HRM-044

Maintaining Faculty Personnel Records

Effective Date Thursday, June 18, 2015

Status Final

Last Revised Wednesday, July 21, 2021

Policy Type University

Contact Office Executive Vice President and Provost (Office of the)

Oversight Executive
Executive Vice President and Provost

Applies To Academic Division.

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Reason for Policy

The University recognizes that sound personnel decisions require the collection and retention of employment history and performance and that faculty personnel records be accurate and safe from improper disclosure. In addition, federal and state laws require that certain information be gathered and maintained in personnel records.

Definition of Terms

Designated Hiring Official

Description

An individual who is authorized to extend a conditional offer of employment to individuals on behalf of the University. The president, vice presidents, academic deans of the University's schools, and the University librarian are designated hiring officials. Hiring authority may be delegated in writing by one of these individuals with the approval of the president or the appropriate vice president.

Policy Statement

Each school and unit employing faculty members (academic, administrative, or professional; for more information regarding types of faculty appointments, see PROV-029: Faculty Appointment Types and Titles) must maintain a faculty personnel record for each faculty member that includes, at a minimum, the following:

- Documentation verifying the faculty member's highest earned degree that qualifies the faculty member for employment at the University (which, when the individual will be teaching in subject areas that are not directly related to his/her degree or primary employment at the University, may include an official

transcript).
- Letters of appointment, reappointment, leave, sanction, and/or termination signed by the designated hiring official and the faculty member to acknowledge receipt or acceptance of terms.
- Letters from the Board of Visitors documenting resolutions on faculty actions.
- Performance evaluations (including letters related to promotion and tenure).
- Curriculum vita and annual reports.
- Annual certifications of compliance with University policy.
- For faculty members who have ended their employment with the University through resignation, retirement, or termination, a completed faculty departure checklist. (See "Faculty Exit Procedures," published by the Office of the Executive Vice President and Provost).

Information in these faculty personnel records that is not exempt from disclosure pursuant to the Virginia Freedom of Information Act (FOIA) is available to the respective faculty member, who may request the opportunity to review the personnel record from the director of human resources or other official responsible for managing personnel records in the school or unit. Under FOIA, letters and statements of recommendation respecting applications for employment or promotion are exempt from the disclosure requirements of FOIA and will not be made available to the faculty member. Otherwise, information contained in faculty personnel records is confidential and should be accessed only by University employees with a legitimate business need to do so.

The University adheres to FOIA and the Virginia Privacy Protection Act of 1976. Under FOIA, the University may be required to share personnel information with the public. Categories of personnel information considered public under FOIA include an individual employee's "position, job classification, official salary or rate of pay [above $10,000] ... and allowances or reimbursements for expenses." Information regarding the University's obligation to respond to FOIA requests and instructions for University employees who receive a FOIA request can be found at the FOIA information site maintained by University Communications.

Compliance with Policy:
Failure to comply with the requirements of this policy may result in disciplinary action up to and including termination in accordance with relevant University policies.

Direct questions about this policy to the Office of the Executive Vice President and Provost.

Procedures

A personnel record for each faculty member should be maintained by the school or unit in the University's Human Resource Document Imaging System.

Individuals who receive a FOIA request related to a faculty member's personnel record should consult University Counsel's site for guidance as to how to handle and forward the request appropriately.

Related Information

Information about the University of Virginia and the Freedom of Information Act
Commonwealth of Virginia Department of Human Resource Management, Policy 6.05, Personnel Records Disclosure (applies to all state employees, including faculty members)
Virginia Freedom of Information Advisory Council (site includes links to the Commonwealth of Virginia's Freedom of Information Act and other FOIA resources)

PROV-006: Extending Offers of Employment to Faculty in Academic Areas
PROV-029: Faculty Appointment Types and Titles

Faculty Departure Checklist (see “Faculty Exit Procedures” listed under Documents)

Major Category Human Resource Management

Next Scheduled Review Monday, June 18, 2018

Revision History

Added Compliance section 7/21/21.

Supercedes Policy Text

Release of Information from Faculty Personnel Files.

Approved By Policy Review Committee

Approved Date Thursday, June 18, 2015