



PPSM-80: Staff Personnel Records

Responsible Officer:	Vice President – Systemwide Human Resources
Responsible Office:	SHR – Systemwide Human Resources
Issuance Date:	12/10/2018
Effective Date:	12/10/2018
Last Review Date:	11/15/2018
Scope:	Professional & Support Staff, Managers & Senior Professionals, and Senior Management Group Members

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I. POLICY SUMMARY

The policy describes personnel records, access to personnel records by persons inside or outside the University, as well as the location of records and the period of retention.

II. DEFINITIONS

Detailed information about common terms used within Personnel Policies for Staff Members can be found in [Personnel Policies for Staff Members 2 \(Definition of Terms\)](#).

Personnel Records consist of any record, in any format, necessary and relevant to the administration of the staff personnel program. As authorized by this policy, personnel records may include personnel files that are managed in accordance with local procedures.

III. POLICY TEXT

A. Staff Personnel Records

The University will establish and maintain staff personnel records. The records will be maintained with accuracy, relevance, timeliness, and completeness, and appropriate and reasonable safeguards will be established by the location to ensure security and confidentiality.

B. Access to Information in Staff Personnel Records

Access to staff personnel records will be made in accordance with the following provisions.

Specific legal requirements regarding an employee's access to the employee's own personnel records, right to correct or amend the records, and third party access to the personnel records are governed by the [Information Practices Act](#) and the [California Public Records Act](#). Access to peace officer personnel records and the right to correct or amend those records is also governed by the [Public Safety Officers Procedural Bill of Rights Act](#) and the [Penal Code](#) provisions related to the confidentiality of peace officer personnel records. Questions regarding an employee's records should be directed to the official designated by the Executive Officer for this purpose.

1. Access to an Employee's Own Personnel Records

Within 30 calendar days from the receipt of a request for records, an employee will be provided a copy of the employee's own personnel records or within 60 calendar days from the receipt of a request for records that are geographically dispersed, inactive, or in storage. There will be no charge for the first copy. However, records protected by recognized legal privilege and records exempted from disclosure by the [Information Practices Act](#) may be withheld.

2. Access to Records by the Public

Persons inside or outside the University will have access to information in employees' personnel records in conformance with statutes and University policies on records. The Executive Officer will establish procedures for the release of information. Information which is public information and that should generally be released upon request includes:

- Name
- Date of hire, position title, salary
- Organizational unit assignment
- Office address and office telephone number

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- Job description, whether full-time or part-time, and appointment type
- Date of separation, and
- Other information that would not be (a) an invasion of personal privacy; (b) protected by recognized legal privilege; or (c) otherwise legally protected from disclosure.

(See [University of California Policy on Public Disclosure of Compensation Information.](#))

Unless release is legally required, the University will *not* release to the public information that the University has determined to be (a) an invasion of personal privacy; (b) protected by recognized legal privilege; or (c) otherwise legally protected from disclosure. Such information includes but is not limited to:

- The individual's home telephone number and home address
- Spouse's or other relatives' names
- Birth date
- Social Security Number
- Citizenship
- Income tax withholdings
- Health care records
- Information relating to evaluation of performance and goal setting records
- Individual elections related to health and welfare benefits, retirement, or investment programs
- University home loan property address, value of property, loan application details
- Drug test results, and
- Child support/garnishments.

3. Access to Records by Governmental Agencies

Release of information to public authorities will be in conformance with [Guidelines for Access to University Personnel Records by Governmental Agencies, Business and Finance Bulletin RMP-9.](#)

A record of release of information pursuant to subpoena, court order, health emergency or search warrant will be maintained per local procedure.

C. Location of Records

Personnel records are maintained in the office of record designated by the Executive Officer or designee.

D. Period of Retention

Personnel records of an employee will be maintained according to the [University of California Records Retention Schedule](#).

IV. COMPLIANCE/RESPONSIBILITIES

A. Implementation of the Policy

The Vice President–Systemwide Human Resources is the Responsible Officer for this policy and has the authority to implement the policy. The Responsible Officer may develop procedures or other supplementary information to support the implementation of this policy. Such supporting documentation does not require approval by the President. The Responsible Officer may apply appropriate interpretations to clarify the policy provided that the interpretations do not result in substantive changes to the underlying policy. The Chancellor, Lawrence Berkeley National Laboratory Director, and Vice President–Agriculture and Natural Resources are authorized to establish and are responsible for local procedures necessary to implement the policy.

In accordance with [Personnel Policies for Staff Members 1 \(General Provisions\)](#), the authorities and responsibilities delegated to the Chancellor in this policy are also delegated to the Executive Vice President–Chief Operating Officer, Vice President–Agriculture and Natural Resources, Principal Officers of the Regents, and the Lawrence Berkeley National Laboratory Director. Also in accordance with PPSM 1, the authorities granted in this policy may be redelegated except as otherwise indicated.

B. Revisions to the Policy

The President is the Policy Approver and has the authority to approve policy revisions upon recommendation by the Vice President–Systemwide Human Resources.

The Vice President–Systemwide Human Resources has the authority to initiate revisions to the policy, consistent with approval authorities and applicable *Bylaws* and *Standing Orders* of the Regents.

The Executive Vice President–Chief Operating Officer has the authority to ensure that policies are regularly reviewed, updated, and consistent with other governance policies.

C. Approval of Actions

Actions within this policy must be approved in accordance with local procedures. Chancellors and the Vice President–Systemwide Human Resources are authorized to determine responsibilities and authorities at secondary administrative levels in order to establish local procedures necessary to implement this policy.

All actions applicable to PPSM-covered staff employees who are not Senior Management Group members that exceed this policy, or that are not expressly

provided for under any policy, must be approved by the Vice President–Systemwide Human Resources.

D. Compliance with the Policy

The following roles are designated at each location to implement compliance monitoring responsibility for this policy:

The Top Business Officer and/or the Executive Officer at each location will designate the local management office to be responsible for the ongoing reporting of policy compliance.

The Executive Officer is accountable for monitoring and enforcing compliance mechanisms and ensuring that monitoring procedures and reporting capabilities are established.

The Vice President–Systemwide Human Resources is accountable for reviewing the administration of this policy. The Director–Systemwide Human Resources Compliance will periodically monitor compliance with this policy.

E. Noncompliance with the Policy

Noncompliance with the policy is handled in accordance with Personnel Policies for Staff Members [62](#), [63](#), and [64](#) pertaining to disciplinary and separation matters.

V. PROCEDURES

Not applicable.

VI. RELATED INFORMATION

- [California Public Records Act, Government Code Section 6250 et seq.](#) (referenced in Sections III.B of this policy)
- [Information Practices Act, Civil Code Sections 1798 et seq.](#) (referenced in Sections III.B and III.B.1 of this policy)
- [Public Safety Officers Procedural Bill of Rights Act, Government Code Section 3300 et seq.](#) (referenced in Section III.B. of this policy)
- [California Penal Code Sections 832.5, 832.7, and 832.8](#) (referenced in Section III.B. of this policy)
- [University of California Policy on Public Disclosure of Compensation Information](#) (referenced in Section III.B.2 of this policy)
- [Business and Finance Bulletin RMP-9 \(Guidelines for Access to University Personnel Records by Government Agencies\)](#) (referenced in Section III.B.3. of this policy)
- [University of California Records Retention Schedule](#) (referenced in Section III.D. of this policy)

- Personnel Policies for Staff Members [62](#), [63](#), and [64](#) (referenced in Section IV.E. of this policy)

VII. FREQUENTLY ASKED QUESTIONS

1. What are some examples of staff personnel records?

Staff personnel records may include but are not limited to the following examples -- whether or not the records are maintained in paper or electronic form, together or separately, or in a specifically created file folder:

- Employment records, such as the application for employment and letters or statements of reference
- Compensation and benefits forms
- Training, education, honors, and awards records
- Duties and job classification
- Performance management records
- Corrective, release, and dismissal actions
- Counseling letters
- Attendance records, and
- Other relevant or necessary information specified by the President or the Executive Officer.

Personnel records may include more than what is in the personnel file. Local procedures can provide guidance on the personnel file.

2. How should the records related to an employee's formal complaints be maintained?

An employee's personnel file must not contain records related to formal complaints filed by that employee. The home department should maintain any records related to formal complaints filed by the employee separate from any personnel file. Records related to formal complaints should be accessible to those responsible for administering employment activities and will be maintained in accordance with the [University of California Records Retention Schedule](#).

3. Where and for how long will records of corrective actions be maintained?

Records of corrective actions will be maintained in accordance with local procedure and the [University of California Records Retention Schedule](#). For Professional & Support Staff, see also [PPSM 62 \(Corrective Action\)](#).

4. Should an employee be notified if a disclosure is granted to a public records request to view or copy the employee's personnel records?

Though not legally required, a courtesy notification may be issued to the employee.

5. When an employee transfers from one UC location to another, do the personnel records also transfer?

As a best practice, when an employee transfers from one UC location to another, the hiring location should request and receive the personnel records of the newly-hired applicant. The recipient location becomes the office of record and the responsible owner for the management of those personnel records.

6. Should Forms I-9 be kept in an employee’s personnel file?

No, Forms I-9 and copies of supporting documents should be kept in a separate file.

VIII. REVISION HISTORY

Policy changes effective as of **December 10, 2018:**

- Removed existing gendered pronouns and replaced with gender-neutral language.
- Updated web and document links, office titles, and typographical amendments.
- Remediated to meet Web Content Accessibility Guidelines (WCAG) 2.0

Policy changes effective as of **July 28, 2015:**

- A definition of personnel records was added
- The criteria for records not to be released to the public has been expanded
- Language clarifying access to peace officer personnel records has been added
- A new policy section has been added re: Access to Records by Governmental Agencies

Policy changes effective as of **July 1, 2012:**

- Reformatted into the standard University of California policy template effective.

As a result of the issuance of this policy, the following documents are rescinded as of the effective date of this policy and are no longer applicable:

- *Staff Personnel Policy 605 (Staff Personnel Records)*, dated December 1, 1990