

UNIVERSITY SENATE RECOMMENDATIONS TO THE PROVOST

Rec. #

Recommendation

2011-11-04 The University Senate recommends that the Provost seek continued approval of Policy 1.1063: Personnel File Policy (attached).

Kelly L. Madole, Ph.D.
University Senate Chair

11/21/2011 _____
Date

Approved / Not Approved

11/21/2011

A. Gordon Emslie, Ph.D.
Provost

Date



POLICY & PROCEDURE DOCUMENT

NUMBER: 1.1063

DIVISION: Academic Affairs

TITLE: Individual Faculty Review of His/Her Personnel File

DATE: June 30, 1977

REVISED: July 19, 2005, June 27, 2011, October, 2011

AUTHORIZED BY: Gordon Emslie, Provost and Vice President for Academic Affairs

I. Purpose and Scope

This policy provides the policy and procedure related to review of a faculty member's personnel file by that faculty member.

II. Policy

1. Each employee has the right to review his or her own complete personnel file except as noted in II.4.
2. While files related to a faculty member may be maintained in several places, including the Department Office, College Office, Human Resources, Office of the Provost, or the Office of the President, the official faculty personnel files are maintained in the Office of the Provost.
3. The contents of the official faculty personnel file maintained in the Office of the Provost include the following:
 - a. Vita
 - b. Official Transcripts
 - c. Letters of Reference
 - d. Letters of Appointment
 - e. Annual Faculty Evaluations
 - f. Annual Continuance Letters
 - g. Tenure and Promotion Letters/Recommendations

- h. Graduate Faculty Appointments
- i. Personnel Action Letters
- j. Salary Adjustment Letters
- k. Electronic Personnel Action Forms (EPAF)
- l. Special Instructional Assignment (SIA) Forms
- m. Faculty Award Letters

Any documents or materials that may be used in a personnel action must also be included in this file.

4. Letters of recommendation will not be released with the personnel file and will not be made available to the faculty member.

III. Procedure

1. A faculty member wishing to see his or her file should schedule an appointment with the Office of the Provost.
2. The Office of the Provost shall have a reasonable time (not to exceed two working days) prior to the appointment in which to prepare an itemized statement of materials in the personnel file.
3. The faculty member may request copies of items in the personnel file. However, when photocopies or scanned electronic copies of any item in the personnel file are requested by the faculty member, the faculty member must first sign an itemized statement requesting copies and acknowledging acceptance of the following statement:

“Western Kentucky University is committed to keeping faculty personnel files in strictest confidence. Materials from the confidential faculty personnel file photocopied or scanned and provided to the faculty member can no longer be maintained as confidential by Western Kentucky University, and Western Kentucky University accepts no responsibility for the maintenance of confidentiality of documents photocopied or scanned and provided to a faculty member.”

4. Requests by a faculty member for copies of items in the individual’s personnel file will be prepared and made available to the faculty member within two working days from the date of the request for photocopy or scanned copy of material.

IV. Related Policies

V. Reasons for Revision

June 2011:

The policy was revised to permit more ready access by the faculty member. The Office of Counsel was consulted on these revisions.

The policy was updated to include scanned copies in addition to xerographic photocopies.

October 2011:

Paragraph II.3 was added to clarify the contents of the official personnel file and to require all information concerning personnel actions to be present in that file.