

# CHANCELLOR FOR COMMUNITY COLLEGES MEMO

CCCM #2310 (Revised) May 1998

SUBJECT: **POLICY AND PROCEDURES FOR THE RETENTION AND DISPOSITION OF APPLICATIONS FOR CONTRACT RENEWAL**

A. References:

1. Section 92F-14, Hawai'i Revised Statutes (HRS).
2. Administrative Procedures, A8.560, *Records Management*.

B. Background and Purpose:

As part of the tenure/promotion and contract renewal application review process, faculty members prepare and submit applications/dossiers which reflect their achievements, performance as faculty members, personal and professional development, and service to the college, University and community. Upon completion of the tenure/promotion and contract renewal process, the dossier/application is considered to be the property of the University of Hawai'i and shall be retained by the campus with any appendices returned to the faculty member.

The purpose of this CCCM is to set forth the retention schedule under which the applications should be maintained.

C. Responsibilities:

1. Senior Vice President, UH and Chancellor for Community Colleges
  - a. Develop policies and procedures which specify the conditions under which tenure/promotion, and contract renewal applications should be retained and, subsequently, disposed.

- b. Respond to questions regarding the disposition and retention of applications.
2. Provosts and Director of ETC
- a. Develop campus procedures for the retention and disposition of tenure/promotion and contract renewal applications that are consistent with the guidelines in this CCCM.
  - b. Ensure that the campus procedures are appropriately disseminated and consistently followed.
  - c. Utilize judgment and discretion in making exceptions to the retention and disposition schedule.
  - d. Ensure that applications retained by the campuses are held in a safe and secure location.
  - e. Ensure that any application which is relevant to a grievance, lawsuit or complaint is retained for a minimum of five (5) years following completion of the grievance, lawsuit or complaint.
- D. Guidelines:
- 1. All campus procedures must ensure the confidentiality of faculty dossiers. Per Section 92F-14, Hawaii Revised Statutes (HRS), faculty dossiers are confidential.
  - 2. Faculty Tenure and/or Promotion Dossiers
    - a. Approved dossiers. Campus retains dossiers for four (4) years (after effective date of approval) then destroys.
    - b. Negative dossiers. Campus retains dossier for five (5) years after negative decision rendered or five (5) years after completion of grievance, complaint, or lawsuit. After foregoing time period, destroys dossier.

3. Contract Renewal Submissions

a. Probationary Faculty

- (1) Campus retains original Contract Renewal evaluations of Division/Department Personnel Committee (DPC); Division/Department Chair (DC); Dean; and Provost or Director of ETC until faculty member is tenured or separated from service, after which evaluations are destroyed.
- (2) A copy of each year-s Contract Renewal is provided to the faculty member.

b. Non-Probationary Faculty.

- (1) Campus retains original Contract Renewal evaluations of Division/Department Personnel Committee (DPC); Division/Department Chair (DPC); Dean; and Provost or Director of ETC for five (5) years. Originals are destroyed after five (5) years or upon faculty member-s separation from service.
- (2) Copy of each year-s Contract Renewal is provided to the faculty member.

- c. Retain any Contract Renewal which is relevant to a grievance, lawsuit or complaint for five (5) years following completion of the grievance, lawsuit, or complaint. After foregoing time period, destroys Contract Renewal.

E. Revisions:

CCCM 2310, dated January 1994.

Joyce S. Tsunoda  
Senior Vice President, University of Hawai'i and  
Chancellor for Community Colleges

Attachment

Reference  
January 6, 1994

TO: Kenneth P. Mortimer  
President, University of Hawai'i and  
Chancellor, University of Hawai'i at Manoa

VIA: Ralph Horii  
Senior Vice President for Administration

**SUBJECT: RETENTION AND DISPOSITION OF COMMUNITY COLLEGE FACULTY  
DOSSIERS**

1. ISSUE

Each community college retains and files contract renewal forms and dossiers submitted by faculty members. The retention of the documents has caused space problems and a community college systemwide procedure needs to be developed both for the retention and disposition of these records.

2. PERTINENT BACKGROUND:

- a. The contract renewal forms are an integral part of the academic review process of probationary and non-probationary faculty. Similarly, the dossier submitted by faculty for promotion and/or tenure is the relevant document upon which decisions are made which affect the employment and status of the faculty member.
- b. Currently, the State of Hawai'i as well as the University of Hawai'i Records Systems do not identify contract renewal documents and dossiers as documents created and maintained by the State. Hence, there is no disposal schedule or identified retention period.
- c. Because no official retention and disposition schedule has been developed, the Community Colleges have retained these documents indefinitely. A survey of the other UH campuses found that these documents are maintained in various ways. Some departments retain the dossiers indefinitely, others return the dossiers to the faculty member, while still others destroy the documents.

3. DISCUSSION:

- a. Consultation occurred with the University of Hawai'i Procurement and Property Management Office (the official University Records Office) and the State Department of Accounting and General Services, Archives Division. It seems that because the contract renewal forms and dossiers were never incorporated as official documents, we have to first **establish** them as records in order to then **destroy** them. (Records Disposition Authorization, State of Hawai'i form).
- b. Attached is the proposed Chancellor for Community Colleges Memo (CCCM) to be implemented upon approval of the Records Disposition Authorization by the Comptroller of the State of Hawai'i. The proposal clearly refers to the destruction of the documents after the applicable period of time. This was done purposefully to avoid the necessity of contacting faculty to return documents.
- c. Please note that faculty are instructed to make copies of the dossier when submitted. Hence, the destruction of the dossier on file should not impact faculty. Faculty are informed that once submitted, the documents become the property of the University of Hawai'i. In addition, faculty are instructed **NOT** to submit original documents, and the appendix portion of the dossier which includes much of the documentation submitted by faculty is returned upon completion of the review process.

The dossier portion to be destroyed encompasses only the narrative portion and the forms.

- d. Discussion has also informally occurred with Dr. J. N. Musto, Executive Director of University of Hawai'i Professional Assembly, and he has no objections to the proposed disposal process.

4. ALTERNATIVES:

- a. Discussion at CSE may be appropriate to determine if a UH system approach to dossier management should be developed. If so, then our recommended procedure would be the starting point for the development of a UH approach.
- b. To directly address the problem, the Community Colleges should be authorized to implement the retention and disposition schedule as proposed.

Senior Vice President Ralph Horii  
January 6, 1994  
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5. RECOMMENDATION:

I am recommending item b. The Community Colleges are facing critical space problems with each passing year. The proposed CCCM would address this issue and still meet the necessary records retention requirements for cases with potential problems.

If you concur with my recommendation, please sign the Records Disposition Authorization Form (SA 1, 10/71), for submission to the Department of Accounting and General Services, Archives Division.

Joyce S. Tsunoda  
Senior Vice President, University of Hawai'i and  
Chancellor for Community Colleges

Attachments:

- . Records Disposition Authorization Form (SA1)
- . Chancellor for Community Colleges Memo (CCCM)