

PAFs and ePAFS: What Every Chair Needs to Know



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What We'll Cover

- Acronyms: PAF, ePAF (and PIF, ePIF)
- Definitions: CBA, Section 600, Section 700
- Allowable contents
- Custodians of PAF: Lecturers vs. Tenure-Track Faculty
- Who can place an item in the PAF?
- Criteria for placement in the PAF?
- Removing items from the PAF
- PAF Confidentiality and Logs
- ePAF

Acronyms

PAF: Personnel Action File

“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.”

ePAF – The digital form of the PAF

- The PAF is the property of the university and is maintained by the university

PIF: Professional Information File

- The PIF is the property of the faculty member and is created for the purpose of an RTP review or range elevation

Definitions: CBA

CBA: Article 11.1 – applies to all Unit 3 members

The Personnel Action File 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. For each faculty unit employee, the President shall designate an office with responsibility for maintenance of the Personnel Action File and shall designate a custodian for the Personnel Action File. If the contents of the Personnel Action File are stored in electronic format, such information shall be stored securely, and access to the file shall be limited to those individuals authorized to view the file under the terms of this Agreement. It is the intent of the CSU to maintain accurate and relevant Personnel Action Files. There may be copies of material contained in the official file in other working files for the convenience of the Employer. Only the official Personnel Action File may be used as the basis of personnel actions.

Definitions: FT Faculty

Section 606.1.2 of the Administrative Manual

There will be only one Personnel Action File. This file is the property of the University. For the probationary and tenured faculty, it is kept in the office of the College Dean for use only in personnel actions (such as retention, tenure, promotion, service salary adjustments, and other personnel matters dealt with in the bargaining agreement), which specify its use. The material in the Personnel Action File must be accurate and relevant to personnel actions.

Definitions: Lecturers

Section 703.1.2 of the Administrative Manual

There is only one Personnel Action File. This file is the property of the University. It will be kept in a specified place approved by the Department Chair. **This file will be used in personnel actions including evaluation for service salary increases, subsequent appointment, and elevation to a higher salary range.**

Allowable Contents: CBA

CBA Article 11.3:

Any material identified by source may be placed in the Personnel Action File. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material.

CBA Article 15.17.b:

Any student communications or evaluations provided outside of the regular evaluation process must be identified by name to be included in a Personnel or Working Personnel Action File [PIF].

Allowable Contents: Full Time Faculty

Section 606.1.2.a of the Administrative Manual:

- (1) A log sheet recording all instances of access to the Personnel Action File (except for routine maintenance).
- (2) Copy of appointment letter.
- (3) A table of the contents of the faculty member's Professional Information File each year the faculty member was evaluated for retention, tenure, or promotion.
- (4) Copies of Department recommendations on retention or promotion.

Allowable Contents: Full Time Faculty (continued)

(5) Copies of recommendations made by the College Personnel California State University, Northridge 15 Sections 600 - 609 Committee and Dean.

(6) Copies of all documents related to any appeal from a personnel recommendation.

(7) Copies of written reasons for conflicting, unreconciled Department and College recommendations which had been forwarded to the President of the University for resolution (see Section 633).

(8) Copies of notice letters from the President on personnel actions.

(9) A copy of the President's decision in Grievance and Disciplinary Action Cases.

Allowable Contents: Full Time Faculty (continued)

(10) Copies of written reprimands.

(11) Correspondence concerning such matters as reappointment as Lecturer, approval of leave requests, and similar personnel actions.

(12) 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 will be retained for a minimum of five years.

(13) A dated copy of the faculty member's current curriculum vitae, of reasonable length, as of the most recent year in which the Professional Information File is submitted.

Allowable Contents: Full Time Faculty (continued)

(14) Other communications or materials deemed by the College Dean, at the recommendation of the Department Chair or Personnel Committees, to be relevant to the criteria in Section 632.

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

(16) Sabbatical Leave Reports.

(17) 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).

Allowable Contents: Part Time Faculty

Section 703.1.2.a of the Administrative Manual

- (1) Copies of appointment letters.**
- (2) Copies of Department recommendations on subsequent appointment, service salary increases, and elevation to a higher salary range.**
- (3) Copies of decisions made by the College Dean.**
- (4) Copies of written reasons for negative recommendations at the Department level or by the Dean and of all documents related to any appeal from such recommendations.**
- (5) Copies of notice letters on subsequent appointment, service salary increases, elevation to a higher salary range.**
- (6) Copies of the decision of the President in Grievance Cases and Disciplinary Action Cases.**

Allowable Contents: Part Time Faculty (continued)

- (7) Correspondence concerning such matters as approval of leave requests and similar personnel actions.**
- (8) 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.**
- (9) A copy of the lecturer's current resume.**
- (10) Sabbatical Leave Reports.**
- (11) Other communications or materials deemed by the Department Chair or Dean to be relevant to the purpose of the file.**
- (12) The location of other records kept on campus regarding the lecturer, to which the lecturer has access.**

Allowable Contents

Do's

Appointment letter, MOUs, chair evaluations, appointment form, Outside employment disclosure form

Don't's

General correspondence, moving expenses, anything with SSN, position description

Custodians of the PAF

Custodian: the individual or office designated to maintain the file.

Formally, deans are the custodians of all PAFs
MOU0

Informally, Dean's Assistants manage tenure-track faculty PAFs

Informally, Department Chairs and Office Managers manage lecturer PAFs

Slide 15

MOU0

How is this determined? What is considered substantive? We will most likely get questions about that? Any guidance given by PP&R?

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Who can place an item in the PAF?

1. Faculty members themselves

CBA 11.2 “A faculty unit employee shall have the right to submit material to his/her Personnel Action File. A faculty unit employee shall also have the right to submit a written rebuttal to any material in his/her PAF . . .”

- Example: Grant-related items

2. Departments – if a “standard” item (SEF, peer observation, appointment letter)

3. Deans – if a “non-standard” item

****Question: Can a Chair place a copy of email correspondence with a lecturer in the faculty members’ PAF?

Criteria for Placement in the PAF

- Non-standard items:
 - Dean decides it is “accurate” and “relevant” (CBA 11.4)
 - Five day notice is given to faculty (in writing, by dean; CBA 11.5)
 - Faculty has 5 calendar days to request meeting with the dean; meeting can be held within 10 days of the request (CBA 11.5)
 - Faculty may submit rebuttal to be included in the PAF – rebuttal may be submitted any time (CBA 11.2)

Removing Items from the PAF

- Per Administrative Manuals, “no one is authorized to remove material from the Personnel Action File unless the [faculty member] requests removal.” (606.2.3d, 703.2.3e)
- Faculty members may request deletion of materials; deletions must be approved by the dean.

PAF Confidentiality and Logs

Article 11.15 The Personnel Action File shall be held in confidence. Access to a faculty unit employee's Personnel Action File shall be limited only to persons with official business. The custodian shall log all instances of access to a Personnel Action File, including access to the file by administrators, when access is not for the purpose of routine maintenance. Such a log record shall be a part of the Personnel Action File.

“All instances of access to a Personnel Action File **other than access for the purpose of routine maintenance** shall be noted on the Personnel Action File log-in sheet. Such a log record shall be a part of the Personnel Action File.” (703.2.3i, 606.2.3i)

ePAFs Today

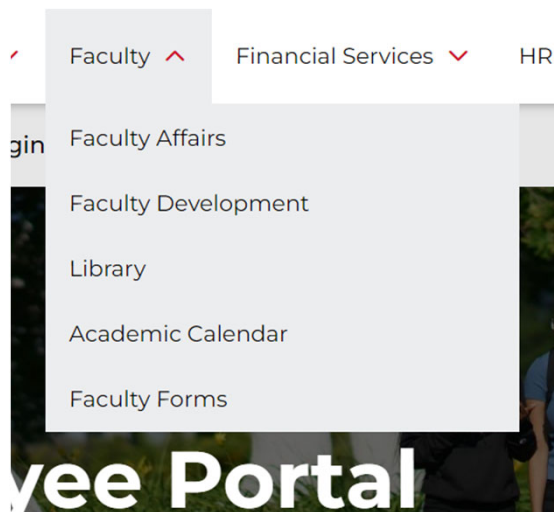
- CBA 11.1 reads in part, “There may be copies of material contained in the official file in other working files for the convenience of the Employer.”
- Today, probationary faculty ePAFs are being stored on OnBase – the institution’s long-term storage system of records.
- We are currently piloting the review of ePAFs for our RTP 2nd year and 3-6 year/promotion candidates for the 2023-24AY.

Faculty Requesting to View their own PAF/ePAF

- CBA 11.10 A faculty unit employee shall have the right of access to all material in his/her Personnel Action File, exclusive of pre-employment materials.
- How much notice is required for faculty to view PAF? No requirement in CBA; Admin manuals require viewing of the PAF to be scheduled within two days, during normal working hours (606.2.3b, 703.2.3b)
- How long is access allowed? No requirement in CBA.
- Request for copies of PAF materials: 14 days allowed (CBA 11.12)

Faculty Requesting to View their own ePAF

- Probationary faculty may access their ePAF by logging into the CSUN portal with their credentials.
- Under the Faculty Affairs tab, they will select 'Faculty Forms.' This will prompt a new page to open where they will be able to select the E-PAF Access Request Form link.



Employee Forms

- [HR Direct Deposit](#)
Setup payroll direct deposit.
- [Withholding Allowance Form](#)
Make changes to your payroll tax withholding.
- [E-PAF Access Request Form](#)
Request access to a Faculty's electronic PAF.
- [TUC Check Request Form](#)
The University Corporation check request form.

Faculty Requesting to View their own ePAF

- The form will open in a new tab. The submitter's information will already be populated based on the user who logged into the Portal. They will complete the form, and then select the Submit button. A confirmation page will be shown after the form has been submitted and a submission confirmation email will be sent to the submitter within 10 minutes. Access is granted for 48 hours.

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Electronic Personnel Action File (ePAF) Access Request

Request Information

Are you requesting access to the ePAF for yourself or for someone else? *

Myself (you will be accessing the ePAF)

Someone Else (another employee will be accessing the ePAF)

Purpose of Request (250 character limit) *

Access Requested For

Enter the CSUN ID of the employee who will receive access to the ePAF. If you selected 'Myself' for the previous question, this information has been filled in for you.

CSUN ID * Last Name * First Name *

Email Address * Username *

Clear

ePAF Access Requested

Enter the CSUN ID for the ePAF you are requesting access to. If you are requesting access to your own ePAF, please check the appropriate box.

I am requesting access to my own ePAF

CSUN ID * Last Name * First Name *

College Department Name *

Clear

CSUN

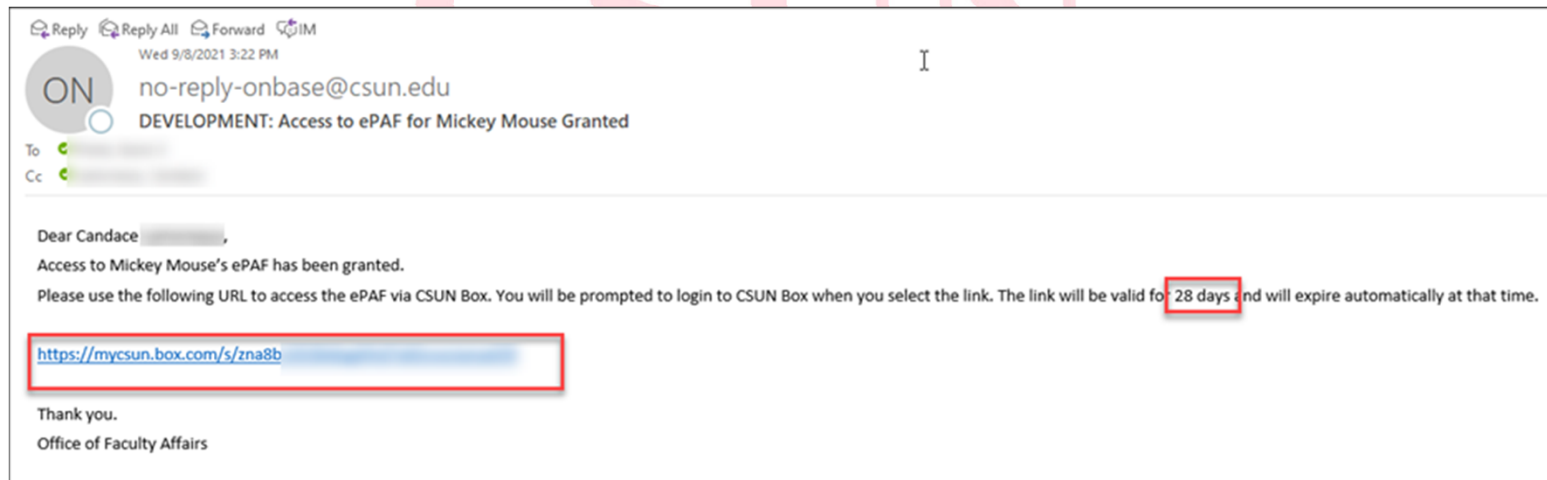
Confirmation of Submission

You have successfully submitted your ePAF access request form. You will receive an email confirmation shortly.

Thank you!

Reviewers Viewing an ePAF

- When reviewers are granted access to an ePAF by the Dean's Assistant, they will receive an email like the following which contains a link to the ePAF in Box. The email will also indicate when the access will expire – 28 days.



* To access the ePAF files, once reviewers select the URL, they will need to log into Box using their CSUN credentials.

Reviewers Viewing an ePAF

- Once they have logged into Box, the ePAF will be displayed. They will only have access to view the ePAF from within Box and cannot download it or share it with others.

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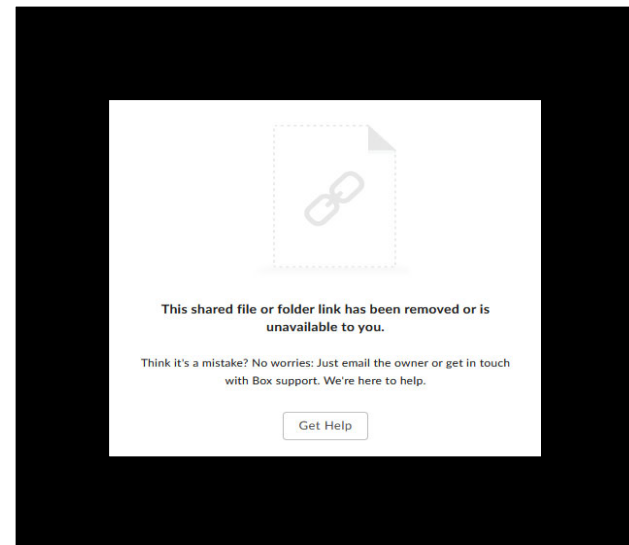
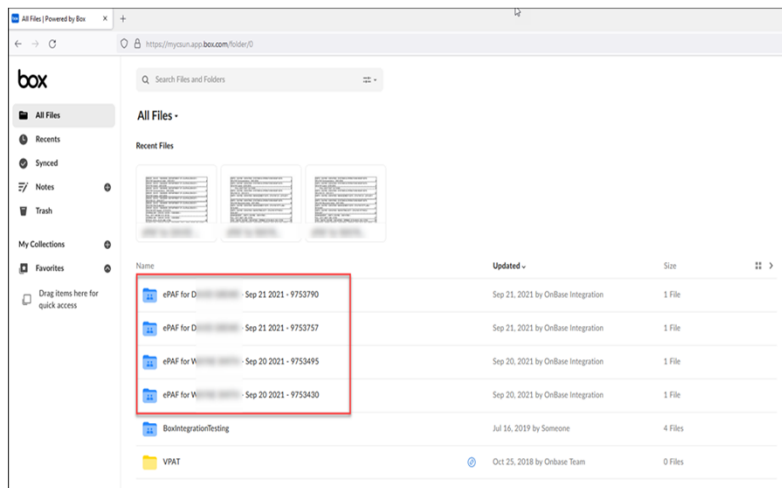
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Reviewers Viewing an ePAF

- Reviewers will also be able to see the ePAF folders and files when they directly login to Box. They receive an email with a link, generated by the Dean's Assistant.
- Reviewers have access for 28 days. Once access expires, the URL to the ePAF will no longer work and will show the following message. Additionally, the folders and files will no longer appear in their list in Box.



Next Phases of ePAF

- Currently, we are working on the Lecturer ePAF initiative to create a similar storage and retrieval system. This will be managed by departments.
- A future phase will include tenured faculty.

Questions?

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Thank you for attending our session!