

EMPLOYEE FILES

POLICY NUMBER: RESERVED FOR FUTURE USE

POLICY TYPE: ADMINISTRATIVE

RESPONSIBLE OFFICIAL TITLE: DIRECTOR OF HUMAN RESOURCES

RESPONSIBLE OFFICE: OFFICE OF HUMAN RESOURCES

I. POLICY STATEMENT

Policy Statement:

The Office of Human Resources (HR) maintains an official human resources file on each staff, contract staff, and faculty employee for the purposes of personnel management and compliance with applicable employment laws. The University takes appropriate steps to protect confidential information contained in human resources files and maintains such documents in accordance with the University's records management and retention policies as monitored by the Special Collections and Archives Department.

Copies of documents may also be retained on file within the administrative unit in which the employee works. If other files are maintained, privacy and safekeeping shall conform, in all respects, to the provisions of this policy. However, the official file, or record copy, is maintained in the Office of Human Resources.

Human Resources File Contents:

The following types of documents and HRIS data records may be retained in human resources files:

- Application for employment;
- Employee Information forms;
- Personnel Action Requests (PARs);
- Resumes or curriculum vitae;
- Vacation and temporary disability records;
- Performance evaluations;
- Corrective action records;
- Appropriate insurance, retirement and other benefits information;
- I-9 Employment Verification forms;
- Payroll records;
- Tax forms; and/or
- Diplomas, certificates, training records and related personal accomplishment documentation.

Internal Access:

Internal access to human resources files may be granted under the following conditions:

- An employee, upon advance written request to HR and after proper identity verification, may view his/her human resources file during normal business hours in the presence of an HR staff member.

- HR staff members may request, receive, and review human resources files as it pertains to their specific job duties.
- Department heads, supervisors, and other University officials may request and review human resources files provided there is an official University need for such access. Such requests, including those related to ongoing HRIS access, may require approval by the requestor's supervisor prior to the authorization determination by an HR staff member.
- Requests for employee information from parties outside of HR for the purposes of creating mailing distribution lists, answering surveys, or fulfilling other University-related reporting needs shall be evaluated by an HR staff member on a case-by-case basis and in consideration of regulatory requirements and the University's records management policies.

External Access:

Directory information is available without specific written authorization and may identify an employee's organizational unit, position title, campus address, and campus telephone number.

Employment Verification:

When appropriate information is provided to an HR staff member to identify a current or former employee, HR may release only the following information:

- Confirmation of past or present employment;
- Verification of dates of employment; and/or
- Position or title.

External access to human resources files beyond Directory and Employment Verification information may be authorized by HR under the following circumstances:

- To protect the legal interests of the University;
- In response to a law enforcement authority, when appropriate;
- Pursuant to a federal, state or local government statute or regulation that specifically requires disclosure of certain information to certain parties;
- In response to a lawfully issued administrative summons or judicial order including a search warrant or subpoena. A subpoena or other legal process for the production of the human resources file shall be reviewed by the University Office of Legal Counsel prior to the release of the information;
- In compelling circumstances affecting the immediate health or safety of the individual.

II. ENTITIES AFFECTED.

Faculty and Staff

REVISION HISTORY

REVISION TYPE

MONTH/YEAR APPROVED

Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	
Choose an item.	