

HR5064 - Employee Personnel Records

Issued: June 13, 2017

Responsible Official: Executive Vice President and Chief Operating
and Financial Officer

Responsible Office: Human Resources

POLICIES

Policy Statement

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The Chief Financial Officer shall be responsible for the establishment and maintenance of employee personnel records for current and previous employees at the University of Memphis.

Employee Personnel Records assembled and maintained by the University will be limited to those materials required for proper administration and management.

Purpose

To set forth the requirements for establishing, maintaining, accessing, and retaining employee personnel records for current and previous employees, as well as for applicants who were not selected for employment during the hiring process, except those of students employed under the Regular Student Employment and Work-Study programs.

To designate an official custodian of all employee records.

To assure compliance with Federal and state statutory requirements.

Definitions

Employee Personnel Records

Paper documents, microfilm, electronic data, imaged copies, or other material concerning appointments, salary, benefits, evaluations, etc. regardless of physical form or characteristics. Employee personnel records assembled and maintained by the University will be limited to those materials required for proper administration and management.

Custodian

The primary person or department responsible for maintaining, storing, and ensuring proper retention of employee personnel records.

Public Records

As defined in Tennessee Code Annotated 10-7-301, public record(s) or state record(s) means all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output,

films, sound recordings, or other material regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency.

Except for confidential data as defined by law, employee personnel records are considered public records and may be inspected, extracted, or copied by any citizen of Tennessee during normal business hours, in accordance with reasonable rules of the applicable office of record.

Procedures

Custodians of Employee Records

Three areas have custodial roles for various employee records:

- **The Department of Human Resources** - all employee personnel records except for those of students employed by Regular Student Employment and Federal Work-Study programs.
- **Faculty Administrative Services** - certain records concerning a faculty member's performance evaluations, professional and personal data related to teaching assignments, tenure, promotion, and any other documents related to faculty employment.
- **The Office of Student Employment** - all Regular Student Employment and Federal Work-Study employee records.

Retention

See Personnel Records under the Retention and Disposition Schedule for University Records located at:
<http://www.memphis.edu/vpbf/pdf/rdschedule.pdf>

Access to Files and Release of Information

An employee or the employee's supervisor or manager may review the employee's personnel record by presenting proper identification.

Employee personnel records, active and inactive, are subject to inspection by any citizen of the State of Tennessee under Tennessee's Open Records Law. Refer to University procedure on Public Records - Inspecting and Copying at [GE2012 - Public Records](#).

Request to Inspect/Copy Public Records Under Tennessee's Open Records Act

When a request is made under the Tennessee Public Records Act to inspect the personnel record of an active employee, the employee will be notified by telephone message, email, or memo as soon as practical.

Before being made available for inspection, paper copies will be made of the record and any confidential information will be redacted (stricken).

A requestor may receive copies of documents retained in an employee personnel record as specified in Public Records - Inspecting and Copying at [GE2012 - Public Records](#)

**Personnel Information
Available for Inspection and
Copying**

When requests for inspection and copying are received under the Tennessee Open Records, some information in the record may be considered confidential under the law. In this case, paper copies will be made of the record and the confidential information will be redacted (stricken) before being made available for inspection.

The types of information that are redacted are:

- Unpublished telephone numbers
- Bank Account information
- Social Security Number
- Driver License information, except where driving or operating a vehicle is part of the employee's job
- The same information above on family or household members

The types of information and documents in employee records that may be released are:

- Department Name
- Date of employment
- Position Title
- Time & Attendance Records
- Committee Memberships
- Demographic Information
- Education
- Evaluation/Commendation
- Grievance Proceeding Files
- Training & Professional Development
- Requests for Reassignment/Transfer
- Retirement Records
- Salary
- Special Qualifications
- Tenure
- Work History Documentation
- Disciplinary Proceedings, Evidence, Findings, etc.
- Garnishments
- Benefits Enrollment Forms
- References/Pre-hiring Files

**Employment Verification/Loan
Applications**

Employment verification information, i.e., department name, date of employment, and position title, is routinely released without employee notification. An employee's filing of an application to a mortgage/lending company, bank, or similar lending agency constitutes consent by the employee for the release of this information from the employee's file.

Subpoenas

The University Legal Counsel will be advised immediately upon receipt of a subpoena for information from an employee's personnel record. Information will be provided based upon guidance from the University Legal Counsel.

Related Forms

Application to Inspect

http://bf.memphis.edu/hr/forms/pub_records.pdf

FAQs

Where can I get information about Student Employee records?

Student Employment Office
103 Wilder Tower
Memphis, TN 38152
Email: stuemp@memphis.edu

Links

Public Records - Inspecting and Copying

[GE2012 - Public Records](#)

Revision Dates

HR5064 - Supersedes UM1541 March 29, 2018
UM1541 - Revised June 13, 2017
UM1541 - Issued November 22, 2004
(Supersedes policy 1:2D:05:06)

Subject Areas:

Academic	Finance	General	Human Resources	Information Technology	Research	Student Affairs
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