



POLICY STATEMENT 4

CONFIDENTIALITY OF PERSONNEL RECORDS OF UNIVERSITY EMPLOYEES

POLICY DIGEST

Primary Monitoring Unit: Human Resources
Initially Issued: May 26, 2007
Last Revised: October 29, 2021

I. PURPOSE

To define those materials which constitute personnel records, to identify those persons who may have access to such records, and to specify conditions governing access to and use of personnel records.

II. DEFINITIONS

- A. Personnel records – Any record maintained in any administrative office of the University in connection with the recruitment and employment of any person whether the record is stored in printed or written form, micrographically, electronically or otherwise. Such records include but are not necessarily limited to letters of application, personal resumes, letters of recommendation, academic records, materials furnished by a placement service, appointment forms, records of promotion or other changes in status subsequent to appointment, salary raises, leave accrual, use and balances and any other personnel action processed through the Office of Human Resources, performance evaluations, and correspondence in the employee's personnel folder between the individual employee and any administrative officer of the University
- B. Employee Medical Records – Medical records of an employee relating to the employment relationship between the employee and the University may only be maintained in the Office of Human Resources, in a file separate from the employee's personnel file. Because medical records of an individual employee may involve worker's compensation matters, both departments, Human Resources and Risk Management share employee medical records upon need. Other LSU administrative offices may not solicit or retain employee medical records.
- C. Law Enforcement Records – Records held by a law enforcement investigating officer or agency, including the LSU Eunice Police Department, except for the initial arrest record, do not become public records until such time as any criminal charges have been finally adjudicated or otherwise settled. Such records may only be made a part of an employee's personnel record if directly bearing on the employment relationship and, in any case, only in personnel records of Human Resources.
- D. Office of Internal Auditing – Working papers and other materials gathered by University auditors become available as public records only in the form of a completed audit report

upon its issuance. Audit reports may only be made a part of an employee's personnel record if applicable to employee discipline.

E. Grievance and Disciplinary Hearings – Papers, notes, tapes, and minutes of grievance or disciplinary proceedings are not personnel records until such time as those proceedings are completed.

F. Directory Information – Public information which may be published or otherwise divulged to any interested persons. Directory information related to University employees includes only the following items: name, job title and/or rank, salary, tenure status, academic degrees held, institutions awarding those degrees, date of employment by the University, department or office in which employed, work location (building and room number), and University telephone number. Home address and home telephone number will be provided as directory information unless specifically excluded at the employee's request. Directory information, as defined above, will be provided for former employees, with their date of termination and their written reason for leaving, if any.

G. Administrative Officer – Any person duly appointed by the Board of Supervisors to carry out any administrative function of the University.

H. Record Custodian – For purposes of this Policy Statement, a record custodian is a person who has the responsibility for receiving, safeguarding, maintaining, and dispatching all personnel records. The Chancellor is the custodian of all records maintained by the University. A dean, director, supervisor, manager, or the administrative head of any office is the custodian of all records in that office. The department head is the custodian of all records in a department. Other employees who merely process and/or file personnel records are not record custodians.

I. Public Records Statute – Public Records Act ([R.S. 44:1](#) et. seq.) establishes statutory requirements as to which records must be made available to public inspection and those for which is not required.

III. STATEMENT OF POLICY

It is the purpose of this policy to establish reasonable balance among (1) Requirements of the Louisiana Public Records law defining some personnel records as public documents, (2) Privacy rights of individual employees and (3) Availability of information necessary to accomplish the purposes of the University.

IV. CONDITIONS OF ACCESS

Directory information about individual employees as defined above, except for salary information, will be provided routinely to any inquirer by any University employee who is a custodian of those records.

Information about employees' home and office addresses and telephone numbers may be obtained from the Louisiana State University Eunice Office of Human Resources or their division or department. Lists or mailing labels of employees' home and office addresses and telephone numbers may only be provided to non-University agencies with written authorization of the Chancellor. Printed or computerized listings of employee information will not otherwise be provided except as may be required by law. In all cases, the costs of providing employee

83 information will be borne by the information requestor.

84 Salary information of a University employee may be obtained only upon request to the
85 Chancellor. In such case, the University reserves the right to notify affected persons of the
86 names of persons to whom information was furnished.

87 All University employees may review their own official personnel records. Letters of
88 recommendation or references obtained as a part of the tenure review process will not be made
89 available to the employee except for letters containing explicit statements by the maker that the
90 letter is not to be regarded as confidential. The personnel record of any individual will be made
91 available to him or her upon written request and within a reasonable period of time not to
92 exceed three (3) working days to allow the custodian of the record or his designated deputy to
93 screen the file for confidential material.

94 The University does not provide information about applicants for employment until such time as
95 they become employees. The resumes of applicants for employment, therefore, will be
96 considered as confidential unless the applicant agrees to the release of such information.

97 Administrative officers of the University will have access to the personnel files of all employees
98 within their areas of responsibility. Custodians of personnel records may give access to the files
99 to any administrative officer or other employee of the University who, in the judgment of the
100 custodian of the personnel record, must have access in order to carry out his/her duties.
101 Custodians will also provide access to files in response to court orders and subpoenas but
102 should consult with the Office of Human Resources before so doing.

103 All persons having access to personnel files will regard the contents (other than directory
104 information) as confidential and will not divulge such contents to prospective employers, credit
105 agencies, government agencies, or to other persons except as specified above or with the
106 express written consent of the employee.

107 Access to medical records is available only to designated personnel in the Office of Human
108 Resources. Supervisors and managers may be informed regarding necessary restrictions on the
109 work or duties of the employee and necessary accommodations resulting from medical
110 information contained in such information.

111 Breach of personnel records confidentiality by any employee of the University will be considered
112 cause for disciplinary action up to and including termination.

113 **V. SOURCE**

114 Public Records Act ([R.S. 44:1](#) et. seq.)