

B.15 Personnel Records

Date

8/17

A. Personnel Records

Upon employment, a personnel file will be established and maintained for all full-time, part-time, temporary and casual employees of the University. The personnel file is a complete history of employment, which includes application for employment, position assignments, appointment letters, performance evaluations, disciplinary actions, and other records considered relevant and necessary for the administration of personnel programs.

The official University personnel files for an employee are located and maintained in the Human Resources Department and the Office of the Provost. The files are cumulative and contain materials upon which decisions are based at those levels. It is recognized, however, that decisions are made at the department level, by deans/directors, and other appropriate administrators, and that files will be kept at the department level to support such decisions; therefore, cumulative personnel files in those offices shall also be open to employees on the same basis (though the files may not necessarily be identical to those in the Office of the Provost and the Human Resources Department). The appropriate administrator at each level will be charged with supervising correct application of the personnel files policy.

Reports, evaluations, assessments, recommendations, and similar documents will be added to an employee's personnel file only with the employee's knowledge of that action. Current employees may examine each and all additions to their personnel files by submitting requests to the appropriate administrators. Former employees are not entitled to access their personnel files.

Faculty and staff may review materials in their personnel file by requesting a review. (Records are often stored in more than one office. This policy includes records, documents, papers, reports, and similar documents in all University offices. Common sense, propriety, and good order call for the request of a specific time for the review of those materials by an employee in the presence of the person having custody of the records.)

Materials in a personnel file are confidential in nature and thus may be reviewed only by the employee, by appropriate administrators (the college deans, department heads, vice presidents, Title IX Coordinator and Director of Institutional Equity, director of Human Resources, president) and only such others as mutually agreed upon by the faculty or staff member and the president. Employees have the right to respond in writing to any material in their file and to have their response made a part of the file.

Any persons wishing to request that a particular item in their official file be removed and destroyed may request such action, in writing, to the president. The president will answer all such requests in writing. If the request is approved by the president, the request and his written approval will be included in the person's file.

If and when the University receives an unsolicited paper, the author(s) of which requests confidentiality, the paper will be returned to the sender with the notation that the University does not retain unsolicited confidential statements about its faculty or staff members. Anonymously composed letters will be destroyed by the administrator who receives them. Unsolicited oral reports received by an administrator about a faculty or staff member will not be recorded or retained.

Materials in personnel files will be expunged if the contents violate the employee's civil liberties and if they have the potential for inappropriate consideration in future personnel actions. Expunction will occur only on request of the faculty or staff member and after review and action on the request by the president.

Persons connected with private or public investigative agencies outside the University shall not have access to personnel files unless written release from the employee in question is obtained. In case of litigation or court orders, personnel files may be made available to the appropriate agency.

Procedures for Faculty Files

The official personnel files for faculty members are located and maintained in the Office of the Provost. Personnel records will be in writing. These documents will be numbered upon their insertion in the personnel file. All materials in the personnel file will be recorded on a register of documents contained in the file. The register will contain:

- a. the date on which documents are added to or taken from the file;
- b. the title or label of each document;
- c. the number of pages constituting each document and any attachments thereto;
- d. the source of each document;
- e. the file number given to each document; and
- f. a space for the initials of the person making the register entry.

Faculty will be informed in writing, through the use of standard forms designed for this purpose, whenever entries are made to the register of documents. The form will indicate the date of the entry, the title or label of the document, the source of the document, and the file number placed on the document. The completed form will be mailed to the faculty member on the date the entry is made in the register. Employees have the right to respond in writing to any material in their file; the response shall be attached to the document in question. Access to faculty personnel files shall be on a demonstrable need-to-know basis for persons formally charged with judging the performance of faculty members in such matters as annual evaluations, promotions, and/or tenure. The responsible administrator shall limit access to personnel files to appropriate administrators and to those persons serving on official personnel committees within the University as attested to by memoranda prepared by an official representative of each such committee.

The responsible administrator will maintain an official record of all persons who view the contents of employee personnel files. The following information about the reader of each file shall be recorded on a log of readers to be kept in each employee's file:

- a. the name and position of the reader;
- b. the hour and date the reader received and returned the file;
- c. the purpose for which the file was read; and
- d. the signature of the reader.

Procedures for Administrative and Support Files

The official personnel files for administrative and support staff members are located and maintained in the Human Resources Department. Records located in the files will be in writing.

Employees have the right to respond in writing to any material in their file; the response shall be forwarded to the Human Resources Department and attached to the document in question. Access to personnel files shall be on a demonstrable need-to-know basis for persons formally charged with judging the performance of staff members in such matters as annual evaluations and promotions. The responsible administrator shall limit access to personnel files to appropriate administrators and to those persons serving on official personnel committees within the University as attested to by memoranda prepared by an official representative of each such committee.

The responsible administrator will maintain an official record of all persons who view the contents of employee personnel files. The following information about the reader of each file shall be recorded on a log of readers to be kept in each employee's file:

- a. the name and position of the reader;
- b. the hour and date the reader received and returned the file;
- c. the purpose for which the file was read; and
- d. the signature of the reader.

B. Medical Records

Medical records related to worker's compensation, disability eligibility, physical examination, or leaves of absence for an employee will be kept confidential and maintained in the Human Resources Department. These files are kept separate from the employee's personnel file.