


December 3, 1997

MEMORANDUM

TO: Medical Center Deans, Department Chairs,
Center Directors, Division Directors

FROM: Terry Allen 
Director, Affirmative Action

James W. Holsinger, Jr., M.D., Ph.D.
Chancellor, Medical Center 

SUBJECT: Faculty Personnel Records

Recently we became aware of wide differences in record retention of information related to the hiring for faculty positions. Therefore, we are providing the following guidance on retention.

Any and all information related to the recruitment and selection for all full time faculty positions must be retained five (5) years from the date the position is filled. This information can be kept in the department or can be archived. If you need information regarding archiving of material, contact Kay Hill at 7-8186 or skhill@pop.uky.edu.

Once a faculty member is hired in any title series, one Standard Personnel File must be created, maintained and retained permanently.

Attached for your information are AR II-1.0-10, dated 7/21/94, Statement for Recruitment and Selection of Faculty, and AR II-1.0-1, page II-6, dated 11/24/95, regarding the Standard Personnel File.

Attachments (2)

UNIVERSITY OF KENTUCKY ADMINISTRATIVE REGULATIONS	IDENTIFICATION AR II-1.0-10		PAGE 1
	DATE EFFECTIVE 7/21/94	SUPERSEDES REGULATION DATED	

STATEMENT FOR RECRUITMENT AND SELECTION OF FACULTY

The University is a land grant institution with a three fold mission of instruction, research and service. It serves students and scholars across the Commonwealth of Kentucky and beyond its borders. The academic units, faculties, programs and students are heterogeneous. The aim of the University is to recruit and select outstanding faculty members.

Each educational unit of the University before selecting a faculty member must assure that:

- 1) a vacant position is identified and authorized subject to availability of funds.
- 2) the position is described, including minimum requirements.
- 3) the position is announced/advertised.
- 4) a screening process to select one or more finalists is utilized.
- 5) for finalists, employment and personal history inquiries are conducted.
- 6) one or more finalists are interviewed.
- 7) a recommendation for appointment is made, or, in the event that no recommendation is made, the search is re-opened or terminated.
- 8) the candidate selected is offered the position.

Applicable University Governing and Administrative Regulations for appointments must be followed.

he/she deems appropriate. The chairperson/director shall update files as necessary to keep them reasonably current.

Unsolicited materials relevant to professional function may be included in the Standard Personnel File provided the faculty member sees them and is offered the opportunity to document his/her response to them.

The Standard Personnel File shall be kept in the office of the chairperson/director, or in the office of the dean as deemed appropriate for each department/unit by the dean. No other Standard Personnel File shall be kept. The Standard Personnel File shall always be available to the faculty member and to such other persons who he/she authorizes in writing to see that file. The Standard Personnel File is of course always accessible to the chairperson/director or higher administrative officer who is responsible for its maintenance, and to such administrators superior to him/her who request access to the file.

H. Development of a Dossier Related to a Recommendation

The department chairperson/unit director shall develop a dossier for each initial full-time appointment and for the primary appointment in a joint appointment of a full time faculty member. Items to be included in the dossier are listed below in Section I. An up-to-date dossier is also prepared to be transmitted pursuant to considerations for award of tenure or promotions. The dossier is prepared from materials in the Standard Personnel File and additional materials supplied by the chairperson/director and faculty member. It shall contain all the materials described in section I below, such that ordinarily all materials are included since the last promotion or appointment.

Written judgments obtained from consulted individuals should be secured through the request of the chairperson/director. Letters of reference obtained from persons suggested by the individual being recommended should be identified as such in the dossier. If requested, all letters requested shall be made available to consulted faculty members prior to their providing individual written judgments to the department chairperson/unit director regarding a recommendation for an initial appointment, a primary appointment in a joint appointment, or for promotion and/or award of tenure.

Pursuant to Kentucky Revised Statutes KRS 61.878, the written judgments of persons consulted in connection with appointments, promotions, and/or tenure decisions are not confidential. Thus writers of such judgments should not be given assurances of confidentiality.

The Standard Personnel File may contain communications to or from the faculty member, solicited or unsolicited letters or memos relating to professional function, which are not relevant to consideration for promotion or award of tenure. These materials would not be included in the dossier sent forward for consideration, except as they are requested to be included