California State University
Northridge

Memorandum

Office of Faculty Affairs

Date: September 10, 2013

To: Dean's Assistants

From: William Whiting *William Whiting*
Interim Associate Vice President, Faculty Affairs

Subject: Faculty Personnel Action Files

Questions have arisen about the required contents of Personnel Action Files. Section 606.1.2. of the *Administrative Manual,* "Personnel Action File" identifies the following items to be included in the file.

1. Copy of the appointment letter.
2. A table of contents (index) of the faculty member's Professional Information File each year the faculty member was evaluated for retention, tenure or promotion.
3. Copies of Department-level (Department Chair, Department Personnel Committee) recommendations on retention, tenure, or promotion.
4. Copies of recommendations on retention, tenure, and promotion made by the College Committee and Dean.
5. Copies of all documents related to any appeal from a personnel recommendation.
6. Copies of written reasons for conflicting, unreconciled Department and College recommendations which had been forwarded to the Provost of the University for resolution (see Section 633).
7. Copies of notice letters from the President or designee on personnel actions.
8. A copy of the President's (or President's designee's) decision in Grievance and Disciplinary Action cases.
9. Copies of written reprimands issued in accordance with Section 690.
10. Correspondence concerning such matters as reappointment as Lecturer, approval of leave requests, and similar personnel actions.
11. Department, College or University required documents, such as written reports of peer class visits and student evaluations of teaching effectiveness. Student evaluations of teaching effectiveness shall be retained for a minimum of five years. **Please note that both the quantitative results and the student comments (qualitative results) must be placed in the PAF.**

12. A dated copy of the faculty member's current resume, of reasonable length, as of the most recent year in which the Professional Information File is submitted.

13. Other communications or materials deemed by the Department Chair, College Dean or Personnel Committees to be relevant to the criteria in Section 632.

14. The location of other records kept on campus regarding the faculty member to which the faculty member has access.

15. Sabbatical Leave Reports.

16. Other materials that were part of the personnel process when they were placed in the Personnel Action File, e.g., copies of written reasons for negative recommendations and Probationary Faculty Member's Evaluation Conference Forms.

In addition, a log-in sheet with the signatures of all personnel who have read the file should be placed at the front of the file.

Other items to be placed in the PAF include:

1. Memoranda of Understanding (MOU) related to evaluation or processes for review.

2. Response or rebuttal statements submitted by the faculty member in response to evaluations or other written material placed in the PAF.

Other items related to initial employment shall be included in the Personnel Action File. Items contained in the confidential Employment File such as pre-employment placement papers, pre-employment evaluation forms, and letters of recommendation are confidential documents that are not open to the faculty member or members of personnel committees. As a reminder, the SC-1 should not be included in the Personnel Action File, but rather the Employment File.

Please contact Interim Associate Vice President for Faculty Affairs, William Whiting, if you have questions about the contents of the personnel files.

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cc: College Deans