

## **PERSONNEL RECORDS AND PRIVACY**

### **I. SCOPE**

All employees.

### **II. PURPOSE**

To establish standards by which information contained in personnel records will be managed to achieve accuracy, privacy and legal compliance.

### **III. POLICY**

In order to meet state and federal legal requirements and to assure efficient personnel administration, personnel records that contain information on each University of St. Thomas employee will be maintained.

Notification of Changes. Changes of address, telephone number and/or family status (births, marriage, death, divorce, legal separation, etc.) must be reported in writing immediately to the Office of Human Resources, as an employee's income tax status and group insurance may be affected by these changes.

Files Access. Access to personnel files is restricted to authorized employees of the Office of Human Resources and supervisors, or managers on a "need to know" basis. Personnel files are the property of the University of St. Thomas and may not be removed from the Office of Human Resources.

Information Requests and Employment References. Requests for information from employee files received from outside the University of St. Thomas, including requests for references on former employees, will be coordinated with the Office of Human Resources where an appropriate response will be developed. Supervisors and other employees – with the exception of the President and Vice Presidents - are prohibited from providing personal or employment references on former or current employees.

### III. PROCEDURE

**Personnel File Contents.** When an employee is hired by the University of St. Thomas, a personnel file will be established. Generally it will contain the following information:

1. Application for employment and related hiring documents, such as resumes and transcripts.
2. Personal information changes and personnel action notices of pay and employment status changes.
3. Performance documents including performance appraisals.
4. Educational benefits documentation.
5. Employment history updating information submitted by employees including further education, records of outside achievements, changes affecting withholding tax, etc.
6. Other documents pertaining to employment such as appreciation letters, corrective action reports, employment contracts, record of automobile insurance, employment verifications, training records, and references from previous employers.
7. Medical records, documents necessary for the administration of University of St. Thomas benefit programs.
8. I-9 forms.

**Examination of an Employee's Personnel File.** Inspection of an employee's personnel file may be accomplished at reasonable times during office hours under the following conditions:

1. Employees may examine their files after giving 24 hour notice to the Office of Human Resources. This review will take place in the Office of Human Resources with a Human Resource representative present.
2. Employees may obtain a copy of documents in the file that contain their signature. The University of St. Thomas may charge a reasonable fee for copies made.

3. Administrators may examine active and former employees' files on a "need to know" basis.
4. The University of St. Thomas will cooperate with federal, state, and local government agencies investigating an employee if the investigators furnish proper identification and proof of legal authority to investigate. However, the University of St. Thomas may first seek advice of legal counsel. As required by law, the University of St. Thomas may permit a government investigator to review a personnel file on University of St. Thomas premises, but the investigator will not be allowed to remove or reproduce this information without consent from the Director of Human Resources and/or the University of St. Thomas' attorneys.

**File Retention.** Originals of personnel records will be maintained by the Department of Human Resource for a minimum of seven (7) years after an employee's separation date.

Revised 12/01/00  
Supersedes policy No. 040 written 7/1/95

Filename: 040 - Personnel Records and Privacy.doc  
Directory: A:  
Template: C:\Program Files\Microsoft Office\Templates\Normal.dot  
Title: PERSONNEL RECORDS AND PRIVACY  
Subject:  
Author: Marie-Pierre Stien  
Keywords:  
Comments:  
Creation Date: 08.30.00 11:03 AM  
Change Number: 4  
Last Saved On: 11.06.00 9:13 AM  
Last Saved By: Marie-Pierre Stien  
Total Editing Time: 20 Minutes  
Last Printed On: 08.13.02 7:20 PM  
As of Last Complete Printing  
Number of Pages: 3  
Number of Words: 584 (approx.)  
Number of Characters: 3,329 (approx.)