

Employee Personal Information BU-PP 027

Policy:

Baylor University respects the rights and privacy of each of its employees and shall strive to ensure that the rights and privacy of each employee is protected.

Topics:

Protection of Employee Personnel/Payroll Records
Maintenance of Personnel/Payroll Records and Information
Information not included in employees' personnel records
Employee information that can be maintained by departments
Updating Personnel/Payroll Records
Accessing Employee Personnel/Payroll Records
Request for Employment Verification

Related policies:

[BU-PP 805 — Staff Observation Process](#)
[BU-PP 807 — Staff Disciplinary](#)
[BU-PP 833 — Staff Separation](#)

Additional information:

None

Contact:

Human Resource Services Office (x2219)

Protection of Employee Personnel/Payroll Records —

The University adopts the following principles to protect the privacy of its employees:

- A. The University requests, uses and retains only personal information about employees that is required for business, legal or medical reasons.
- B. The University strives to protect and preserve the confidentiality of all employee personal information in its Employee Personnel/Payroll Record (EPPR).
- C. The University allows each employee reasonable access to his or her personal information in University records and file and provides each employee the opportunity to correct inaccurate information or express disagreement with information that the University contends is accurate.
- D. With regard to University personnel, the University strictly limits the availability of personal information to those University officials who, in the opinion of the Office of the President, have a clearly defined business-related need to know.
- E. The University refuses, except in specific circumstances, to release personally identifiable information to outside sources without the employee's written approval. Specific circumstances are limited to requests related to statistical surveys, legal matters, emergency medical matters, and for simple directory information for employment verification, i.e. title and date of employment. Examples of such circumstances are more fully set forth in Section I. of this policy statement (Third Party Access to Employee Personnel/Payroll Records).

- F. The University also strives to protect the privacy of sources of information contained in employee personal records and files.
- G. The University requires each employee to maintain confidentiality of personal information about other employees. Violation of this principle is cause for dismissal.

Maintenance of Employee Personnel/Payroll Records —

A. Collection, Use and Retention of Personal Information

The University adheres to the applicable portions of the Equal Employment Opportunity (EEO) regulations regarding the collection of information from job applicants and employees. Personal information is obtained directly from each employee, except with regard to charges of employee wrongdoing, hiring and job promotion decisions, in which the University also has the right to consult third parties, including references and professional or institutional groups.

B. Employee Personnel/Payroll Record

The University maintains a complete EPPR on each employee, containing the following information:

1. Pre-employment Records - including *vitae, *letters of recommendation, *transcripts, *medical questionnaires, applications for employment, resumes, and reference inquiries.
2. Employment Records - *letters of appointment to academic rank, *letters of selection or non-selection for tenure status, *performance reports, personnel action requests, personnel information forms, personnel information form updates, authorizations for disposition of paychecks, *faculty contracts, *letters of appointment (lecturers), employment agreements, IRS Form W-4, INS-I9 Form, deduction authorizations, *supplemental pay data, vacation and disability leave information, tax deferred annuities information, retirement income plan information, group insurance documents, workers compensation insurance documents, long-term disability insurance documents, accidental death/dismemberment insurance documents, identification cards, parking permit information, miscellaneous deductions, special reports, correspondence.
3. Post-employment Records - including personnel terminations, termination processing forms, exit interview forms, evaluations of terminating employee unemployment compensation documents, notifications of *termination, severance agreements, *authorizations for release of information, *requests for previous employment information, retirement income plan disposition documents.

*These documents concerning faculty are maintained in the Human Resource Services Office, Provost, and Vice President for Academic Affairs Office, hereafter known as the Provost Office.

Information not included in Employee's Personnel/Payroll Records —

Information that is inappropriate and must not be kept in an EPPR includes:

1. Names and birth dates of an employee's family other than for group benefit purposes.
2. List of employee hobbies and social or political memberships.

3. Undocumented or speculative information, e.g., gossip concerning an employee's personal, business or professional activities.

Employee information that can be maintained by departments —

C. Working Records

Information about an employee that a department head or supervisor may keep in their possession is limited to the following:

1. Attendance records,
2. Performance evaluations, and
3. Notes, memos or documents relating to an employee's job performance.

Each department head or supervisor must take steps to safeguard the privacy of this information.

D. Review and Deletion of Information

The Human Resource Services Office conducts a periodic review of each employee's Personnel/Payroll file and the information contained in the file.

When an employee changes departments, receives a promotion, or changes supervisors, the former department head or supervisor sends to the Human Resource Services Office all of the employee's records, as defined in Section C. above. The Human Resource Services Office will determine if information in the former supervisor's file should be added to the new supervisor's file.

Updating Employee Personnel/Payroll Records —

E. Employee Personal Data

Each employee is asked to notify the Human Resource Services Office of any personal data changes, e.g. address, telephone, emergency contact, etc., in a timely manner *or make such changes through the Web For Employees (WFE). The WFE can be accessed at the following URL:*

https://www5.baylor.edu/pls/PROD/twbkwbis.P_WWWLogin

Accessing Employee Personnel/Payroll Records —

F. University Officials' Access to Employee Records

Information about an employee in the EPPR and Working Records is confidential. Access to such information is limited to the following individuals on a business-related need to know basis only:

1. The employee's department head or supervisor.
2. An attorney in the General Counsel's Office.
3. A University official with the rank of Vice President/Dean or higher.
4. Human Resource Services Office.
5. Payroll Office.
6. Office of Internal Audit.

7. Compensation and Benefits Office.
8. Administrative personnel who have been given written authorization by the Office of the President.
9. The Director of Institutional Research.
10. Clerical personnel while in the performance of their assigned duties and while working under direct supervision of a person listed above may have access to information about an employee.

The guiding principle for access to EPPR information must always be a business-related need to know. Questions about specific cases should be referred to the Human Resource Services Office.

G. Employee Access to Personnel/Payroll Records

An employee may review his or her EPPR during normal working hours; however, an employee may not have access to the following information contained in this file:

1. Potential job assignments or salary changes.
2. Personnel planning data.
3. Records involving a complaint or formal grievance until the issue is settled, unless access is permitted as part of the university's dispute resolution policy that is applicable.

H. Employee Access Requests

An employee who wishes to review his/her personnel records should notify his/her immediate supervisor. The supervisor will then refer the employee to the Human Resource Services Office where a representative will assist the employee. Employee access is not permitted to the Working Record described in Section C. above.

The employee has the right to inspect the files in private and may take notes or make single copies of each page in the files. An employee is not allowed to remove anything from a file and may be terminated for removing information from University files.

An employee has the right to request correction or deletion of inaccurate information. Any such request must be made in writing and forwarded to the Human Resource Services Office. In case of a disagreement, the employee may add a statement of disagreement to the file.

In response to such a request, the Human Resource Services Office shall make the correction or amendment within a reasonable period of time, or, if the Human Resource Services Office does not make the requested correction or amendment, it shall permit the individual to file a statement setting forth the reasons for the requested correction. The Human Resource Services Office may submit a statement setting forth reasons for refusing to make the correction or amendment.

The Human Resource Services Office shall furnish the correction or amendment to any party specifically designated by the employee. In all subsequent disclosures of information that are disputed, the Human Resource Services Office will furnish notice of such dispute to the person to whom disclosure of the disputed information is made.

I. Third Party Access to Employee Personnel/Payroll Records

The University does not disclose an individual's personal information outside the University without written authorization of such individual, except in the following circumstances:

1. In response to a request to provide or verify directory information which should not include more than:
 - a. the fact of present or past employment;
 - b. dates of employment; and
 - c. title or position.

Request for Employment Verification —

Persons who receive requests for employment verifications or recommendations should direct such requests to the Human Resource Services Office and/or Payroll Office, which are the only offices designated by the University to make such disclosures. Under the following enumerated circumstances, such disclosures are:

1. In response to a request by a properly identified law enforcement authority to provide an individual's home address and dates of attendance at work;
2. To protect the legal interests of the University when the University believes the actions of the individual violates the conditions of employment or otherwise threatens damage to the property of the University;
3. To a law enforcement authority when the University reasonably believes that an applicant, employee, or former employee may have engaged in illegal activities;
4. Pursuant to a federal, state, or local government statute or regulation that specifically requires disclosure of certain information to certain parties;
5. In response to a lawfully issued governmental agency summons or judicial order, including a search warrant or subpoena;
6. In compelling circumstances affecting the immediate health or safety of an individual; and
7. To an accrediting or professional agency in connection with that agency's review of the educational programs of the University. When one of the above enumerated circumstances arises, the Human Resource Services Office and/or the Payroll Office will notify the employee that a disclosure has been made.

J. Communication of Privacy Policies

The University shall utilize the following means to communicate these policies and procedures to employees:

1. Inclusion of the basic policy in the Baylor University Personnel Policies and Procedures;
2. Inclusion as a separate area of discussion in the new employee orientation program; and
3. Inclusion as part of supervisory training sessions.

K. Destruction of Personal Information

Periodically, it is necessary to destroy large amounts of accumulated Personnel/Payroll documents or computer printouts by having a commercial paper disposal firm shred the affected documents. In such cases, a representative of the Human Resource Services Office will monitor these documents until they are shredded.

L. Retention of Employee Records

Active employees and retirees have EPPR which contain pre-employment, employment and post-employment documentation. Personnel/Payroll files are maintained in the Human Resource Services Office for employees who have terminated during the current calendar year and the immediately preceding calendar year. All other files for terminated employees are then retired to the Human Resource Services Office, until shredded as noted in paragraph above.