

(Revised)

Date: October 10, 2007

To: College Deans
Chairs of College and Department Personnel Committees
with 3rd through 6th-year Probationary Faculty Members
Chairs of Departments with 3rd through 6th-year Probationary Faculty Members
All 3rd through 6th-year Probationary Faculty Members

From: Penelope Jennings
Associate Vice President, Faculty Affairs

Subject: Calendar and Procedures for Personnel Considerations of Third through Sixth-year Probationary Faculty Members

The 150 faculty members now serving their third through sixth-year of probationary service must be reviewed at the Department level prior to February 1, 2008. The following summary provides information about the review process for third through sixth-year probationary faculty members. More detailed information is contained in *Section 600 of the CSUN Administrative Manual*, pages 51-66. The language of the *Faculty Bargaining Agreement* does not change the calendar or policies governing retention of probationary faculty.

MISCELLANEOUS

The options for 3rd through 5th year probationary faculty are that they be reappointed for another probationary year in 2008-09; that they be granted tenure at the beginning of the 2008-09 year; or that their services be terminated at the conclusion of the 2008-09 year. Except in unusual circumstances, the options for 6th year probationary faculty are that they be granted tenure at the beginning of the 2008-09 year or that their services be terminated at the conclusion of the 2008-09 year.

President Koester has indicated that probationary faculty should normally not expect to be considered for tenure until serving in their sixth probationary year. However, special circumstances, when it can be demonstrated that the early award of tenure would be advantageous to the institution, could justify the granting of tenure after fewer than six probationary years. Section 641.2.4, page 63 of the Administrative Manual states that,

The President in special circumstances, and after consultation with the Personnel Planning and Review Committee, may award tenure to any probationary academic employee earlier than the normal probationary period otherwise provided in this Section, when the determination is made that such early award of tenure is advantageous to the institution. It is the responsibility of the positively recommending agencies to explain why it is advantageous for the institution to grant early tenure.

PREPARATION OF PERSONNEL FILES

The relevant sections of the Administrative Manual dealing with Personnel Files are on pages 10-16 (Section 606). The individual faculty member should note that he or she has the responsibility for preparing the Professional Information File, with assistance from the Department Chair. There is no single format to be followed in preparation of the Professional Information File; however, the faculty member should include a current resume (see suggested form attached as Appendix A) plus whatever materials are thought relevant. The faculty member also has a "full and unqualified" right to inspect all materials in his or her Personnel Action File.

The Department Chair or Department Personnel Committee should establish, and inform the faculty member of, a deadline date by which the Professional Information File must be submitted (Section 612.5.2.b., page 26). The date by which the Professional Information File must be submitted should provide sufficient time for review by the Department Chair and Department Personnel Committee prior to their deadline of February 1st.

The Faculty Bargaining Agreement section on Personnel Files contains three provisions that affect CSUN practices concerning files:

- a. Section 11.4 of the *Agreement* states that "the faculty unit employee shall be notified of the placement of any material in his/her Personnel Action File that the appropriate administrator initially considers to be accurate and relevant, and the faculty unit employee shall be provided with a copy of such material at least five (5) days prior to such placement." The College Dean, who is the administrator responsible for maintaining Personnel Action Files for all full-time faculty members, will need to wait for at least ten (10) calendar days after forwarding communications to the faculty member related to RTP evaluation recommendations and at least five (5) days for other communications before placing a copy of such communication in the faculty member's Personnel Action File. Section 11.5 provides the opportunity for a faculty member to meet with the appropriate administrator before material is placed in the faculty member's PAF.

- b. Section 11.5 reads as follows:

Upon request, a faculty member shall be provided the opportunity to meet with the appropriate administrator regarding material to be placed in the file to which the faculty member objects. The request to meet, if any, shall be made within five (5) days of the receipt of the notification. If no meeting is requested, the material will be placed in the file. If a meeting is requested, it shall take place within ten (10) days of the request made by the faculty member.

- c. Section 11.7 reads in part as follows:

Materials for evaluation submitted by a faculty unit employee shall be deemed incorporated by reference in the Personnel Action File, but need not be physically placed in the file. An index of such materials shall be prepared by the faculty unit employee and submitted with the materials. Such an index shall be permanently placed in the Personnel Action File. Materials incorporated by reference in this manner shall be considered part of the Personnel Action File for [RTP actions].

The language from the *Faculty Bargaining Agreement* means that, in addition to the resume, an index of supporting materials must be prepared by the faculty member; the resume and the index from each year of review will become part of the faculty member's Personnel Action File.

CONSIDERATION AT THE DEPARTMENT LEVEL

1. Meeting between the Faculty Member and the Department Personnel Committee.

Section 631.2 (page 51) of the Administrative Manual states that,

Prior to submitting their recommendation, the Department Committee shall invite each faculty member under consideration to meet with them to elaborate upon material in the Personnel Action File and the Professional Information File, or to answer questions that may exist.

2. Consultation between Chair and Department Personnel Committee.

Section 634.1 (page 58) of the Administrative Manual states that:

There shall be consultation between the Department Personnel Committee and the Department Chair. The Department Personnel Committee shall, whenever possible, consult with the tenured members of the Department.

3. Notification to the Faculty Member.

635.2 The Department Personnel Committee, the Department Chair, the College Personnel Committee and the College Dean separately and in writing shall provide an evaluation of the candidate with reasons based upon an analysis of the evidence presented. The written evaluation shall include a description of the candidate's performance which relates specifically to each of the criteria cited in Section 632.2 - 632.6. The written evaluation also shall include a specific recommendation on . . . retention, and/or tenure. Each committee shall provide only one recommendation for each personnel consideration. The written recommendation and evaluation shall be in the form of a letter addressed to the candidate and such letter shall not include the disclosure of any vote or numerical division of the committee. If the recommendation of a college-level agency is positive, an evaluation of a performance criterion may take the form of a statement of concurrence with a department-level evaluation.

1. Each recommending agency shall include in the letter a statement that 606.1.2.e gives to the faculty member the right to place in the Personnel Action File a written response to any written recommendation.
2. A copy of the written evaluation and recommendation shall be placed in the faculty member's campus mailbox and otherwise made available upon request ten (10) calendar days before it is placed in the Personnel Action File and is sent to each of the other recommending agencies. The faculty member may request a meeting to discuss the recommendation, to be held within those ten (10) calendar days. Following this meeting, the written evaluation and recommendation may be revised by the mutual consent of the faculty member and the recommending agency, provided that such revision shall not extend the timelines. The faculty member may also submit a rebuttal statement or response in writing. A copy of the response or rebuttal statement shall be placed in the Personnel Action File and shall also be sent to all previous levels of review.

CONSIDERATION AT THE COLLEGE LEVEL

1. Deliberations of the College Personnel Committee and the College Dean.

Between February 11 and March 7, 2008 the College Personnel Committee and the College Dean shall review the Department recommendations and other relevant materials and each shall arrive at a recommendation on retention, tenure or termination for each probationary faculty member. The faculty member's Professional Information File submitted for review at the College level must be identical to the file reviewed at the Department level, unless the provisions permitting addition of materials have been fulfilled. (606.1.1.b., page 11).

2. Notification to the Faculty Member.

No later than March 7, 2008, the College Personnel Committee and the College Dean, separately and in writing,

. . . shall provide an evaluation of the candidate with reasons based upon an analysis of the evidence presented. The written evaluation shall include a description of the candidate's performance which relates specifically to each of the criteria cited in Section 632.2 - 632.6.

The written evaluation also shall include a specific recommendation. . (Section 635.2, page 59).

A copy of the written evaluation and recommendation shall be placed in the faculty member's campus mailbox and otherwise made available upon request ten (10) calendar days before it is placed in the Personnel Action File and is sent to each of the other recommending agencies (Section 635.2.2, page 59).

3. Right to Appeal.

Within ten (10) calendar days after the College level recommendations are placed in the Personnel Action File, the affected faculty member may appeal, in writing, any negative recommendations made at the College level to the Personnel Planning and Review Committee (Section 660.4.1, page 73); the deadline date for filing an appeal is March 28, 2008.

THE PROVOST AND VICE PRESIDENT'S DECISION

1. The President has designated the Provost and Vice President for Academic Affairs to make final decisions on retention, tenure, and promotion.
2. In years three and five of probation (served either on campus or as service credit for experience prior to appointment), the Dean makes the final decision on retention unless there has been a negative recommendation at the Department or College level or unless the candidate has applied for early tenure or accelerated promotion.
3. Notification of the Provost and Vice President's Decision to the Faculty Member.

No later than June 1, 2008, the Provost and Vice President will notify probationary faculty who have served more than two years whether they are to be reappointed for another academic year, are to receive tenure at the beginning of the 2008-09 academic year, or are to be terminated at the end of the 2008-09 academic year.

If you have any questions on any of these matters, please call me on Ext. 2962.

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Attachments: Appendix A (Resume Form)
Appendix B (Calendar)
List of 3rd through 6th-year probationary faculty (College Dean; Chairs, College Personnel Committees; Chairs, Department Personnel Committees; and Department Chairs)
Grid for reporting recommendations on 3rd through 6th-year probationary faculty (College Deans only)

RESUME

(see also Section 632 (p. 52-57) of the CSUN Administrative Manual)

Date _____

Name _____ Department _____

I. PROFESSIONAL PREPARATION.

- A. List degrees, year of completion, and granting institution
- B. Relevant experience

Indicate all teaching experience (whether full-time or percent of part-time), showing rank, institution, and dates of service. If promoted at a prior institution show date of promotion. Indicate rank and step and date of appointment at CSUN.

Other related employment or experience - indicate all experience relevant to teaching area, including date of employment, employer and nature of duties performed.

II. TEACHING EFFECTIVENESS AND DIRECT INSTRUCTIONAL CONTRIBUTIONS.

Teaching effectiveness is a primary criterion for tenure as well as promotion to any rank. Evaluation of teaching effectiveness shall be based upon class visits by the Department Chair and the Department Personnel Committee or their designees, student evaluations of teaching effectiveness, and other sources of evidence of teaching effectiveness deemed appropriate by the Department.

III. CONTRIBUTIONS TO THE FIELD OF STUDY.

- A. Research or equivalent creative activity beyond terminal degree. (Performance, exhibits, and creative work.) Please indicate dates of completion (back-up material in supporting file).
- B. Publications - Please indicate dates and complete bibliographic detail. (Back-up material in supporting file).
- C. Participation in professional organizations, institutes, etc.
 - 1) Memberships in local, state or national organizations, and offices held in such organizations.
 - 2) Attendance at professional meetings (since date of appointment or last promotion).
 - 3) Presentations of research or other participation before professional groups. (Back-up material in supporting file, if available).
- D. Pioneering work in profession (organizing professional group, promoting reforms, developing new fields, etc.).

IV. CONTRIBUTIONS TO THE UNIVERSITY AND COMMUNITY.

- A. Effective participation in faculty and student affairs at various levels. (University, College, Department)
 - 1) Memberships in departmental committees
 - 2) Memberships in college committees
 - 3) Memberships in all-university committees or governing bodies
- B. Student Advisement and Counseling
- C. Community Service

This is a suggested form for you to follow. It is not expected that evidence will be listed in each and every category.

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**2007-08 ACADEMIC YEAR CALENDAR OF PERSONNEL ACTIONS AND
PROCEDURES FOR THIRD THROUGH SIXTH-YEAR PROBATIONARY FACULTY
MEMBERS**

January 22 (Tues.) or earlier - Department Personnel Committees begin deliberations on retention, tenure, and promotion on those faculty to whom notice regarding their status in the next academic year must be given by the Provost and Vice President for Academic Affairs by June 1, 2008.

February 1 (Fri) or earlier - Department Chairs and Department Personnel Committees shall make available to the candidates their recommendations on promotion and on those faculty to whom notice regarding their status in the next academic year must be given by the Provost and Vice President for Academic Affairs by June 1, 2008. Copies of the letters are not forwarded to the other recommending agencies until February 11 or 10 calendar days after the original letter is forwarded.

February 11 (Mon) or earlier - Department Chairs shall forward to the Deans of their Colleges their recommendations and those of their Department Personnel Committees on promotion and on those faculty to whom notice regarding their status in the next academic year must be given by the Provost and Vice President for Academic Affairs by June 1, 2008. The Dean shall transmit the Department recommendations (including the results of final balloting) to the Chair of the College Personnel Committee.

March 7 (Fri) or earlier - The Dean and College Personnel Committee shall make available to the candidates their recommendations on promotion and on those faculty to whom notice regarding their status in the next academic year must be given by the Provost and Vice President for Academic Affairs by June 1, 2008. Copies of the letters are not forwarded to the other recommending agencies until March 17 or 10 calendar days after the original letter is forwarded.

March 17 (Mon) or earlier - The Chair of the College Personnel Committee shall transmit the recommendations of the College Personnel Committee (including the results of final balloting) to the Dean. The Dean of each College shall forward to the Provost and Vice President for Academic Affairs all recommendations on promotion and on those probationary faculty to whom notice regarding their status in the next academic year must be given by the Provost and Vice President for Academic Affairs by June 1, 2008.

March 28 (Fri) or earlier - Faculty members not recommended for promotion, tenure, or retention may file an appeal with the Personnel Planning and Review Committee.

April 4 (Fri) or earlier - Faculty members who have filed an appeal must submit to the Office of Faculty Affairs all material supporting their appeal to the Personnel Planning and Review Committee.

May 5 (Mon) or earlier - The Chair of the Personnel Planning and Review Committee shall make available to appellants the Committee's recommendation on promotion, retention, and tenure appeals.

June 1 (Sun) or earlier - The Provost and Vice President for Academic Affairs shall formally notify those faculty to be promoted effective for the 2008-09 academic year. Also, the Provost and Vice President for Academic Affairs will notify probationary faculty who have served more than two years whether the subsequent academic year is an additional probationary year or a first year of tenure or a terminal notice year.

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