

Local Procedure 80: Staff Personnel Records

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| Responsible Officer: | UCOP Chief Human Resources Officer |
| Effective Date: | 5/5/2025 |
| Scope: | <p>Professional & Support Staff, Managers & Senior Professionals, and Senior Management Group Members</p> <p>Employees represented by a union should consult their applicable collective bargaining agreement. Policy-covered academic appointees should consult the Academic Personnel Manual.</p> <p>UCOP local procedures apply only to UCOP employees. Employees at other UC locations should consult their respective local procedures.</p> |
| Contact: | UCOP HR Local Procedure |

I. PROCEDURE SUMMARY

This procedure provides requirements for implementation of the systemwide [Personnel Policies for Staff Members \(PPSM\) 80: Staff Personnel Records](#) for local University of California Office of the President (UCOP) employees.

II. PROCEDURE TEXT

A. General

UCOP Local HR is the “office of record” responsible for maintaining, securing, and confidentiality of personnel records for all UCOP employees. Personnel and related records (e.g., medical, and historical I-9) will be kept electronically. The Office of the Board of Regents and UCPath maintain personnel records for their staff under the direction of UCOP Local HR in accordance with these local procedures.

B. Personnel Record Requirements

1. File Creation and Maintenance

Electronic personnel records, including for employees who have separated, are created and maintained in the [OnBase](#) system.

For all new employees of all appointment types, a personnel record should be created no later than the close of business on their first day of employment. Electronic records should be placed in the following sections:

Section 1 Appointment or Separation (including: New Hire Packet, Offer Letter, Signed Contract, Equity, Stipend, Promotions, or any other actions related to Appointment/Salary)

UCOP Local HR – Local Procedure 80: Staff Personnel Records

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| Section 2 | Awards or Trainings |
| Section 3 | Correspondence |
| Section 4 | Hiring Documents and/or Payroll Hiring Documents |
| Section 5 | Job Descriptions |
| Section 6 | Performance Appraisals or Evaluations |
| Section 7 | Service Credits |

Records related to FML cases, Workers' Compensation cases, and background checks are maintained in separate sections by UCOP Local HR Accommodation and Leave Services team and Talent Acquisition team.

2. Contents of Personnel Files

Examples of staff personnel files are provided in the FAQs for [PPSM-80](#). Additional examples of records that should be included in a personnel file are:

- Job descriptions
- Records relating to job offers, promotion, demotion, transfer, layoff, rates of pay, and other forms of compensation
- Education and training records
- Records relating to employment practices, including policy acknowledgments and agreements
- Letters of recognition
- Disciplinary notices or relevant documents (including corrective actions such as written warnings, corrective salary decreases, suspensions, or corrective demotions)
- Performance evaluations and goal-setting records (including corrective actions such as performance improvement plans and/or Memos of Expectations)
- Termination records (including any formal or informal actions related to termination such as counseling memos, documentation of verbal counseling, or other supporting documentation)

Any record that includes protected and/or non-job-related information such as date of birth, marital status, dependent information, Social Security Numbers, medical information, immigration status, national origin, race, gender, religion, sexual orientation, criminal history, financial history, subjective statements, or information such as accusations **should not** be included in an employee's personnel record.

Examples of records that **should not** be included in a personnel file are:

- EEO/invitation to self-identify disability or veteran status records (UCOP Local HR Payroll)
- Interview notes and employment test results (UCOP Local HR Talent Acquisition)
- Reference/background checks (UCOP Local HR Talent Acquisition)

UCOP Local HR – Local Procedure 80: Staff Personnel Records

- Immigration (I-9) forms (UCOP Local HR Payroll)
- Medical or insurance records (such as medical questionnaires, benefit enrollment forms and benefit claims, doctor's notes, accommodation requests, and leave of absence records) (UCOP Local HR Accommodation and Leave Services)
- Child support/garnishment records (UCPath)
- Litigation documents (UC Legal)
- Workers' compensation claims (UCOP Local HR Accommodation and Leave Services)
- Investigation records (except any relevant disciplinary action, counseling, or other direct communications, which should be placed in a personnel file) (UCOP Local HR)
- Requests for employment or payroll verification (UCPath)

These records should be maintained in the appropriate unit identified.

3. Audits

The UCOP Local HR CHRO will assign a designee to periodically conduct internal audits of UCOP employee personnel records to confirm that required documents are present and complete and that date-sensitive documents have not expired.

C. Access to Information in Staff Personnel Records

1. Access to an Employee's Own Personnel Records

Personnel records are available for review by appointment only. UCOP employees and former employees may schedule an appointment by calling or e-mailing the department's [HR Business Partner](#), who must be present in person or via Zoom as the employee reviews the records. Employees may view their personnel records but may not remove documentation.

Copies of employee personnel records may be requested from the HRBP.

2. Access by Managers/Supervisors

Managers/ or supervisors who have previously overseen the employee must submit a written request to review the employee's personnel records. This request should specify the reason for the review and should be sent via email to the [HR Business Partner](#). The HRBP will evaluate the request, and if deemed appropriate, an appointment will be scheduled for the manager or supervisor to review the records. During this review, the HR Business Partner must be present in person or via Zoom.

3. Access by Prospective University Employers

In accordance with Section III.C of [PPSM-21](#): Selection and Appointment, if a candidate recommended for hire is a current or former employee of the University, the hiring manager should review the employee's personnel file before making an employment offer. The prospective hiring department/manager should inform the employee of their intent to review the personnel record. Requests to review a

UCOP Local HR – Local Procedure 80: Staff Personnel Records

prospective employee's personnel file should be directed to the department's [HR Business Partner](#).

4. Public Access to Employee Records

UCOP Local HR will coordinate with UC Legal to provide copies of staff personnel records when requested in accordance with the [Public Records Act and Information Practice Act](#). Requests for public records or information practices may be e-mailed to pra@ucop.edu.

III. COMPLIANCE/RESPONSIBILITIES

A. Implementation of the Procedure

The [Chief Human Resources Officer \(CHRO\) of UCOP Local Human Resources \(HR\)](#) is the Responsible Officer for this procedure and has the authority, in consultation with the appropriate UCOP leadership, to implement the procedure. The Responsible Officer may develop other supplementary information to support the implementation of this procedure.

These procedures apply to all units under the jurisdiction of UCOP, including UCPath.

B. Revisions to the Procedure

UC local procedures supplement [systemwide Presidential policies](#). When a systemwide policy is updated, the corresponding local procedure will be updated accordingly.

The CHRO of UCOP Local HR has the authority to initiate revisions to the procedure and ensure that procedures are regularly reviewed and updated, consistent with other UC policies, procedures, and applicable law.

C. Approval of Actions

All actions applicable to employees covered by this procedure that exceed this procedure (i.e. exceptions) must be approved by the CHRO of UCOP Local HR, consistent with the requirements of the applicable systemwide policy. Requests for exceptions to the applicable systemwide policy must be made to the officer described in that policy.

D. Compliance with the Procedure and Applicable Systemwide Policy

If there is a conflict between a local procedure and a systemwide policy, the content of the systemwide policy governs. Individual departments may maintain documented processes applicable to their internal operations or activities, but those processes may not conflict with this procedure or the applicable systemwide policy.

The CHRO of UCOP Local HR is responsible for the administration of this procedure.

IV. RELATED INFORMATION

- [PPSM-80](#): Staff Personnel Records (referenced in Section I, II.B.2, and II.C.1)
- [PPSM-21](#): Selection and Appointment (referenced in Section II.C.3)
- PPSM [62](#), [63](#), and [64](#) (referenced in Section III.E)
- [Public Disclosure of Compensation Information](#)

UCOP Local HR – Local Procedure 80: Staff Personnel Records

- [BFB-RPM-9b](#): Guidelines for Access to University Personnel Records by Governmental Agencies
- [UC Records Retention Schedule](#)
- [Access to and privacy of records](#)

V. REVISION HISTORY

May 5, 2025: Revisions made to:

- Streamline and clarify the information provided
- Eliminate redundancy
- Reorganize content
- Update web links and office titles
- Ensure compliance with Web Content Accessibility Guidelines (WCAG) 2.0

May 1, 2014: Initial issuance of procedure