

## **Unit 3 Faculty Employee File Policies and Maintenance Procedures**

### **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.

### **Responsible Office/Custodians**

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

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

### **Documents Required in PAF**

#### *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 are considered an extension of the PAF.

### **Documents NOT Filed in PAF**

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.

### **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. More detailed information can be found on the Sample Five-Day Filing Date Notices guide.

### **PAF Access**

A faculty unit employee shall have the right of access to all material in his/her official PAF. Faculty should contact the responsible office to make an appointment a minimum of 24 hours in advance to access their PAF during normal business hours. Faculty shall have the right to have another person of their choosing accompany him/her to inspect the PAF if desired.

For persons other than the faculty unit employee, access to the PAF shall be for the purpose of official business only. The PAF may be accessed by members of peer review committees constituted for the purpose of conducting a performance review or periodic evaluation, for determining a market/equity or merit-based salary increase, for recommending on range elevation, or for appointment or reappointment decisions. The PAF may be accessed by an appropriate administrator, such as the dean or AVP for Faculty Advancement, who may need to respond to an information request or grievance. No other faculty members should have access to the PAF; no one outside of the university should be given access without the approval of the AVP of Faculty Advancement. Individuals should contact the responsible office to make an appointment a minimum of 24 hours in advance to access a 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.

### **Requests to Add or Remove Material from the PAF**

Faculty unit employees shall have the right to submit material to his/her own PAF. This is done by providing the material along with a written request to the custodian of the PAF.

If a faculty unit 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 Advancement.

### **PAF Copy Requests**

A faculty employee may request one (1) free copy of her/his PAF. The responsible office has up to fourteen (14) days to provide such copies to the faculty employee. Upon separation, a faculty member may request a copy of her/his PAF by submitting a request form to the responsible office.

### **Records Retention**

Records retention schedules for all university processes can be found on the [CSU Website](#).

### **Personnel Action Files**

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

For student evaluations, the WebPortal database server is considered an extension of the PAF. For tenure-track faculty, student evaluations should be retained until a final decision on tenure or promotion has been made or until the next post-tenure review. For lecturers, student evaluations should be maintained in the PAF for six years until the establishment of a three-year contract, and then for at least three years until the issuance of subsequent contracts. Any student evaluations kept in general files should be destroyed when destroying the PAF.

### **Faculty Search Files**

Search files shall be retained for four (4) years after the conclusion of the search. If the search for a tenure-track position resulted in the hiring of an international scholar, all search files (including all applications submitted) must be retained from the time of selection, for a period of five (5) years, following submission of the Labor Certification application. The Labor Certification application process must be completed within 18 months of the job offer