ACADEMIC SENATE
Of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, CA

AS-868-19

RESOLUTION ON UNIVERSITY FACULTY PERSONNEL POLICIES
CHAPTER 3: PERSONNEL FILES

Impact on Existing Policy: This resolution establishes the statement of policy about the faculty personnel action file and working personnel action file. Its impact on existing policy is described in the attached report. [i]

1	WHEREAS,	The Academic Senate Faculty Affairs Committee is constructing a
2		document entitled "University Faculty Personnel Policies" (UFPP) to
3		house all university-level faculty personnel policies; and
4		
5	WHEREAS,	AS-859-18 resolved that "The Academic Senate Faculty Affairs
6		Committee construct UFPP by proposing university-level faculty
7		personnel policies to the Senate in the form of chapters or portions of
8		chapters of UFPP according to the procedures approved in AS-829-17";
9		and
10		
11	WHEREAS,	AS-859-18 resolved that "By the end of Spring 2020 Colleges and other
12		faculty units reorganize their faculty personnel policy documents to
13		conform their documents to the chapter structure of UFPP"; therefore be
14		it
15		
16	RESOLVED:	The policy document contained at the end of the attached report
17		"Proposed Chapter of University Faculty Personnel Policies Document:
18		CHAPTER 3: PERSONNEL FILES" be established as Chapter 3: Personnel
19		Files of UFPP, and be it further
20		
21	RESOLVED:	Colleges and the Library revise their personnel policy documents by
22		Spring 2020 to have chapter 3 of their documents cover personnel files
23		as per chapter 3 of UFPP.

Proposed by: Academic Senate Faculty Affairs Committee
Date: January 8, 2019
Revised: January 30, 2019

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[i] (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards.
(2) Indicate if this resolution supersedes or rescinds current resolutions.
(3) If there is no impact on existing policy, please indicate NONE.

Proposed Chapter of University Faculty Personnel Policies Document:
CHAPTER 3: PERSONNEL FILES

The Academic Senate Faculty Affairs Committee (FAC) is a standing Senate committee with representation from each college, the library and professional consultative services, Academic Affairs, and a student representative. FAC employs a streamlined process for Academic Senate approval of personnel policies. This process specifies the nature of consultation with faculty affected by proposed changes and provides a clear accounting of which policy documents have been superseded by the proposed change. It also allows the Senate Executive Committee to place non-controversial updates to personnel policies on the Senate consent agenda. Using the new process, **FAC will replace the current University Faculty Personnel Actions (UFPA) document piece by piece to construct a new University Faculty Personnel Policies (UFPP) document.** FAC may then employ the same process to update sections of the new UFPP on an as-needed basis.

The guiding principles in reforming the UFPA into the new UFPP are the following:

- **Clarify existing policies** that are common and already in place across the university.
- **Standardize procedures** for faculty evaluation at the university level.
- **Set baseline expectations and offer guiding principles** with directives to the colleges and departments to specify their criteria accordingly attuned to the disciplinary considerations specific to their programs.
- **Establish a common structure for all personnel policy documents across campus.**

The Senate has approved a resolution (AS-859-18) establishing the general structure of the UFPP in the form of its main chapter divisions, each containing thematically unified selections of policy:

1. **Preface**
2. **Faculty Appointments**
3. **Personnel Files**
4. **Responsibilities in Faculty Evaluation Processes**
5. **Evaluation Processes**
6. **Evaluation Cycle Patterns**
7. **Personnel Action Eligibility and Criteria**
8. **Evaluation of Teaching and Professional Services**
9. **Evaluation of Professional Development**
10. **Evaluation of Service**
11. **Governance**
12. **Workload**
13. **Appendices**

FAC is proposing to the Senate individual chapters of UFPP, each covered by its own Senate resolution. A draft of one of these chapters follows in this document, preceded by a summary of its content, impact, and implementation, and a description of feedback received on this proposed chapter.

Summary of Chapter 3: Personnel Files

This chapter covers university-level requirements concerning the Personnel Action File (PAF) and Working Personnel Action File (WPAF).

It is media neutral, and so it conforms with the new implementation of Interfolio electronic WPAF and evaluation processes.

Its provisions state baseline expectations common across campus with directives and allowances to the Colleges and Library to augment these baseline requirements according to the nature of their programs.

Impact on Existing Policy

This chapter on Faculty Appointments gives a standard and clarified expression to pre-existing policies and practices, but does not establish new policies. Many of the provisions of this chapter are driven by the Collective Bargaining Agreement.

Implementation

The establishment of UFPP by the Academic Senate would oblige the Colleges and the Library to restructure their faculty personnel policy documents into the same chapter division as UFPP. When a chapter of UFPP is approved by the Academic Senate and ratified by the President, they will now have a focused area of new or revised policy that they must consult and, if necessary, use to revise their documents accordingly.

Current College and Library personnel policy documents typically include sections on personnel files. The establishment of this chapter of UFPP would require those documents to contain these provisions into Chapter 3 and call it "Personnel Files." Implementation of this change would be insignificant for those with well-developed personnel policy documents with up-to-date policies and expectations about personnel files. Those whose policies are out-of-date would now have some guidance for taking on the task of updating their policies.

Material in this chapter may form the basis for process guides the Colleges and Library can draft and include in the appendices of their personnel policy documents.

Feedback from Faculty Units

When proposing personnel policies, FAC consults with faculty units about the proposed change so the faculty units may offer feedback on the proposal. FAC then considers this feedback when revising the proposed policy and sending it to the Senate.

The College of Liberal Arts provided editorial suggestions to clarify policy statements.

What follows is the proposed text of the chapter...

3. Personnel Files

3.1. Summary

3.1.1.   This chapter defines the university-wide requirements and policies for the Personnel Action File (PAF) and Working Personnel Action File (WPAF). Colleges and departments may augment these university-level requirements to address their discipline-specific needs.

3.1.2.   Chapter 3 was established by Academic Senate Resolution AS-868-19.

3.2. Personnel Action File (PAF)

3.2.1.   The Personnel Action File (PAF) is the one official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. (CBA 11.1)

3.2.2.   The college dean or equivalent supervising administrator is the custodian of the PAF. Contents of the Personnel Action File stored in electronic format shall be stored securely, and access to the file shall be limited to those individuals authorized to view the file under the terms of the CBA. (CBA 11.1)

3.2.3.   Contents of the PAF include:
- Hiring materials/letters of appointment
- CV retained from WPAF
- Index retained from WPAF
- Performance and periodic evaluation reports (AP 109, dean and provost letters)
- Leaves/grants/awards reports
- Results of student evaluations of faculty
- Institutional data about teaching assignments
- Other personnel related material.

3.3. Purpose of Working Personnel Action File (WPAF)

3.3.1.   During the time of periodic evaluation and performance review of a faculty unit employee, the Working Personnel Action File (WPAF), which includes all information, materials, recommendations, responses and rebuttals, shall be incorporated by reference into the Personnel Action File. (CBA 11.8).

3.3.2.   The WPAF is compiled by the applicant to support consideration for a periodic evaluation or performance review. Contents of the WPAF stored in electronic format shall be stored securely, and access to the file shall be limited to those individuals authorized to view the file. All supporting materials in the WPAF should be referenced and clearly explained.

3.3.3.   The WPAF for retention and tenure reviews shall cover the entire employment period at Cal Poly. The WPAF for promotion and lecturer range elevation shall cover the period at rank or range at Cal Poly.

3.3.4.   The Provost establishes a specific deadline by which the WPAF is declared complete for each type of personnel action. Insertion of materials after that date must have the approval of the college peer review committee (CPRC) and is limited to items that became accessible after the deadline. The index should be updated to reflect any material added to the file during the course of the evaluation cycle.

3.4. Contents of WPAF

3.4.1.   Contents of Working Personnel Action File (WPAF) for all instructional faculty include:
- Index of WPAF
- CV
- Evidence appropriate to the nature of the appointment

3.4.2. Probationary and tenured faculty shall include a Professional Development Plan in the form of a written narrative as a guide to evaluators for understanding the candidate's short and long-term goals and values as a teacher-scholar.

3.4.3. Colleges and departments shall specify any additional required elements their faculty must include in their WPAFs.

3.4.4. Colleges shall define in their personnel policies the appropriate evidence for Teaching, Professional Development, and Service suited to the nature of different faculty appointments.

3.4.5. The Library, Counseling, and Athletics shall define in their personnel policies the appropriate evidence categories for their faculty.

3.4.6. Any student communications or evaluations provided outside of the regular student evaluation process must be identified by name to be included in a PAF or WPAF (CBA 15.17). Candidates may summarize their own assessment of any unofficial anonymous student surveys in their narrative documents.

MEMORANDUM

To: Dustin Stegner
          Chair, Academic Senate

From: Jeffery D Armstrong
          President

Date: March 4, 2019

Copies: K. Enz Finken
           M. Pedersen
           A. Liddicoat
           K. Brown
           College Deans

Subject: Response to AS-868-19 Resolution on University Faculty Personnel Policies
           Chapter 3: Personnel Files

This memo acknowledges my support of the above-entitled Academic Senate resolution.
Colleges as well as the Library are encouraged to revise their personnel policy documents to
align with Chapter 3 of the University Faculty Personnel Policies (UFPP) as outlined in this
resolution and supporting documentation.

Please express my appreciation to the Academic Senate members and the Academic Senate
Faculty Affairs Committee for their attention to this important matter.