COVER SHEET FOR PROPOSED CHANGES TO DEPARTMENT/COLLEGE PERSONNEL PROCEDURES

In order to facilitate a complete and expeditious review by the Personnel Planning and Review Committee (PP&R) of the change(s) you propose to your personnel procedures, please adhere to the format described below, and also fill out the Background Information. Attach this memo as a cover sheet for the written material you submit to PP&R. PP&R assumes that the initiating Department or College Committee has determined that the proposed new or revised procedures are consistent with Section 600 and with the Collective Bargaining Agreement.

FORMAT: Please use a complete copy of your existing procedures as the starting point for the proposed revisions that you submit to PP&R for approval. Strike over any text that you wish to have deleted from your written procedures, and/or underline any text that you wish to have added to your written procedures.

BACKGROUND INFORMATION:

1. Are proposed changes those of College ☑ or Department ☐ procedures? (check one)

2. Date that current proposed changes were sent forward ________________

3. Department or College initiating proposed changes ________________

4. Describe briefly the general reason(s) for your proposed change(s) (e.g., "proposed changes were initiated by the Department in response to a request from the College Personnel Committee, which felt that existing promotion criteria were too rigorous").

   Clarified the definition and requirements for "academic qualification" of faculty and made editorial changes.

5. The proposed changes have been approved by the faculty of the College ☑ or Department ☐ (check one)

FOR DEPARTMENT PERSONNEL PROCEDURES:

Chair, Department Personnel Committee __________________________ Date ________________

Department Chair __________________________ Date ________________

FOR DEPARTMENT PERSONNEL PROCEDURES & COLLEGE PERSONNEL PROCEDURES:

Signature on file. __________________________ 4/12/11

Chair, College Personnel Committee __________________________ Date ________________

Signature on file. __________________________ 4/8/11

College Dean __________________________ Date ________________

Signature on file. __________________________ 6-2-11

Chair, Personnel Planning and Review Committee __________________________ Date ________________

(for PP&R use only)

S'11 __________________________ F'11 __________________________ 2015-2016

Approval Date Effective Date (see attached) Date of Next Review

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COLLEGE OF BUSINESS & ECONOMICS PERSONNEL POLICIES

A. Introduction

1. This section of the handbook describes the rules used by the College of Business and Economics governing hiring of new faculty, retention of probationary faculty, promotion of faculty, tenure, and ongoing standards for all faculty.

2. The relationship between the College Personnel Policies and other sets of rules is laid out below.

   a. All procedures in recruiting faculty and in recommending their retention, tenure, and promotion are governed by the provisions of Section 600 (California State University, Northridge Administrative Manual), and the Agreement Between the Board of Trustees of the CSU and the California Faculty Association: Unit 3 - Faculty (the Collective Bargaining Agreement).

      The current Faculty Collective Bargaining Agreement provides the sole basis for the dismissal, demotion or suspension of tenured faculty. None of the provisions of the Faculty Handbook shall be construed as a basis for, or used for the purposes of, dismissal, demotion, or suspension of tenured faculty.

   b. Consistent with the rules mentioned in 2.a., the College Personnel Policies described in this handbook provide additional rules for hiring of new faculty, retention of probationary faculty, tenure, promotion, and ongoing standards for all faculty.

   c. Consistent with the rules mentioned in 2.a. and 2.b., the departments of the College of Business and Economics may define additional rules for hiring, retention, tenure, and promotion. Such additional rules must be approved as specified in Section 600.

   d. Recommendations for retention, tenure, and promotion shall be based solely on merit. Performance shall be evaluated in the areas of teaching, contributions to the field of study, and contributions to the University and community.
B. General Policies

1. Objectives
   a. Teaching is our primary mission: therefore, the capacity for teaching excellence shall be of primary importance in hiring and recommendations for retention, tenure, and promotion.
   b. Continuing scholarship is essential to excellence in teaching; therefore, faculty should continue to contribute to their field of study throughout their career.

2. Hiring new faculty members
   a. Section 600 and the Collective Bargaining Agreement govern all recruitment and selection procedures.
   b. The College will hire candidates for probationary positions who are academically qualified (as defined in Section VIII of this Handbook) and who are expected to qualify for tenure by the end of their probationary period.
   c. Requests for advanced rank for new probationary hires will include recommendations from the following: Department Personnel Committee, Department Chair, College Personnel Committee, and College Dean.
   d. A Department Committee screens applicants for probationary positions in the Department before submitting the recommendations to the Dean.

   In making recommendations, the Department will consider the following factors:
   - How the candidate’s qualifications support the mission of the College and the University;
   - Specific needs of the College’s degree programs and majors;
   - Recruitment processes should be consistent with the policies of the Office of Equity and Diversity. Specific guidelines can be found in the Manual of Procedures for Search and Screen Committees for Full-Time Faculty Positions, available on the Faculty Affairs website.
3. Retention, Tenure, and Promotion

a. General Concerns

1) All retention and tenure recommendation procedures are governed by Section 600 and the Collective Bargaining Agreement.

All procedures regarding promotion and evaluation of probationary and tenured faculty are governed by Section 600 and the Collective Bargaining Agreement.

2) The requirement of a doctorate degree is met when the Dean of the College of Business and Economics receives notice from the Registrar at the awarding institution of the completion of all the requirements for the degree and of the date on which the degree will be awarded or verification of degree completion through the National Student Clearinghouse.

3) A probationary faculty member must submit his or her Professional Information File to the Dean’s office every year (except the first). Candidates for promotion must submit their Professional Information Files to the Dean’s office in order to be considered. (Both Departmental and College level agencies have access to the file in the Dean’s office at appropriate times.) Failure to submit a Professional Information File shall constitute a voluntary withdrawal from promotion consideration (see Section 600), but a probationary faculty member may not withdraw from consideration for retention or tenure (see Section 600).

b. Retention of Probationary Faculty

Department Chairs and Department Personnel Committees are urged to express any concerns they have regarding a faculty member’s performance, together with an opinion as to whether the faculty member is “on track” or “off track” for tenure, when writing letters for an additional probationary year.

c. Tenure and/or Promotion

Tenure or promotion requires a basis for expecting continuing high quality performance by the individual in teaching effectiveness, contributions to the field of study, and contributions to the University and community. The requirements for tenure or promotion are higher than the Ongoing Standards for Faculty Members given in Section
VI.B.4. The review period for each of these three factors is (a) since the initial appointment and beyond the dissertation for tenure and for promotion to Associate Professor, and (b) since promotion to or appointment as Associate Professor, for promotion to Professor.

Tenure or promotion requires a demonstration of teaching effectiveness throughout the review period. In totality, the individual's evidence of teaching effectiveness must be of such quality as to indicate a strong commitment to students' learning.

Tenure or promotion requires a demonstration of substantial service to the University throughout the review period. Opportunities for service are available at department, college, and university levels but this does not imply that service must be at all three levels. In totality, the service activities of the individual must be of such scope as to indicate a high degree of dedication, initiative, and commitment to the Department, College, University, and/or community.

In order to be recommended for promotion or tenure, a faculty member must be academically qualified (as defined in Section VIII) and must also meet the requirements outlined below. Academic qualification is necessary for tenure or promotion, but is not sufficient. Tenure or promotion to the next professional rank requires a record of continual intellectual contributions during the review period, including journal articles and/or books. In totality, the record must demonstrate such high quality and quantity as to indicate promise of strong future intellectual contributions to the field of study by the faculty member.

d. Accelerated Promotion

Probationary faculty members shall not normally be promoted prior to their sixth probationary year (including service credit). However, promotion to Associate Professor may be recommended earlier if the faculty member has fulfilled or exceeded all of the criteria contained in Section 600 for advancement to the next rank and demonstrated significant accomplishments in the areas of research and teaching.

In order to demonstrate evidence of significant accomplishments, the faculty member should:

1) possess a record of scholarly activities substantially superior to the usual requirement for promotion during the normal promotion period; and

2) exhibit superior teaching effectiveness and direct
instructional contributions both inside and outside the classroom of such quality as to indicate a strong commitment to student learning. Teaching effectiveness must be demonstrated over a long enough period of time to establish a consistent pattern or trend.

Similarly, faculty members being considered for accelerated promotion from Associate Professor to Professor will be expected to satisfy the same criteria described above, plus demonstrate superior service.

A request for accelerated promotion shall be initiated by the faculty member.

4. Ongoing Standards for Faculty Members

a. Expected Performance in Teaching

All faculty teaching classes (tenured or probationary, including those participating in the Faculty Early Retirement Program (FERP) or reduced-time bases; lecturers; and part-time instructors) are expected to be current in their instructional field, effective in the creation and delivery of instruction, and accessible to students consistent with College and Department standards. In addition, all faculty are expected to use feedback from COBAE assessments to improve their teaching. In accordance with the Section 600 (CSUN Administrative Manual), teaching effectiveness should be evaluated based on procedures established by the Department, including classroom visitations and student evaluations.

b. Expected Performance in Field of Study

All tenured and probationary faculty (including those on FERP or reduced-time bases) are expected to be academically qualified, as defined in Section VIII. All other faculty are expected to be either academically or professionally qualified, as defined in Section VIII.

c. Expected Performance in Contributions to the University and Community

All tenured and probationary faculty are expected to provide continuing service on Department, College, and University committees plus community-related activities. The pattern and scope should be consistent with the faculty member's rank and assignment.
C. Other Policies

1. Student Evaluation of Teaching

Students evaluate both the performance of the instructor and the accomplishment of program objectives. A single evaluation or assessment instrument is used to accomplish both purposes. The mission- or program-based portion of the instrument provides input into curricular review. Summarized across categories of classes, these are made available to the Administrative Council, committees, and faculty affinity groups for discussion and action leading to continuous improvement in the curriculum.

The portion of the instrument that evaluates instructor performance is confidential and is processed in accordance with Section #2 below. Faculty members receive summaries of the entire instrument for their classes.

a. Scheduling

1) Approved questionnaires for Student Evaluation of Teaching shall be administered for all full-time faculty during the spring semester of each academic year.

2) Such evaluation will also be conducted for first and second year probationary faculty as late in the Fall semester as is consistent with providing the evaluation results to the Department Chair and the Department Personnel Committee in time for their deliberations and deadlines for forwarding recommendations to the College level.

3) Any faculty member may elect to have evaluations done in the Fall semester.

4) Part-time faculty shall be evaluated in their first semester of teaching and thereafter at least annually.

b. Processing

1) Computer-produced summaries of the questionnaire shall be prepared and distributed as follows:

One copy to the faculty member, one copy to the Department Chair, and one copy to the faculty member's Personnel Action File, and, for graduate level courses, one copy to the Graduate Director (who shares with the Department Chairs the responsibility for staffing graduate courses in this College).
2) The Department Chair's copy of the evaluation summaries shall be available to the Department Personnel Committee for those faculty who are subject to personnel action.

3) The teaching evaluation summaries shall be retained for a minimum of five years. The source documents for the student evaluation of faculty shall be retained for one year from the date of administration of the questionnaires.

4) Each faculty member shall be notified when the copies of the computer-produced summaries and free-form responses are available. If the faculty member does not pick up these documents by the end of the semester following the semester in which the questionnaires were administered, then these documents shall be shredded or otherwise destroyed.
A. ACADEMIC AND PROFESSIONAL QUALIFICATIONS

1. Objectives

The first purpose of this policy is to promote a community of scholars in which all faculty members are committed to life-long learning, excellence is expected and achieved, and mutual support and encouragement for continual improvement is part of the college culture. The second purpose is to help ensure that faculty members meet either the academic or professional qualification requirements as given in this document.

The College expects all tenure-track and tenured faculty to maintain academic qualification throughout their careers, and expects all other faculty (full-time and part-time lecturers) to maintain academic or professional qualification throughout their careers. Academic or professional qualification requires a combination of original academic preparation plus maintenance of currency in an individual faculty member's area of teaching.

2. Academic Qualification

a. Minimum Requirements

A faculty member must have an appropriate terminal degree as specified by the AACSB standards, and normally have a minimum of two refereed journal articles (or equivalent) and evidence of additional intellectual contribution during the preceding five-year period. Individuals are considered academically qualified for the five years subsequent to receipt of their terminal degree. Normally, members of the Graduate Faculty meet the College’s requirements for Academic Qualified status and have achieved at least three journal publications or have achieved at least two journal publications and four other intellectual contributions in the preceding five-year period.

b. Types of Contributions

Faculty members can achieve or maintain academic qualification with various portfolios of contributions, including refereed journal articles, books, chapters, monographs, conference presentations, and other mission-relevant contributions. The criterion at the College level is that the balance of contributions among the three categories must reflect the College's mission; however, the College's total portfolio of contributions cannot be predominantly in the area of learning and pedagogical research. The College's desire for a more balanced overall portfolio will not affect the judgment of any one faculty member’s individual portfolio.
Contributions must satisfy the criteria in Section C.2.c. Department and College personnel committees will establish equivalency guidelines and evaluate equivalence of specific contributions, considering current publication standards in their fields (Appendix VIII gives some examples).

Intellectual contributions of the faculty are divided into three categories: (1) Learning and Pedagogical Research, (2) Contributions to Practice (or applied research), and (3) Discipline-based Scholarship (or basic research). These categories are defined as follows:

- **Learning and Pedagogical Research** contributions influence the teaching-learning activities of the College. Preparation of new material for use in courses, creation of teaching aids and case studies, and research on pedagogy, are classified as Learning and Pedagogical Research contributions.

- **Contributions to Practice (or applied research)** influence professional practice in the faculty member's field. Articles in practice-oriented journals, creation and delivery of executive education courses, development of discipline-based practice tools, and published consulting reports on consulting are classified as Contributions to Practice.

- **Discipline-based Scholarship (or basic research)** contributions add to the theory or knowledge base of the faculty member's field. Published research results and theoretical innovation are classified as Discipline-based Scholarship contributions.

Consistent with the Mission and Vision of the College, and its graduate and undergraduate programs, the College seeks to maintain the following aggregate portfolio percentages among the three categories of intellectual contributions:

- Learning and Pedagogical Research: 10-20%
- Contributions to Practice: 20-35%
- Disciplined-based scholarship: 45-65%

Individual faculty member portfolios may vary from these aggregate percentages.

Faculty members have the initial responsibility, using the above definitions, to exercise their best judgment in classifying and reporting their respective intellectual contributions. Annually, the Department Chairs and the
Associate Dean shall review faculty classifications and, when necessary, consult with faculty members to revise reported classifications in order to ensure consistency across Departments and faculty.

c. Criteria for Contributions

To count toward academic qualification, contributions normally satisfy the following three criteria:

*Mission Relevance.* The contribution should apply to one or more of the following areas: learning and pedagogical research, contributions to practice, and discipline-based scholarship.

*Public Availability or Verifiability.* A contribution is available for public scrutiny when practitioners or academic peers can, without undue difficulty, locate and retrieve the contribution in physical or electronic form. A contribution is verifiable when there is a public record that independently verifies the individual's work, for example, the listing of editorial board members in a professional journal.

*Independent Quality Assurance.* There must be a way to ensure that the contribution satisfies an acceptable standard of quality in the field. A common method is the peer review process in which a contribution is read, assessed, critiqued, and subjected to sound acceptance standards by individuals with relevant academic or professional experience.

d. Relationship of Academic Qualification Requirements to RTP Standards

The quantity and quality of professional contributions acceptable for academic qualification (AQ) status are designed to ensure that faculty maintain currency in their disciplines. The minimum AQ standard applies to all faculty. Academic qualification is necessary for promotion or tenure, but is not sufficient. In order to be recommended for promotion or tenure, a faculty member must be academically qualified and must also meet the requirements outlined in Section VI.B.3.c of this Handbook. Departments may have higher standards in the quantity and quality of professional contributions required for retention, tenure and promotion (RTP) decisions than are required by the College, provided that these standards are approved as specified in Section 600 (California State University, Northridge Administrative Manual).

e. Peer Reviewed Publications and Assurance of Quality
Peer reviewed publications are defined as publications employing an independent prior review process by an editorial board or committee widely acknowledged as possessing expertise in the field. The peer review should be independent; provide for critical and constructive feedback of submitted work; demonstrate a mastery and expertise of the subject matter; and be undertaken through a transparent process notwithstanding the involved author may be anonymous. Such a review ensures that the submitted work is subject to the expected scrutiny by academic peers or practitioners prior to publication.

The faculty recognize that peer review is a crucial element by which the College can demonstrate overall quality of its intellectual contributions. As such, the College requires that peer reviewed journals satisfy the following quality requirements in order to be considered as a peer reviewed publication:

1. **Acceptable Quality** – Peer reviewed journal publications must have an acceptance rate of not more than 40% as reported by directories of peer reviewed journal listings and rankings. Absent a reported acceptance rate or given other evidence as to the quality of a specific journal, the relevant Department Personnel Committee shall evaluate and determine whether the journal is of acceptable quality, subject to consultation with the College Personnel Committee.

2. **Evaluation as to Quality** – A journal may have a reported acceptance rate of not more than 40% and yet considered to be of insufficient quality. For example, information on acceptance rates or editorial processes may be unavailable or unreliable for new journals, foreign publications, and journals with narrow specialization. In such instances, a faculty member, the College Personnel Committee, or the Dean may request that the relevant Department Personnel Committee evaluate and present evidence regarding the quality of a specific journal, subject to consultation with the College Personnel Committee.

- **Evaluation by Department Personnel Committees** - The Department Personnel Committee shall consider a variety of factors in making its determination of quality, including but not limited to: the reputation of the editor and the editorial board, the academic or publisher affiliation of the journal, citation counts of the journal or publication, and other evidence indicative of quality. In order to ensure consistency across departments, when a journal is determined to be of sufficient quality, the Department Personnel Committee shall then present its evaluation,
with supporting information, to the College Personnel Committee for evaluation by the College Personnel Committee. Only when the publication is determined by the College Personnel Committee to be of sufficient quality will the journal be considered of acceptable quality. Subsequently, each Department Personnel Committee may make available a list of journals that it has determined to be of acceptable quality within its discipline.

- Consultation with the College Personnel Committee - The College Personnel Committee, in consultation with the Department Personnel Committee, will consider a variety of factors as may be presented by the Department Personnel Committee, including but not limited to: the reputation of the editor and the editorial board; the academic affiliation of the journal, the reputation of the publisher, citation counts of the journal or publication, and other evidence indicative of quality.

3. Prospective Application – A journal will be considered of sufficient quality for articles already submitted, accepted for publication, or published prior to a decision by the Department Personnel Committee to re-classify a journal as of insufficient quality. Similarly, when a peer reviewed journal is subsequently reclassified as of insufficient quality, previously submitted, accepted, or published articles will still be considered of acceptable quality for current personnel review purposes.

3. Professional Qualification

At the time of hiring, candidates for a full-time or part-time lecturer position shall normally be either academically qualified (AQ) or professionally qualified (PQ).

PQ status is normally granted to faculty members who have at least a master’s degree in a field related to the area of teaching and have professional and/or technical experience of significant duration and responsibilities. This experience provides the intellectual capital that allows them to contribute to the teaching mission of the College. PQ faculty must meet the following qualifications:

a. In most cases, possession of at least a masters degree (or equivalent qualification) in a discipline or field related to the area of teaching responsibilities;

b. Professional experience at the time of hiring that is significant in duration and level of responsibility and consistent with the area of teaching responsibilities; and

c. Continuous development activities that demonstrate the
maintenance of intellectual capital (or currency in the teaching field) consistent with teaching responsibilities.

As stated, the professional experience must be significant in duration and level of responsibility and consistent with the area of teaching responsibilities (e.g., a faculty candidate with a master’s degree in accounting and 1-2 years of experience in a CPA firm as a junior accountant would not have sufficient experience to be classified as PQ in any circumstance). The quality, complexity and length of the professional experience of the PQ faculty must increase with the level of the teaching assignment. For example, the amount of experience required for someone who teaches at the introductory level is less than the experience expected to teach senior-level advanced classes or at the graduate level. As a general guide, the professional experience should be significant enough to provide the PQ faculty member the intellectual capital that is reasonably equivalent to that of an AQ faculty member who would be assigned to teach the same course(s).

PQ faculty members must continue to participate in appropriate development activities to maintain their status. PQ status may be lost if continuous development activities are not undertaken. PQ status can be regained through appropriate development activities. PQ status should be sustained (or regained) through development activities that enable faculty to maintain their intellectual capital and currency in the subject matter being taught. Such activities may include:

- conducting an active consulting practice of significance and duration;
- creating and/or delivering highly successful executive education programs;
- serving on one or more board of directors;
- publishing papers in academic, professional, or trade journals;
- presenting papers at academic or professional conferences;
- publishing papers in conference proceedings;
- publishing other intellectual contributions such as technical reports, textbooks, book chapters, and supporting materials;
- continuing in an active role of significance in a business enterprise;
- serving in an influential capacity or active role of significance with a professional association that impacts the standards for the profession;
- enrolling in graduate classes or attending workshops/seminars held by professional associations;
- other approved activity of a substantial nature that ensures currency in the discipline.
The level and amount of development activities required depends on the level of teaching responsibilities (e.g., less for introductory courses than advanced courses). A PQ faculty member without additional development activities shall be deemed to be PQ for a period of five years (or less if the duration and level of the professional experience lacks depth and rigor).

PQ faculty may be assigned to teach graduate classes, but the College must demonstrate how the PQ faculty member is qualified to teach at this level based on the level, duration, and complexity of professional or technical experience.

Faculty with a Professional Qualification status may be admitted to the Graduate Faculty, particularly for teaching assignments in specialized business courses or degree programs, especially the M.S. Taxation. PQ faculty should be respected leaders in their fields, such as senior executives or consultants.

**Procedures for Assessing Professional Qualification Status**
Department Chairs shall be responsible for assessing each faculty member’s potential PQ status. If a faculty member (whether full-time or part-time) is AQ, then the Chair shall use discretion in determining whether or not the faculty member’s potential PQ status should be assessed. The Chair does not need to provide a written assessment for faculty members who are deemed not to be PQ and who have little chance of attaining PQ status within the next two or three years.

For each faculty member who—in the Chair’s view—has a substantial chance of being assessed as PQ within the next two or three years, the Chair shall provide a brief written assessment containing (a) the reason the faculty member is not currently deemed to be PQ, and (b) developments that could possibly lead to the faculty member’s being declared PQ in the next two or three years.

These brief written assessments might typically contain a lead-in paragraph of two or three sentences, plus two or three bullet points that provide some specifics supporting the Chair's assessment.
4. Process for Determining and Documenting Academic or Professional Qualification Status

Each faculty member will maintain an academic or professional qualification folder, on file in the applicable department office that contains copies of all contributions during the previous five-year period relevant to the requirements for academic or professional qualification. (The folder is needed for accreditation purposes and is independent of the Personnel Information File used in RTP matters.) This folder will be reviewed and evaluated annually by the applicable department chair to determine if the faculty member meets the expectations of the College for academic or professional qualification. The decision of the Dean of the College of Business and Economics is final regarding academic or professional qualification status.