



Subject:	Personnel Files
----------	-----------------

### 520.1 Purpose

To define the term "personnel file" and establish procedures for the inspection, copying, and challenges to the contents of such files maintained by the Office of the USTC Commissioner.

### 520.2 Approval

USTC Board of Trustees approval: September 30, 2010. Revised: January 12, 2011; June 8, 2016; September 13, 2017.

### 520.3 References

[UCA 63G-2](#), Government Records Access and Management Act

### 520.4 Definitions

- 4.1 **Personnel File:** The current official file or files maintained by the Office of the USTC Commissioner relating to an employee of the Office, which contains documents and data recorded in the usual course of official business relating specifically to the individual's employment qualifications, working assignments, promotions, compensation, job performance, personnel evaluations, and disciplinary proceedings. The personnel file shall include, but shall not be limited to, the records of completed retention, promotion, compensation, review proceedings, and any letters or memoranda of evaluation, commendation, or criticism relating to an employee which were not solicited or written under a request or promise of confidentiality.

### 520.5 Disclosure of Personnel Files

The Office of the USTC Commissioner recognizes the right of each employee to examine, obtain a copy of, and to challenge the accuracy of factual data in documents contained in that employee's personnel file, except for information and materials therein that are classified as controlled or protected under the Government Records Access and Management Act, UCA 63G-2, or the disclosure of which is forbidden pursuant to state or federal law.

- 5.1 Secret files or systems containing information about personnel included within the scope of this policy shall not be maintained by the Office of the USTC Commissioner. Upon request by an office employee, or by an authorized officer of the Office of the USTC Commissioner pursuant to such a request from an employee, it shall be the duty of all Office of the USTC Commissioner personnel with knowledge of the facts to disclose the existence and maintenance of all files or systems containing personnel information relating to that employee, whether or not such information is subject to inspection or copying by the employee.
- 5.2 This policy applies only to personnel files as defined herein, and does not affect any right conferred by law upon an individual to inspect, copy, or challenge the contents of other



<b>Subject:</b>	Personnel Files
-----------------	-----------------

records and files of the office that relate to that individual (Government Records Access and Management Act, UCA 63G-2).

- 5.3 No person has a right under this policy to inspect, copy, or challenge the contents of the personnel file relating to any other individual, except to the extent that such person may be authorized to do so pursuant to the Government Records Access and Management Act, UCA 63G-2.

#### 520.6 File Maintenance

The personnel files of employees shall be maintained by the USTC Assistant Commissioner for Planning, Finance, and Facilities or other designee under the supervision of the USTC Commissioner.

#### 520.7 Inspection and Copying

Upon request to the USTC Commissioner, an employee of the Office of the USTC Commissioner shall be afforded a reasonable opportunity to inspect and/or obtain a copy of his or her personnel file, or such part thereof as is described in the request, subject to the following limitations:

- 7.1 Letters or memoranda of recommendation, which were solicited or submitted under a request or promise of confidentiality, shall be temporarily removed from the individual's personnel file before it is inspected by the individual to whom such letters or memoranda refer.
- 7.2 Information in an employee's personnel file which relates to persons other than the subject employee shall be temporarily removed from the file before it is inspected by the employee if the information:
- 7.2.1 Is classified as private, controlled, or protected information within the meaning of the Government Records Access and Management Act, UCA 63G-2;
  - 7.2.2 Consists of personally identifiable information relating to the salary or compensation of a person other than the employee who is the subject of the personnel file; or
  - 7.2.3 Is prohibited from disclosure by or pursuant to applicable state or federal law.

#### 520.8 Request to Inspect

A request to inspect must be made in writing and shall describe generally the records or data in the personnel file which the individual wishes to examine. The person seeking inspection shall, upon request, produce appropriate documents or other evidence of identity.

- 8.1 The USTC Assistant Commissioner for Planning, Finance, and Facilities or his or her designee shall take appropriate steps to comply with the request with reasonable promptness.



<b>Subject:</b>	Personnel Files
-----------------	-----------------

- 8.2 The inspection shall take place in the presence of the USTC Assistant Commissioner for Planning, Finance, and Facilities or his or her designee. No changes or alterations may be made to any documents in the file, and no documents may be removed from the file.
- 8.3 A notation recording the request and the inspection shall be inserted in the file by the USTC Assistant Commissioner for Planning, Finance, and Facilities or his or her designee immediately after the inspection has been concluded.

### 520.9 Copies of File Documents

A request for copies of the personnel file, or any part thereof, must be made in writing and shall describe the records or data in the personnel file which the individual requests to have copied. The written request or a notation of the oral request shall be placed in the personnel file.

- 9.1 As deemed necessary, the cost of copying shall be calculated by the USTC Assistant Commissioner for Planning, Finance, and Facilities pursuant to a current schedule of charges as established by the USTC Commissioner.
- 9.2 Upon receiving evidence of payment of the cost of copying, the USTC Assistant Commissioner for Planning, Finance, and Facilities shall arrange to prepare copies in accordance with the request and make them available to the requesting individual with reasonable promptness.

### 520.10 Challenge to Contents

An employee of the Office of the USTC Commissioner may at any time challenge any factual statement or entry of factual data in his or her personnel file upon the ground that it is inaccurate, misleading, inappropriate, or otherwise in violation of individual rights.

- 10.1 Any such challenge shall be submitted in writing to the USTC Assistant Commissioner for Planning, Finance, and Facilities or USTC Commissioner, who shall promptly review the facts and supporting data and seek to resolve the challenge by informal means. If informal resolution is not possible, the USTC Commissioner may authorize the designated Assistant Commissioner to make necessary changes in, deletions from, or additions to the personnel file to ensure that the file includes only factually accurate, truthful, and relevant information. The employee shall be advised in writing of all such modifications approved by the USTC Commissioner or his or her designee.
- 10.2 An employee who believes that the challenge has not been addressed in a satisfactory manner may request a formal consideration of the challenge by an ad hoc advisory committee of three disinterested persons appointed for the purpose by the USTC Commissioner. After such investigation and consideration of the matter as the committee deems to be appropriate in light of the circumstances, including a reasonable opportunity for the employee to argue the merits of the challenge orally and to present supporting evidence, the committee shall submit its report, including any recommendations it deems proper, to the USTC Commissioner.



# POLICIES

<b>Subject:</b>	Personnel Files
-----------------	-----------------

- 10.3 The USTC Commissioner, after reviewing the committee's report, shall make a final written determination of the challenge. The original challenge and the USTC Commissioner's written determination thereof, whether before or after review by an ad hoc committee, shall be included in and maintained as part of the employee's personnel file. The USTC Commissioner's written determination shall be final.