



UNIVERSITY SENATE RECOMMENDATION TO THE PROVOST

Rec. # 2013-09-10

The University Senate recommends that the Provost seek continued approval of the Access to Academic Affairs Electronic Personnel Files Policy (Policy 1.1064).

Approved 9/25/2013

POLICY & PROCEDURE DOCUMENT

NUMBER: 1.1064

DIVISION: Academic Affairs

TITLE: Access to Individual Faculty Review of His/Her Academic Affairs Electronic Personnel Files

DATE: June 30, 1977

REVISED: July 19, 2005, June 27, 2011, November 28, 2011, September, 2013

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

I. Purpose and Scope

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

II. Policy

1. While copies of official and/or unofficial records 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 electronic academic personnel files are maintained by the Office of the Provost. Access to such files is limited to the Provost and his/her designee(s).

2. The academic electronic academic personnel file complements, but does not replace, the faculty member's official employee electronic personnel file maintained by the Office of Human Resources. To the extent records in one file contradict records in the other, the records in the faculty member's official employee electronic personnel file maintained by the Office of Human Resources shall prevail.
3. Each employee has the right to review his or her own complete electronic academic personnel file except as noted in II.5.
4. The contents of the official faculty electronic academic 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
 - h. Tenure and Promotion Recommendations
 - i. Graduate Faculty Appointments
 - j. Personnel Action Letters
 - k. Salary Adjustment Letters
 - l. Electronic Personnel Action Forms (EPAF)
 - m. Special Instructional Assignment (SIA) Forms
 - n. Faculty Award Letters

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

5. Letters of reference and recommendation (items c and g above) that are contained in the ~~will not be released with the~~ electronic academic personnel file will not be made available to the faculty member.

III. Procedure

1. A faculty member wishing to see his or her electronic academic personnel 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 electronic academic personnel file.
3. The faculty member may request copies of items in the electronic academic personnel file. However, when photocopies or scanned electronic copies of any item in the electronic academic 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 electronic academic

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 electronic academic 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 photocopies.

October 2011:

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

September 2013:

Title changed to expand policy to cover access to file by others

Clarification of materials in the file as academic in nature, to be considered as supplementary to the faculty member’s official employee electronic personnel file maintained by the Office of Human Resources. Verbiage to this effect added throughout.