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570 Personnel Files

Last updated on: January 01, 2001

Authority: Approved by the Board of Trustees

570.1 Location

570.1.1 Faculty. Official personnel files for all faculty members are maintained in the Provost and Vice President for Academic Affairs Office.

570.1.2 Executive, Administrative, Professional and Support Staff. Executive/administrative/professional staff and support staff official personnel files are located in the Human Resources Office.

570.1.3 Official Documents. All official documents concerning personnel actions are to be deposited in the official personnel files.

570.2 Review

570.2.1 Faculty. A faculty member may review the materials in his/her personnel file by requesting a convenient time for that review in the Provost and Vice President for Academic Affairs Office.

570.2.2 Executive, Administrative, Professional, and Support Staff. A member of the executive/administrative/professional staff or support staff may review the materials in his/her personnel file by requesting a convenient time for that review in the Human Resources Office.

570.2.3 Confidentiality. The materials in the official personnel file are confidential in nature and thus may be reviewed only by the faculty or staff member, by appropriate review committees, and by appropriate administrative and supervisory staff.

570.3 Response

Faculty and staff members have the right to respond in writing to any material in the personnel file and to have the response made a part of the file.

570.4 Removal

570.4.1 Request for Removal. Any person wishing to request that any particular item in his/her official personnel file be removed and destroyed may request such action in writing to the University President. The University President will answer all such requests in writing. If the request is approved by the University President, the request and the written approval will be included in the personnel file.

570.4.2 Expungement. Materials in personnel files will be expunged if the contents violate the employee's civil liberties and if such materials have the potential for inappropriate consideration in future personnel actions. Expunction will occur only upon

request of the faculty or staff member and after review and action on the request by the University President.

570.5 Personnel Files Contents

All reports, evaluations, assessments, and recommendations will be added to a faculty or staff member's personnel file only with his/her knowledge of that action. A faculty or staff member may examine each and all additions to his/her official personnel file by arranging a convenient time to do so as set forth above.

570.5.1 Unsolicited Papers. If and when the University receives an unsolicited paper, the author 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.

570.5.2 Anonymously Composed Letters. Anonymously composed letters will be destroyed by the administrator who receives them.

570.5.3 Unsolicited Oral Reports. Unsolicited oral reports received by an administrator about a faculty or staff member will not be recorded and retained.

570.5.4 Departmental Files. The official University personnel file located in the Provost and Vice President for Academic Affairs Office or the Human Resources Office should be a cumulative file of all materials upon which decisions are based at those levels. However, it is recognized that decisions are made in the offices of department chairpersons, deans, and appropriate administrators and that unofficial personnel files will be kept in those places to support such decisions; therefore, cumulative personnel files in those offices shall also be open to employees on the same basis (though not necessarily by identical procedures) as are the official personnel files in the offices of the Provost and Vice President for Academic Affairs and Human Resources. The appropriate administrator at each level will be charged with supervising correct application of the personnel files policy.

570.6 Filing Procedures

570.6.1 General. All personnel records will be in writing and may include electronic records. Materials in the personnel file will be recorded on a register of documents contained in the file. The register will contain:

- a. Date on which documents are added to or taken from the file;
- b. Title or label of each document;
- c. Number of pages comprising each document and any attachments thereto;
- d. Source of each document; and
- e. Initials of the person making the register entry.

570.6.2 Notification. Faculty and staff members will be informed by their supervisor or other administrator whenever documents are placed in their personnel files. Documents which indicate copy to personnel file satisfy this requirement. Faculty and staff members have the right to respond in writing to any material in their file; said response shall be attached to the document in question.

570.7 Access by Others

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.

570.7.1 Limitations on Access. 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.

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

- a. Name and position of the reader;
- b. Hour and date that the reader received and returned the file;
- c. Purpose for which the file was read; and
- d. Signature of the reader.