

HUMBOLDT STATE UNIVERSITY
University Senate

**Resolution to Amend Appendix J to Accommodate Electronic Management and Review of Working
Personnel Action Files**

26-15/16-CBC- April 26, 2015 – Second Reading

RESOLVED: That the University Senate recommends the following amendments to *Appendix J* of the *Faculty Handbook*; and be it further

RESOLVED: That the General Faculty President forward these amendments to the General Faculty for ratification in accordance with the amendment process outlined in *Appendix J Article IX*; and be it further

RESOLVED: That faculty who have elected to use paper Working Personnel Action Files in accordance with Senate Resolution #25-12/13 (Resolution on Electronic Working Personnel Action Files) be allowed to utilize the current version of *Appendix J* (August 2014) until the review of their files, the decision on their Tenure and/or Promotion, and any related appeals of that decision are complete.

Amendments with track changes:

V.E.2 Materials shall be ~~in one or more three-ring binders with~~ in an online portfolio with 9 tabbed sections. Material in each section shall be in reverse chronological order, most recent material first.

V.E.3 The file custodian ~~WPAF shall be returned to the file custodian~~ as defined in Section V.A. above ~~shall prohibit access to the WPAF, and remain sealed~~ for forty-two (42) days following the date of the President's notification (in the case of tenure or promotion) or the Provost's notification (in the case of retention). 10.4 Any action in processing a dispute formally may be postponed for a period of up to twenty-five (25) days in order that the faculty member may pursue efforts to resolve the dispute informally. 10.5

V.E.3.a Following this period, and in the absence of a grievance, the Index from WPAF Section 1 shall be permanently placed in the Personnel Action File and appropriately updated to reflect any material added to the file during the course of the evaluation cycle (e.g., recommendations and rebuttals). Materials for evaluation submitted by a faculty unit employee and incorporated by reference in the Index, shall be considered part of the Personnel Action File. Such indexed materials (generally materials from WPAF Sections 8 and 9) shall be archived electronically and a digital copy provided ~~returned~~ to the faculty unit employee upon request ~~(generally materials from WPAF Sections 8 and 9)~~. 15.9

VII.B.2.b.4 Candidates shall submit for evaluation examples of materials which support performance areas.

(a) An index to such materials, which is section 1 of the WPAF, shall be prepared with a duplicate in the Personnel Action File. 15.9

~~(b) These materials shall be retained by the IUPC and not forwarded to higher committees or administrators unless specifically requested.~~

(c) Personnel committees or administrators may request an external review of supporting materials. 15.12d

(i) The request shall document the need for an outside review. 15.12d

(ii) The request must be approved by the President, with the concurrence of the candidate. 15.12d

(d) Indexed materials shall be archived electronically at the conclusion of the Performance Review and a digital copy provided returned to the candidate upon request at the conclusion of the Performance Review. 15.9

Amendments with track changes accepted:

V.E.2 Materials shall be in an online portfolio with 9 sections. Material in each section shall be in reverse chronological order, most recent material first.

V.E.3 The file custodian as defined in Section V.A. above shall prohibit access to the WPAF for forty-two (42) days following the date of the President's notification (in the case of tenure or promotion) or the Provost's notification (in the case of retention). 10.4 Any action in processing a dispute formally may be postponed for a period of up to twenty-five (25) days in order that the faculty member may pursue efforts to resolve the dispute informally. 10.5

V.E.3.a Following this period, and in the absence of a grievance, the Index from WPAF Section 1 shall be permanently placed in the Personnel Action File and appropriately updated to reflect any material added to the file during the course of the evaluation cycle (e.g., recommendations and rebuttals). Materials for evaluation submitted by a faculty unit employee and incorporated by reference in the Index, shall be considered part of the Personnel Action File. Such indexed materials (generally materials from WPAF Sections 8 and 9) shall be archived electronically and a digital copy provided to the faculty unit employee upon request. 15.9

VII.B.2.b.4 Candidates shall submit for evaluation examples of materials which support performance areas.

(a) An index to such materials, which is section 1 of the WPAF, shall be prepared with a duplicate in the Personnel Action File. 15.9

(b) Personnel committees or administrators may request an external review of supporting materials. 15.12d

(i) The request shall document the need for an outside review. 15.12d

(ii) The request must be approved by the President, with the concurrence of the candidate. 15.12d

(c) Indexed materials shall be archived electronically at the conclusion of the Performance Review and a digital copy provided to the candidate upon request. 15.9

RATIONALE: *The articles under amendment relate primarily to the process for the handling and review of paper Working Personnel Action files (WPAF). WPAFs and all supporting materials are now handled online and access to the materials for any level of review is through an online platform. Since all documents that constitute the WPAF are online, there is no longer a need to: 1) place physical documents into binders; 2) keep a WPAF binder under lock and key; 3) make a special request to view supporting materials in a supplemental binder; or 4) return paper copies or original documents to the faculty unit employee.*

Faculty who were probationary prior to AY 2014/15, and tenured faculty who went up for promotion in AY 2014/15, 2015/16, or 2016-17 were given the option to utilize paper WPAFs until their Tenure and/or Promotion. Since there are still a few faculty who opted to use paper, the current version of Appendix J (August 2014) will be applied to these faculty until their Tenure and/or Promotion.

There is still a necessity for the file custodian to print documents from certain sections of the WPAF and archive them into the Personnel Action File (PAF). These amendments do not have any effect on the current processes for maintaining the PAF.