

VANDERBILT UNIVERSITY AND MEDICAL CENTER

HUMAN RESOURCES POLICIES AND PROCEDURES

SUBJECT: EMPLOYEE REVIEW OF PERSONNEL FILES

POLICY #: HR-019

EFFECTIVE DATE: January 1, 2000

POLICY

It is the policy of Vanderbilt University to permit a staff member an opportunity to review his/her personnel file that is maintained in Human Resource Records Management. It should be noted that personnel files maintained in Human Resource Records Management are the official employment record of a staff member and are the property of Vanderbilt and cannot be duplicated without explicit authority from a Director of Human Resource Services.

PROCEDURE

A staff member who wishes to see his/her personnel file should contact the Employee Relations Representative for his/her area to arrange for a mutually convenient time to review appropriate material.

- I. PERSONNEL FILE RECORDS AVAILABLE FOR REVIEW
 - A. Vanderbilt Application Form
 - B. Offer Letter
 - C. Performance Improvement Counseling
 - D. Authorization for a deduction or withholdings of pay
 - E. Employment history – including salary information
 - F. Required Certifications
 - G. Performance Development Documents, including Orientation Records
 - H. Mandatory Continuing Education Records
 - I. Open Enrollment/Fringe Benefit Information (Maintained in Benefits Record)
 - J. Retirement Application (Maintained in Benefits Record)
 - K. Job Related Certifications

- II. PERSONNEL FILE RECORDS EXCLUDED FROM REVIEW
 - A. Documents relating to the investigation of possible criminal offenses or violations of University policy.
 - B. Letters of reference.
 - C. Medical information related to leave certification
 - D. I-9 Documentation
 - E. Any other documents that Vanderbilt considers to be confidential proprietary or privileged .

- III. RULES FOR GRANTING REVIEW
 - A. A request is made by completing the Request To Review Personnel File Form available in the department of Human Resource Services. The purpose of the written request is to identify the individual in order to avoid disclosure to ineligible persons.
 - B. A staff member may review his/her personnel file in the presence of a Human Resources Department staff member during regular business hours.
 - C. Records may not be removed from the personnel file.
 - D. A staff member may submit a rebuttal if he/she disagrees with material found in his/her file.
 - E. A former staff member does not have access to his/her personnel file after employment ends. However, he/she may request a copy upon receipt of a signed release of information form and duplication fee.

NOTE: Managers may review the file of his/her current staff member, maintained in Human Resource Records Management, when appropriate.

Approved Darlene Lewis, Associate Vice Chancellor, Human Resources
Approved Lauren Brisky, Vice Chancellor, Administration
Approved Harry Jacobson, Vice Chancellor, Health Affairs

This policy is intended as a guideline to assist in the consistent application of University policies and programs for staff. The policy does not create a contract implied or expressed, with any Vanderbilt staff members, who are employees at will. Vanderbilt reserves the right to modify this policy in whole or in part, at any time, at the discretion of the University.

Other Related Links:

[Frequently Asked Questions](#)

[Employee Request Form to View Personnel File](#)

[Former Employee Request Form to View Personnel File](#)