

## POLICY ON FACULTY PERSONNEL FILES

This policy outlines the various files maintained by the University on individual faculty members, their purpose, and their use.

### A. PERSONNEL ACTION FILE

1. The Personnel Action File (PAF) is defined in Article 11 of the Collective Bargaining Agreement, and is maintained for every faculty employee, full-time or part-time. During the retention, tenure, or promotion review of a faculty member, a Working Personnel Action File (WPAF)--formerly called the Retention, Tenure and Promotion (RTP) File--is incorporated by reference into the PAF.
2. The PAF is the one (1) official personnel file for employment information that may be relevant to personnel recommendations or actions regarding a faculty member. Personnel recommendations relating to retention, tenure, promotion, or termination based upon work performance, or any other personnel action, shall be based on the PAF. 1 2 Should the President make a personnel decision on any basis not directly related to the professional qualifications, or on work performance of the individual faculty member in question, those reasons shall be reduced to writing and entered into the PAF, and shall be immediately provided to the faculty member.
3. The school or college dean is the custodian of all PAFs for faculty in his/her unit, and is responsible for the security of the file and its contents.
4. It is the policy of the California State University to maintain accurate and relevant personnel files.
5. The PAF is held in confidence and is accessible only to the affected faculty member and persons authorized in the conduct of official University business.
6. With the exception of secretaries performing clerical tasks, all instances of access to the PAF shall be logged and the log record shall be a permanent part of the file.
7. A faculty member may place any information in her/his own file which s/he feels is relevant to her/his employment status. A faculty member has the right to respond to or rebut any information which has been placed by another individual in her/his file.
8. The dean is the only university official who is authorized to place material in the PAF. Such placement shall only occur after the affected faculty member has been given a copy, without charge, of the material to be placed in the file five (5) days prior to the placement of the material in the file. A copy of the notice shall be attached to the document being placed in the file. This provision does not apply to material referenced in the Temporary Suspension or Disciplinary Action Procedure of the Collective Bargaining Agreement.

---

<sup>1</sup> Course assignments are not considered personnel actions.

<sup>2</sup> The PAF may also be used in hiring recommendations, merit pay reviews, post-tenure reviews, and for other purposes consistent with university policies.

9. Upon request a faculty member shall be provided the opportunity to meet with the appropriate administrator regarding material to be placed in the file to which the faculty member objects. The request to meet shall be made within five (5) days of the receipt of the notification and shall be addressed to the appropriate administrator with a copy to the Provost. The meeting shall take place within ten (10) days of the request made by the faculty member. This provision shall not apply to material created for the periodic evaluation, nor performance reviews pursuant to Article 15 Evaluation, nor to material referenced in Article 17 Temporary Suspension, nor Article 19 Disciplinary Action of the Collective Bargaining Agreement.
10. The appropriate administrator shall consider all information provided by the faculty member concerning the relevancy and accuracy of any material to be placed in the file prior to making a final decision to place material in the file. This provision shall not apply to material created for periodic evaluation, nor material referenced in Article 17 Temporary Suspension, nor Article 19 Disciplinary Action of the Collective Bargaining Agreement.
11. Only material identified by source may be placed in the PAF. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. References to unnamed sources or complainants are prohibited. Anonymous letters should be given to the individual faculty member concerned.
12. A faculty member has the right to review all materials in her/his own PAF. A faculty member may request an appointment with the Office of the Dean for the purpose of inspecting her/his own file. Such appointment(s) will be scheduled promptly during normal office hours. The manner of inspection shall be subject to reasonable conditions. The faculty member has the right to have another individual of her/his own choosing accompany her/him to inspect the PAF.
13. Following receipt of a faculty member's written request, the dean shall, within fourteen (14) days, provide a copy of all requested materials. Depending upon the amount of materials copied, the faculty member may be required to bear the cost of duplicating such materials.
14. If, after examination of the PAF a faculty member believes that any portion of her/his own file is inaccurate or irrelevant, s/he may submit a written request that the material be corrected or deleted from the file. Such requests should be directed to the dean, as custodian of the file. The request should describe corrections and/or deletions that should be made, and the facts and reasons supporting such a request. In the event the request is denied, the request shall be attached to the disputed material and shall accompany the disputed material when used in a personnel recommendation or action.
15. If the request for correction or deletion is denied by the dean, the faculty member has the right to submit a request to the President, or the President's designee, no later than seven (7) days after the date of such a denial. Within twenty-one (21) days of receipt of such request, the President, or designee, shall provide a written response to the faculty member. If the President, or designee, grants the request, the record shall be corrected or deleted and the faculty member shall be sent a written notice to that effect. If the President, or designee, denies the request, the response shall include reason(s) for the denial.

16. The PAF is maintained for each faculty member during the entire period of employment.
17. Files for individuals who have been separated from university employment <sup>3</sup> are maintained in the colleges/schools for five (5) years.
18. Files of employees separated by reasons of (a) dismissal for cause, or (b) disability retirement, or (c) as the result of a written agreement between the university and the employee, are maintained indefinitely. In these instances, the files are maintained by Academic Personnel Services or the Office of the Chancellor, as appropriate.

## **B. WORKING PERSONNEL ACTION FILE**

1. The Working Personnel Action File (WPAF), formerly called The Retention, Tenure and Promotion File (RTP File), is defined in Article 11.8 of the Collective Bargaining Agreement.
2. The WPAF is used during performance evaluations for retention, tenure and/or promotion and is considered a part of <sup>4</sup> the PAF.
3. The WPAF is held in confidence and is accessible only to the affected faculty member and persons authorized access in the conduct of official University business.
4. With the exception of secretaries performing clerical tasks, all instances of access to the WPAF shall be logged and the log record shall be a permanent part of the PAF.
5. Only material identified by source may be placed in the WPAF. This includes statements made by peer review committees as part of the review process. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. References to unnamed sources of complainants are prohibited.
6. Materials for evaluation submitted by a faculty member for use in the campus Retention, Tenure or Promotion (RTP) process shall be deemed incorporated by reference into the PAF, but need not be physically placed in the PAF. The inventory of items submitted by the faculty member for review during the RTP process shall be permanently placed in the PAF at the conclusion of the RTP process each year.
7. WPAFs are disassembled at the conclusion of each annual review process. Material listed on the inventory provided by the faculty member at the beginning of the process is returned to the faculty member. All other materials, including recommendations generated as part of the review, are returned to the PAF.<sup>5</sup>

---

<sup>3</sup> This provision refers to persons who have separated from the university through routine resignation or retirement; or, as in the case of temporary faculty, the completion of a fixed period of employment.

<sup>4</sup> The relevant language in the CBA says that the WPAF is “incorporated by reference” into the PAF.

<sup>5</sup> Additional detailed information regarding the handling and contents of the WPAF may be found in current instructions on the APS Web site or in various provisions within the Academic Policy Manual.

**C. PRIVATE FILES**

1. Department chairs, college/school deans, and other academic administrators may maintain private files. These files may contain correspondence, notes of meetings or conversations, and other data.
2. The contents of these private files may not be used as the basis of a personnel recommendation or action.
3. These private files are maintained at the discretion of the individual responsible for the file.

**D. HANDLING OF FILES FOR PART-TIME LECTURERS**

1. Departments maintain a part-time lecturer application pool file and may maintain a private file on all active part-time lecturers.
2. The part-time lecturer application pool file contains the position applications for all candidates for part-time positions. The application of each candidate for a part-time position is maintained in the file for five (5) years from the date of submission.
3. Access to the part-time lecturer application pool file is limited to persons authorized access in the conduct of university business. Individual applicants shall not have access to the part-time lecturer pool application files.
4. Departments shall review the part-time lecturer application pool file prior to making nominations for part-time positions. Additionally, if an individual who has been previously employed by the University applies for a temporary position, whether full-time or part-time, the contents of the candidate's PAF shall also be considered.

**E. MEDICAL AND POLICE RECORDS**

Campus medical records and campus police records are not subject to the provisions for the PAF. Content and access to these files is controlled by statutory regulation. However, any campus medical record or campus police record used as the basis for a personnel recommendation or action must be placed in the PAF.

**F. PRE-EMPLOYMENT FILE**

1. The Pre-Employment File consists of the records involved in the hiring of the affected faculty member. The records include confidential papers received from placement bureaus, letters of recommendation, summaries of reference checks, and other pre-employment information.
2. These files on full-time faculty members are maintained in the Office of Academic Personnel Services until the faculty member receives tenure or until five (5) years after separation from university employment, whichever comes first.
3. The affected faculty member shall not have access to this material.

**G. SEARCH RECORDS**

Records developed during a search process for faculty employees are maintained in the Office of the School Dean for five (5) years after the close of the search. These records are not available to faculty members after the close of the search.

**H. ACADEMIC PERSONNEL SERVICES --- EMPLOYMENT FILES**

1. Academic Personnel Services maintains status records on each faculty member. These records include information on academic rank and salary, employment status, leaves, and other relevant information essential to personnel/payroll operations.
2. The information in these files is accessible only to the affected faculty member and persons authorized access in the conduct of official University business.
3. Requests to add or delete information from this file must be made, in writing, to the Provost with a copy to the Academic Personnel Officer. The request shall include reasons for the requested addition/deletion to the file.

**I. PAYROLL FILES**

The Payroll Office maintains files on each University employee which include general payroll information and records such as tabulation of sick leave, vacation, leaves of absences, changes of personnel/pay status and similar items. Faculty members may review this information upon request.

**REFERENCES:** CBA Articles 11, 15, 17, 19

---

Approved by the Academic Senate	May 1968
Approved by the President	June 1968
Amended	5/72; 10/83; 6/84; 3/95; 11/99
<b>Amended</b>	<b>December 7, 2011</b>