Faculty Personnel File

UNIVERSITY POLICY #213

Authority:
Approval Date: August 16, 2014
Effective Date: August 16, 2014
Revision History: November 2, 2016; February 6, 2017
President's Signature: On File

SECTION 1: Statement

1.1 An official faculty personnel file shall be established and maintained for each full-time faculty member in the office of the provost. This file may be maintained electronically. The contents of the personnel file should be sufficient to document and support all personnel decisions including, but not limited to; annual evaluations, the award of tenure, promotion in rank, renewal or non-renewal of contract for a tenure-track or non-tenure track faculty member and termination of the appointment of a tenured faculty member for cause (as defined in HEPC Title 133, Series 9, Section 12).

SECTION 2: File Contents

2.1 Each faculty member's file shall contain, at the minimum, the following items:

2.1.1 The initial letter of appointment and other documents which describe, elaborate upon or modify the faculty member's assignment, including position description, work plans, memoranda of understanding and subsequent letters of appointment. (Responsibility: Dean, Chair, Program Director)

2.1.2 Copies of all notices of appointment. (Responsibility: Provost)

2.1.3 An up-to-date curriculum vitae containing:

2.1.3.1 Teaching documentation: critical dates relative to education, employment history, change in status, promotion, leaves of absence, etc.;

2.1.3.2 Research documentation: a list of publications and presentations with complete citations, grants and contracts, and/or other evidence of scholarship;

2.1.3.3 Service documentation: a list of service activities. (Responsibility: Faculty)

2.1.4 For each academic year since appointment, the faculty member's Faculty Performance Activity Report (including a record of classes taught and enrollments in each, number of academic advisees, graduate students supervised, clinical assignments, significant committee assignments, and other aspects of the faculty member's plan of work). The Activity Report without

supporting documentation is not in itself sufficient for evaluation purposes. (Responsibility: Dean, Chair, Program Director, Faculty)

2.1.5 All other information that bears upon the quality of the faculty member's performance in all pertinent areas. This information may include, but need not be limited to, teaching evaluations, evidence of: professional presentations, published materials, grant applications and awards, research in progress and the preparation of unpublished materials, other creative scholarship, and service to the university and statements relative to professional conduct. A self-evaluative statement by the faculty member is strongly encouraged at the time of review for promotion or tenure. (Responsibility: Provost, Dean, Chair, Program Director, Faculty)

2.1.6 All annual evaluations, including any written responses by the faculty member. For faculty with multiple reporting lines, each supervisor will provide an evaluation of the individual's performance. (Responsibility: Dean, Chair, Program Director, Faculty)

2.1.7 Student Course evaluations from all courses taught at West Liberty University prior to 2014. All others are available via the evaluation system. (Responsibility: Provost)

2.1.8 All classroom and online course observation reports (Responsibility: Dean, Chair, Program Director)

2.1.9 Other information and records that the chairperson or dean may wish to include. Faculty members may include written responses to such material. (Responsibility: Dean, Chair, Program Director, Faculty)

2.1.10 A continuing chronological inventory of entries to assure the integrity of the file is to be kept in a separate electronic file. (Please see Paragraph 3.3 below for requirements of access.) (Responsibility: Provost).

SECTION 3: File Maintenance and Access

3.1 Responsibilities for maintenance of items are indicated above. The Provost's Office may periodically issue more detailed instructions for the development and maintenance of faculty personnel files. Those requirements may be supplemented or elaborated upon by college or department procedures.

3.2 The faculty personnel file shall be updated in a timely manner according to procedures established for annual evaluations and evaluation for promotion and tenure.

3.2.1 On the appropriate deadline date, as specified by the promotion and tenure policies, the file shall be closed for the review period.

3.2.2 During promotion or tenure review process, files added will not be considered unless they are generated as a consequence of the process.

3.3 Right of Access:

3.3.1 Faculty members have the right of access to their personnel files at any time during regular office hours, without giving reasons.

3.3.2 Faculty members will be notified via email when there is any change, addition, or subtraction to their file other than routine additions made in accordance with WLU Policy.

3.3.3 All others shall have access to the file only on the basis of a need to know. Members of a faculty evaluation committee or administrators responsible for personnel recommendations are presumed to have a need to know. Deans, Chairs and Program Directors will have access at any time during regular office hours, without giving reasons, to the files of faculty members for whom they have supervisory responsibility.

3.3.4 The faculty member (or appropriate staff, upon request) may copy the file, but may not delete the original file or any part of it. The faculty member may not delete anything from his or her personnel file without approval from supervisors.

3.3.5 The Provost's Office will maintain a sign-in sheet (or the electronic equivalent) on which will be recorded the name, date and time of each instance of access to the file.

3.3.6 All persons will treat the material from the file as confidential. The security of all personnel files is to be assured. The confidentiality of each file is to be respected, except under legal subpoena.