



Regional Transit Authority

Employee Personnel File

(HC6)

POLICY STATEMENT

The New Orleans Regional Transit Authority (RTA) maintains personnel files on each employee.

PURPOSE

Documentation regarding all aspects of the employee's tenure with RTA, such as performance appraisals, beneficiary designation forms, disciplinary warning notices, supervisor documents and letters of commendation. If you are interested in reviewing your file, contact a member of the Human Capital Department to schedule an appointment. A Human Capital Representative may take 48 hours to schedule an appointment. A Human Capital Representative or designee will be present for all viewings. Employees and managers must sign in and out when viewing a file.

APPLICATION

Full-time and regular, part-time employees are eligible to see their file.

APPROVED:

ADOPTED: Board Chair

Chief Executive Officer

Effective Date: _____

Date of Last Review: _____



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1.0 GENERAL

RESPONSIBILITY

To ensure that your personnel file is up-to-date at all times, notify human capital of any changes in your name, telephone number, home address, marital status, number of dependents, beneficiary designations, scholastic achievements, the individuals to notify in case of an emergency, and so forth.

Definitions

- "Human Capital Representative" shall mean the head of an employing unit authorized by the agency to employ others on behalf of RTA, or a designated management representative. The term includes and can be used interchangeably with department designee, department director, or chief.
- "Confidential file" shall mean any files created and maintained for the purpose of holding as appropriate
 - protected class information
 - I-9 forms
 - medical information such as workers' compensation claims and related materials, medical certifications to substantiate absences from work, physician evaluations of fitness for duty, information related to drug/alcohol testing, requests for accommodation, and applications for medical leaves of absence.
- "Employment file" shall mean files that include employment related information. Employment information shall include, but may not be limited to, except as herein provided, the following items: application for employment or resume; related background information and skills test results, if applicable; job offer/acceptance correspondence, employee name, address and emergency information; payroll deduction and benefit selection records, domestic partner affidavit, beneficiary designations for final paycheck, retirement, and benefit payment; classification and salary change information; training information; commendations; disciplinary action; non-medical leave requests and performance evaluations.
- "Internal applicant" shall mean a regularly appointed RTA employee who applies for another position of RTA employment.
- "Personnel file" shall mean the compilation of records regarding employees that consists of three separate composite components designated as employment, confidential, and supervisor files.
- "Regularly appointed employee" shall mean an individual with a probationary, regular or exempt appointment to a position of RTA employment.



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- "Supervisor file" shall mean files maintained by the employee's supervisor which may include, but are not limited to, documents reflecting workplace or performance expectations, the employee's performance or conduct, communications between employee and supervisors, counseling efforts and discipline. A supervisor file shall not contain any documents containing confidential employee medical information.

Application of this Policy

- The provisions of this policy apply to regularly appointed employees.
- For regularly appointed employees who are represented under the terms of a collective bargaining agreement, this policy prevails except where it conflicts with the collective bargaining agreement, any memoranda of agreement or understanding signed pursuant to the collective bargaining agreement, or any recognized and established practice relative to the members of the bargaining unit.
- This policy does not apply to individuals who are employed under the terms of a grant that includes employment provisions that conflict with this policy.
- This policy does not apply to individuals hired by the RTA on a temporary, intermittent or seasonal basis, or for a work schedule of fewer than 20 hours per week, nor does it apply to individuals hired under contract to the RTA.
- Human Capital Department may establish written policies and procedures for the implementation and administration of this policy to facilitate the management of the personnel system within their employing units, provided that such policies and procedures do not conflict with the provisions of this policy.

Development of Files

Employment and confidential personnel files for each employee shall be established by the Human Capital Representative upon initial employment with the RTA and shall be maintained in a secure and central location.

Maintenance of File

- Each employee is responsible for providing their Human Capital Representative or designated management representative with current home address and emergency contact information in a timely fashion when changes occur.



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- If, upon review of the employee's personnel file, an employee finds a document that the employee believes is incorrect, the employee may request it be removed. The Human Capital Representative shall determine whether the relevant document is erroneous and may direct its removal. Removal of documents from personnel files is at the sole discretion of the Human Capital Representative. An employee shall not personally remove any documents from the employee's personnel file. If the employee's request for the removal of a document from the employee's personnel file is rejected by the Human Capital Representative, the employee may insert a written response to the record in question into the employee's file.
- The Human Capital Representative shall maintain the employment and confidential personnel files in a secure and central location until the employee moves to another department or separates from RTA service.

Access to File

- Employees shall have access to their personnel files including any and all records filed in the employment, confidential, and supervisor file components at a frequency determined by the department but at least annually.
 - An employee wishing to review their personnel file must be prepared to show photo identification to the human capital representative responsible for managing the files.
 - A management representative shall remain with the employee while they review any or all of the components of their personnel file to ensure that the employee does not remove or alter any file documents.
 - An employee may request a copy of any document in their personnel file. The first copy of any document shall be made available to the employee free of charge.
- A hiring supervisor considering an internal applicant in a selection process shall be permitted to review the employment file component of the internal applicant's personnel file if that employee is in the final consideration process.
- In compliance with federal Department of Transportation regulations, confidential personnel file records regarding drug and alcohol testing for holders of commercial driver's licenses shall be released to a prospective employer, as directed by the employee's specific written consent.
- An employee's current first-line supervisor or higher-level manager may review the employee's employment file at any time.
- Management and safety staff may be informed of an employee's medical restrictions to the extent necessary to effect an accommodation. Only Americans



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with Disabilities Act Coordinators or human capital staff acting in that capacity may review the employee's medical documentation.

Retention of File

- In the event an employee transfers to another department, the former department shall transfer all components of the employee's personnel file to the hiring department.
- When an employee leaves RTA service, all components of the employee's personnel file shall be transferred for retention and disposal according to RTA's Record Retention Schedule Policy.

2.0 FLOWCHART

N/A

3.0 REFERENCES

N/A

4.0 ATTACHMENTS

N/A

5.0 PROCEDURE HISTORY

N/A

6.0 SPONSOR DEPARTMENT

Human Capital

