same day.
    - To ensure the integrity of our policy, Managers may not duplicate personnel file documents.

2. **Team Member Access to Personnel Files**
    - Currently, there is no state, federal, or local regulation that requires Team Member access to personnel files. Team Member personnel files are considered confidential files that are the property of the company and, as such, are not accessible by Team Members or former Team Members. At the time of delivery, Team Members should receive copies of disciplinary documents and commendations placed in their file. If they wish, Team Members may submit written statements/corrections to their file.
    - If a Team Member has a question about a document in the personnel file, it should be directed to the Human Resources Department where it will be handled accordingly.

3. **Maintenance of Records at the Service Center**
    - The Human Resources Department at the Corporate Office must receive all original documents that are part of the personnel file. If the Service Center Manager elects to maintain a partial file at the service center, he/she must ensure, (1) the HR Department has the original of each document, (2) the files are maintained in a locked drawer that is not accessible to any Team Members, and (3) the service center file does not contain any confidential sensitive medical or other information. Generally, the service center personnel files should only contain copies of

performance related documents.

- It is important that the HR Department receive copies of all documents retained in the service center files so they can properly respond to inquiries, such as unemployment compensation requests.
- Originals of all documents that belong in the HR Department should be forwarded to the Human Resources department and marked "CONFIDENTIAL".

4. **Release of Personnel Information to Outside Sources**
   - Personnel information is strictly confidential and will be carefully protected. At Massey Services, we will continue to handle personal information in a way that is least intrusive and that protects the privacy of our Team Members. We will do this in ways that are reasonable and consistent with good business practices.
   - Accordingly, it is the policy of Massey Services to verify name, position and dates of employment when this information is provided by an employer regarding one of our former Team Members. This information will not be provided, it will only be verified when given. Generally, such references will be handled by phone. Massey Services, Inc. will follow the same procedures when a written reference request is made by an employer.
   - All managers receiving a reference request for a former employer must refer such calls to the Human Resources Department.
   - Massey Services will cooperate with government agencies requesting personnel information, however, the representative of the agency must submit: (1) positive identification, and (2) a written request on agency letterhead which specifically recites the regulation requiring release of such information.
   - If a manager wishes to provide a written letter of reference for a Team Member, a copy of the letter must be forwarded to the Human Resources Director for review to ensure accuracy and proper language.
   - In some cases, a Team Member may provide written authorization for release of information necessary for a private legal matter, home mortgage approval, or other reason not related to the company. These requests will be reviewed by the Director of Human Resources and responded to in a manner consistent with company policies, procedures, and philosophy.

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