

University of St. Thomas Policies

FACULTY RECORDS

Policy Number: F.04.01

Scope: All faculty

Purpose: To describe the characteristics of and management policies guiding faculty records

POLICY

Definition

Faculty Records refer to the documentation compiled in a specified storage site that contains information about each University of St. Thomas faculty member (see Policy F.01.01 Definition of Faculty) relevant to his/her employment and compensation at the university. These records may include materials recorded in handwriting, print, digital files, tapes, film, computer, or other media. As a composite, they are called the faculty member's file, of which there are two types: the employment file and the payroll file.

Faculty Records Storage

1. The basic documentation in each faculty member's employment file is stored in the Office of the Vice President for Academic Affairs and includes:
 - a. letters of application;
 - b. appointment and acceptance letters;
 - c. references;
 - d. personal data information;
 - e. evaluations by students and supervisors;
 - f. change in status documentation (promotion, tenure, dismissal);
 - g. contracts and salary documents;
 - h. official transcripts listing degrees from all post-secondary institutions attended;
 - i. current curriculum vitae;
 - j. official correspondence;
 - k. information on professional background;
 - l. records of publications;
 - m. certifications and other comparable qualifications;
 - n. documentation of professional and work experience, technical and performance competency;
 - o. accomplishments the faculty member wishes placed in this file.
2. The basic documentation in each faculty member's payroll file is stored in the Office of Human Resources and includes:
 - a. information on social security;
 - b. medical and hospital insurance benefits;
 - c. dental plan;
 - d. life insurance;
 - e. annuity plans;
3. Portions of faculty records may be generated, transmitted and/or stored electronically as documentation.

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Faculty Records Management

1. Faculty members are responsible for accessing and submitting the documentation required for their official faculty employment file. Faculty members are also responsible for updating inclusions in their official faculty employment file.
2. The University is responsible for storing and maintaining employment files for all faculty members, which may be accessed by the University, if appropriate or necessary, for demonstrating competence based on the employment file contents.
3. A faculty member may at any time review his/her official employment file in the Office of the Vice President for Academic Affairs. This office is responsible for making any copies of material in the file desired by the faculty member or provide access to digital files. The files may not be taken from this office.
4. To safeguard the interests of the University and the faculty member, only the faculty member, the President, the Vice President for Academic Affairs or Legal Counsel may authorize making a copy of any document or any other item contained in the employment file.
5. The official employment file is available on a need-to-know basis only to the Board of Directors, President, Vice President for Academic Affairs, dean of the appropriate school, department chair, Legal and the staff of the President and Vice President for Academic Affairs. The faculty member may, however, authorize in writing access to his/her file to another party.
6. Except for “directory information,” requests from outside the University for access to information in a faculty member’s employment file will be honored only in the case of lawful requests from federal and state agencies relevant to investigations, hearings or other proceedings pending before such agencies or the courts.
7. Concerning promotion and tenure documents, in certain instances the Vice President for Academic Affairs and the Promotion and Tenure Committee may determine that letters of evaluation clearly intended to be confidential be kept in a sealed file for two years after the Committee’s recommendation, not in the faculty member’s employment file. Sealed files are available only to the President or his delegate, Vice President for Academic Affairs and, should it be necessary, to the Faculty Grievance Committee.
8. While official employment files of all faculty are stored in the Office of the Vice President for Academic Affairs, deans of schools and others may keep non-official files on faculty under their supervision.

APPROVED: Board of Directors

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