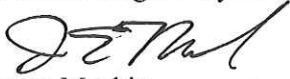


Date: September 5, 2019

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: James Mackin
Interim Associate Vice President, Faculty Affairs

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

The 216 faculty members now serving their third through sixth-year of probationary service must be reviewed at the Department level prior to January 24, 2020. 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 54-70. 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 2020-21; that they be granted tenure at the beginning of the 2020-21 year; or that their services be terminated at the conclusion of the 2020-21 year. Except in unusual circumstances, the options for 6th year probationary faculty are that they be granted tenure at the beginning of the 2020-21 year or that their services be terminated at the conclusion of the 2020-21 year.

Provost Walker (the President's designee for RTP decisions) 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 66 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 University's mission, programmatic needs, or priorities. It is the responsibility of the positively recommending agencies to explain why it is advantageous to grant early tenure.

PREPARATION OF PERSONNEL FILES

The relevant sections of the *Administrative Manual* dealing with Personnel Files are on pages 13-18 (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 all Department faculty of, a deadline date by which the Professional Information File must be submitted (Section 612.5.2.b., page 28). 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 January 24, 2020.

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

- a. Provision 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. Provision 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. Provision 11.5 provides that "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. Provision 11.7 provides, in part, that "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 Collective Bargaining Agreement* means that, in addition to the resume, an index of supporting materials must be prepared by the faculty member with copies submitted for inclusion in the faculty member's Personnel Action File; 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 54) of the *Administrative Manual* states (in part):

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

2. Consultation between Department Chair and Department Personnel Committee.

Section 634.1 (page 61) of the *Administrative Manual* states:

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.

Sections 635.2.1 and 635.2.2 of the *Administrative Manual* state:

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 letter a statement that the faculty member has the right to place 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. Based on the

written response and/or the requested 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. 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.

The section above is subject to the procedures outlined in Article 15.5 that states:

At all levels of review, before recommendations are forwarded to a subsequent review level, faculty unit employees shall be given a copy of the recommendation and the written reasons therefore. The faculty unit employee may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation within ten (10) days following receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the Working Personnel Action File and also be sent to all previous levels of review. **This section shall not require that evaluation timelines be extended.**

CONSIDERATION AT THE COLLEGE LEVEL

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

Between February 3 and March 2, 2020 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. pages 13-14).

Material submitted after February 3, 2020 must have the approval of the College Personnel Committee and shall be limited to items that became accessible to the candidate after the close of Department deliberations (such items may include publication acceptances, notices of awards, lecture invitations, or like materials). (Section 606.1.1.b., page 13-14)

2. Notification to the Faculty Member.

No later than March 2, 2020, the College Personnel Committee and the College Dean, separately and in writing,

“[S]hall 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” (Section 635.2, page 60).

“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.” (Section 635.2.2, page 62).

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 83); the deadline date for filing an appeal is March 23, 2020. Materials in support of an appeal due on April 3, 2020 or earlier.

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, 2020, the Provost and Vice President for Academic Affairs 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 2020-21 academic year, or are to be terminated at the end of the 2020-21 academic year.

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

JM:aa

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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

Appendix A

(see also Section 632 (p. 55-60) of the CSUN Administrative Manual)

Date _____

Name _____ Department _____

I. PROFESSIONAL PREPARATION.

- A. List degrees, years of completion, and granting institutions
- B. Relevant experience
 - 1) Indicate all teaching experience (whether full-time or percent of part-time), showing rank(s), institution(s), and date(s) of service. If promoted at a prior institution show date of promotion. Indicate rank and date of appointment at CSUN.
 - 2) Other related employment or experience - indicate all experience relevant to teaching, librarianship, or counseling, 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, course syllabi, and other sources of evidence of teaching effectiveness deemed appropriate by the Department. Librarians should provide evidence of effectiveness in librarianship and counseling (SSP-ARs) should provide evidence of effectiveness in counseling.

III. CONTRIBUTIONS TO THE FIELD OF STUDY.

- A. Research or equivalent creative activity (e.g. performances, exhibits, and creative work) beyond terminal degree. 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. (Back-up material in supporting file, if available).
 - 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
- 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. (Include description of contributions in supporting file).
 - 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 (Include description of contributions in supporting file).

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

**2019-20 ACADEMIC YEAR CALENDAR OF PERSONNEL ACTIONS AND
PROCEDURES FOR THIRD THROUGH SIXTH-YEAR PROBATIONARY FACULTY
MEMBERS**

January 17 (Fri) or earlier – Department Chairs and Department Personnel Committees begin deliberations on promotion, and on retention, tenure, or notice of a terminal year appointment for 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, 2020.

January 24 (Fri) or earlier - Department Chairs and Department Personnel Committees will make available to the candidates their recommendations on promotion, and on retention, tenure, or notice of a terminal year appointment for 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, 2019. Copies of the letters are not forwarded to the other recommending agencies until 10 calendar days after the original letters are made available to the candidates.

February 3 (Mon) or earlier - Department Chairs will forward to the Deans of their Colleges their recommendations and those of their Department Personnel Committees on promotion, and on retention, tenure, or notice of a terminal year appointment for 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, 2020. The Dean will transmit the Department recommendations (including the results of final balloting) to the Chair of the College Personnel Committee.

March 2 (Mon) or earlier - The Dean and College Personnel Committee will make available to the candidates their recommendations on promotion, and on retention, tenure, or notice of a terminal year appointment for 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, 2020. Copies of the letters are not forwarded to the other recommending agencies until 10 calendar days after the original letters are made available to the candidates.

March 12 (Thurs) or earlier - The Chair of the College Personnel Committee will transmit the recommendations of the College Personnel Committee (including the results of final balloting) to the Dean. The Dean of each College will forward to the Provost and Vice President for Academic Affairs all recommendations on promotion, and on retention, tenure, or notice of a terminal year appointment for 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, 2020.

March 23 (Mon) or earlier - Faculty members not recommended for promotion, tenure, or retention by a college level reviewing agency may file an appeal with the Personnel Planning and Review Committee.

April 3 (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 4 (Mon) or earlier - The Chair of the Personnel Planning and Review Committee will make available to appellants the Committee's recommendation on promotion, retention, and tenure appeals.

May 13 (Wed) or earlier - The Provost and Vice President for Academic Affairs will meet with the Personnel Planning and Review Committee to discuss retention, tenure, and promotion cases.

June 1 (Mon) or earlier - The Provost and Vice President for Academic Affairs will formally notify those faculty to be promoted effective for the 2020-21 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, a first year of tenure, or a terminal year appointment.