

Prepared by the Office of Human Resources.
This replaces Administrative Procedure No. A9.075
dated August 1999.

September 2009

GENERAL

A9.075 PERSONNEL RECORDS - BOR APPOINTEES

1. Purpose

To implement a uniform system for the maintenance of the official personnel records for BOR appointees.

2. Objectives

To establish procedures for the maintenance of official personnel files and to identify the documents to be included therein.

3. Applicability/Responsibility

This instruction applies to personnel records of all BOR employees appointed pursuant to Chapter 304A, H.R.S., which includes but is not limited to faculty, lecturer, casual hire, Administrative, Professional and Technical (APT), and Executive employees. This instruction does not apply to personnel records of student employees or civil service employees.

4. Procedures

a. The Vice President/Chancellor/Vice Chancellor/Dean/Director or Official Designee shall designate Custodians of the Official Personnel Records who shall be responsible for keeping these files accurate, complete, up-to-date, and in accordance with applicable provisions of the appropriate collective bargaining agreements.

b. The personnel files shall contain the following documents in reverse chronological order based on the effective date of action (i.e., most current on top), as applicable:

- 1) Letter of hire/offer and acceptance of employment
- 2) Curriculum vitae, APT Application (UH Form 64)

- 3) Payroll Action Documents (i.e., PNF, UH Form 6)
- 4) State of Hawai'i Employees's Withholding Allowance and Status Certificate (Form HW-4) and Employee's Withholding Allowance Certificate (Form W-4)
- 5) Approval documents of appointments, changes in appointments, approval of tenure (e.g., notice of renewal, approval of appointment/reappointment)
- 6) Employee's Claim for Prior Creditable Service for Awards (UH Form 12)
- 7) Self-Identified Ethnic Background (UH Form 27)
- 8) Salary Assignment Forms (e.g., U.S. Savings Bond)
- 9) Training-related documents
- 10) Sabbatical or Professional Improvement Leave documents
- 11) Reporting of changes to employee information or equivalent
- 12) Performance evaluation reports including notice of renewal, Promotion and Tenure or APT Performance Evaluation
- 13) Notice of disciplinary actions (e.g., Written Reprimand, Letter of Suspension or Discharge)

NOTE: Refer to Unit 8 contract, Article 15 - Personnel File regarding the maintenance of derogatory materials.
- 14) Letters of commendation or recognition
- 15) Employment separation documents
- 16) Application for Transfer of Vacation and Sick Leave Credit or Payment in Lieu of Vacation (Form G-2) or Early Payout of Accumulated Vacation Leave Credits (Form G-2A)
- 17) Any document deemed critical to record or monitor employment history

- c. The following documents may be filed separately and apart from the personnel file at the unit's discretion:
- 1) Hawai'i Employer-Union Health Benefits Trust Fund
 - 2) State Deferred Compensation
 - 3) State Part-time, Casual & Seasonal (PTS) Deferred Compensation
 - 4) Annual Leave Status Reports
 - 5) Employees' Retirement System
 - 6) Request for Position Action (UH Form SF-1), APT Position Description (copy of on-line position description or UH Form 39) or Executive Position Description (UH Form 63).
- d. The following must be kept in separate secured files:
- 1) Employment Eligibility Verification (Form I-9)
 - 2) General Confidentiality Notice (UH Form 92)
 - 3) Workers Compensation Claims and related documents
 - 4) Temporary Disability Benefit Claims and related documents
 - 5) Leave Sharing Requests and related medical certification documents
 - 6) Family Leave Requests and related medical certification documents
 - 7) Other medical information such as pre-employment medical information, ADA medical information, or TB Clearance
 - 8) Immigration/Visa documents
 - 9) Investigative reports and related documents (e.g., witnesses statements) involving alleged or proven employee misconduct and/or complaints against the employee and final disposition thereof

- 10) Grievance materials
- 11) Recruitment materials (e.g., Form 17, applications, resumes, interview notes)
- 12) Promotion and Tenure application and dossiers
- 13) Salary Placement related documents
- 14) Parent-Teacher Conference Request forms

Transfer any of the above records to an employee's new administrative unit if necessary (e.g., leave share records as the maximum amount of leave share received is monitored for the duration of employment with the University).

- e. Personnel files should be maintained in locked filing cabinets in areas/rooms which are accessible only to authorized individuals. All employees should be instructed on the confidentiality of personnel files by their respective Vice President/Chancellor/Vice Chancellor/Dean/Director or Official Designee.
- f. The following shall be implemented where applicable in the usage and maintenance of personnel files:
 - 1) Applicable provisions in the various collective bargaining agreements relating to access to and maintenance of personnel files
 - 2) Chapter 92-F, H.R.S., relating to confidentiality, access and disclosure of personal records. Refer also to the Uniform Information Practices Act (UIPA) Reference Manual and to the Office of Information Practices (OIP) Guidelines on the Disclosure of Personnel Records
 - 3) The process of responding to a subpoena of personnel records
 - 4) Records retention rules and policies specified by EEO/AA guidelines and collective bargaining agreements
 - 5) The State's Procedures for Transfer of Records to the State Records Center, University Administrative Procedure A8.450, Records

Management Guidelines and Procedures, and
University Executive Policy E2.214, Security and
Protection of Sensitive Information

- g. Transfer within UH System. When an employee moves to another administrative unit, the Official Custodian of Personnel Records of the former unit will send the employee's personnel file to the new unit, upon receipt of an official document verifying an employee's transfer. The file will be transferred as follows:
- 1) Letter of transmittal and acknowledgment of receipt (Attachment A)
 - 2) File will be enclosed in sealed envelope labeled "CONFIDENTIAL" and addressed to the Official Custodian of Personnel Records in the receiving unit, and sent via U.S. Mail or personal delivery
- h. Resignation/Retirement/Termination. Three years after an employee resigns, retires, or is terminated from employment, the Official Custodian of Personnel Records of the administrative unit will transfer the personnel file to the State Records Center for storage in accordance with the State's Procedures for Transfer of Records to the State Records Center and University's Administrative Procedure A8.450, Records Management Guidelines and Procedures.
- i. Return to UH Employment. When a former employee returns to employment at the UH, the employee's personnel records shall be recalled from the State Records Center pursuant to the State's Procedures for Recall or Request for Records and the University's Administrative Procedure A8.450, Records Management Guidelines and Procedures.

Attachment A

Date:

TO:

FROM:

SUBJECT: Transmittal of Official Personnel Records

We are transmitting to your department the personnel folder and other pertinent employment records (specify) for the following employee(s):

Name of employee

Enclosure

Please sign and return one copy of this memorandum to:

Name of Department
Address

Date received: _____

Received by: _____

Signature: _____

Print or type name: _____