

**FILES ON ACADEMIC EMPLOYEES (Summary Table; See Section 323-1 for Complete Policy)****(Amended: November 1999)**

<b><u>Record System Title:</u></b>	<b><u>Location:</u></b>	<b><u>Retention Period:</u></b>	<b><u>Description:</u></b>
Open Personnel File	Dean's Office (Inactive Open Personnel Files for persons separated from the University are maintained in the Office of the Provost/ Vice President for Academic Affairs (PVPAA))	Until five years after the date of separation from the University. Files of employees separated by reason of disciplinary action or disability retirement are excepted; such files are maintained indefinitely.	All items that should be considered in a personnel action (plus those that have been or are being considered even if they fail to meet the standard of "should be") must be entered in this file. Not discretionary. Items normally entered include personnel information forms; vitae; department personnel reports; reports/ summaries of student and peer evaluations of instructors; letters of commendation or reprimand; publications; appointment, retention, promotion, and tenure documents/ recommendations; leave of absence documents and reports. (Subsets of these files or parts of these files may exist in department offices.) Accessible to faculty member upon request to Dean. Faculty member may add information to file at any time. For removal of items, a written request must be submitted to the PVPAA. If denied, an appeal may be made to the President.
Pre-Employment File	Academic Personnel Office (files on part-time faculty and volunteer employees are maintained in Offices of Deans; files of members of part-time pools are also in department offices.)	Until receipt of tenure or until five years after date of separation from University, whichever comes first. (A member of the part-time faculty pool, even though not currently employed, is not considered separated from the University for purposes of file maintenance.)	Confidential papers received from placement bureaus; letters of recommendation; summaries of telephone reference checks; other pre-employment data. As a subset of this record system, this information on part-time faculty and volunteer employees is held in the Offices of Deans; and for members of the part-time pool, in department offices and in the Office of Academic Personnel Services. The faculty member does not have access to this file.
Correspondence and Working Files	Academic Administrators or faculty with administrative functions.	Until separation of faculty member from University or final disposal of a particular problem. Relevant information transferred to the Open Personnel File; remainder destroyed.	Correspondence of which the faculty member has a copy and other information of which the faculty member is aware such as summaries of telephone and other oral communications with the faculty member, as well as payroll documents and items duplicated in the Open Personnel File. Accessible to faculty member upon request to the person responsible for the file. If request for access or request for removal of material is denied, an appeal may be submitted in writing to the PVPAA.
Academic Personnel Services -- Office Records	Academic Personnel Services	Permanent (After separation from the University this information becomes part of the Open Personnel Files for inactive employees.)	Position status, position changes, tenure status, leaves of absence, employment history and other related information essential to personnel/payroll operations. Accessible to the faculty member upon request to the PVPAA. Request to add or remove materials must be submitted to the PVPAA in writing.
Search Records	Dean's Office	Until five years after close of search (or five years after date of application in the case of applicants for membership in the part-time faculty pool.)	Confidential papers received from placement bureaus; letters of recommendations; summaries of telephone reference checks; other pre-employment information. As a subset of this record system, this information on applicants for part-time faculty positions is held in the Offices of Deans. The faculty member does not have access to this file.
Payroll Records	Payroll Office	Permanent	Personnel/Payroll Transaction Forms, general payroll information and records, including records of sick leave, vacation, leaves of absence, changes of personnel/pay status, etc.