



PPSM-80: Staff Personnel Records

FORMAL REVIEW DRAFT 3/10/15

Responsible Officer:	Vice President – Human Resources
Responsible Office:	HR – Human Resources
Issuance Date:	tba
Effective Date:	tba
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

Exception to Policy: An action that exceeds what is allowable under current policy or that is not expressly provided for under policy. Any such action must be treated as an exception.

Executive Officer: The University President, Chancellor, Laboratory Director, or Vice President-Agriculture and Natural Resources.

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.

Top Business Officer: Executive Vice President–Chief Operating Officer for the Office of the President, Vice Chancellor— Administration, or the position responsible for the location's financial reporting and payroll as designated by the Executive Officer.

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](#). 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 be released upon request includes:

- Name
- Date of hire, position title, salary
- Organizational unit assignment
- Office address and office telephone number
- Job description, whether full-time or part-time, and appointment type
- Date of separation, and
- Other information that would not be an invasion of personal privacy.

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

Unless release is legally required, information that the University has determined to be an invasion of personal privacy or protected by recognized legal privilege will **not** be released to the public. 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–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.

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–Human Resources.

The Vice President–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–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–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–Human Resources is accountable for reviewing the administration of this policy. The Director–HR 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* [61](#), [62](#), [63](#), [64](#), [65](#), and [67](#) 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)
- [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* [61](#), [62](#), [63](#), [64](#), [65](#), and [67](#) (referenced in Section IV.E. of this policy)

VII. FREQUENTLY ASKED QUESTIONS

VIII. REVISION HISTORY

[to be updated]

This policy was reformatted into the standard University of California policy template effective July 1, 2012.

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