

<b>University Enterprises, Inc. Policies and Procedures</b>		<b>Policy No. 040</b>
<b>Section:</b>	Human Resources	
<b>Policy:</b>	Personnel Records and Privacy	
<b>Revised Date:</b>	December 11, 1998	

## Personnel Records and Privacy

### I. PURPOSE

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

### II. SCOPE

This policy is applicable to all departments and all employees of University Enterprises, Inc. (UEI).

### III. POLICY

#### A. Personnel Files:

1. Contents: UEI's personnel files are its property and business records, and UEI retains sole discretion over what should or should not be placed in any such file.
2. Access: Access to personnel files and payroll information is restricted to authorized personnel, payroll employees, managers, supervisors, or directors on a "need to know" basis. Employees may review their own personnel files upon request through Human Resources.

#### B. Information Requests and Employment References: Requests for information from employee files received from other departments and inquiries from outside UEI should be directed to Human Resources. Supervisors and other employees may provide personal and employment references for former or current employees with the understanding that only factual information may be provided.

If the reference is provided verbally, the person providing the reference should write a brief memo about the conversation and forward it to Human Resources for inclusion in the former or current employee's personnel file. If the reference is provided in writing, a copy should be sent to Human Resources for inclusion in the former or current employee's personnel file.

### IV. PROCEDURE AND RESPONSIBILITIES

#### A. Telephone References Inquiries: Information will be verified by Human Resources or Payroll Services via telephone, but will be limited to the following employee information:

1. Date of hire and date of separation,
2. Job title, and;
3. Appointment status.

#### B. References with Written Approval: With written approval of the former or current employee, Human Resources may release factual information such as salary, job chronology, job duties and reason for leaving. A copy will be retained for inclusion in the employee's personnel file.

- C. 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: An employee may review his or her own personnel file in the presence of a Human Resources staff member. No documents may be removed or added by the employee.
  - 2. Government Inquiries: With permission of the employee, UEI, will cooperate with federal, state and local government agencies investigating an employee, providing the investigator furnishes proper identification and proof of legal authority to investigate.
- D. File Retention: Original personnel files will be maintained in Human Resources files for a period of seven years beyond an employee's separation date.
- E. Benefits Files:
  - 1. Access: Employees can acquire access to their own benefits files from the Director, Human Resources or designee.
  - 2. Release of Information: Medical information will be released only upon written authorization of the employee or upon proper request from persons or agencies who produce documentation supporting legal rights to this information.