PERSONNEL RECORDS

A. Purpose

The purpose of this policy is to establish the maintenance of employee personnel files, provide for their confidentiality and establish rights of access.

B. Persons Affected

This policy applies to all employees of the University.

C. Policy

The University shall maintain an official personnel file for each employee.

D. Definitions

Not applicable.

E. Responsibilities

1. Human Resources is responsible for maintaining an official institutional personnel file on all University employees.

2. The employee is responsible for updating personal information in their official institutional personnel file.

F. Procedures

1. Contents

   The following original documents, as applicable, shall be kept in the institutional file maintained by Human Resources:

   - Application/resume
   - Transcripts
   - Letters of recommendation/reference
   - Employment eligibility verification (Form I-9)
   - Employment verification
   - Pre-employment test results (as applicable)
   - Memorandum(s) of employment/appointment letters
   - W-4 form
   - Prior state service records

- Interagency transfers of accrued leave (if applicable)
- Benefit elections
- Performance appraisals
- Re-evaluation forms/action plans
- New employee orientation information
- Compliance certifications
- Training certifications
- Certificates/licenses (copies allowed if original required for posting at work area)
- Other information related to employment relationship of the employee with the University

Note: Certain official faculty documents are maintained in the Office of the Provost/Vice President for Academic Affairs. See *Handbook of Operating Procedures* Section 6.5.11 Faculty Files.

2. Access

   a. The information in the institutional employee personnel file is available for inspection upon request by the individual employee or the employee's designated representative. Requests for access to the employee's personnel file must be directed in writing to Human Resources.

   b. Personnel files are subject to the Texas Public Information Act. However, certain information, such as information related to insurance, taxes and beneficiaries, may be withheld from disclosure. Requests for access to personnel files will have to be reviewed on a case-by-case basis subject to the provisions of the *Handbook of Operating Procedures* Section 4.5.1.

   c. Each employee may choose to deny public access to the information in the custody of The University of Texas-Pan American relating to the employee's home address and telephone number by informing the personnel officer in writing of his or her desire to have the information withheld. If an employee fails to make a written request, the information is subject to public access. See *Texas Government Code* 552.024.

   d. Information in institutional employee personnel files may be released a) in compliance with a judicial order or a subpoena, and b) to representatives of state or federal agencies pursuant to authority granted to them by statute or regulations. Human Resources will coordinate the collection of all records, including files from the Payroll Office and the employing department.

PERSONNEL RECORDS

3. Retention

   Institutional employee personnel files shall be retained in accordance with the University's records retention schedule.

4. Employment Verifications

   a. In order to insure consistency and accuracy in furnishing employment verifications, such requests on employees shall be directed to Human Resources.

G. <u>Review</u>

The Divisional Head for this policy is the Vice President for Business Affairs, and this policy shall be reviewed every five years or sooner if necessary by the following stakeholders:

1. Assistant Vice President for Business Affairs/Director of Human Resources – Senior Reviewer
2. Staff Senate Chair
3. Faculty Senate Chair
4. Academic Affairs Executive Team