

UAS ACADEMIC RECORD FILE PROTOCOLS

*** Last Updated – 04/18/2020 ***

Reviewed at 5/1/2020 Faculty Senate Mtg

During the summer of 2013 an Ad Hoc Committee was formed with representatives from each school and extended campus, Faculty Senate, the Provost's Office, and IT Services to develop a set of universal protocols for the handling, access, and maintenance of faculty Academic Record Files (ARF). This document is an update to the results of that effort.

ACADEMIC RECORD FILE PROTOCOLS:

UNIVERSAL ACADEMIC RECORD FILE STRUCTURE & CONTENT

All UAS Academic Record Files must contain the following (separated by labeled tabs/folders):

- Appointment Letters (b.)
- Workloads (e.)
- Annual Activity Reports (h.)
- Resume (CV) (h.)
- Mastery of Subject (educational transcripts) (h.)
- Student Ratings Summaries & Individual Student Comments (d.)
- Evaluation File – including written evaluations and faculty responses to annual dean/director reviews, comprehensive evaluation processes, and post-tenure reviews (h.)
- Recommendations Letters – from internal and external peers (whenever received) (h.)
- Sabbatical (& Other Academic) Leave Documentation – including proposals, awards, and reports (g.)
- Academic Personnel Actions – including official reprimands, notices of unsatisfactory performance, disciplinary actions, and final grievance decisions relating to a faculty member's job performance or discipline; subject to the documentary and file retention requirements specified in the faculty CBAs (a.)

When applicable, UAS Academic Record Files may contain the following (separated by labeled tabs/folders):

- Grant Activity – including proposals, notices of awards, and contracts (f.)
- Other Employment Material – including commendations, awards, honors, and other correspondence relating to a faculty member's employment, as well as disclosures of employment or activities outside of the University of Alaska (12.6 and 12.7 b.)

Location of Secondary Assignment Material: Faculty who teach for more than one school and/or campus will have their Academic Record File reside at the Dean's or Director's Office of their primary assignment. All secondary assignment material must be permanently housed in this Academic Record File.

Document Dates: All documents in the Academic Record File shall contain two dates: 1) the date the document was completed and 2) the date the document was placed in the file.

FILE STORAGE & SECURITY

All UAS Academic Record Files in paper form must be stored inside a locked file cabinet, under the control of the Dean or Director.

FILE ACCESS

All UAS Academic Record Files (ARFs) are considered confidential files. Access to ARFs is restricted to the individual faculty member, their Dean/Director, the unit's administrative manager and administrative assistant, and the management/staff in the Chancellor's Office, Provost's Office, Human Resources, and UA System Offices, as needed to conduct university business.

Access to the ARFs must adhere to the following requirements:

- Faculty have a right to examine their files at any time during normal business hours per BOR P04.01.061.
- Faculty have a right to receive a copy of their file upon submission of advance written request.
- Faculty may, through submission to their Dean or Director, place in the file a response to any information.
- Student workers will not be allowed access to faculty Academic Record Files.

INCLUSION & REMOVAL OF MATERIAL

Per the faculty CBAs:

- Except for brief inspection or copying, no items may be removed from a Faculty Member's personnel file (including the Academic Record File) without written authorization of the Faculty Member.

Notification Requirements: Dean's/Director's Offices will provide faculty with written notice whenever non routine material is added or removed from their Academic Record File.

Authority: Faculty may not directly add or remove material from their Academic Record File. They should coordinate such requests with their Dean's/Director's Office.

Valid Actions: Once content has been added to an Academic Record File, it can only be added or removed from the file; NEVER modified. Updated versions of documents must be treated as additions.

Project Transition: Each unit's existing ARF records will need to be reviewed, duplicates of documents removed, and all remaining items numbered and logged, per specifications listed above. Excess documents will be given to the applicable faculty member.

FILE RETENTION

Unless needed for university business purposes, once a faculty member self identifies they are leaving university service, the Dean or Director will transfer the faculty member's Academic Record File to the Human Resources department where the file will be combined with their regular Personnel file and retained for 6 years, after which it will be purged based on federal requirements.

ANONYMOUS MATERIAL

Per the faculty CBA:

- The University shall not include material in a Faculty Member's Academic Record File unless the source is identified and the material contains the date on which the material was placed in the file.

HANDLING OF DISCIPLINARY MATERIAL

Per the faculty CBA:

- The findings and decisions of the supervisor shall be filed, in writing, in the Faculty Member's Academic Record File.
- No material may be placed in the Faculty Member's Academic Record File without an original signature of the Dean or Campus director, or designee, and Faculty Member.
- A copy of the disciplinary material must be simultaneously given to the faculty member.
- A copy of the disciplinary material must be simultaneously given to United Academics.
- Material on disciplinary reprimands shall be removed after two 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.

STUDENT COURSE RATINGS ELECTRONIC ACCESS

- The automated Student Course Ratings system provides users with authorized access the ability to retrieve student course ratings information by semester and faculty name.
- Schools and extended campuses retrieve student course ratings information each year and include this information in faculty Academic Record Files.
- Deans and Directors control access to the Student Course Ratings.

HANDLING OF OTHER FACULTY FILES

Per the faculty CBA:

- Other files containing information regarding Faculty Members may exist, however, information in such files may not be kept longer than one 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 Faculty Member based upon information that is not contained in the official personnel files.

Global File Maintenance: The date for the global deletion of all Other Faculty Files is October 15. By this date each year, all UAS Deans and Directors offices will delete the contents of any Other Faculty Files accumulated during the prior year.

Provost's Office Files: The Provost's Office collects electronic copies of faculty workloads and appointment letters from schools/campuses.

UAS ACADEMIC RECORD FILE LOGISTICS (Should be updated as key staff change)

Per faculty collective bargaining agreements (CBAs) and the UAS Faculty Handbook, the Academic Record File (ARF) shall be located in the Faculty Member’s Dean’s or Director’s office on the Faculty Member’s campus of their primary assignment. The Dean or Director’s Office is responsible for maintaining the ARF. In doing so, these offices are expected to abide fully with the provisions of the faculty CBAs, applicable UA policy and regulations, and UAS ARF protocols.

The following information is provided so that faculty and administrators know whom to contact for information and/or access about Academic Record Files and the persons responsible for maintaining these files.

LOGISTICS	School of Arts & Sciences	School of Career Education, Juneau	AK College of Education	Ketchikan Campus	Sitka Campus	Library
File Location:	Soboleff, room 2xx	TEC, room 221	Hendrickson Annex, room 101C	Zeigler Bldg., room 116B in Director’s Office	Campus room 201A in Director’s Office	Egan Library room 208
Administrative Control Person:	Carin Silkaitis	Pete Traxler	Maren Haavig	Priscilla Schulte	Paul Kraft	Elise Tomlinson
Primary Contact Person:	Amy Bannerman	Pete Traxler or Lindy Carroll	TBD	Clair Fitzpatrick	Jill Hanson	Jeri Cary
Contact’s Phone & E-mail Address:	796-6518 aebannerman@alaska.edu	796-6139 pbtraxler@alaska.edu (Update?)	TBD	228-4558 @alaska.edu	774-7704 jmhanson@alaska.edu	796-6505 gpcary@alaska.edu
Secondary Contact Person:		Lindy Carroll	TBD		Jill Hanson	Elise Tomlinson
Contact’s Phone & E-mail Address:	796-6518 cdsilkaitis@alaska.edu	796-6124 lmcarrroll@alaska.edu	TBD	228-4558 @alaska.edu	747-7704 jmhanson@alaska.edu	796-6467 emtomlinson@alaska.edu
Responsible for File Maintenance:	Amy Bannerman	Lindy Carroll or Pete Traxler	TBD	Clair Fitzpatrick	Jill Hanson	Jeri Cary of Elise Tomlinson
Others with Authorized Access:		none	TBD		?	none

Administrative Control Person: Individual with authority to decide who has access to Academic Record Files.

Primary & Secondary Contact Persons: Individuals who should be contacted for access to Academic Record Files.

Maintenance Person: Individual who is responsible for ensuring Academic Record Files are maintained in accordance with faculty CBAs, UA policy and regulations, and UAS protocols, and who conducts the unit’s annual global deletion of any Other Faculty Files (that may exist).

Please see Article 12 of the current United Academics CBA for information regarding Personnel Files

ACADEMIC RECORD FILE MAINTENANCE (PER FACULTY CBA)

DISCIPLINARY MATERIAL

- The findings and decisions of the supervisor shall be filed, in writing, in the faculty member's Academic Record File.
- A copy of the disciplinary material must be simultaneously given to the faculty member.
- No material may be placed in the Faculty Member's Academic Record File without an original signature of the Dean or Campus director, or designee, and Faculty Member.
- Material on disciplinary reprimands shall be removed after two 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.

ANONYMOUS MATERIAL

- The University shall not include material in a Faculty Member's personnel file unless the source is identified.
- Unless the source is identified and the material contains the date on which the material was placed in the file.

REMOVAL OF MATERIAL

Except for anonymous material, no items may be removed from a Faculty Member's official files without written authorization (notification) of the Faculty Member, except for brief inspection or copying.

OTHER FACULTY FILES

- Other files containing information regarding Faculty Members may exist, however:
- Information in such files may not be kept longer than one 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 Faculty Member based upon information that is not contained in the official personnel files.

BOARD OF REGENTS POLICY & REGULATIONS

P04.01.061. Access to Personnel Files.

An employee will have the right to examine the employee's official personnel file at any time during normal business hours upon submission of advance written request to the MAU human resources office. An employee will have the right to a copy of the employee's own file upon submission of advance written request to the regional human resources office.

P04.01.062. Confidentiality of Personnel Records.

- A. Dates of present and past employment with the university, position title, type of employment, campus, and salary are public information. The university adopts the policy of AS 39.25.080 so that all other personnel records, including but not limited to applications, leave records, home address and telephone number, performance evaluations and disciplinary matters, relating to any past or present employee of the university are not public records and are not accessible by the public. Personnel records will be released only under the following circumstances:
1. upon receipt of written authorization from the employee, former employee, or applicant, as directed in the authorization;
 2. to the employee's supervisors and to university supervisors to whom the employee or former employee has applied for promotion, transfer or rehire;
 3. to a state agency authorized by statute to review such university documents upon receipt of a subpoena issued by a competent authority and upon execution of an agreement that confidential information will not be made public;
 4. upon receipt of an order of a court of competent jurisdiction;
 5. for internal university operations, to persons having a need to know as determined by the regional personnel officer or the custodian of the record.
- B. A request not covered by A.1-5 of this section will be addressed to the MAU human resources director. The MAU human resources director or designee shall review the request and may approve the release if that release is in the best interest of the university and can be accomplished without violation of the employee's, former employee's, or applicant's right to privacy.
- C. Notwithstanding the provisions of this section, a supervisor or human resources office may disclose information about the job performance of an employee or former employee to a prospective employer upon request. Any information provided must be given in good faith and must be factual.

R04.01.060. Contents of Personnel Files

- A. The selection of records to be maintained in the official personnel file will be consistent with federal and state law. Included material should document employment history and directly reflect employment-related events.
- B. The contents of the official personnel file will be considered in making personnel management decisions relevant to the employee. Information such as medical records, immigration forms, government or court ordered payroll actions, will be maintained separate from the official personnel file.
- C. Anonymous material will not be placed in an official personnel file. If anonymous material is found in a personnel file, it will be removed immediately.
- D. An employee may request that a written response to information contained in his/her file be placed in his/her official personnel file.
- E. The official personnel file consists of the following:
1. Information relating to the employee's original hire, such as application material (excluding voluntary self-identification information), curriculum vitae, transcripts, and hire documents including benefit enrollment forms and appointment letters.
 2. Revisions relating to the individual's employment status.
 3. Performance evaluations, letters of recognition, official reprimands, including notices of unsatisfactory performance; disciplinary action, and any other appropriate material relating to the employee's job performance. A copy of this material must be given to the employee prior to inclusion in the file.
4. Employee responses to the above.
5. Training records and certifications and unemployment documentation.

6. Written documentation of faculty workload and evaluations relating to promotion, retention, tenure, and contractual obligations will be maintained by the appropriate academic office and are considered to be part of the faculty member's official personnel file.
7. The Medical Records File contains all confidential medical information related to employment. Access to and use of information contained in the file will only be as provided by applicable law. Authorized university personnel may examine or copy this file for routine administrative purposes without notification to the employee.

If a representative of an appropriate government agency requests access to the Medical Record File, the university will make every effort to notify the employee(s) of the request in a timely manner. Other persons may have access to the Medical Record File only as provided by law, with notification to the employee.

8. Records required or allowed by a collective bargaining agreement.
- F. The following materials will be removed from the official personnel file:
1. Unauthorized or anonymous material.
 2. Letters of reprimand and/or disciplinary actions may, by written request of the supervisor who originated the documents, be removed by the regional human resource office director.
- G. A unit or department may maintain files containing whatever information is needed for efficient and convenient operation; however, these files are not official personnel files.

R04.01.062. Confidentiality of Personnel Records

If a request for disclosure of personnel records is received from persons other than those determined by the custodian of the record to have a need to know, a reasonable effort will be made to advise the affected employee of the request prior to the disclosure.