

ARTICLE 12

Personnel Files

- 12.1 The University maintains an "employment record file" and an "academic record file" for each unit member. In addition, a confidential "medical record file" shall be maintained for unit members, when required by law. The employment record file shall be located in the campus academic administration or human resources office and the academic record file shall be located in the unit member's dean's office on the unit member's campus of their primary assignment. The medical record file shall be kept in either the campus academic administration office or human resources office, separate from other personnel files. Other files containing information regarding unit members may exist. However, information in such files may not be kept for longer than one (1) year, or contain information not in the official personnel files which is more than one year old. The University shall not take action with respect to a unit member based upon information that is not contained in the official personnel files.
- 12.2 Unit members shall have the right to examine these files at any time during normal business hours and shall have the right to receive a copy of the official personnel files upon submission of advance written request to the campus academic administration or human resources office or the unit member's dean. Unit members may place in these files a response to adverse information contained therein.
- 12.3 A United Academics representative, having written authorization from the unit member concerned, and subject to the University's duty to provide for security of the records, may examine and copy the official personnel files of that unit member. Authorized University personnel or representatives of appropriate governmental agencies may examine personnel files or copy for routine administrative activity without notification, except as provided for in Article 12.7. Other persons may have access to the official personnel files only as provided by law, with notification to the unit member.
- 12.4 When a reprimand, disciplinary action, or delinquency in job performance is reduced to writing by a supervisor, the findings and decisions of the supervisor shall be filed, in writing, in the unit member's academic record file, and a copy thereof simultaneously given to the unit member and to United Academics. No such material may be placed in a unit member's academic record file without an original signature of the dean, or designee, and the unit member. The unit member shall sign such material to signify receipt and notification of such action. Such signature shall not be construed as agreement or disagreement with material contents. Material on disciplinary reprimands shall be removed after two (2) years except for specific formal disciplinary action for sexual harassment, physical assault, discrimination, theft, fraud, scientific misconduct, or substance

abuse. Material on disciplinary suspensions and terminations shall be retained in the file.

12.5 The employment record file may contain the following:

- a. Information relating to the unit member's original hire, such as application, job evaluation form or current job description, curriculum vitae, transcripts, and hire documents, including benefit enrollment forms.
- b. Correspondence relating to the individual's employment.
- c. Documents showing the history of the unit member's work assignments and compensation, including workers' compensation payment documents and letter(s) of appointment.
- d. Other documents related to the unit member's employment status at the University.
- e. Unit member responses to the above, if any.

12.6 The academic record file may contain the following:

- a. Commendations, awards, honors, current curriculum vitae, official reprimands, including notices of unsatisfactory performance, disciplinary action, and appropriate material relating to the unit member's job performance.
- b. Correspondence relating to the individual's employment.
- c. Final grievance awards relating to the unit member's job performance or discipline.
- d. University authorized performance, peer, and student evaluations.
- e. Written documentation of faculty workload and evaluations relating to promotion, retention, tenure, and contractual obligations.
- f. Summaries of submitted proposals, notices of awarded grants and contracts, and summaries of donations or gifts received.
- g. Other documents relevant to the unit member's academic record at the University.
- h. All documents included in the promotion and/or tenure file.
- i. Unit member responses to the above, if any.

12.7 The medical records file shall contain all confidential medical information related to a unit member's employment. Access to and use of information contained in

the file shall only be as provided by applicable law. Authorized University personnel may examine or copy this file for routine administrative purposes without notification to the unit member. If a representative of an appropriate government agency requests access to the medical record file of one or more named individuals, the University shall notify those individuals within ten (10) working days. Other persons may have access to the medical record file only as provided by law, with notification to the unit member.

- 12.8 The University shall not include material in the unit member's official personnel files unless the source is identified.
- 12.9 No items may be removed from the unit member's official personnel files without the expressed written authorization of the unit member, except for brief inspection or copying.