

TEMPLE UNIVERSITY

POLICIES AND PROCEDURES MANUAL

Title: Policy on Faculty Files
Policy Number: 04.15.11
Effective Date: December 18, 2003
Issuing Authority: Office of the President

Statement of Purpose

The purpose of this Policy is to identify the location of and the documents that will be maintained in the official file of all faculty members. For the purposes of this Policy, the official file of all faculty members will include, but is not limited to, all information that summarizes the appointment, salary, merit adjustment, tenure, promotion, evaluations and other material or matters related to decisions regarding full-time and part-time faculty.

Scope

This Policy applies to all full-time and part-time Temple University faculty members, whether appointed by the President or a Dean, whether paid or unpaid.

Policy

1. Temple University will endeavor to maintain one official file for each member of its faculty. Every official document relating to a faculty member will to the extent practicable be maintained in the faculty member's official file.
2. The Human Resources Department is responsible for the maintenance of personnel files and administration of this policy. Temple University's official file for each faculty member may be housed in the Office of the Provost (or his/her designee) for convenience in academic administration.
3. A Records Custodian, to be appointed by the Human Resources Department after consultation with the President or his/her designee, will be responsible for maintaining the official files.
4. The Human Resources Department will provide training for its staff, the Provost's staff and the administration of the University's various schools and colleges to ensure compliance with this Policy.
5. Every document in the official faculty file will be date-stamped indicating the date that the document was received.

6. Attachment 1 identifies the official documents that shall be maintained as part of the official personnel file for each employee at Temple University, to the extent applicable. Attachment 2 identifies the additional documents that shall be maintained as part of the official file for faculty members at Temple University, to the extent possible.
7. A faculty member is afforded access to his/her files in accordance with applicable collective bargaining agreements, University policy or state law. Although the University is not legally required to do so, if a faculty member requests a copy of his/her file, the Records Custodian will provide the faculty member with a copy upon payment of a fee to cover the administrative costs.
8. If a faculty member believes that some of the contents of his/her file are incorrect, he/she may write a brief statement to that effect. Such statement will be date stamped when received by the Faculty Records Custodian, appended to the document at issue and maintained as part of the official file.
9. Faculty members shall be responsible for periodically updating information (*e.g.*, curriculum vita) maintained in the official faculty file on a schedule that the University will establish and publicize.
10. The Provost, the Deans, and others with a need to know information may review relevant portions of the faculty member's official file and may keep copies of such documents for reference. The originals of documents will to the extent possible be maintained in the official faculty file.
11. Non-confidential employment information in the official faculty file, such as the faculty member's name, confirmation of dates of employment and positions held may be disclosed to external parties. In the event an external party seeks to obtain all or part of a faculty member's official file other than public information, Temple will take reasonable steps, to the extent permitted by law, to inform the faculty member of its receipt of the request and its intentions with regard to releasing the information.
12. The official file will be maintained securely and kept confidential to the extent possible.
13. The Human Resources Department is responsible for ensuring that official faculty files are maintained in accordance with this Policy, whether they are maintained in hard copy or electronic format.
14. The official faculty file shall be maintained for six years after the faculty member's cessation of employment with the University. After six years, the file may be destroyed.

ATTACHMENT 1

Documents to Be Retained In Each Faculty and Non-Faculty Personnel File (If Applicable)
• Academic Qualifications
• Application
• Attendance Records
• Benefit Information
• Application(s) for other Jobs in the University and Rejection Letter(s)
• Commendations
• Direct Deposit Form(s)
• Discipline Letters
• Employment Check List
• Personal Data Form (PDF) (most recent version only)
• Licenses (Current) Medical School
• Offer/Appointment Letter(s)
• Original Transmittal Form
• Parking Authorization Form(s)
• Payroll Deductions/Cancellation(s) of Payroll Deductions
• Performance Ratings
• Resume (Latest)
• Salary History
• Termination Check List (If Applicable)
• Transit Check Forms
• Union Deductions (2 most recent)
• University Identification Acknowledgement Form(s) (Signed)
• W-4 Forms

ATTACHMENT 2

List of File Contents – Faculty Files *Refers to Required Documents		
Type Of Document	Full-Time Faculty	Part-Time Faculty*
(A) Additional Human Resources Information (See Also Attachment 1)		
<ul style="list-style-type: none"> • Official Transcript and Licenses to Practice Where Applicable 	*	* Or On-Line Degree Verification
<ul style="list-style-type: none"> • Curriculum Vitae 	*	*
<ul style="list-style-type: none"> • Terms and Conditions of Offer 	*	*
<ul style="list-style-type: none"> • Signed Letter of Appointment 	*	*
<ul style="list-style-type: none"> • English Fluency Certification Form 	*	*
(B) Re-Appointment/Consecutive		
<ul style="list-style-type: none"> • Chair’s Recommendation(s) for Re-Appointment 	*	*
<ul style="list-style-type: none"> • Dean’s Recommendation(s) for Re-Appointment 	*	*
<ul style="list-style-type: none"> • Department and/or College Committee Recommendation(s) for Re-Appointment 	*	
<ul style="list-style-type: none"> • Re-Appointment Letter(s) 	*	*
<ul style="list-style-type: none"> • Current Curriculum Vitae (Replacing Prior Curriculum Vitae In File) 	*	*
<ul style="list-style-type: none"> • Performance Evaluation Material 	*	*
(C) Leave Information		
<ul style="list-style-type: none"> • Requests For and Grants Of University Leave(S) 	*	
<ul style="list-style-type: none"> • Requests For and Grants Of Family/Medical Leave(S) 	*	
<ul style="list-style-type: none"> • Requests For and Grants Of Study Leave(s) 	*	
<ul style="list-style-type: none"> • Reports of Work Achieved While on Study Leave 	*	
(D) Faculty Action/Awards		
<ul style="list-style-type: none"> • Recommendations, Honors and Awards 	*	*
<ul style="list-style-type: none"> • Conflict Of Interest Disclosures and Official Action(s) 	*	*
<ul style="list-style-type: none"> • Disciplinary Referrals and Official Action(s) 	*	*
<ul style="list-style-type: none"> • Disclosures Regarding Extra Compensation 	*	
<ul style="list-style-type: none"> • Inter-Collegial Transfers 	*	
<ul style="list-style-type: none"> • Letters Granting or Denying Promotion 	*	*
<ul style="list-style-type: none"> • Letters Granting or Denying Tenure 	*	
<ul style="list-style-type: none"> • Transmittal Forms for Promotion and Tenure with Recommendations of Reviewing Agencies 	*	
(E) Cessation Of Employment		
<ul style="list-style-type: none"> • Material Regarding Resignation 	*	*
<ul style="list-style-type: none"> • Material Regarding Retirement 	*	
<ul style="list-style-type: none"> • Material Regarding Involuntary Termination of Employment 	*	*

Notes

1. Dates of official enactment and amendments:

Approved by the President on December 18, 2003.

2. History:

None

3. Cross References

None