

Procedure 80: Staff Personnel Records

Responsible Office: Human Resources

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A. Purpose and Scope

UC Irvine Personnel Procedure-80: Staff Personnel Records implements [PPSM-80: Staff Personnel Records](#). This procedure describes personnel records, access to personnel records by persons inside or outside the University, and the location of records and the period of retention.

This procedure covers Professional & Support Staff (PSS), Managers & Senior Professionals (MSP), and Senior Management Group Members (SMG).

B. Authority and Responsibility

Actions within PPSM-80 must be approved in accordance with local procedures. Chancellors and the Vice President–Systemwide Human Resources are authorized to determine responsibilities and authorities at secondary administrative levels to establish local procedures necessary to implement PPSM-80. All actions applicable to PPSM-covered staff employees who are not Senior Management Group members that exceed this policy, or that are not expressly provided for under any policy, must be approved by the Vice President–Systemwide Human Resources.

C. Guidelines

1. Content of Personnel Records
 - a. Typical records include those pertaining to salary and appointments, performance management, benefits, payroll/time reporting, leaves, and hiring documents, such as the job application, job description, State Oath, and I-9 form.
 - b. Records that are not directly related to the employee's job but are used to obtain or update personal information (e.g., birthdate, home address, or phone number) may be included in personnel records. Personnel records do not include draft versions of documents or other records that are transitory in nature.
 - c. Personnel records must be accurate, relevant, complete, and timely prepared.
2. Location of Personnel Records
 - a. Personnel records may be paper or electronic, or a combination of both.
 - b. Unit managers must ensure that personnel records are properly secured and stored in a

locked file, separate from public access.

- c. Decentralized units that opt to keep electronic records in a centralized database will forward hard copy documents to scan into the Personnel Records Online system (PROs). If already in electronic format, units may upload directly into PROs.
- d. Personnel Records Online System (PROs)
 - Electronic centralized personnel records are generally created and retained in the UCI Personnel Records Online system (PROs).
 - Access to PROs is managed by the PROs unit.
 - PROs include images of personnel and payroll records.
 - Original documents may be retained in local files.

3. Access to Personnel Records

- a. Access to view personnel records is limited to employees with a job-related need (e.g., department managers, payroll/personnel processors, central Human Resources, and central Payroll). Each authorized user is assigned one or several of the pre-defined roles which allows access to a specific subset of personnel records. Users may retrieve and view the records of employees with appointments in their organizational unit based on their pre-defined access roles.
- b. Staff in central Human Resources and Payroll have unique access rights to view Campus and Health personnel records based on their work function. Staff in units outside of these central offices may be assigned management level access if designated as a Campus Personnel Officer (CPO) or certain decentralized Human Resources staff. Staff may be assigned transactional level access if designated as a Payroll/Personnel Processor (PPS).
- c. Staff with approved access to personnel records may only access specific records as needed for legitimate business purposes. Reviewing records for non-business-related reasons may result in corrective action.
- d. For Health and College of Health Sciences: Access to personnel records is granted to Human Resources Business Partners and Human Resources Generalists, or others as approved by the respective Human Resources Executive Director.
- e. For Campus: Access to view and upload documents may be limited based on the user's system role. Campus employees who wish to gain new or revised access must submit a completed [Access Request Form](#), signed by both the employee whose access is being updated and their Department Head. The signed form will be automatically sent to the PROs unit for confirmation.

4. Access to Personnel Records by the Public
 - a. For definitions relating to "public records," refer to the [California Public Records Act](#).
 - b. For guidelines to access to personnel records by UC, please refer to [Guidelines for Access to UCOP Public Records](#).
 - c. For instructions on accepting subpoenas duces tecum and deposition subpoenas, refer to [Section 700-11, Guidelines on Subpoena, Subpoena Duces Tecum, and Deposition Subpoena](#).
 - d. Information deemed public that may be released upon request is limited to:
 - Name
 - Current salary
 - Date of hire
 - Date of separation
 - Position title, appointment type, and job description
 - Full-time or part-time
 - Unit assignment, including office address and phone number
 - e. Information deemed personal that may not be released to the public includes, but is not limited to:
 - Birth date
 - Citizenship status
 - Health care records
 - Home address
 - Income tax withholdings
 - Performance evaluation information
 - Phone numbers, including cell and home
 - Social Security Number
 - Spouse's or other relatives' names
 - f. Requests by the public for employment verifications are directed to [The Work Number](#).
5. Employees' Access to Their Personnel Records
 - a. Employees may review their personnel records by submitting a written request to their Human Resources Business Partner or department Human Resources professional.

- b. The University reserves the right to redact information before providing copies to an employee to comply with information privacy laws and policies.
 - c. Records protected by legal privilege and those exempted from disclosure by law may be withheld from the employee.
 - d. For specific information regarding employees' access to their personnel records and their right to correct or amend their personnel records, refer to [PPSM-80](#).
 - e. Records Related to Disciplinary Actions
 - Copies of delivered disciplinary action letters and related proofs of service are part of the personnel record, as are comments written by the employee regarding such letters.
 - Documents regarding disciplinary and corrective actions, conduct or work performance, counseling memoranda, letters of expectations, or written records of discussions will, upon the written request of the employee, be removed from the employee's personnel record if there have been no other disciplinary actions, letters, or memoranda for a period of two years. This does not apply to performance evaluations. Human Resources has the authority to delete electronic records in the PROs system upon receipt of the written request.
6. Requests to Remove Corrective Action and Discipline (PSS and MSP Employees)
- a. A PSS or MSP employee may request that counseling memoranda, letters of expectations, corrective action, and discipline be removed from their personnel file and destroyed after two years have passed in which the employee has remained continuously employed by UC Irvine without being issued, or without soon likely to be issued, based on performance discussions, any further counseling memoranda, letters of expectations, corrective action, or discipline. The University reserves sole discretion to grant or deny such a request.
 - b. To request removal and destruction of corrective action and discipline from their personnel file, the employee must submit a written request to their local HR contact. If consultation is needed, the local HR contact may reach out to their designated HRBP. Workforce Relations may also be consulted for documents related to disciplinary actions.
7. Personnel Record for a Separated or Transfer Employee
- a. As a best practice, when an employee transfers from one UC location to another UC location, the hiring location should request and receive personnel records of the newly-hired applicant. The recipient location becomes the office of record and the responsible owner for the management of those personnel records.

8. Records Retention Period

- a. Personnel records are to be maintained in accordance with the retention period set forth in the [UC Records Retention Schedule](#). Personnel Policies for Staff Members and union contracts provide guidelines for retention of corrective or disciplinary actions.
- b. Transportation and Distribution Services (TDS) is responsible for the retention and disposition of employee records maintained in PROs.

9. Questions and Legal Requirements

- a. The Chancellor has designated the campus Information Practices Coordinator in the Public Records Office to respond to questions regarding the privacy of and access to personnel records.

D. References

State of California Information Practices Act of 1977 (IPA)

[Information Practices Act](#)

California Public Records Act (CPRA)

[California Public Records Act](#)

Personnel Policies for Staff Members

[PPSM-80: Staff Personnel Records](#)

UC Business and Finance Bulletin

- [RMP-7, Privacy of and Access to Information Responsibilities \[rescinded\]](#)
- [RMP-8, Legal Requirements on Privacy of and Access to Information \[rescinded\]](#)
- [RMP-9, Guidelines for Access to University Personnel Records by Governmental Agencies](#)

UC Records Retention Schedule

[University of California Records Retention Schedule](#)

UCI Administrative Policies & Procedures

- [Section 700-11, Guidelines on Subpoena, Subpoena Duces Tecum, and Deposition Subpoena](#)
- [Section 720-10, Information from Public Records \(California Public Records Act\) – Guidelines](#)
- [Section 720-11, Privacy of and Access to Information \(Excluding Student Records\) – Guidelines](#)
- [Section 721-10, Records Management Guidelines](#)

Quick View:

[UCI Privacy and Access to Information](#)

[UCI Transportation and Distribution Service Personnel Records Online System](#)