

IX-18  
**Academic Personnel Records Retention**  
(Revised 11/16)

The following guidelines are based on the University of California Records Disposition Schedule, available on-line at <http://www.policy.ucsb.edu/information/rec-mgmt/>

The Academic Personnel Office is the office of record for personnel files of all academic employees other than the following:

<u>Series</u>	<u>Office of record</u>
Librarians	Library
Teaching Assistants, Readers, Graduate Student Researchers	Department*

\*Employment files and student academic files should be maintained separately.

### **I. Retention of files**

Documents are to be maintained as follows:

#### Personnel files\*:

Senate faculty: Academic Personnel maintains files for Senate faculty indefinitely. If a Department or College is keeping a secondary file, that file must be maintained until the employee separates from the University.

Non-Senate Academics: Academic Personnel, as the office of record, maintains files for 5 years after separation. Departments must retain files until the employee separates from the University.

\*Items that are stored electronically in AP Folio and are accessible to the department or college do not need to be separately maintained in the department or college.

#### Applicant files

UC Recruit is the file of record for applicant files. Departments do not need to maintain hard copy of applicant files.

Faculty appointment cases that are put forward for review, but are ultimately unsuccessful recruitments will be maintained by Academic Personnel for 3 years.

Teaching evaluations (student comments and ESCIs) are to be maintained for the longer of:

- 1) until used in a review file, or
- 2) as long as a need is present

### **II. Equal Opportunity/Affirmative Action Obligations**

The United States Department of Labor sets forth specific obligations as an equal opportunity/affirmative action employer. In general, any personnel or employment record must be kept a period of not less than three years from the date of the making of the record or personnel action involved, whichever occurs later. Such records include, but are not necessarily limited to, records pertaining to hiring, assignment, promotion, demotion, transfer, lay off or termination, rates of pay or other terms of compensation, and selection for training or apprenticeship, and other records having to do with requests for reasonable accommodation, the results of any physical examination, job advertisements and postings, applications and resumes, tests and test results, and interview notes. In the case of involuntary termination of an employee, the personnel records of the individual shall be kept for a period of not less than two years from the date of the termination.

The requirements of this section shall apply only to records made or kept on or after December 22, 1997.