



Personnel Action Files (PAFs)



Topics We Will Cover Today

- Personnel Action Files (PAFs)
 - Responsible Offices & Custodians
 - Required Documents
 - Docs not Included/Department Working Files
 - Working Personnel Action File (WPAF)
 - 5-Day Date
 - Access
 - iPAF to Hard Copy Files
 - Requests to Add/Remove Materials
 - Copy Requests
 - Records Retention



Personnel Action Files (PAFs)

The Personnel Action File (PAF) shall be defined as the one (1) official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee.

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



Personnel Action Files (PAFs): Responsible Offices and Custodians

The custodian of the PAF is responsible for maintaining the accuracy, completeness, and security of the file.

- **Probationary/Tenured/FERP Faculty**
 - Official PAFs are located in the Office of Faculty Advancement; AVPFA is designated custodian.
- **Temporary Faculty**
 - Official PAFs are located in the department/school; chair/director is designated custodian.
- **Temporary Faculty Appointed to the Dean's Office (Assistant Deans, etc.)**
 - Official PAFs are located in the Office of Faculty Advancement; AVPFA is designated custodian.



Personnel Action Files (PAFs): Required Documents

Requiring Five-Day Filing Date Notice

- Official information relevant to the employee's employment status
- Official memos to employee regarding performance or conduct
- Information signed and submitted by individuals pertinent to the employee's performance of duties
- Documentation for Sabbatical/DIP (including report acknowledgement), LWOP, awards (UGP, Alumni Awards, etc.), retirement/resignation/FERP acknowledgements
- Peer in-class teaching observations (if required/permitted by college/ department policy)

Not-Requiring Five-Day Filing Date Notice

- Appointment documents (Letters of Appointment, ATF/STC, etc.)
- Performance review and periodic evaluation letters
- Student evaluations - online evaluations maintained on the University server (do not need to be printed for file) are considered an extension of the PAF.



Personnel Action Files (PAFs): Documents NOT Filed

The following items are not filed in the official PAF and shall be kept in a separate file:

- Pre-employment documents (transcripts, letters of recommendation, appointment with tenure, immigration, etc.)
- Grievance material
- EEOC, DFEH or similar complaints

Departments/Schools may keep “working files” for their faculty that may include:

- Course related materials, documents for office processes (attendance record, travel, key issue, etc), grant proposals, workload reports, etc.



Personnel Action Files (PAFs): Working Personnel Action File (WPAF)

The Working Personnel Action File (WPAF) is a file specifically generated for use in an evaluation cycle.

- Includes required information/documents for review/evaluation
- Incorporated into/extension of the official PAF during review/evaluation but not physically placed in the file.
- Documents from WPAF are filed in official PAF upon review/evaluation completion (ex: for RTP, PDS and all recommendations are added to the official PAF)



Personnel Action Files (PAFs): Five-Day Filing Notice

Material to be placed in the PAF must be provided to the faculty employee five (5) days prior. The five-day delay in filing may be implemented by the Office of Faculty Advancement, the college, or the department/school. After five days, the custodian shall place the material in the PAF.

Five-day dates are calculated using calendar days and extended to the next workday if the fifth day falls on a weekend or campus closure.

[Sample Five-Day Filing Date Notices](#) guide is located on the FA website.



Personnel Action Files (PAFs): Access

- **Faculty can access their own official PAF at any time.**
- **Others can only access PAF on official university business**
 - Ex: members of peer review committees, appropriate administrator to respond to information request or grievance
 - No other faculty should have access if not on official business and no one outside of the university should be given access without the approval of the AVP of Faculty Advancement.
- **Any requests for access should be made to the responsible office 24hrs in advance to make an appointment to view the PAF during normal business hours.**
- **A Personnel Action File Log sheet shall be placed in all official files.**
 - All instances of access to a PAF shall appear on the access log, including the faculty employee's own access.
 - Administrators and staff do not need to sign the access log when filing documents or performing routine maintenance of the file.



Personnel Action Files (PAFs): Temporary Faculty iPAF to Hard Copy Files

- If your staff member updating PAFs does not have access to the iPAF, the Google Drive folder “manager” is able to grant them access.
- If a faculty member does not yet have a hard copy file, create a file and add a **Personnel Action File Log** sheet to the front.
- **Print out all materials listed in as “Required Materials” for the PAF**
 - All materials from Spring 2020 through the current day should be printed and added to the Personnel Action File.
 - If there are materials that were not added to the iPAF and are being stored in another location (Interfolio, OnBase, a local file, etc.) they must also be printed and added to the Personnel Action File.
 - If reviewers commented on documents to show an iPAF item was reviewed, record the necessary information (name, date, reason for access) on the Personnel Action File Log sheet. If your department/school created your own log sheet, print and include this in the front of the file.



Personnel Action Files (PAFs): Requests to Add/Remove Materials

- **Adding Materials**: Faculty unit employees shall have the right to submit material to his/her own PAF. This is done by providing the material with a written request to the PAF's custodian.
- **Removing Materials**: If a faculty unit employee believes that any portion of the file is not accurate, a request in writing can be made to the custodian (with copy appropriate administrator) to correct the material or a remove of a portion of the material, or both. Request becomes part of the PAF if the material is not removed. If the request is denied, faculty may submit request to higher level for final decision.



Personnel Action Files (PAFs): Records Retention

- All PAFs shall be destroyed ten (10) years after separation.



Important Links

[Faculty Advancement – Policies](#)

[CBA, Article 11 – Personnel Files](#)

[University Senate Policy File – Personnel Files](#)