



HRM 60.109: RECORDS MANAGEMENT AND SECURITY

PURPOSE

The purpose of this policy is to insure an understanding and standardization of procedures relating to the security and management of records.

POLICY

The Department of Human Resources Management is responsible for security and maintenance of the official records on employees of the University. The human resources records system is designed to maintain personal and biographical data as well as current and historical information relative to the employee's service from initial employment to the time of separation. The major purpose of this records system is to provide the University with accurate and timely information for use in human resources planning and management.

PROCEDURE

Type of Records Maintained:

Job Search Records-Departments

Departments should retain all job search documents (including any notes related to the search) for a period of three years. Records older than three years should be destroyed.

Employee File:

Individual files are maintained on each University employee. Documents may be maintained in hard copy, electronic formats and/or imaged files as appropriate. The individual file contains information/transactions relating to the employee's initial employment, degrees, tenure, promotions, and separation. Although the documents in the individual file are not limited to the following, these documents (as applicable) are placed in the employee's file:

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- Application and/or resume'
- Letters of reference
- Offer Letter and Offer Card/Details showing offer approvals
- Transcripts of college and university credits* (Required for highest degree attained and any additional documentation supporting teaching discipline)
- Employment Action Forms (EAF) and/or other pay/supporting documents
- Annual contracts
- Record of promotions and/or changes in status
- Notice of promotion or award of tenure

- Annual performance appraisals
- Formal Disciplinary Actions

*For Faculty appointments, degrees must be from an accredited institution or documentation must be provided to show evidence that the faculty member has appropriate academic preparation. All new faculty hires must provide transcripts for all baccalaureate and post-baccalaureate credentials. The transcript(s) must be an official transcript. An official transcript is an original transcript issued to the department or other responsible party (such as a screening committee) with the appropriate seal and/or signature of the school Registrar. Transcripts will not be accepted if they are duplicated, faxed, or marked “Unofficial” or “Issued to Student.” If the employee received their degree(s) from Mississippi State University, MSU Registrar’s Office will forward an official transcript to Human Resources Management at no charge to the employee. All official transcripts and documents demonstrating credentials to teach will be available for review by appropriate administrators.

It is the responsibility of each employee and/or department to promptly notify the Department of Human Resources Management of any changes in employment or personal information such as, mailing address, phone numbers, educational accomplishments, FTE changes, etc.

Employee Benefit File:

A benefit file is maintained for each benefit eligible employee. Although the documents in the employee’s benefit file are not limited to the following, these documents (as applicable) are placed in the file:

- Vendor enrollment forms (such as health insurance, life insurance, dental insurance, etc)
- Beneficiary forms
- Vendor change documents
- Public Employees’ Retirement System (PERS) retirement enrollment forms or Optional Retirement forms
- Other PERS documents
- Cobra Notices
- Benefit correspondence

Security and Release of Records

The Department of Human Resources Management is responsible for the security and proper use of employee records maintained within its records system. Information in the human resources records system is available to employees, University officials, and external agencies on a "need-to-know" basis. The University uses the following general guide in releasing employee information:

Employment Verification/Reference

All inquiries from prospective employers, investigative groups, etc. concerning

employment-related information on current or former employees must be in writing and must contain the employee's signature authorizing the release of information. Any information provided shall be job-related, factual, and verifiable from the employee's records.

University Employees

Upon request, employees may review the contents of their personal human resources file in the Department of Human Resources Management or in their department/unit. The employee must schedule an appointment with Human Resources personnel and provide proper identification prior to reviewing the records.

University Officials

Upon request, executive officials, deans, directors and department heads, have access to records of employees under their supervision. Also, University officials who have the need to review human resources records as a function of their responsibilities may have access to employee records. Employee files are available to these officials for review in the Department of Human Resources Management.

Outside Agencies

Information may be provided to recognized State and Federal agencies upon presentation of a proper request. The Department of Human Resources Management will release information relative to the employment and pay status of employees when requests for information are received from recognized credit institutions, health and welfare agencies, and others who have a "need-to-know" and are signed by the employee authorizing release of such information. Department/unit heads are not authorized to release information to outside agencies.

Others

In all other cases, employment records are only released in response to a properly executed subpoena. Subpoenas for information about employees must be sent to General Counsel for review and authorization prior to the release of the records.

Retention of Records

Official Employee File

The official employee file shall be retained indefinitely for all active employees. Files of employees who have separated from University employment shall be retained in archival form for ten years after separation.

Departmental Employee File

If a department maintains a departmental employee file, upon the employee's separation, the file must be forwarded to the Department of Human Resources Management. The

official employee file and the departmental file will be merged for permanent storage.

Leave Records

Copies of Application for Leave and associated documents will be retained for four calendar years in the department. Leave records older than four years will be destroyed.

Time Records

Departments who have non-exempt employees should retain the employee time sheets for a minimum of four years.

RULE

Record Retention Guide, Office of the Federal Register

Mississippi State University's Affirmative Action Plan

REVIEW

This policy and procedure will be reviewed by the Chief Human Resources Officer at least every four years.

REVIEWED BY:

/s/ Leslie Corey 6/28/2022
Chief Human Resources Officer Date

/s/ David Shaw 6/29/2022
Provost and Executive Vice President Date

/s/ Tracey N. Baham 6/29/2022
Assistant Vice President, Institutional Strategy & Effectiveness Date

/s/ Joan Lucas 7/18/2022
General Counsel Date

APPROVED:

/s/ Mark E. Keenum 8/22/2022
President Date