**PERSONNEL FILE POLICIES AND PROCEDURES**

# Unit 3 - Faculty Employees

**Maintenance of Personnel Action Files (PAF)** - There is only one official PAF for all Unit 3 faculty members. The College/Library Dean is the President's designee for the maintenance of the official PAFs for all instructional faculty (probationary, tenured, and FERP participants). The Vice President of Student Affairs is the President’s designee for the maintenance of the official PAF for counselor faculty. The President’s Office maintains the official PAF for all Unit 3 coaching employees. Inactive files for all faculty members should be kept a minimum of five (5) years for all faculty.

At a minimum, the following type of material should be maintained in the official PAF and requires a five-day filing date notice before addition thereto.

1. Official information relevant to the employee's employment status.
2. Information relevant to the making of personnel decisions such as (but not limited to): retention, tenure, and promotion.
3. Written records of all periodic evaluations.
4. Documentation of Sabbatical, Difference-in-Pay, Personal and Professional Leaves Without Pay, and report acknowledgments.
5. Awards such as Outstanding Faculty.
6. Acknowledgments for retirement, resignation, and FERP.
7. Information signed and submitted by individuals pertinent to the employee's performance of her/his duties.
8. Official memos to the employee regarding her/his performance or conduct.
9. Any other information from an identified source regarding the employee and relevant to the employee's employment status.
10. Student evaluation summaries and written comments

Faculty have the right to submit material to her/his Personnel Action file. This includes rebuttals and responses to any of the above-listed items in the Personnel Action File. Documents authored and submitted by faculty do not require a five-day filing date notice.

Lecturer Transaction Forms, Statement of Terms and Conditions, and/or Contracts do not require a five-day filing date notice.

The following items may be maintained in the department office in general files and do not need a five-day filing date notice:

1. Grant proposals.

2. One-of-a-Kind Files for various proposals.

3. Key authorizations.

4. Absence forms.

5. Assigned time reports.

6. FAD reports.

7. Supervision reconciliation reports

8. Course-related material (schedules, grade sheets, rosters, syllabus, exams, office hours).

**Confidential Materials** - Pre-employment material (such as letters of recommendation, immigration documents, transcripts), shall be placed in a confidential envelope within the PAF. Faculty employees shall not have access to pre-employment materials.

**Access Log Sheets** – Official PAFs must contain Access Log Sheets.

Access to the personnel file shall be for the purpose of official business only (e.g. the department peer review committee reviewing a candidate for reappointment, tenure, or promotion). All instances of access shall appear on the log (including the faculty employee's own access). Administrators and staff within the department do not have to sign log sheets when filing documents in them or engaging in other routine maintenance of the file.

**Five-day Filing Date Notice** - Material to be placed in the PAF must be provided to the faculty employee five (5) days prior to such placement, except in cases of temporary suspension or discipline. In such cases, the faculty employee shall receive copies of all materials being forwarded to the PAF. (Faculty Affairs’ web site provides instructions on calculating the five-day date and providing notification to faculty employees.)

**Requests for Removal of Material from the PAF** - If, after examination of the PAF, the faculty employee believes that any portion of the file is not accurate, he/she may request in writing a correction of the material or a deletion of a portion of the material, or both. Such a request shall be addressed to the custodian of the file, with copies to the appropriate faculty committee (if applicable), and the appropriate administrator. The request shall include a written statement by the faculty employee describing corrections and/or deletions that he/she believes should be made, and the facts and reasons supporting such request. Such request shall become part of the PAF, except in those instances in which the disputed material has been removed from the file. If the request is denied by the custodian of the file, the faculty employee has the right to submit the request to the President no later than seven (7) days after the date of the denial. The President’s designee for tenure-track faculty is the Provost; the President’s designee for temporary faculty is the Associate Vice President for Faculty Affairs.

**Appointment to Inspect PAFs** – Access shall be limited to persons with official business (e.g. periodic evaluation, performance review). College offices may require all individuals (faculty, staff, or administrators) to make an appointment (a minimum of 24 hours in advance) to access official PAFs.

**Confidentiality** – All personnel files and documents which relate to them are to be held in confidence.

**WPAF** – The Collective Bargaining Agreement requires that a faculty member submit a Working Personnel Action File (WPAF) for a performance review when requesting reappointment, tenure, and/or promotion consideration. The WPAF is generated specifically for use during the evaluation cycle. It includes all required forms and documents, all information specifically provided by the employee being evaluated, all faculty and administrative evaluations, and all responses and rebuttals submitted.

At the end of the review cycle for which the particular WPAF was used, the PDS will be filed in the PAF along with the accompanying letters of recommendation, responses/rebuttals (if any), signed collegial and student letters, and the final letter of decision. All other materials will be returned to the candidate. When a probationary faculty employee receives tenure or tenure and promotion, the PDSs previously used for reappointment decisions shall be removed from the PAF and returned to the faculty employee. The PDS used for the positive tenure or tenure and promotion decision will become a permanent part of the PAF.

**Periodic Evaluations** - Letters of evaluation from the peer review committee and the dean or dean's designee shall be filed in the official PAF. All letters shall include a signature representing the reviewing body and should be addressed to the faculty employee receiving the review with a five-day filing date notice to the custodian of the file. For additional information on periodic evaluation procedures, please contact your College RTP representative located in your dean's office. Documents can also be found on Academic Personnel Services web site.

**Written Student Evaluations of Teaching Effectiveness** - All faculty employees are required to have a minimum of two (2) classes evaluated by students annually. Departments may require all classes to be evaluated.

Questions pertaining to information listed above should be directed Academic Personnel Services.

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