



## **POLICY & PROCEDURE DOCUMENT**

NUMBER: 1.1065

DIVISION: Academic Affairs

TITLE: Access to Academic Affairs Electronic Personnel Files

DATE: June 30, 1977

REVISED: July 19, 2005, June 27, 2011, November 28, 2011, September 23, 2013, March 7, 2022

REVIEWED: November 1, 2015

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### **I. Purpose and Scope**

This policy outlines the procedures related to the management, review and access of faculty academic personnel records.

### **II. Policy**

1. While copies of official and/or unofficial records related to a faculty member may be maintained in several places, including the department, college, or the Office of the President, the official faculty electronic academic personnel files are maintained by the Office of the Provost and housed in the Department of Human Resources via electronic storage. Access to such files is limited to authorized personnel only as determined by the Provost (or designee) and the Lead Human Resources Officer (or designee).
2. The electronic academic personnel files maintained in the Office of the Provost complements, but does not replace, the faculty member's official employee electronic personnel file maintained by the Department 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 their 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. Sabbatical Letters
  - m. Resignation/Retirement/Termination Letters
  - 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 h above) that are contained in the electronic academic personnel file will not be made available to the faculty member.

### **III. Procedure**

1. A faculty member wishing to see their electronic academic personnel file should contact the Office of the Provost.
2. The Office of the Provost shall have a reasonable time (not to exceed two working days) 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 send an e-mail to [provost@wku.edu](mailto:provost@wku.edu) 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.

##### November 2015:

Reviewed as part of the fifth-year review in accordance with Policy 0.0003.

##### March 2022:

Non-substantive changes resulting from fifth-year review in accordance with Policy 0.000V.