

Guidelines for Review of Department and College Personnel Procedures

From the Personnel Planning and Review Committee
(REVISED Fall 2009)

The process of developing and implementing Department and College personnel procedures related to retention, tenure, and promotion (RTP) is an often challenging and time consuming but critically important process. The following are some suggestions to personnel committees that are reviewing and revising their procedures.

Time Lines

Department and College criteria, policies, and procedures, even if unchanged, will be reviewed in their entirety every five years to assure they are consistent with College and University policies and procedures. The five-year review applies to Post Tenure Review procedures (Section 645.6.1) as well as procedures related to RTP and review of Part-time Faculty.

Procedures not forwarded to, or not approved by, the Personnel Planning & Review Committee at the five-year limit will be considered obsolete, and all criteria, policies and procedures will revert to Section 600.

1. The first step is for the Department or College faculty to review their procedures within the 5-year period or earlier. The deadline for Departments to submit their revised procedures to the College and the deadline for the College to submit the approved Department procedures or College personnel procedures to PP&R are set forth in the Academic Year Calendar of Personnel Procedures at the back of Section 600, but may be submitted earlier.
2. Once approved by the College, the Department or College personnel procedures are submitted to PP&R for review. The submitted procedures must include the signature of the Department Personnel Committee chair and the Department Chair (where applicable), the chair of the College Personnel Committee, and the College Dean.
3. If approved by PP&R, the Department and College will be notified of the date that the revised procedures will become effective. If the revised procedures include revised criteria for evaluation and review, those criteria become effective three years after approval unless an alternative effective date was agreed upon by PP&R.

Reviewing for Consistency with College and University Procedures

In case of conflict, College procedures prevail over Department procedures, Section 600 prevails over College and Department procedures, and the Faculty Contract prevails over all of these. PP&R will review proposed procedures, even those that remain unchanged, to assure consistency with Section 600 and the Faculty Contract.

Review of Department and College personnel procedures is an interactive process between PP&R and the Department or College Committee. A subcommittee of PP&R will work with the

Department or College Committee initially to advise them on the process of review and any necessary areas for revision or re-review. The procedures are then reviewed by the entire PP&R committee for approval or to be returned for additional changes.

Developing New or Revised Procedures

As a first step, many College and Department committees review their procedures by considering personnel procedures within the College or other Colleges. For example, many departments are considering the use of MOUs related to expectations in the areas considered in RTP or procedures related to early promotion and have reviewed recently approved procedures related to these topics in other departments. Note: Department and College personnel procedures are available for review on the Faculty Affairs web site under “Policies.”

While Departments may want to consider other Departments’ policies, the Department will still want to focus on policies that work for their department and their discipline. The Department will also want to assure that their policies are clear to other reviewing agencies such as the College Personnel Committee, PP&R, and the Provost and most importantly, that they are clear to candidates and reviewers in the Department.

In many cases, the revised procedures will go into effect at the start of the next academic year. However, if the new or revised procedures establish more rigorous criteria for promotion and/or tenure (e.g. additional number of publications, elimination of an equivalency to publication) they do not go into effect until three years later. Faculty under review may request to be reviewed under the new standards by following the notification procedures set forth in Section 612.4.2.b (6).

Post Tenure Review and Part-time Faculty Review Procedures

Section 645 (“Periodic Review of Tenured Faculty) sets forth the University procedures for Post Tenure Reviews (PTR). Note that department criteria for review of tenured faculty must be approved by the tenure track faculty in the Department, the College Dean, and PP&R.

Many of the current department policies were developed and approved over 25 years ago and are out of compliance with Section 645 and the Faculty Contract. Departments are encouraged to review their PTR criteria and revise them for review and approval by PP&R.

Several departments have expressed an interest in developing specific criteria and evaluation processes regarding appointment, range elevations, and Service Salary Increases (SSIs) for part-time faculty. Such procedures require approval by the Department, the College Dean, and PP&R and may be reviewed by the College Personnel Committee if the Department chooses to do so.

Part-time faculty personnel procedures are reviewed pursuant to the same deadlines as RTP procedures (see back of Section 600).

Things to Keep in Mind

As a map for keeping the procedures organized, sequential, and in compliance with the *Administrative Manual*, there are specific areas that may be considered in each of the sections required in the RTP evaluation of faculty. These are listed below:

Section 632.3.2. Teaching Effectiveness (Effectiveness in Librarianship, Counseling)

“ . . . Evaluation of teaching effectiveness is based upon procedures established by the Department (see Section 612.5.2.c. (1)-(3)).” Within this context some of these points can be addressed:

- Distribution and collection of electronic student evaluations of teaching effectiveness.
- Uniform methods of solicitation, evaluation, and compilation of student comments when a candidate is being considered in the RTP process. But note: the policies must be consistent with Section 613 specifications on when oral comments by faculty, students, or others may be considered.
- Format for peer class visit reports as well as specific department-based criteria to be considered in the peer visit.
- Include special criteria if applicable for review of online, hybrid, service learning, team-taught, and lab courses.
- Time frame for compliance within the standards set by the University. For example, a Department may set earlier deadlines for review of files and letters of evaluation than the deadlines in the Academic Personnel Calendar.

Section 632.3.3. Faculty Activities/Instructional Contributions

“As part of their personnel procedures, Departments may identify additional types of contributions that warrant special recognition for advancing their instructional efforts.”

Bearing in mind the goals, learning objectives, and assessment tools that faculty are encouraged to include in their course syllabi, this is where each Department may address specific, department-based criteria. Examples include:

- Inclusion of students in research.
- The role of community-based learning within the context of the Department.
- Curriculum development.
- Review of student work.

Section 632.4.2.b. Contributions to the Field of Study

“Departments may prescribe additional publication requirements deemed appropriate to the discipline.”

Departments may establish minimum numbers of peer-reviewed publications or standards related to the quality of the journal or the publication.

Departments may also include policies related to co-authored or multi-authored articles including a requirement that co-authors identify the amount or level of their contributions to the article.

“Definitions of equivalences to publication shall include:

- (1) Identification of the format and public forum in which the equivalency appears and a statement of their significance to the field of study.*
- (2) Specific procedures and criteria by which the equivalency will be evaluated. The evaluation shall include an outside review by peers in the field.”*

Many departments at CSUN have identified equivalencies to publication in their personnel procedures. Examples include:

- juried exhibitions of creative work
- video and audio recordings
- public performances
- monographs
- externally funded grant proposals
- significant professional contributions such as consulting or technical reports reviewed by experts in the field
- patents
- computer software
- accreditation and assessment documents that are published and widely used and accepted in the field.

It is important that the language about equivalencies be clear and understandable both for the faculty member under review and the reviewing agencies. Further, equivalencies to publication, in whatever form, must receive external peer review by recognized and qualified scholars or professionals in the field and must be publicly available.

Some departments include specific procedures for external review. Policies related to outside reviews should be clear and well defined in terms of when and how the review will take place and how the outside reviewers will be selected. Further, outside reviewers should be informed, in writing, that faculty at CSUN have a right of access to their personnel files and thus the review, while confidential, may be seen by the individual faculty member.

Section 632.5.2. Contributions to the University and Community

“As part of their personnel procedures, Departments may, in addition, specify the types of contributions which advance their efforts in all of these areas.”

Departments may require a level of community service as part of the criteria for RTP. On several CSU campuses, community service is part of the review process for all faculty.

The criteria may be broad in terms of requiring the candidate to include examples of community service as part of the review or more specific in terms of the types of service expected. All such criteria should be clear and well-defined.

Department or college procedures may specify requirements related to leadership in faculty and student affairs and the specific levels of participation (Department, College, University), student advisement and mentoring, and contributions for which positive recognition should be given to faculty under Section 632.5.2.:

- Helping the University serve students and community members from under represented groups.
- Making significant contributions in advancing University programs dealing with teacher education.
- Making significant contributions in advancing University programs dealing with internationalization of education.

Other Things to Note

1. Department and College procedures should not refer to specific sections of the *Administrative Manual* since the Manual is reviewed each year and specific section numbers may change.
2. Department and College procedures should be supplemental to or further clarify requirements for review under Section 600 and should not simply quote Section 600 standards.
3. In most cases, PP&R reviews will be an interactive process requiring more than one draft of the proposed procedures. The Department should clearly date each draft to avoid confusion.