



Southeastern Louisiana University

Personnel File Policy

Faculty Handbook
Part II: General University Employment
Section Q. Personnel File Policy

At Southeastern Louisiana University, "Official Personnel Files" for faculty consist of a central personnel file and site-based personnel file(s). The central personnel file for each faculty member is kept in a secured area in the Human Resource Office. Site-based personnel files for each faculty member will be maintained in the office of the faculty member's supervisor. Duly authorized personnel who are charged with responsibility in such areas as evaluation, promotion, tenure, and reappointment shall have access to the relevant material in the site-based personnel files and should use them as a basis for all personnel actions.

The use of personnel files generally is restricted to formal institutional meetings, normal administrative requirements, or cases otherwise required by law. Faculty shall be notified prior to the release of information to an outside individual or agency unless the faculty member has previously signed an authorization to release the information in question.

Documents contained in both the central and site-based personnel files are separated into public files and confidential files. The public file is accessible by the public under applicable law; the confidential file is not accessible by the public. Should a request be made to inspect or copy any document in the public files, the employee has the right to request that his/her address and phone number not be disclosed. Furthermore, an employee's Social Security number and date of birth are not subject to the Public Records Act. The public file shall include the following documents:

- a. original, completed application forms;
- b. letters of recommendation;
- c. University correspondence related to appointments, initial employment, and personnel actions;
- d. Drug-Free Workplace acknowledgement statements;
- e. copies of Employee Notification Forms (Personnel Action Forms);
- f. training records;
- g. certifications and licenses;
- h. letters of commendation;

- i. I-9s (Citizenship and Immigration Services form);
- j. acknowledgement forms regarding university policies; and
- k. disciplinary actions taken concerning the faculty member.

Confidential files shall include the following documents:

- a. official transcripts;
- b. tax withholding forms (W4s and L4s);
- c. performance appraisal forms;
- d. medical records;
- e. voluntary payroll deduction information;
- f. health and life insurance enrollment forms, including beneficiary designation forms, as well as E-2 Pre-Existing Condition forms;
- g. retirement membership forms;
- h. employment verification forms;
- i. pre-discipline notices if no disciplinary action resulted;
- j. documents concerning garnishments and tax levies;
- k. biographical data sheets that contain such information as address, phone number, date of birth, race, sex, and marital status; and
- l. letters of counseling and letters of reprimand for the faculty member.

If applicable, a worker's compensation file is maintained in the Human Resource Office for each employee who files an accident/incident report under the worker's compensation program.

If applicable, an FMLA file is maintained in the Human Resource Office for each employee who files for FMLA benefits.

A faculty member may examine his/her "Official Personnel File" during normal working hours in the presence of a Human Resource Office staff member, or, in the case of site-based personnel files, in the presence of the dean or department head as appropriate. The faculty member may obtain copies of any material in the file(s) at his/her cost.

Care should be taken to ensure that personnel files exclude inappropriate or extraneous material. A copy of any subjective or evaluative material added to a personnel file will be provided to the faculty member within ten working days. Upon notification that such material has been added to the personnel file, the faculty member has ten working days to submit a response, a copy of which shall be attached to the appropriate document and therefore become a permanent part of the personnel file as long as the document remains a part of the personnel file.