

CALIFORNIA STATE UNIVERSITY, NORTHRIDGE
PERSONNEL PLANNING AND REVIEW COMMITTEE

MINUTES OF MEETING December 14, 2016 APPROVED BY COMMITTEE Jan. 25, 2017
Sub. to Exec. Comm. _____ Approved by Exec. Comm. _____
Sub. to Acad. Senate _____ Approved by Acad. Senate _____

POLICY ITEM: 6

POLICY INTERPRETATION ITEM:

Members Present: David Boyns, Owen Doonan, Sheila Grant, Fermín Herrera, Lynn Lampert, Sean Murray, Kathleen Rowlands, Judy Schmidt-Levy, William Whiting, Jeff Wiegley, Yue (Jeff) Zhang

Members Absent: Christina Ayala-Alcantar, Vicki Ebin

Visitors: Yi Li, Jerry Stinner

Staff Present: Daisy Lemus, Executive Secretary, Iliana Carvajal, Recording Secretary

1. Call to Order

Grant called the meeting to order at 1:24 p.m.

2. Approval of Minutes from November 30, 2016

The Committee reviewed the minutes of November 30, 2016. The Committee acted on the following motion:

MSP: That the minutes of the meeting of November 30, 2016 be approved as amended.

Passed 11-0-0.

3. Announcements

Lemus announced that a Second Year faculty member under Retention, Tenure and Promotion review would be submitting an appeal to the Committee. The Committee discussed the time line for reviewing the Second Year appeal file, scheduling the appeal hearing, and who would serve on the subcommittee.

Schmidt-Levy announced that University Counseling has the first new Tenure Track position for the department in 25 years. The Committee congratulated the department on the newly approved position.

4. Section 600 Searches for 2016

A. Associate Vice President, Faculty Affairs

Herrera reported that the search for the Associate Vice President for Faculty Affairs is progressing. On-campus interviews were conducted on Nov. 28-29 and Dec. 1-2.

B. Director, Educational Opportunity Programs

Herrera shared that the MVA has been posted and is currently being advertised. Review of applications will begin on February 1, 2017.

C. Dean, Mike Curb College of Arts, Media and Communication

Whiting reported that the MVA has been posted and is currently being advertised. The review of applications will begin on January 30, 2017.

D. Associate Dean, College of Humanities

Lemus reported that two candidates had on-campus interviews and that the search committee will be advancing the final report to the Dean.

E. Director of University Counseling
No update.

5. Review of Request from the College Personnel Committee of MCCAMC for Extension to Submit Music Department Personnel Procedures

The Committee received a request from the MCCAMC College Personnel Committee Chair for an extension to submit the personnel procedures for the Department of Music to the PP&R Committee after the December 19, 2016 deadline. After discussion, the Committee acted on the following motion:

MSP: That the College Personnel Committee for the MCCAMC be granted an extension from December 19, 2016 to February 6, 2017 to submit the personnel procedures for the Department of Music to the PP&R Committee.

Approved unanimously.

The communication to the College Personnel Committee from the PP&R Committee will also include an admonishment regarding not meeting the deadlines. The Dean, DPC Chair, and Department Chair for Music will be included in the email communication.

6. Review of proposed Section 600 changes for Sect. 635.2.2; Sect. 641.2.4; Sect. 606.1.2.a & Sect. 606.2.3.b; Section 637.2; Sect. 604.4.8)

The Committee reviewed proposed changes to Section 635.2.2. regarding Evaluations and Recommendations on Retention, Tenure and Promotion. After discussion, the Committee acted on the following motion:

MSP: That Section 635.2.2. in the *Administrative Manual* be revised as follows:

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, tenure, and/or promotion. 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 its ~~the~~ letter a statement that ~~606.1.2.e gives to the faculty member~~ has the right to place ~~in the Personnel Action File~~ a written response to any written recommendation in the Personnel Action File (see 606.1.2.e.).

2. a. Notification

A copy of the written evaluation and recommendation shall be placed in the faculty member's campus mailbox and otherwise made available upon request before being forwarded to a subsequent review level. The reviewing agency will email candidates to report delivery of the recommendations to their campus mailboxes and mention that they may request an electronic copy.

b. Response

The faculty member may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation within ten (10) calendar days following receipt of the recommendation, 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~~ a meeting with the reviewing agency, 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.

Approved 11-0-0.

The Committee reviewed proposed changes to Section 641.2 regarding Advanced Award of Tenure. After discussion, the Committee acted on the following motion:

MSP: That Section *641.2.4*. in the *Administrative Manual* be revised as follows:

4. Advanced Award of Tenure.

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 University's institution mission, programmatic needs, or priorities. It is the responsibility of the positively recommending agencies to explain why it is advantageous ~~for the institution~~ to grant early tenure.

Approved 11-0-0.

The Committee reviewed proposed changes to Section 606 regarding Personnel Files. After discussion, the Committee acted on the following motion:

MSP: That Section *606* in the *Administrative Manual* be revised as follows:

606 **Personnel File**

606.1 Authorized Personnel Files.

1. Professional Information File.
 - a. Each faculty member has the responsibility of establishing and maintaining a record of professional information to be submitted by the

faculty member at the appropriate time for use in evaluation for retention, tenure, promotion, and service salary increase. The faculty member shall prepare an index of the contents of the Professional Information File, which shall be placed in the Personnel Action File each year the faculty member is evaluated.

- (1) The Department Chair shall assist the faculty in the development of the file and alert each faculty member in advance of the time when the file will be required.
 - (2) The Professional Information File shall contain a current curriculum vitae and such forms as the University may, from time to time, prescribe. The file shall also contain data on: 1) Professional Preparation; 2) Teaching Effectiveness; 3) Contributions to the Field of Study; and 4) Contributions to the University and Community. The faculty member may include, additionally, any other pertinent support material.
- b. The Professional Information File is the property of the faculty member. However, the faculty member's possession and control of the file is restricted by the following:
- (1) A faculty member may add material to the file at any time during the academic year up to the completion of personnel deliberations at the Department level. Insertion of material submitted after this date, other than faculty and administrative evaluations generated during the evaluation cycle and responses or rebuttals by the faculty member, must have the approval of the College Personnel Committee and shall be limited to items that became accessible after the close of Department deliberations (publication acceptances, notice of awards, lecture invitations, and the like). Copies of the added material shall be provided to the faculty member. Material inserted in this fashion shall be returned to the initial evaluation committee for review, evaluation, and comment before consideration at subsequent levels of review. The Department Committee may elect to change its recommendation on the basis of this new information even though the deadline for the recommendation has passed.
 - (2) Once the file has been submitted for use in the personnel evaluation procedure, the faculty member may not remove any materials until the evaluation has been completed and the file has been returned to the owner.
 - (3) Once the file has been submitted for use in the personnel procedure, it shall be retained by the University until all appeals filed in the current year have been decided, whereupon the file shall be returned to the faculty member.

2. Personnel Action File.

There shall be only one Personnel Action File. This file is the property of the University. For the probationary and tenured faculty, it is kept in the office of the College Dean for use only in personnel actions (such as retention, tenure, promotion, service salary adjustments, and other personnel matters dealt with in the bargaining agreement), which specify its use. The material in the Personnel Action File must be accurate and relevant to personnel actions.

a. The Personnel Action File shall include:

(1) A log sheet recording all instances of access to the Personnel Action File.

(2) Copy of appointment letter.

~~(3)~~A table of the contents of the faculty member's Professional Information File each year the faculty member was evaluated for retention, tenure, or promotion.

~~(3)~~Copies of Department recommendations on retention or promotion.

~~(4)~~Copies of recommendations made by the College Personnel Committee and Dean.

~~(5)~~Copies of all documents related to any appeal from a personnel recommendation.

~~(6)~~Copies of written reasons for conflicting, unreconciled Department and College recommendations which had been forwarded to the President of the University for resolution (see Section 633).

~~(7)~~Copies of notice letters from the President on personnel actions.

~~(8)~~A copy of the President's decision in Grievance and Disciplinary Action Cases.

~~(9)~~ Copies of written reprimands.

~~(10)~~ Correspondence concerning such matters as reappointment as Lecturer, approval of leave requests, and similar personnel actions.

~~(11)~~ Department, College, or University required documents, such as written reports of peer class visits and student evaluations of teaching effectiveness. Student evaluations of teaching effectiveness shall be retained for a minimum of five years.

~~(4213)~~ A dated copy of the faculty member's current curriculum vitae, of reasonable length, as of the most recent year in which the Professional Information File is submitted.

~~(4314)~~ Other communications or materials deemed by the Department Chair, College Dean, or Personnel Committees to be relevant to the criteria in Section 632.

~~(4415)~~ The location of other records kept on campus regarding the faculty member to which the faculty member has access.

~~(4516)~~ Sabbatical Leave Reports.

~~(4617)~~ Other materials that were part of the personnel process when they were placed in the Personnel Action File (e.g., copies of written reasons for negative recommendations).

- b. It is not expected that all communications reaching a Department or College regarding a faculty member will be placed in this file.
- c. Written communications identified by source may be placed in the file at the discretion of the Department Chair, the College Dean, and/or Personnel Committees. The faculty member shall be provided with a copy of such material at least five (5) days prior to such placement.
- d. 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 shall be made within five (5) days of the receipt of the notification. The meeting shall take place within ten (10) days of the request made by the faculty member.
- e. A faculty member shall have the right to place in the file a written response to any written communication contained therein.

3. Human Resources File.

The Human Resources File shall include:

- a. SC-1 and faculty requisition.
- b. Letter of appointment.
- c. Letter of acceptance.
- d. Official State forms and insurance records.

- e. University actions.
 - (1) Reappointment or termination.
 - (2) SSI recommendations.
 - (3) Approval of Leaves.
 - (4) Reappointment letters to Lecturers.

4. Employment File.

A confidential file for each full-time faculty member of the University will be established in the Office of Human Resources at the time of employment. This file is not open to the faculty member nor to personnel committees. It will contain confidential documents such as pre-employment placement papers, pre-employment evaluation forms, and letters of recommendation. This file shall be destroyed when the faculty member is awarded tenure.

606.2 Personnel File Procedures.

1. Use of Files.

The Professional Information File and the Personnel Action File shall be utilized in personnel considerations. The Human Resources File and the Employment File shall not be used in personnel considerations.

2. Completeness of the Files.

If the evidence in the file is not satisfactory to any individual or committee charged with making a recommendation, or if it does not appear to support the recommendations made, the file may be returned to the appropriate level for amplification.

3. Access to the Files.

a. A faculty member shall have full and unqualified right to inspect all materials in the Personnel Action File and Human Resources File. Faculty members may request appointments for the purpose of inspecting their Personnel Action Files.

b. When a faculty member requests an appointment to inspect the file, it shall be scheduled promptly, within two (2) days, during normal working business hours. The manner of inspection shall be subject to reasonable conditions. The faculty member may be accompanied

at such appointments by another individual of the faculty member's choice.

- c. Upon written request, faculty members shall be provided with copies of any material in their files within fourteen (14) days. The faculty member may be required to bear the costs of duplicating such items.
- d. The Dean is the custodian of the Personnel Action File. The Dean shall be responsible for the accuracy, relevance, and completeness of the Personnel Action File. No one is authorized to remove material from the Personnel Action File unless the faculty member requests removal. Faculty members may request, in writing, a correction or deletion of any material in their files if they believe 1) the material is inaccurate or 2) the material is irrelevant to personnel actions or 3) proper procedures were not followed in placing the materials in the file. Such a request shall be addressed to the College Dean, with a copy to the appropriate faculty committee, if such materials were generated by a faculty committee.
 - (1) The request shall specify those corrections or deletions that shall be made, with facts and reasons supporting the request. Such requests shall become part of the Personnel Action File, except in those instances in which the disputed material has been removed.
 - (2) If the request is denied by the College Dean, the faculty member may, within seven (7) calendar days of such a denial, submit the request to the President, with a copy to the Personnel Planning and Review Committee. If the Personnel Planning and Review Committee determines that the request involves a problem of interpretation of this Manual, the Committee shall advise the President of its interpretation before the President makes the final decision. The President shall, within twenty-one (21) days of such a request, provide a written response to the faculty member. If the request is granted, the record shall be corrected and the faculty member notified in writing. If the President denies the request, the response shall include the reason(s) for the denial.
- e. Administrative personnel charged with making recommendations in personnel matters, Department Chairs, and members of duly constituted personnel committees shall have the right of access to Professional Information Files and Personnel Action Files of candidates for retention, tenure, and promotion. They shall also have access to files when the provisions of Section 644.3 regarding service salary adjustments are applicable.
- f. Individuals required to give testimony in grievance or legal proceedings arising out of personnel considerations in which they had

access to files as provided in (e) above shall have access to the Professional Information File and Personnel Action File of the grievant.

- g. Except as specified in a, e, and f above, individuals and/or agencies shall have access to the Professional Information File only with the written permission of the faculty member.
- h. Except as specified in a, e, and f above, individuals and/or agencies shall have access to the Personnel Action File only upon presentation of a duly executed court order.
- i. All instances of access to a Personnel Action File shall be noted on Personnel Action File log-in sheet. Such a log record shall be a part of the Personnel Action File.

Approved 11-0-0.

The Committee reviewed proposed changes to Section 637 regarding Decision of the President. After discussion, the Committee acted on the following motion:

MSP: That Section 637 in the *Administrative Manual* be revised as follows:

637 Decision of the President.

637.1 The decision of the President on retention, tenure, and promotion is final with respect to personnel actions on this campus.

637.2 The President shall notify faculty in writing of the decision on retention, tenure, and promotion. Such written notification shall include the reasons for the decision. In addition to the faculty member, all recommending agencies (including PP&R when an appeal was filed) will receive a copy of the President's notification.

637.3 A copy of the notification shall become part of the faculty member's Personnel Action File and shall be the official view of the University.

Approved 11-0-0.

The Committee reviewed proposed changes to Section 604 regarding Professional Responsibility. After discussion, the Committee acted on the following motion:

MSP: That Section 604 in the *Administrative Manual* be revised as follows:

604 Professional Responsibility

This statement should serve as a guide for the professional conduct of the members of the faculty of this University. The responsibilities of a faculty member may be considered from four major perspectives: 1) as a member of an academic profession; 2) as a teacher; 3) as a colleague; 4) as a part of an academic institution.

604.1 As a member of an academic profession, the faculty member:

1. Devotes energies to developing and improving scholarly competence.
2. Accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge.
3. Practices, fosters, and defends intellectual honesty, freedom of inquiry and instruction, and free expression.
4. Respects the ethical and legal principles and guidelines of the faculty member's discipline(s).
5. Does not engage in ~~exploitive~~ exploitative, harassing, or discriminatory behavior towards faculty, staff, or students.
6. Treats faculty, staff, and students with civility, understanding, and respect.

Nothing in Section 604.1 should be interpreted as compromising or narrowing the boundaries of academic freedom and permissible speech by faculty.

604.2 As a teacher, the faculty member:

1. Encourages the free pursuit of students' learning and promotes the free and open exchange of ideas as related to the subject matter.
2. Exhibits and upholds the highest scholarly and ethical standards of the faculty member's relevant discipline(s); fosters honest academic conduct; and does not instruct, advise, or supervise students with whom the faculty member has personal or professional conflicts of interest.
3. Serves as an intellectual guide and mentor.
4. Does not participate in the formal evaluation of any student or in any institutional decisions involving direct benefit to a student who is a member of the faculty member's immediate family, a blood relative, or with whom there is an economic, sexual, and/or romantic involvement that could reasonably be perceived as impairing objectivity.
5. Makes reasonable efforts to assure that evaluations of students are based on stated academic criteria.
6. Makes reasonable efforts to assure that students treat each other with civility, understanding, and respect.
7. Respects the confidential nature of the relationship between faculty member and student except when obligated to disclose information based upon University policy or law.
8. Does not refuse to enroll or teach students on the grounds of their beliefs

or the possible uses to which they may put the knowledge to be gained in a course.

9. Does not require students, by the authority inherent in the instructional role, to engage in particular political activities.
10. Does not persistently introduce material that has no relation to a subject into the presentation of that subject.
11. Adheres to published descriptions of course content and grading practices, such as those contained in syllabi, course outlines, and University catalogs.
12. Allows students the freedom to take reasoned exception to the data or views offered in a course of study.
13. Acknowledges significant academic or scholarly collaboration with, or assistance from, students.
14. Does not engage in ~~exploitive~~ exploitative, harassing, or discriminatory behavior towards students.
15. Treats students with civility, understanding, and respect.

Nothing in Section 604.2 should be interpreted as compromising or narrowing the boundaries of academic freedom and permissible speech by faculty.

604.3 As a colleague, the faculty member:

1. Respects and defends the free inquiry of colleagues.
2. Shows due respect for the opinions of others in exchanges of criticism and ideas.
3. Acknowledges the contributions of others to the faculty member's academic work.
4. Strives to be objective when engaged in the professional judgment of colleagues.
5. Does not participate in personnel evaluations, such as appointment, retention, tenure, or promotion, of a member of the faculty member's immediate family, a blood relative, or a person with whom the faculty members has an economic, sexual and/or romantic involvement that could reasonably be perceived as impairing objectivity.
6. Does not participate in decisions, such as awarding of grants, sabbaticals, or other awards that involve a direct personal economic benefit or benefit to a member of the faculty member's immediate family, a blood relative, or a person with whom the faculty members has an economic, sexual and/or romantic involvement that could reasonably be perceived as impairing objectivity.
7. Does not engage in ~~exploitive~~ exploitative, harassing, or discriminatory behavior towards colleagues.

8. Treats colleagues with civility, understanding, and respect.

Nothing in Section 604.3 should be interpreted as compromising or narrowing the boundaries of academic freedom and permissible speech by faculty.

604.4 As a member of an academic institution, the faculty member:

1. Seeks above all to be an effective teacher and scholar.
2. Observes the stated regulations of the institution provided they do not contravene academic freedom.
3. Maintains the right to criticize regulations and seek their revision.
4. Does not engage in outside employment that conflicts with normal work assignments or satisfactory performance of duties.
5. When considering the interruption or termination of services, recognizes the effect of such a decision upon the program of the institution and gives due notice of intentions.
6. Accepts a share of faculty responsibilities for the governance of the institution.
7. Helps ensure that the University meets its commitment to maintain an environment that promotes diversity and that is free from discrimination and harassment.
8. Does not engage in ~~exploitive~~ exploitative, harassing, or discriminatory behavior towards members of the university community (students, faculty, staff or administrators). This includes, but is not limited to, verbal, written, or physical conduct that a reasonable person would find humiliating, intimidating or threatening.
9. Treats members of the university community (students, faculty, staff, and administrators) with civility, understanding, and respect.

Nothing in Section 604.4 should be interpreted as compromising or narrowing the boundaries of academic freedom and permissible speech by faculty.

Approved 11-0-0.

7. **Executive Session: Meeting with Jerry Stinner to discuss Associate Vice President for Faculty Affairs Search (Time Certain: 2:00 pm)**

Jerry Stinner, Dean of the College of Science and Mathematics, met with the Committee to discuss the search for the Associate Vice President for Faculty Affairs. After discussion, the Committee acted on the following motion:

MSP: That the search process for the Associate Vice President for Faculty Affairs be approved.

Passed unanimously.

8. Updates from Pending Matters for the 2016-2017 Academic Year
 - A. eRTP subcommittee– (Herrera, Boyns, Rowlands, Zhang, and Grant):
The subcommittee gave an update on its progress researching eRTP options.
 - B. Sect 600 subcommittee– (Wiegley, Murray, Lampert, and Grant):
See item 6.
 - C. Manuals and MPP searches subcommittee– (Levy, Whiting, and Grant):
The subcommittee reported that they will be having a meeting with Susan Hua and Raji Rhys regarding the MPP manual.
 - D. Service Credit/MOUs subcommittee– (Ayala-Alcantar, Ebin, Doonan, and Grant):
No update.
 - E. PP&R Composition (Committee of the Whole)
Grant and Schmidt-Levy will be presenting regarding the PP&R composition at the first SEC meeting on Feb. 2nd.

9. **Executive Session: Meeting with Provost Yi Li to discuss Vice Provost Search (Time Certain: 4:00 pm)**

Provost Li met with the Committee to discuss the MVA and Job Description for the Vice Provost position as well as the composition of the search committee. Section 600 requires the Committee appoint two faculty members to the search committee. Owen Doonan volunteered to be one member on the Search Committee. David Boyns indicated that he would consider joining the Search Committee, but needed time to make the decision. If Boyns decides not to participate, Grant will send out an email to Committee members to allow time for the second Search Committee member to come forward.

10. Report from Liaisons on Department/College Personnel Procedures

The members assigned as liaisons for the review of Department and College personnel procedures gave updates on their progress.

11. Other/New Business

None.

12. Adjournment

The next meeting of the Committee is scheduled for 1:15 p.m. on January 25, 2017 in University Hall 277. The meeting was adjourned at 4:26 pm.