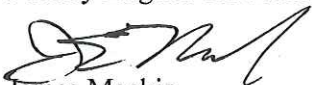


Date: September 5, 2019

To: College Deans
Chairs of College and Department Personnel Committees
Department Chairs
Faculty Eligible for Promotion

From: 
James Mackin
Interim Associate Vice President, Faculty Affairs

Subject: Calendar and Procedures for 2020 Promotion Considerations for Tenured Faculty

All persons concerned with promotion considerations should be familiar with Sections 630-638 and 643 of the *Administrative Manual* (pages 54-64 and pages 68-70). Faculty members might also wish to review the following Articles from the *Faculty Collective Bargaining Agreement*.

Article 11: Personnel Files
Article 14: Promotion
Article 15: Evaluation

The following summary provides information about the review process for faculty members seeking promotion.

ELIGIBILITY FOR PROMOTION CONSIDERATION

Because of its importance to promotion considerations, the entire text of Section 643.1.1 of the *Administrative Manual* is reprinted as follows:

1. By Rank.
 - a. Probationary faculty in the rank of Associate Professor, Assistant Professor, Associate Librarian, Senior Assistant Librarian, or Student Services Professional I or II, Academic-Related shall normally be considered for promotion at the same time as they are considered for tenure and every year thereafter until promotion is granted. Probationary faculty members shall not normally be promoted during probation. Probationary faculty members shall not be promoted beyond the rank of Associate Professor or Associate Librarian, unless they are selected for the simultaneous award of tenure. Faculty who are candidates for promotion before the normal period must demonstrate that they have fulfilled, in a period of time shorter than that required for normal promotion consideration, all of the criteria cited in Section 632 for advancement to the next rank.
 - b. Tenured faculty members in the rank of Associate Professor, Assistant Professor, Associate Librarian, Senior Assistant Librarian, or Student Services Professional I or II, Academic-Related shall normally be considered for promotion when they have served five (5) years in the same rank/classification and every year thereafter until promotion is granted.
 - c. Associate Professors, Associate Librarians, and Student Services Professional II, Academic-Related may, upon application, be considered for

promotion prior to having served five (5) years in the same rank/classification. Only tenured faculty or those selected for the simultaneous award of tenure shall be considered for promotion to the rank of Professor or Librarian. Faculty who are candidates for promotion before the normal period must demonstrate that they have fulfilled, in a period of time shorter than that required for normal promotion consideration, all of the criteria cited in Section 632 for advancement to the next rank.

Applying the criteria cited above, 74 faculty members are eligible for promotion consideration this year. In addition to these 74 potential candidates for promotion, there are two groups that may supply additional candidates:

- c. Tenured Associate Professors who have been in rank fewer than 5 years may, upon application, be added to the list of faculty considered for promotion. Faculty in this group would be evaluated by the same criteria applied to those who would normally be considered for promotion, although their review would be earlier than anticipated by the language of the *Faculty Collective Bargaining Agreement*.
- d. Probationary Assistant or Associate Professors who are serving in their first, second, third, fourth, or fifth year would not normally be considered for promotion because they would not normally be considered for tenure. However, it is possible to promote to the rank of Associate Professor although not to the rank of Professor without granting tenure. ***Therefore, in rare circumstances, untenured Associate Professors eligible for promotion in year 5 also request early tenure.*** Any first through fifth year probationary faculty members who wish to be considered for promotion may be considered upon application, although they would not normally be considered unless they were also recommended for tenure. This memorandum will not be forwarded to any first through fifth year probationary faculty members, so it will be the responsibility of the Department Chair or Department Personnel Committee to identify any such potential candidates for promotion. A copy of this memorandum should be made available to any first through fifth year probationary faculty members who are identified as possible candidates for promotion by the Department Chair or the Department Personnel Committee, and to any first through fifth year probationary faculty members who indicate that they wish to be considered for promotion.

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 states, 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, will become a permanent part of the faculty member's Personnel Action File.

CONSIDERATION AT THE DEPARTMENT LEVEL

The 74 faculty members eligible for promotion, minus those who withdraw from consideration, and plus those to be considered through options c. and d. explained on page 2, must be reviewed at the Department level on or before January 24, 2020.

1. Withdrawal from Consideration.

Tenured faculty members may, in writing, withdraw their names from consideration at any time by a letter to their Department Chairs. The letter of withdrawal from consideration should be placed in the Personnel Action File. Also, faculty members who fail to submit a Professional Information File prior to the Department deadline for submission of such material shall be considered to have voluntarily withdrawn from promotion consideration. (Section 643.1.4, pages 66-67)

2. Faculty Members on Leave.

Faculty members on leave, who are candidates for promotion, shall be considered as carefully as if they were not on leave. They must ensure that their Personnel Files are up-to-date and should inform their Department Chair of their current and projected activities which might have a bearing on promotability. (Section 643.1.3, page 69)

3. Exceptions to the Publication Requirement for Promotion to Full Professor Rank.

Candidates for promotion to Full Professor should note the language in Section 632.4.5.a (page 59):

Significant scholarly or creative contributions to the field of study as defined in Section 632.4.2 beyond terminal degree is are required. The College or Department may have additional requirements of scholarly or creative contributions to the field of study. Exceptions to these requirements shall be defined and justified by the candidate and evaluated by the recommending agencies in the Department and College. No exception shall be granted unless the candidate has demonstrated outstanding contributions to the field of study in other ways. The Personnel Planning and Review Committee will evaluate all candidates requesting consideration under this provision.

4. Meeting Between the Faculty Member and the Department Personnel Committee.

Each Department Personnel Committee shall review all relevant data in light of the criteria for ... promotion and shall submit a recommendation on each candidate. Prior to submitting its recommendation, the Department 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. (Section 631.2, page 54)

5. Consultation at the Department Level.

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. (Section 634.1, page 61)

6. Notification to the Faculty Member.

Faculty members under consideration for promotion should be notified of recommendations in the following manner (Section 635.2.1 and 2, page 62):

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 for each faculty member under consideration for promotion. 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.

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., pages 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 shall forward their recommendation and evaluation to the faculty member under consideration.

A copy of the written evaluation and recommendation shall be sent to each of the other recommending agencies and a copy shall also be placed in the faculty member's Personnel Action File no later than March 12, 2020 or ten (10) days after the evaluation and recommendation was forwarded to the faculty member. (Section 635.2.2, page 62)

3. Right to Appeal.

No later than March 23, 2020, the faculty member may, in writing, appeal a negative decision made at the College level to the Personnel Planning and Review Committee. The appeal process is governed by the provisions of Section 660 (pages 80-82).

THE PROVOST'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. Notification of the Provost's Decision.

No later than June 1, 2020, the Provost shall formally notify those faculty to be promoted effective August 19, 2020, such notification to include the reasons for approval or denial of the request for promotion (Provision 14.9 of the *Faculty Collective Bargaining Agreement*). The first issue of the *CSUN Today* (<http://csuntoday.csun.edu/>) in the new academic year will contain a list of those faculty promoted.

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

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Attachments: Appendix A (Resume Form)
Appendix B (Calendar)
List of faculty eligible for promotion (College Deans, College Personnel Committee Chairs, Department Chairs, and Department Personnel Committee Chairs only)
Grid for reporting recommendations on promotions (College Deans only)

Appendix A

RESUME

(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 ranks, institutions, 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. performance, 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.

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Appendix B

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, 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.

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.

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