

**CALIFORNIA STATE UNIVERSITY, NORTHRIDGE**

**ADMINISTRATIVE MANUAL**



**SECTION 600**

**ACADEMIC PERSONNEL POLICIES AND PROCEDURES**

**2022-23 ACADEMIC YEAR**



## Memorandum

Office of Faculty Affairs

**Date:** August 2022

**To:** Members of the Faculty

**From:** Diane Guido  
Associate Vice President, Faculty Affairs

**Subject:** The 2022-23 Edition of Section 600: Academic Personnel Policies and Procedures

Please refer to this 2022-23 version of Section 600 of the Administrative Manual during the coming academic year. Section 600 is provided to faculty members electronically at: <http://www.csun.edu/faculty-affairs/policies>. The Faculty Senate occasionally recommends amendments to Section 600 that will be approved by the President for immediate implementation. There may also be occasions when the California Faculty Association and the CSU Trustees sign letters of agreement that interpret some portion of the Collective Bargaining Agreement in a manner that immediately affects campus policies. Faculty will be notified through their Department Chairs if this edition of Section 600 is affected by any such changes or agreements, and the edition on our webpage will be updated immediately. Please note that Section 600 supplements policies and procedures of the Faculty Collective Bargaining Agreement, Title 5 of the California Code of Regulations, and Executive Orders of the Office of the Chancellor, all of which would prevail in case of a conflict with Section 600.

At the end of the 2022-23 edition of Section 600 is the [2022-23 Academic Year Calendar of Personnel Procedures](#), including dates related to recommendations on sabbatical and difference-in-pay leave applications. The calendar, also posted separately on the Faculty Affairs website, sets forth dates by which actions must be taken by Personnel Committees, Department Chairs, and Deans, often with specified deadline dates or “earlier.” Faculty members are encouraged to check with their Department Chairs about the specific deadline dates for their Departments and Colleges.

Below you will find a summary of the policy changes that are new in this edition.

- Clarification that consultation with faculty regarding the performance of full-time lecturers, if it occurs, must be in written form: **621.4.2b**
- Establish the first comprehensive review of new academic administrators to occur at three years rather than five: **622ff**
- Update the faculty recruitment section to reflect the role of Faculty Equity and Compliance Representatives, who have replaced Equity and Diversity Representatives: **620-621**
- Clarification of the timing of adding new material to a PIF once RTP review has commenced: **606.1.1.b1**
- Discretionary items may only be added to the Personnel Action File by the Dean: **606.1.2**

If you have any questions about any of the topics covered by this document, please contact the Office of Faculty Affairs at ext. 2962 or email Diane Guido at [Diane.guido@csun.edu](mailto:Diane.guido@csun.edu). You may also contact any member of the PP&R Committee, the members of which are listed at the end of this document and on the Faculty Affairs website.

I wish you a pleasant and rewarding year, and hope that the Office of Faculty Affairs can assist you in the months ahead.

**SECTION 600**  
**ACADEMIC PERSONNEL POLICIES AND PROCEDURES**

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## **General and Administrative Considerations**

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### **SECTIONS 600 – 609 – GENERAL AND ADMINISTRATIVE CONSIDERATIONS.**

#### **600 General References.**

Each University will develop procedures whereby tenured members of the faculty will be involved in recommendations to the President or designee relating to academic personnel matters. Such procedures will be submitted to the Chancellor and the Trustees for approval (Title 5, Section 42701). These procedures are on file in the Chancellor's Office.

600.1 All policies and procedures in this Manual are intended to be consistent with and supplemental to:

1. The laws of the State, especially Education Code, Division 18, Chapter 9, and interpretations thereof in California Code of Regulations, Title 5, Division 5 (herein referred to as "Title 5").
2. Regulations approved by the Trustees of The California State University, especially the State University Administrative Manual.
3. Provisions of the Bargaining Agreements between the Board of Trustees of The California State University and the California Faculty Association covering Unit 3 - Faculty, and the Board of Trustees of The California State University and the United Professors of California covering that portion of Unit 4 - Academic Support, designated as Academic-Related Employees.
4. Directives of the Chancellor of The California State University.
5. The Constitution and Bylaws of the Faculty of California State University, Northridge.
6. Procedures adopted by the Personnel Planning and Review Committee not in conflict with the foregoing.

600.2 The University is an Affirmative Action/Equal Employment Opportunity/Title IX, Sections 503 and 504 employer and all of its personnel decisions will be made in accord with state and federal laws.

#### **601 Scope of Personnel Policies and Procedures.**

The personnel policies and procedures in Section 600 of the Administrative Manual apply to all faculty members. Appropriate modifications and specifications of procedures applicable to instructionally related areas such as Student Affairs and the Library must be approved by the Personnel Planning and Review Committee.

#### **602 Definitions.**

602.1 Employee Classifications and Academic Units.

1. "'Academic employee' means an employee engaged either (1) primarily in instruction who is employed and compensated on the basis of class and rank or (2) in very closely related professional activities such as those carried on by professional librarians..." (Title 5, Section 42700, 1).
2. "'Administrative employee' means an employee engaged primarily in one or a combination of professional or quasi-professional activities..." (Title 5, Section 42700, m).
3. "'Non-academic employee' means an employee who provides non-instructional and non-administrative supporting services such as secretarial, clerical, and maintenance services..." (Title 5, Section 42700, o).
4. "'Academic-administrative assignment' means: (1) A work assignment... filled by an academic (class and rank) or an administrative employee.... The incumbent...serves in a key administrative capacity, planning, organizing, and directing activities which relate to the instructional programs and/or participates in policy planning; or (2) The work assignment of an administrative employee who has demonstrated to the President and the faculty or the Office of the Chancellor that the employee's job performance is, to a high degree, closely identified with the total management of the University..." (Title 5, Section 42700, p).
5. "Teaching faculty" means any full-time academic or academic-administrative employee providing instruction, at least half time, averaged over an academic year. Department Chairs, officers of the Faculty, and representatives of the California State University Academic Senate will not cease to be "Teaching Faculty" because of any reassigned time allotted to them by virtue of their offices.
6. "Academic titles" (Professor, Associate Professor and Assistant Professor) applies only to academic employees and academic-administrative employees holding status in academic Departments.
7. "'Lecturer' is a title used to cover a nonpermanent academic assignment normally of a visiting or part-time nature where the salary level of the individual is in accordance with the individual's qualifications." (Title 5, Section 42700, x).
8. "Senior rank" refers to Professor, Librarian, and Student Services Professional – Academic-Related III, Associate Professor, Associate Librarian, and Student Services Professional – Academic-Related II.
9. "Dean of the College" refers to the Dean of an academic college or the

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Library. For purposes of evaluation of Student Services Professional – Academic-Related employees, such as recommendations on retention, tenure, promotion, and professional leaves, the Vice President for Student Affairs will act in the role of the “Dean of the College.”

10. “College” refers to an academic college, the Library, or equivalent unit in Student Affairs.

### **602.2 Faculty Classifications.**

Classification of The California State University faculty members provides a uniform salary range and equal recognition for each level of service and responsibility. All evaluations will be made in terms of this purpose. Standards for Academic Rank are:

1. Professor/Librarian/Student Services Professional – Academic-Related III: Entirely satisfactory work and a doctorate or other appropriate terminal degree taken in a recognized institution of higher learning that holds regional accreditation or equivalent preparation in an appropriate field are required for consideration for appointment or promotion to the rank of Professor/Librarian/SSP–AR III.
2. Associate Professor/Associate Librarian/Student Services Professional – Academic-Related II: Entirely satisfactory work and a doctorate or other appropriate terminal degree taken in a recognized institution of higher learning that holds regional accreditation or equivalent preparation in an appropriate field are required for consideration for appointment or promotion to the rank of Associate Professor/Associate Librarian/SSP–AR II.
3. Assistant Professor/Senior Assistant Librarian/Student Services Professional – Academic-Related I: Master's degree, or equivalent training, and a reasonable expectation of securing the doctorate/terminal degree, or equivalent training, within a reasonable period of time are required for consideration for appointment to the academic rank of Assistant Professor/Senior Assistant Librarian/SSP–AR I.

### **602.3 Other Definitions.**

The definitions stated in "Title 5", Subchapter 7, Article 1, are followed except that the term "Appointment" herein is restricted to include only initial appointment and not such other personnel matters as promotions, tenure, transfers, and demotions, which will be specifically denoted when used.

## **603 Faculty Duties.**



### 603.1 Faculty Instructional Load.

The normal faculty instructional load is considered to be 12 weighted units of instruction and the equivalent to three weighted teaching units, including advisement, committee assignments, reports, and office hours. Except for illness, approved or unavoidable absence, or approved modifications to the class schedule, faculty members with instructional assignments are responsible for meeting all assigned classes in accordance with the University Schedule of Classes and faculty office hours as scheduled, posted, and on file in Department offices.

### 603.2 Non-Teaching Assignments.

For a specific period of time, as determined by the appropriate administrator, a faculty member may have the normal instructional load of 12 weighted teaching units reduced by assignment of non-teaching responsibilities, such as:

1. Administrative assignments of responsibilities associated with positions such as Department Chair or Coordinator.
2. Reassigned time assignments for instructionally related activities made in accordance with existing policies of the University and The California State University.
3. Reimbursed activities such as research or program development grants provided the University or its Foundation from sources outside the normal budget.
4. Approved requests for part-time or full-time leaves of absence without pay.

### 603.3 Conflict of Duty.

State officers or employees will not engage in any employment, activity, or enterprise which has been determined to be inconsistent, incompatible, or in conflict with their duties as State officers; or with the duties, functions, or responsibilities of their appointment power or the agency by which they are employed. State officers and employees will, during their hours of duty, devote their full-time attention and efforts to their State office or employment.

### 603.4 Supplementary Employment of Academic and Administrative CSU Employees.

Full-time employment within The California State University imposes upon each employee the obligation to devote that degree of effort and attention to their duties necessary to execute fully all the demands of their positions whether they are appointed on a nine-, ten-, or twelve-month basis.

1. Recognized Practices.

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It has been a recognized practice in The California State University that:

- a. Full-time academic year teaching faculty may exceed their 100% time base during the academic year by a reasonable amount of teaching in extension programs at their own or sister campuses, or in programs in other non-CSU educational institutions.
  - b. In addition, there may be instances of academic or administrative employees hired on a full-time basis who also carry on supplementary employment as consultants, employees, or owners of outside business or non-profit enterprises, as practitioners of recognized professions, or as holders of elective or appointive office or service.
  - c. The capacity and productivity of individual employees vary across a wide spectrum and militate against a rigid across-the-board application of regulations concerning supplementary employment.
  - d. While outside employment often bolsters an employee's on-the-job competence, the burden is upon all employees to ensure that outside involvement does not jeopardize their individual functioning as a full-time employee of The California State University. Possible conflicts of interest are to be determined and appraised within H RTP (hiring, retention, tenure, and promotion) and SSI (Service Salary Step Increase) evaluation processes.
2. Professional Discretion.

The responsibility is imposed upon all employees as professionals to exercise discretion and common sense in setting appropriate limits to their total employment context.

3. Additional Work.

Additional work during the academic year, not exceeding 25% of the regular time base, is considered compatible with performance of regular academic duties if the work is unrelated to the faculty member's normal assignment or is paid from non-state funds. Such additional work may be done on research grants or contracts, if specifically authorized by the granting agency.

### 603.5 Supplementary Teaching Assignments.

The procedures covering summer teaching assignments and extension for-credit employment are governed by the Collective Bargaining Agreement. For the most updated information, contact the Office of Faculty Affairs (677-2962), and see the current contract at the following website:

[http://www.calstate.edu/LaborRel/Contracts\\_HTML/CFA\\_CONTRACT/2014-2017/](http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/2014-2017/)

### 603.6 Activities Prohibited.

Activities that are prohibited for administrative and academic employees of The California State University include:

1. The use of State time, facilities, equipment, or supplies at any time for any purpose other than the performance of official business, defined as an activity which promotes the achievement of the purposes of the University.
2. The performance for compensation, other than State salary, of any service for any person or public or private agency if such person or agency performs any action which is subject to review, recommendation, or approval by employees or any of their subordinates.
3. The performance for compensation, other than State salary, at any time of any service which their duties require them to render.
4. The acceptance of any obligations on the part of any officers or employees which would prevent them from carrying out the responsibilities for which they are employed, or the acceptance of any responsibilities which would be in conflict with the purposes of the University.
5. The engaging in any activity which is contrary to a policy of the Trustees or otherwise inimical to The California State University.
6. The willful violation of any law, any regulation of the Trustees, or any directive of the Chancellor respecting their employment or the performance of their duties.

### 603.7 Political Activities.

Besides being subject to provisions of law relating to elections and political activities applicable to all persons, The California State University employees are included within the provisions of Government Code respecting support of political activities of any foreign government and the advocacy of the overthrow of the government. The Attorney General has reaffirmed a previous opinion: "...the right to engage in politics is a privilege of citizenship which should not be denied State employees in the absence of express or necessarily implied statutory prohibition, or unless the particular activity is harmful to the State Government. No political activity should be engaged in on State time." (Legal Opinion, Issue No. 65, 6 pages, dated May 18, 1953, from Joel H. Burkman to State College Presidents).

### 603.8 Loyalty Oath.

Each employee who is a citizen of the United States must subscribe to a loyalty oath

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prescribed by the Legislature before performing any services for the University, and before receiving any compensation.

### **603.9 Performance Standards and Monitoring.**

1. Minimum standards of faculty performance are summarized in Section 632 of this manual.
2. All faculty, regardless of rank, are responsible for monitoring the character and quality of their own contributions to the University. Monitoring can be accomplished through consultation with colleagues, class visits, electronic recording and review of one's own lectures or other teaching modes, formal student evaluations of teaching, and other means as may be appropriate.

## **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 exclusionary, exploitative, harassing, discriminatory, or retaliatory 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 exclusionary, exploitative, harassing, discriminatory, or retaliatory 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.

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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 exclusionary, exploitative, harassing, discriminatory, or retaliatory 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 exclusionary, exploitative, harassing, discriminatory, or retaliatory behavior towards members of the university community (students, faculty, staff, or administrators).
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.

**605 Teaching Service Areas.**

(The policy on Teaching Service Areas has been deleted because the Faculty Bargaining Agreement provides specific guidelines in the event that layoff of academic employees becomes necessary. There is no reference to Teaching Service Area designations in the Faculty Bargaining Agreement, so continuation of the policy on T.S.A.s becomes unnecessary.)

**606 Personnel Files.**

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 will prepare an index of the contents of the Professional Information File, which will be placed in the Personnel Action File each year the faculty member is evaluated.

(1) The Department Chair will 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 will contain a current curriculum vitae and such forms as the University may, from time to time, prescribe. The file will 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 will be limited to items that became known and available to the faculty member after the close of Department deliberations (e.g., publication acceptances, notice of awards, and

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lecture invitations). Submission of additional materials after RTP recommendations have been sent from the Department to the College level will require new reviews at both levels and a revised timeline established by PP&R. The reviewing agencies may elect to change their recommendations on the basis of this new information even though the deadline for the recommendation has passed. No new materials may be added to the file after the Dean and CPC have notified the candidates with their recommendations/decisions.

- (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 will be retained by the University until all appeals filed in the current year have been decided, whereupon the file will be returned to the faculty member.

### 2. Personnel Action File.

There will 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 will include:

- (1) A log sheet recording all instances of access to the Personnel Action File (except for routine maintenance).
- (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.
- (4) Copies of Department recommendations on retention or promotion.
- (5) Copies of recommendations made by the College Personnel Committee and Dean.
- (6) Copies of all documents related to any appeal from a personnel recommendation.
- (7) 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).

- (8) Copies of notice letters from the President on personnel actions.
- (9) A copy of the President's decision in Grievance and Disciplinary Action Cases.
- (10) Copies of written reprimands.
- (11) Correspondence concerning such matters as reappointment as Lecturer, approval of leave requests, and similar personnel actions.
- (12) 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 will be retained for a minimum of five years.
- (13) 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.
- (14) Other communications or materials deemed by the College Dean, at the recommendation of the Department Chair or Personnel Committees, to be relevant to the criteria in Section 632.
- (15) The location of other records kept on campus regarding the faculty member to which the faculty member has access.
- (16) Sabbatical Leave Reports.
- (17) 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 College Dean. The faculty member will be provided with a copy of such material at least five (5) days prior to such placement.
- d. Upon request, a faculty member will 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 will be made within five (5) days of the receipt of the notification. The meeting will take place within ten (10) days of the request made by the faculty member.
- e. A faculty member will have the right to place in the file a written response to any written communication contained therein.

3. Human Resources File.

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The Human Resources File will 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 will 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 will be utilized in personnel considerations. The Human Resources File and the Employment File will 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 will 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 will be scheduled promptly, within two (2) business days, during normal business hours. The manner of inspection will be subject to reasonable conditions. The faculty member may be accompanied at such appointments by another individual of the faculty member's choice.
  
- b. Upon written request, faculty members will 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 will 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 will 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 will specify those corrections or deletions that will be made, with facts and reasons supporting the request. Such requests will 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 will advise the President of its interpretation before the President makes the final decision. The President will, within twenty-one (21) days of such a request, provide a written response to the faculty member. If the request is granted, the record will be corrected and the faculty member notified in writing. If the President denies the request, the response will 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 will have the right of access to Professional Information Files and Personnel Action Files of candidates for retention, tenure, and promotion. They will also have access to files when the provisions of Section 644.3 regarding service

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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 will 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 will 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 will 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 will be noted on Personnel Action File log-in sheet. Such a log record will be a part of the Personnel Action File.

### **607 Confidentiality of Personnel Considerations.**

#### **607.1 General Policy.**

Confidentiality refers to a university policy which limits access to information about specific individuals and about internal deliberations of personnel committees. As an employer, the University has an obligation to protect the privacy of the individual under personnel consideration. The policy of confidentiality also is intended to promote full and frank discussion of candidates by personnel committees. All personnel considerations of specific individuals having to do with matters of appointment, retention, tenure, and promotion made by any personnel committee acting under provisions of this Manual, and/or the Bylaws of the Faculty of this University (Department Personnel Committees, College Personnel Committees, Search and Screen Committees, and the Personnel Planning and Review Committee) will be, in whole and in part, confidential: that is, will not be discussed, either by members of the committee or by those consulted, with other than those privileged to have such information. Faculty grievance and disciplinary action committees are privileged to have such information. The policy of confidentiality does not remove from personnel agencies and those with whom they consult the responsibility to ensure the accuracy and relevancy of information upon which personnel decisions are based. Candidates for appointment may authorize the distribution of their vitae.

#### **607.2 Confidentiality of Consultations.**

1. As stated in Article 15.2 of the Collective Bargaining Agreement (CBA), a Personnel Committee may, because of the nature of matters under

consideration, invite non-members of that committee (faculty, students or administrators) to participate in the committee's deliberations. When these deliberations involve personnel considerations of specific individuals, such consideration will be, in whole and in part, confidential, and will not be discussed, either by members of the committee or by faculty consulted, with other than those privileged to have such information. In addition, such feedback, in order to be considered in the review process, must be submitted as a written, identified, and dated statement to be included in the faculty member's PAF.

2. All personnel considerations of specific individuals made in accordance with the requirement for consultation and feedback (Sections 630 to 699 inclusive) will be, in whole and in part, confidential.

#### 607.3 Violation of Confidentiality.

Any violation of the confidentiality requirements of this Section will be presumed to be unprofessional conduct.

### **608 Calendar of Personnel Actions and Procedures.**

The calendar for personnel actions and procedures will be determined by the Faculty Senate no later than the last scheduled May meeting each year. The Faculty Senate will receive a proposed calendar for personnel actions and procedures recommended by the Personnel Planning and Review Committee, the Provost and Vice President for Academic Affairs, and the Executive Committee of the Faculty Senate. (See the current Academic Year Calendar of Personnel Procedures.)

### **609 Election Guidelines.**

#### 609.1 General Considerations.

These guidelines apply generally to Department and College personnel committees, search and screen committees, and other relevant faculty committees. More explicit procedures may apply to committees described separately in this manual.

Faculty personnel elections mandated by Section 600 will be conducted so as to assure confidentiality and avoid conflict of interest and possible improprieties.

#### 609.2 Election Procedures.

Departments and colleges will observe the following guidelines when conducting faculty personnel elections or when establishing their own election procedures:

1. Setting reasonable timelines and clear deadlines.
2. Providing for faculty oversight in the preparation, distribution, and

## **General and Administrative Considerations**

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collection of ballots.

3. Clarifying voter eligibility and conditions for ballot validity.
4. Ensuring voter confidentiality (e.g., use of double envelopes).
5. Specifying methods for counting votes, handling ties, and possible post-election storage and future use of ballots.
6. Where written college election procedures so specify, Lecturers may vote for members of search and screen committees for Deans and Associate Deans. In the absence of such specification, voting for committee members is restricted to full-time, tenure track faculty.
7. Where written department election procedures so specify and subject to the limitation of Section 622.6.2.a.(2), Lecturers may vote for members of search and screen committees for Department Chairs. In the absence of such specification, voting for committee members is restricted to full-time, tenure track faculty.

### 609.3 Dispute Resolution.

Questions regarding the conduct of elections mandated by Section 600 or the interpretation of election procedures for such elections will be referred to the Personnel Planning and Review Committee.

### SECTIONS 610 – 619 – RESPONSIBILITIES FOR PERSONNEL MATTERS.

#### **610 Responsibilities for Personnel Matters.**

All personnel actions (appointment, retention, tenure, promotion, demotion, suspension, separation, leave, retirement) are the responsibility of the President, or designee, in keeping with the procedures herein set forth.

#### **611 Responsibilities of Administrative Personnel.**

##### 611.1 The President.

The President, or designee, is responsible for all final decisions and recommendations to the Chancellor and Trustees of The California State University on all personnel matters.

##### 611.2 The Provost and Vice President for Academic Affairs.

The Provost and Vice President for Academic Affairs decides or recommends on personnel matters as the President's designee and assumes leadership in development of instructional competence and evaluation.

##### 611.3 The Dean of the College.

The Dean of a College assumes leadership in developing instructional competence in the College, and:

1. Reviews the evaluations and recommendations prepared by Department Chairs and Department Personnel Committees.
2. Evaluates and makes recommendations on members of the College for appointment, retention, tenure, promotion, and service salary increase in accordance with applicable criteria.
3. Transmits the evaluations and recommendations for appointment, retention, tenure, promotion, and service salary increase to the Provost and Vice President for Academic Affairs.

##### 611.4 The Department Chair.

The Department Chair assumes leadership in developing instructional competence in the Department and:

1. Assumes initiative in recruiting new members of the Department and in developing effective recruitment practices.

2. Evaluates and makes recommendations on members of the Department relative to retention, tenure, promotion, and service salary increase (see also Section 612.5.2).
3. Transmits the Chair's evaluations and recommendations and those of the Department Personnel Committee to the Dean of the College.

**612 Responsibilities of Faculty Committees.**

612.1 General Obligations.

Faculty Committees at three levels (University, College, and Department) advise and recommend to the President and other administrative officers on all personnel matters. These recommendations will be based upon evaluative comparison of each faculty member's qualifications against the standards outlined in this Manual for retention, tenure, promotion, and service salary increase.

612.2 Composition and Eligibility – General Considerations.

1. Tenure and Rank.

With the exception of the Personnel Planning and Review Committee, all personnel committees will be composed of tenured faculty unit members selected by the probationary and tenured faculty unit employees. Because the Faculty Collective Bargaining Agreement (Article 15) requires that evaluation for promotion be by persons at a higher rank than those being considered for promotion, only those members of personnel committees who are at a higher rank may participate in promotion deliberations. Consequently, some committees may have to be composed of only Professors, Librarians, or Student Services Professionals III, Academic-Related in order to conduct their business. Subject to the limitations of Article 15 of the Faculty Collective Bargaining Agreement and Section 612.5.1.b., participants in the Faculty Early Retirement Program may be eligible to serve on Department personnel committees charged with retention, tenure, and/or promotion reviews.

2. Obligation to Serve.

- a. To stand for nomination is an obligation of all eligible persons.
- b. To serve if elected is an obligation.
- c. Decline of nomination or resignation from committees will be based on one of the following conditions:
  - (1) Appointment or election to a University position that prohibits dual



## **Responsibilities for Personnel Matters**

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service or renders service in both capacities inordinately difficult.

(2) Health.

(3) Leave of Absence (see Section 612.2.4).

3. Dual Service.

No faculty member will serve as a part of a recommending agency that would permit the casting of a second recommendation on any faculty member during an academic year. A President of the Faculty who concurrently serves as a Department Chair is exempt from this regulation in respect to service on the Personnel Planning and Review Committee. A Faculty President who is a Department Chair will not participate in the deliberations and voting of the Personnel Planning and Review Committee involving faculty members from the Faculty President's Department.

4. Faculty on Leave or Pre-Retirement Reduction in Time Base.

- a. Faculty members on leave or on pre-retirement reduction in time base are eligible to serve on a personnel committee provided they will be available to attend committee meetings throughout the academic year.
- b. Elected members to personnel committees who go on leave before the expiration of their terms and who are not able to meet the conditions of Section 612.2.4.a. will be replaced under the procedures specified in Section 612.2.6.

5. Ineligible Status.

No faculty member who is eligible for promotion or otherwise personally under consideration will serve on any personnel committee. Persons electing to withdraw from consideration remain ineligible to serve. Faculty members who have been notified that they will not be reappointed and faculty members who have resigned will be prohibited from voting on the election of any personnel committee policy, or on the evaluation of any individual personnel matter.

6. Replacement of Personnel Committee Members.

- a. When an elected member of a personnel committee must be replaced before the end of a term, it will be accomplished by special election at the appropriate level, unless alternates were chosen at the time of the original election.
- b. When a special election cannot be conducted (e.g., during the summer) alternative procedures for replacement of an elected committee

member must be approved by the Executive Committee of the Faculty Senate.

7. Tied Committee Votes.
  - a. Department and College Personnel Committees are strongly urged to avoid tied votes. Although Department and College Personnel Committees are constituted with an odd number of members, tied votes can occur under circumstances that prevent the members voting from being odd in number. One arises because tenured Associate Professors may serve on Department and College Personnel Committees (Section 612.2.1) but cannot vote on promotions to a higher level (also 612.2.1). Therefore, a tied committee vote may result when the committee considers an individual for promotion to Professor. Another circumstance that could yield a tied vote occurs when a personnel committee member recuses from voting because of a conflict of interest (Section 620.3).
  - b. The tied committee vote does not relieve the personnel committee of its obligation to provide peer judgments (612.4.2.a for the College, and 612.5.2.a for the Department). When a tied committee vote occurs, the voting members of the committee will provide and all sign a single written evaluation of the faculty member with regard to the criteria in Section 632. Because of the tied vote, this letter will not contain a recommendation.
  - c. When a tied committee vote occurs at the College level, the affected faculty member may appeal the College level actions to the Personnel Planning and Review Committee according to the procedures of Section 660.4.

### 612.3 University Level – Personnel Planning and Review Committee.

#### 1. Composition and Eligibility.

The Personnel Planning and Review Committee will be composed of tenured teaching faculty members, the President of the Faculty, a tenured Librarian, and a tenured Student Affairs representative selected by their colleagues as provided in Article V, Section 6.8 of the Faculty Bylaws. Only Faculty in the rank of Professor, Librarian, or Student Services Professional – Academic-Related III are eligible to serve on the Personnel Planning and Review Committee. If a President of the Faculty is not eligible to serve, the Faculty President will appoint a designee to serve on the committee. In this case, the appointee will hold the rank of Professor, Librarian, or Student Services Professional – Academic-Related III.

## **Responsibilities for Personnel Matters**

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2. Limits of Service on the Personnel Planning and Review Committee
  - a. Faculty are elected to serve on the Personnel Planning and Review Committee for a term of three years
  - b. Faculty may serve multiple terms on the Personnel Planning and Review Committee consecutively. No faculty member will be required to serve more than (2) three-year terms consecutively

3. Responsibilities.

The Personnel Planning and Review Committee reviews and coordinates all actions of Department and College Committees.

- a. The Personnel Planning and Review Committee is organized and operates in accordance with the Faculty Bylaws.
- b. Questions of interpretation of this Manual will be referred to the Personnel Planning and Review Committee for resolution.
- c. The Executive Secretary of the Personnel Planning and Review Committee will maintain a file of all approved specific criteria and procedures for promotion and tenure developed by the Departments and Colleges. When a Department or College submits personnel policies for review (see Sections 612.4.2.b.(1), 612.5.2.c and 612.5.2.f) the Personnel Planning and Review Committee will review the procedures and criteria in their entirety and approve or disapprove them in whole or in part. When specific criteria or procedures are not approved, the Department and/or College will be bound by the general criteria and procedures of this Administrative Manual for the portions not approved.
- d. Deadlines for submission, review, and approval of proposed changes in Department or College personnel procedures are listed in the Academic Year Calendar of Personnel Procedures at the end of this Manual.
- e. The Personnel Planning and Review Committee will consider all appeals, and any additional cases as may be submitted by the President.
- f. To assure evenness of application of promotion criteria, the Provost and Vice President for Academic Affairs or a designee will monitor recommendations for promotions emanating from the Colleges, and, annually, prior to the President's final decision will prepare a promotion profile for each College for consideration by the Personnel Planning

and Review Committee. The Personnel Planning and Review Committee will advise the President of situations which appear to be inconsistent with an equitable application of existing criteria.

612.4 College Level.

1. Composition and Eligibility.

The College Dean or designee will conduct an election and convene the first meeting of the College Personnel Committee not later than the end of the sixth week of each academic year. This committee will be composed of no fewer than three and no more than seven tenured teaching faculty of senior rank, selected in such a manner as the faculty of the College determines. The Dean of the College will not be a member of the Committee.

- a. The Library Personnel Committee will be composed of full-time, tenured senior Librarians selected by their colleagues.
- b. The Student Affairs Personnel Committee will be composed of full-time, tenured senior Student Affairs personnel selected by their colleagues.

2. Responsibilities.

- a. The College Personnel Committee will provide peer judgments and recommendations on matters of retention, tenure, and promotion.
- b. The College Personnel Committee has responsibility generally for the development of particularized criteria appropriate to the College and for such other personnel matters as are prescribed by the faculty of the College for the operation of the Committee, consistent with the personnel policies and procedures of the University.

(1) The Chair of the Personnel Committee of each College will file with the Personnel Planning and Review Committee particularized criteria appropriate to the College, and any authorized and effective personnel policies and regulations adopted for the organization and operation of the Committee, and will note possible deviations from Section 600 of the Administrative Manual (see Section 612.3.2.c.).

(2) Each College Committee will review and forward those Department procedures that have been approved to the Personnel Planning and Review Committee with possible deviations noted. It will be the College Committee's responsibility to return

## **Responsibilities for Personnel Matters**

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unacceptable procedures to the Department (see Section 612.3.2.c.).

- (3) Department Committees which disagree with College Committees will proceed according to Section 612.5.2.e.
- (4) These criteria, policies and procedures will be subject to the approval of the Personnel Planning and Review Committee. Deviations will not be considered if received after the deadline. Responses to requests for deviations, which are held to be at variance with Section 600, will be returned to Departments through their respective Colleges not later than the end of Fall semester.
- (5) College criteria, policies, and procedures, even if unchanged, will be reviewed in their entirety at least every five (5) years to assure consistency with University policies and procedures and the Faculty Collective Bargaining Agreement. This review will begin no later than the fall of the fifth academic year. After College review, the procedures will be submitted to the Personnel Planning and Review Committee for review and approval. Procedures not forwarded to, and approved by, the Personnel Planning and Review Committee at the five-year limit will be considered obsolete, and College criteria, policies and procedures will revert to Section 600. See Section 612.4.2.b.(6) for effective date for new or revised criteria.
- (6) If a College elects to change the criteria in its personnel procedures, those criteria will become effective three (3) years after they have been approved at the University level. During this three-year period, all candidates appointed before the approval at the University level of the new College Personnel Procedures will be evaluated under the old criteria unless a candidate specifically elects to be evaluated under the new criteria. A candidate who elects the new criteria must notify, in writing, the Department Chair and the Dean no later than the date when the Professional Information File is submitted for review. The Dean will place a copy of the request in the candidate's Personnel Action File. If a candidate elects the new criteria, the candidate cannot subsequently elect to be evaluated under older criteria.

All faculty members appointed after the approval at the University level of the new College Personnel Procedures will be evaluated under these new criteria.

612.5 Department Level.

1. Composition and Eligibility.

Each Department will elect a Personnel Committee. A committee normally consists of three, five, or seven tenured members of senior rank. A Department may, with the approval of the College Personnel Committee, elect a committee consisting of a larger number. The Department Chair is not eligible for membership but will consult with the Committee on matters of appointment (Section 621.2.5.), retention, tenure, and promotion (Section 634), and (when required by Section 644.3.) service salary increases.

- a. The Personnel Committee of each Department with four or more eligible candidates for membership must consist entirely of faculty members from that Department.
- b. When a Department has three or fewer members eligible for membership on the Personnel Committee, the President may, at the request of the Department and with the consent of the FERP faculty member in question, agree that a departmental participant in the Faculty Early Retirement Program (FERP) may be elected to serve on the committee. Department Personnel Committees that include FERP faculty must complete all committee duties concerning retention, tenure, and/or promotion during the FERP participant's period of teaching.
- c. When a Department with three or fewer members eligible for membership on the Personnel Committee including any FERP faculty members approved by the President, cannot or does not wish to elect a Personnel Committee consisting entirely of its own members, it must elect members from a related academic discipline(s) in a manner approved by the Personnel Committee of that College.

2. Responsibilities.

- a. The Department Committee will provide peer judgments and recommendations on matters of retention, tenure, and promotion.
- b. The Department Committee will establish a timely date for submission of files (see Section 606.1), and inform all Department faculty of the file submission date.
- c. Each Department will have on record in the College Dean's office its approved personnel procedures which will include but not be limited to:

## Responsibilities for Personnel Matters

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- (1) Criteria for retention, tenure, and promotion.

Teaching effectiveness (as well as effectiveness in librarianship or counseling when relevant) is a primary criterion for reappointment and tenure as well as promotion to any rank.

- (2) Procedures for evaluating teaching effectiveness.

- (a) Class visits, not excluding online, distance learning, service learning, and laboratory classes, will be made at least once each academic year on all probationary faculty and faculty under consideration for promotion. Class visits will be conducted early enough in the academic year for use during the annual personnel cycle.

- (i) Class visits will be made by the Department Chair and at least one representative of the Department Personnel Committee or their designees. An untenured Department Chair will appoint a designee to make class visits. Designees will be senior, tenured faculty normally from within the Department.

- (ii) Procedures for making class visits will be determined by the Department. Scheduling of a class visit will be made by mutual agreement between the faculty member and the observer at least five (5) calendar days in advance of the visit. The class visit may be in a physical classroom or online as appropriate for each class. To facilitate review of teaching materials, faculty will make online content, such as Canvas or other teaching platforms where course materials and information reside, available to reviewers. Reviewers are encouraged to meet with faculty under review to gain an understanding of how the materials on Canvas or other teaching platforms relate to this faculty member's course.

- (iii) A written report of the class visit will be sent to the faculty member's CSUN email address and otherwise made available upon request within 14 calendar days after the peer class visit. The candidate may request a meeting to discuss the report, to be held within ten (10) calendar days after the written report is emailed to the faculty member. The candidate may also submit a rebuttal statement or response in writing within the ten

(10) calendar days. At the conclusion of the ten (10) calendar days, the report, and any response or rebuttal statement, will be placed in the Personnel Action File and be sent to the Chair of the Department Personnel Committee and to the Department Chair. A copy of the report will be retained in the candidate's Personnel Action File for a period of five years.

(b) Department Personnel Committees will establish procedures for collecting, processing, and interpreting written student evaluations of teaching effectiveness.

(i) Evaluations will be anonymous and identified only by course and/or section. The format of student evaluation will be quantitative (e.g., "Scantron" form, etc.) or a combination of quantitative and qualitative (e.g., space provided on the quantitative form for student comments). Nothing in this section will prejudice the rights of Departments to determine the exact nature of the student evaluation forms.

(ii) Written or electronic student questionnaire evaluations will be required for all faculty members who teach. A minimum of two (2) classes annually for each faculty member will have such written student evaluations. Student evaluations will be conducted in classes representative of the faculty member's teaching assignment. Unless consultation with an academic unit has resulted in an agreement by the administration and faculty to evaluate all classes, the classes evaluated will be jointly determined in consultation between the faculty member being evaluated and the faculty member's Department Chair. In the event of disagreement, each party will select 50% of the total courses to be evaluated. All probationary faculty members will have student evaluations administered in two classes in each of their first two semesters of service.

(iii) After semester grades are assigned, the Department Chair will provide each faculty member with the results of the faculty member's evaluation(s) and will place a summarized copy of the results (quantitative results and qualitative student comments) in the Personnel Action File where it will be retained for a minimum period of five years.



## **Responsibilities for Personnel Matters**

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- (c) Other sources of evidence of teaching effectiveness deemed appropriate by the Department may be employed.
  - (d) Department policy mandating the type(s) of evaluation for all faculty in the Department will not preclude individual faculty members from using additional methods of gathering data relevant to teaching effectiveness and placing them in the Professional Information File.
- (3) Procedures for evaluating effectiveness in librarianship or counseling.
- (a) Procedures for evaluating effectiveness in librarianship will be included in the Library personnel procedures.
  - (b) Procedures for evaluating effectiveness in counseling will be included in the University Counseling Services personnel procedures.
- (4) Student consultation procedures.
- Each Department Personnel Committee will provide students the opportunity to provide written feedback (with appropriate accommodations) regarding the performance of a tenure track faculty member under consideration for reappointment, tenure, and/or promotion.
- (5) Publication requirements (see Section 632.4.2.).
- d. Each Department Chair (or, if no Department Chair, the College Dean) will distribute a copy of approved personnel procedures to all faculty members in the Department.
  - e. Unresolved differences between a College Committee and a Department Committee will be referred to the Personnel Planning and Review Committee.
  - f. Department criteria, policies, and procedures, even if unchanged, will be reviewed in their entirety every five (5) years to assure consistency with College and University policies and procedures and the Faculty Collective Bargaining Agreement. This review will begin no later than the fall of the fifth academic year. After approval by tenure-track faculty in a Department vote, the procedures will be forwarded to the College Committee for review, and then be submitted to the Personnel Planning and Review Committee for review and approval. If substantive changes are made to the personnel procedures during the

College or University review, the tenure-track faculty of the Department must vote to approve the modified document. Procedures not forwarded to, and approved by, the College Committee and the Personnel Planning and Review Committee at the five-year limit will be considered obsolete, and Department criteria, policies and procedures will revert to Section 600. See Section 612.5.2.g. for effective date for new or revised criteria.

- g. If a Department elects to change the criteria in its personnel procedures, those criteria will become effective three (3) years after they have been approved at the University level. During this three-year period, all candidates appointed before the approval at the University level of the new Department Personnel Procedures will be evaluated under the old criteria unless a candidate specifically elects to be evaluated under the new criteria. A candidate who elects the new criteria must notify, in writing, the Department Chair and the Dean no later than the date when the Professional Information File is submitted for review. The Dean will place a copy of the request in the candidate's Personnel Action File. If a candidate elects the new criteria, the candidate cannot subsequently elect to be evaluated under older criteria.

All faculty members appointed after the approval at the University level of the new Department Personnel Procedures will be evaluated under these new criteria.

**613 Written Statements About Faculty.**

1. In the course of review, a personnel recommending or reviewing agency will only consider written statements incorporated in the Personnel Action File or Professional Information File.
2. When the agency determines, after careful consideration and after consultation with the affected faculty member, that written statements are sufficiently substantive to affect personnel action, and if such statements contain information that has not been incorporated in the Personnel Action File, the agency will identify the source of the statements.
3. A copy of the statement that includes the name of the source will be placed in the Personnel Action File and a copy will be given to the affected faculty member (see Section 606.1.2.c. and 606.1.2.d.).
4. At the time the agency requests that the statement be put in writing, the agency will inform the source of the procedures described in Section 613.3. above.
5. Any student statement or evaluation provided outside of the regular written student evaluation of teaching effectiveness (see Section 612.5.2.c.(2)(b)) must be identified

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by name to be included in a Personnel Action File. The student will be informed of the right to a hearing before the Academic Grievance and Grade Appeal Board should the student feel that any later discriminatory action is taken because of having given the statement.

6. Confidential summary information compiled by staff from the working Personnel Action File for the Provost or President is exempt from the above requirements.

SECTIONS 620 – 629 – RECRUITMENT, SELECTION, APPOINTMENT, AND EVALUATION.

**620 Recruitment, Selection, Appointment, and Evaluation.**

620.1 General Policy.

The policy of California State University, Northridge is to provide equal opportunity in all aspects of employment. The University is committed to a program of Affirmative Action to provide employees and applicants equal employment opportunities in all departments and job classifications on campus.

620.2 Affirmative Action.

California State University, Northridge is committed to maintaining and implementing employment policies and procedures in compliance with applicable state and federal nondiscrimination and affirmative action laws and regulations. All employment practices relative to recruiting, hiring, training, promotions, transfers, compensation, benefits, layoffs, and terminations will be administered in accordance with Executive Order 883, “Systemwide Guidelines for Nondiscrimination and Affirmative Action Programs in Employment.”

1. All members of Department search and screen committees will be responsible for ensuring that the search is conducted in compliance with the provisions of the *Manual of Procedures for Search and Screen Committee for Full-Time Faculty Positions* as well as monitoring equity and diversity activities for searches conducted by that committee, in consultation with the Faculty Equity and Compliance Representatives (FECRs).
2. The Faculty Equity and Compliance Representatives (FECRs) will work collaboratively with their Dean, Department Chair, and search committee members, to support the recruitment processes in their assigned colleges. It is not expected that FECRs will participate in regular search and screen committee meetings, nor will they vote on committee matters. They will, however, be available to consult with search and screen committee members on equity and compliance issues at every stage of the process.
3. All members of department search and screen committees and FECRs will receive training on equity and compliance in hiring practices from the Office of Equity and Diversity.

620.3 Conflict of Interest

No employee may initiate or participate in institutional decisions involving a direct benefit (such as appointment, retention, promotion, leave of absence, etc.) to a member of the employee’s immediate family, a blood relative, or a person with

whom the employee has an economic, sexual, and/or romantic involvement that could reasonably be perceived as impairing objectivity.

In addition, members of search committees must make every effort to avoid conflicts of interest (see, for example, Section 604.3.5). In an academic setting, a conflict of interest also includes the following: 1) a search committee member who has served as an applicant's thesis advisor, post-doctoral research advisor, or as a member of an applicant's thesis committee; 2) a search committee member who has co-authored a book, article, report, abstract, or paper with an applicant; 3) a search committee member who has served as a collaborator with an applicant on an unfunded or funded research project; 4) a search committee member who has served on an editorial board with an applicant or as a co-editor with an applicant. In such situations, search committee members must disclose in writing to their fellow committee members and to the Department Chair that they have an academic relationship with the candidate, and, depending on the situation, may need to recuse themselves from the search. If confusion exists or a situation arises that cannot be resolved within the committee then the committee, or an individual committee member, should consult with the Chief Diversity Officer to reach a resolution.

### **621 Appointment and Evaluation of Academic Employees.**

#### 621.1 Criteria for Selection.

In making appointments, factors to be given primary consideration include:

1. Excellence in scholarship and training.
2. Interest and skill in teaching (as well as in librarianship or counseling when relevant).
3. Promise of professional growth.
4. Qualifications of personal maturity.

#### 621.2 Procedures.

1. Notice of Openings.

In the recruitment of faculty, notices of position openings, after review by and consultation with the Chief Diversity Officer, will be placed in appropriate media and publicized through available channels in keeping with equal employment opportunity requirements. The University actively encourages applications from people with disabilities, minorities, veterans and women through specific outreach efforts to these groups. Assistance in publicizing vacancies is available from faculty colleagues, Faculty Affairs, and FECRs.

2. Establishment of Files.

- a. A file will be compiled for each candidate recommended for appointment. The responsibility for compiling such a file falls jointly on the Dean of the College and the Department Chair. The file should contain a signed official application (SC-1 Form) and adequate supporting evidence.
- b. A confidential search and screen file will be established for each search. This file will contain all pertinent documents for each applicant and will contain as a minimum: curriculum vitae, all written communications with and regarding the applicants, notes resulting from telephone inquiries, letters of recommendation, and documentation that provided the basis for the Department's recommendation. The Department Chair is responsible for compiling such files.

3. Interviews.

In addition to the interviews at the Department level, prospective appointees may be interviewed by the Dean of the College or a designee. Where such interviews are not feasible, telephone calls of inquiry and investigation will be made. Detailed, written records pertaining to the interviews will be retained as part of the search and screen file.

4. Original Consideration.

All recommendations regarding probationary appointments will originate at the Department or appropriate unit level where the appointment is to be made.

5. Consultation.

Prior to recommending a full-time faculty appointment, the Department Chair will consult with either the Department Personnel Committee or a peer review committee of tenure-track faculty unit employees elected for the purpose, and, whenever possible, with the probationary and the remaining tenure-track members of the Department. The recommendation report of the Department Personnel Committee (or the peer review committee) will be approved by a simple majority of the Committee, and then forwarded (with the vote) to the Department Chair. The Department Chair's written recommendation, the report of the Committee, any comments from the probationary and the remaining tenure-track members (when consulted), and any votes taken will be forwarded to the College Dean by the Department Chair. The FECRs will be consulted throughout the search and screen process to ensure that appropriate procedures are

## **Recruitment, Selection, Appointment, and Evaluation**

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followed. If at any stage in the search and screen process the FECR or any member of the search committee has reasonable cause to believe that equal employment opportunity requirements are not being met, the FECR or committee member will recommend to the appropriate authority that immediate corrective action be taken. In all cases, the final responsibility for recommendation to the Dean rests with the Department Chair.

### 6. Offers of Appointment.

The President will make offers of full-time appointment in writing following the written recommendation by the Department Committee, the Department Chair, the College Dean, and the Provost and Vice President for Academic Affairs and after the written assurance from the Director of the Office of Equity and Diversity that a good faith recruitment effort has been made. A statement outlining conditions and policy on probation, tenure, and promotion will be attached to every official offer of employment.

### 621.3 Initial Appointment Considerations.

The transfer of a CSUN non-academic employee or an academic-administrative employee to a faculty position will be considered as an initial faculty appointment unless that employee already has a concurrent academic appointment pursuant to sections 622.1.2.

#### 1. Appointment Rank.

Appointment will normally be at Assistant Professor, Senior Assistant Librarian, or Student Services Professional – Academic-Related I rank. Senior rank will be granted only in unusual circumstances after recommendation by the Personnel Committee and the Dean of the appropriate College.

#### 2. Length of Appointment.

A faculty member will be appointed initially for no more than two academic years.

#### 3. Promises and Special Conditions.

##### a. Promises.

- (1) No promise with respect to appointment may be made by any officer other than the President, the Provost and Vice President for Academic Affairs, or the Dean of the College concerned.

(2) No promise concerning eventual retention, tenure, or promotion will be made to any candidate by any officer or faculty member of the University.

b. Conditions.

Any special conditions or limitations affecting the candidate's retention or tenure should be clearly stated in writing to the candidate prior to the time of initial appointment.

621.4 Appointment and Evaluation of Full-time Lecturers or Equivalent Library or Student Affairs Positions.

1. Appointment Procedures.

a. Initial appointment of full-time Lecturers will follow the normal recruitment and selection procedures.

b. Recommendation for Appointment to Tenure Track.

The recommendation that a full-time Lecturer with one or more years of service be appointed to a tenure track position will follow approved recruitment and selection procedures. The University's commitment to encourage equity and diversity will be kept in mind.

c. Service Credit

Requests for service as Lecturer to count toward service required for tenure will be considered only at the time of appointment to tenure track (see Section 641.2.7.).

d. Probation.

Lectureship will not be used in lieu of probation.

2. Evaluation.

a. Each full-time Lecturer will receive from the Department Chair a written performance evaluation at the end of the academic year. Prior to the written evaluation, the faculty member will be requested to complete a "Full-Time Lecturer's Annual Summary of Achievements" form.

b. Prior to completing the written evaluation, the Department Chair will provide an opportunity for the tenured members of the Department to submit written, identified, and substantive statements concerning the



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Lecturer's teaching performance. Copies of the written statements and the lecturer's evaluation will be included in the faculty member's Personnel Action File according to processes outlined in the Collective Bargaining Agreement. The University's commitment to encourage equity and diversity will be kept in mind.

### 621.5 Appointment of Adjunct Faculty.

#### 1. Definition.

In cases where the University may benefit from the temporary appointment of a professional person or a distinguished member of the community, such person may be designated as an Adjunct Faculty. Except in unusual cases, Adjunct Faculty will possess qualifications the same as or higher than those of the tenure track faculty members in the Department offering the appointment. The University's commitment to encourage equity and diversity will be kept in mind.

Adjunct faculty may also be given a specialized title appropriate to their status. Such specialized titles are given at the discretion of the Department and include such titles as Visiting Scholar; Artist in Residence; (Senior) Research Scientist; Postdoctoral Fellow.

When Adjunct faculty teach, it must be on a voluntary, unpaid basis. If an individual teaches on a paid basis, he or she will have the title of Lecturer. An individual may simultaneously hold both Adjunct faculty and Lecturer status. The specialized titles noted above may be given to such an individual by the Department, and are part of the Adjunct faculty status.

#### 2. Procedure.

The President is responsible for the appointment of Adjunct Faculty based on recommendations of the Department Chair, the Department Personnel Committee, and the Dean of the College. Appointments will be reviewed annually and renewed in the same manner as the original appointment.

#### 3. Privileges.

When resources permit, Adjunct Faculty may be granted privileges such as use of office space, Library privileges, access to computing facilities and electronic mail, parking privileges, and a faculty identification card.

### 621.6 Appointment of Athletic Coaches.

#### 1. Tenure Status.

The provisions relating to academic tenure will not be applicable to periods of service in the classes of Athletic Coach.

2. Appointments and Renewal of Appointments.

Appointments to the classes of Athletic Coach will be made by the President on an academic year, ten-month, or twelve-month basis and may be renewed on a year-to-year basis, without acquisition of tenure. The University's commitment to encourage equity and diversity will be kept in mind.

3. Credit Toward Tenure.

Individuals who have served without a break in service in the classes of Athletic Coach and who are subsequently appointed to positions in which academic tenure may be gained, may be credited with not more than two years of service in such positions as service required for tenure; provided, that when such an individual is appointed to the position of Professor, that individual must serve at least one year of probationary status immediately prior to gaining tenure.

621.7 Prohibited Appointments.

1. Students working toward an undergraduate degree at this University will not hold a full-time or part-time faculty appointment in the Department in which they are pursuing the degree.
2. Students working toward a graduate degree at this University will not hold a full-time faculty appointment in the Department in which they are pursuing the degree, nor will they teach any courses which might be applicable to the degree program in which they are enrolled.

Exceptions to this policy must be approved by the Provost and Vice President for Academic Affairs, after consultation with the Personnel Planning and Review Committee.

621.8 Employment of Relatives.

1. Definition.

A "near relative" is defined as a son, daughter, brother, sister, mother, father, husband, wife, or step-relatives or in-laws in the same kind as the above.

2. Merit Considerations.

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Individuals employed at California State University, Northridge are to be judged on their own merits. Therefore, near relatives of faculty members (teachers, administrators, librarians) may be appointed to fill academic positions (teaching, administrative, and library).

3. Supervision of Relatives.

Except under the most unusual circumstances, as determined by the President in consultation with the Personnel Planning and Review Committee, no person may be appointed to fill a tenure track position, academic or otherwise, in which the employee will be under the supervision of the near relative. In each such case where the Personnel Planning and Review Committee is to make a recommendation, it will give careful attention to the requirements of both the University's commitment to encourage equity and diversity and its policy to select the most highly qualified candidate.

The term "supervision" used above includes all persons in direct line of authority plus Associate Deans within their respective Colleges.

### **622 Appointment and Evaluation of Academic-Administrative Employees, Certain Administrative Employees, and Department Chairs.**

#### 622.1 General Considerations.

1. The recruitment and appointment of academic-administrative employees will be in accordance with the University's goals for equity and diversity, and committees formed for the purposes of screening applicants and evaluating employees will to the extent possible have a diverse membership as well as members familiar with the duties and responsibilities of the office under consideration.
2. Concurrent Academic Appointment.
  - a. Initial Appointments at CSUN.
    - (1) Each person whose initial CSUN appointment is to an academic-administrative assignment will normally have a concurrent probationary academic appointment and rank in the academic Department for which the person qualifies, in accordance with relevant procedures on academic appointments outlined in Sections 621.1., 621.2.3., 621.2.5., 621.2.6., 621.3., and this section.
    - (2) The Search and Screen Committee for the academic-administrative

employee will notify the academic Department in which a candidate to be interviewed (by the Search and Screen Committee) that the candidate may qualify for a concurrent probationary academic appointment. The Department will be provided with a copy of the candidate's file and an opportunity to interview the candidate.

- (3) Any interview that the Department has with a candidate under the provisions of 622.1.2.a.(2) is for the purpose of making a recommendation to the President on concurrent probationary academic appointment and will not play a role in the Search and Screen Committee's deliberations or final recommendation for the academic-administrative appointment.
- (4) A concurrent academic appointment will accompany initial academic-administrative appointments only if the academic Department concerned will have approved the concurrent probationary academic appointment of such academic-administrative employee to the Department.

b. Retention of Academic Appointment and Rank.

Academic employees who are appointed to academic-administrative assignments will retain their academic appointment and rank.

622.2 Appointment and Evaluation of Vice Presidents.

1. Appointment Procedures.

At the request of the President, a search and screen committee will be formed, which consists of three Presidential appointees, including at least one faculty member; the President of Associated Students or designee; two faculty members appointed by the Personnel Planning and Review Committee; and the Faculty President or designee.

2. Evaluation.

- a. Periodic review of these key administrators is designed to evaluate the performance of the individual in the administrative assignment and to provide information and suggestions for improvement. Information and reports associated with the reviews are to be treated as confidential with access limited to the individual involved, members of the review committee, and the President of the University. The first evaluation will occur no later than three years after the initial appointment including time spent in an acting capacity, if any. Subsequent evaluations will occur at intervals not to exceed five years.

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- b. Prior to the establishment of a Review Committee, the individual being reviewed will provide the President with a short written description of the major accomplishments achieved during the period under review.
  
- c. A separate six-member Review Committee will be established to assist the President in the review of each individual except for the review of the Provost and Vice President for Academic Affairs in which case a five-member Review Committee will be established. The President will appoint the chair of the committee from the members constituted as follows:
  - (1) One College Dean appointed by the President (except in the case of review of the Provost and Vice President for Academic Affairs).
  - (2) President of the Faculty or designee.
  - (3) A faculty member appointed by the Executive Committee of the Faculty Senate.
  - (4) An administrator appointed by the President.
  - (5) Chair of the Personnel Planning and Review Committee or designee.
  - (6) President of the Associated Students or designee.
  
- d. The Review Committee will carry out the following charges:
  - (1) Meet with the President to discuss the responsibilities of the position, the procedures to be employed in the review, and the time frame for the review.
  - (2) Meet with the individual being evaluated to discuss the procedures to be employed in the review.
  - (3) Devise appropriate means for obtaining information regarding the individual's performance. Such means will provide an opportunity for all full-time tenure-track faculty to contribute information to the review.
  - (4) The evaluation should include, but not be restricted to, an assessment of the individual's effectiveness:
    - (a) In commanding respect as an academic leader and scholar,

if appropriate;

- (b) In achieving the mission of the University;
  - (c) In creating an educational environment conducive to excellence in teaching and scholarship; and
  - (d) In implementing the Affirmative Action Plan of the University.
- (5) Analyze information received during the review and prepare a written report to the President which summarizes the information gathered and assesses the performance of the individual. A copy of the report will be provided to the individual and that person will have an opportunity to submit to the President a response to the report. The Committee will also meet with the President to discuss the review process and its written report.

622.3 Appointment and Evaluation of Designated Academic-Administrative and Administrative Employees.

1. This section deals with the appointment and evaluation of the following positions:

a. Academic-Administrative Employees. Management positions reporting directly to the Provost and Vice President for Academic Affairs including the following positions and any positions serving equivalent functions:

Vice Provost(s)

Associate Vice Presidents

Assistant Vice President for Graduate Studies

Dean, Extended Learning

Director, Educational Opportunity Program (EOP)

b. Administrative Employees. Other management positions of special interest to the faculty, including the following positions and any positions serving equivalent functions:

Associate Vice President(s), Student Affairs

Director, Career Center

Director, University Counseling Services

Director of the Office of Equity and Diversity

Director of Intercollegiate Athletics

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2. At the request of the appropriate administrator, a search and screen committee will be formed as described below.
  - a. Applicants for all positions indicated in 622.3.1.a. and 622.3.1.b. above except for the Director of Intercollegiate Athletics and Director, University Counseling Services will be screened by a seven-member search and screen committee composed of two appointees by the President, at least one of whom will be a faculty member; the Faculty President or designee; one student appointed by the President of the Associated Students in consultation with the President; one appointee of the administrator responsible for the area; and two members appointed by the Personnel Planning and Review Committee.
  - b. Applicants for the position of Director of Intercollegiate Athletics will be screened by a seven to nine-member search and screen committee composed of the President of the Faculty or designee; two to four appointments by the President, including at least one faculty member; two faculty members designated by the Personnel Planning and Review Committee; the Faculty Athletic Representative; and one student member appointed by the President of Associated Students in consultation with the President.
  - c. Applicants for the position of Director, University Counseling Services will be screened by a seven-member search and screen committee composed of two appointees by the President, at least one of whom will be a faculty member; the Faculty President or designee; one student appointed by the President of the Associated Students in consultation with the President; one appointee of the administrator responsible for the area; one member appointed by the Personnel Planning and Review Committee and one University Counseling Services tenure-track faculty member elected by the tenure-track faculty of University Counseling Services.
3. Appointment of Director of Intercollegiate Athletics.
  - a. Tenure Status.

The provisions relating to academic tenure will not be applicable to periods of service in the class of Director of Intercollegiate Athletics.
  - b. The Director of Intercollegiate Athletics serves in the Management Personnel Plan and at the pleasure of the President.
  - c. Individuals who have served without a break in service in the class of

Director of Intercollegiate Athletics and who are subsequently appointed to positions in which academic tenure may be gained, may be credited with not more than two years of service in such positions as service required for tenure; provided, that when such an individual is appointed to the position of Professor, that individual must serve at least one year of probationary status immediately prior to gaining tenure.

4. Appointment procedures will be in accordance with the *Manual of Procedures for Search and Screen Committees for Academic-Administrative Positions*. Copies of this manual are in the Office of Faculty Affairs and available online at <http://www.csun.edu/faculty-affairs/policies>. The University's commitment to encourage equity and diversity will be kept in mind.
5. Evaluation.

The President, or appropriate Vice President at the request of the President, will establish a Review Committee to conduct evaluations.

- a. Periodic evaluation of these administrators is designed to evaluate the performance of the individual in the administrative assignment and to provide information and suggestions for improvement. Information and reports associated with the reviews are to be treated as confidential with access limited to the individual involved, members of the Review Committee, the administrator to whom the administrator reports, and the President of the University. The first evaluation will occur no later than three years after the initial appointment including time spent in an acting capacity, if any. Subsequent evaluations will occur at intervals not to exceed five years.
- b. Prior to the establishment of a review committee, the individual being reviewed will provide the supervising administrator with a short written description of the major accomplishments achieved during the period under review.
- c. A separate review committee will be established to assist the supervising administrator to review each individual. The supervising administrator will appoint the chair of the committee from the members, constituted as follows:
  - (1) An administrator from the appropriate area, appointed by the supervising administrator.
  - (2) If the individual being evaluated serves as Executive Secretary of a standing or advisory committee of the Faculty Senate, the Chair



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of that Committee or designee of the Chair will serve. In other cases, the Faculty President or designee will serve.

- (3) One other member appointed by the Faculty President with the advice and consent of the supervising administrator.
  - (4) In the review of the Director, University Counseling Services, a fourth member elected by the faculty of the Counseling Center from among the tenured faculty of the Counseling Center.
- d. The Review Committee will carry out the following charges:
- (1) Meet with the supervising administrator to discuss the responsibilities of the position, the procedures to be employed in the review, and the time frame for the review.
  - (2) Meet with the individual being evaluated to discuss the procedures to be employed in the review.
  - (3) Devise appropriate means for obtaining information regarding the individual's performance. Such means will provide an opportunity for all full-time tenure-track faculty to contribute information to the review.
  - (4) The evaluation should include, but not be restricted to, an assessment of the individual's effectiveness:
    - (a) In commanding respect as an academic leader and scholar, if appropriate;
    - (b) In achieving the mission of the University;
    - (c) In contributing to an educational environment conducive to excellence in teaching and scholarship; and
    - (d) In implementing the Affirmative Action Plan of the University.
  - (5) Analyze information received during the review and prepare a written report to the supervising administrator which summarizes the information gathered and assesses the performance of the individual. A copy of the report will be provided to the individual and that person will have an opportunity to submit a response to the supervising administrator. The Committee will also meet with the supervising administrator to discuss the review process and its written report.

- e. Following the above steps, the supervising administrator will meet with the individual being reviewed to discuss the performance evaluation. In addition, the supervising administrator will report the results of the evaluation to the President of the University.

622.4 Appointment and Evaluation of Deans of Colleges and the Library.

1. Search and Screen Committee.

Applicants will be screened by a six-member committee composed of

- a) Three members elected by the faculty of the College concerned. These members will be elected from among the tenured senior rank Associate and Full Professors or Librarians in that College. For colleges composed of fewer than four departments there must be at least one member from each department. For all other colleges, there may be no more than one member from each department.
- b) One member elected by the Personnel Planning and Review Committee from its own membership.
- c) One member appointed by the President.
- d) Associated Students President or designee.

It is strongly recommended that Search and Screen Committees have a diverse membership, including an individual currently or formerly serving as Dean of a College, and members familiar with the duties and responsibilities of the position to be filled.

2. Appointment Procedures.

Appointment procedures will be in accordance with the *Manual of Procedures for Search and Screen Committees for Academic-Administrative Positions*. Copies of this manual are in the Office of Faculty Affairs and available online at <http://www.csun.edu/faculty-affairs/policies>. The University's commitment to encourage equity and diversity will be kept in mind.

3. Evaluation.

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The President, or Provost and Vice President for Academic Affairs at the request of the President, will establish a Review Committee to evaluate the Deans of Colleges.

The periodic reviews of the College Deans are designed to evaluate the performance of the individual in the administrative assignment and to provide information and suggestions for improvement. Information and reports associated with the reviews are to be treated as confidential with access limited to the individual involved, members of the Review Committee, the Provost and Vice President for Academic Affairs, and the President of the University. The first evaluation will occur no later than three years after the initial appointment including time spent in an acting capacity, if any. Subsequent evaluations will occur at intervals not to exceed five years.

- a. Prior to the establishment of a Review Committee, the individual being reviewed will provide the Provost and Vice President for Academic Affairs with a short written description of the major accomplishments achieved during the period under review.
  
- c. A separate three-member Review Committee will be established to assist the Provost and Vice President for Academic Affairs in the review of each individual. Membership of the Review Committee will be constituted as follows:
  - (1) One Department Chair selected by the Chairs within the College to serve as Chair of the Review Committee.
  - (2) A faculty member selected by and from the Personnel Committee of the College.
  - (3) A faculty member appointed by the Provost and Vice President for Academic Affairs.
  
- d. The Review Committee will function within the following charges:
  - (1) Meet with the Provost and Vice President for Academic Affairs to discuss particular responsibilities of that Dean's position, the procedures to be employed in the review, and the time frame for the review.
  - (2) Meet with the individual being evaluated to discuss the procedures to be followed in the review.

- (3) Devise appropriate means for obtaining information regarding the individual's performance. Such means will provide an opportunity for all full-time tenure-track faculty in the College to contribute information to the review.
  - (4) The evaluation will include, but not be limited to, an assessment of the Dean's effectiveness:
    - (a) In commanding respect as an academic leader and scholar;
    - (b) In achieving the mission of the University and the College;
    - (c) In creating an educational environment conducive to excellence in teaching and scholarship and in the Library, excellence in librarianship as well; and
    - (d) In implementing the Affirmative Action Plan of the University.
  - (5) Analyze information received during the review and prepare a written report to the Provost and Vice President for Academic Affairs with a copy to the individual being reviewed. The report will summarize the information gathered and assess the performance of the individual. The individual under review has the opportunity to submit to the President a response to the report. The Committee will also meet with the Provost and Vice President for Academic Affairs to discuss the review process and the written report of the Review Committee.
- e. Following the above steps, the Provost and Vice President for Academic Affairs will meet with the individual to discuss the performance evaluation. In addition, the Provost and Vice President for Academic Affairs will report the results of the evaluation to the President of the University.

#### 622.5 Appointment and Evaluation of Associate Deans of Colleges and the Library.

1. Appointment Procedures.
  - a. Applicants for the position of Associate Dean of a College or the Library, with the exception of the College of Extended Learning, will be screened by a six-member committee composed of three members elected by the faculty of the College concerned from among tenured senior rank Professors or Librarians, including Department Chairs, in that College, the Chair of the College Personnel Committee or a

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designee from the Committee, one member appointed by the Dean, and one student member chosen by the other members of the committee. The committee member appointed by the Dean must have academic rank. It is strongly recommended that Search and Screen Committees have a diverse membership, including an individual currently or formerly serving as Associate Dean of a College, and members familiar with the duties and responsibilities of the position to be filled.

- b. Applicants for the position of Associate Dean of the College of Extended Learning will be screened by a six-member committee composed of two members appointed by the Dean, at least one of whom will be a tenured senior faculty member who is teaching in or serves as an academic administrative coordinator associated with degree programs offered through the College of Extended Learning; the Chair of the Extended Learning Committee of the Faculty Senate or designee; two faculty members appointed by the Personnel Planning and Review Committee; and one student member chosen by the other members of the search and screen committee.
  - a. Appointment procedures will be in accordance with the *Manual of Procedures for Search and Screen Committees for Academic-Administrative Positions*. Copies of this manual are in the Office of Faculty Affairs and available online at <http://www.csun.edu/faculty-affairs/policies>. The University's commitment to encourage equity and diversity will be kept in mind.

### 2. Evaluation Procedures.

- a. The Dean of the College will evaluate full-time Associate Deans within a College. The first evaluation will occur no later than three years after the initial appointment, including time spent in an acting capacity, if any. Subsequent evaluations will occur at intervals not to exceed five years. The Dean will consult with the College Personnel Committee regarding a suitable method of evaluation.
  - (1) The periodic reviews of the Associate Deans are designed to evaluate the performance of the individual in the administrative assignment and to provide information and suggestions for improvement. Information and reports associated with the reviews are to be treated as confidential with access limited to the individual involved, members of the Review Committee, the Dean, and the Provost and Vice President for Academic Affairs.
  - (2) Prior to the establishment of a Review Committee, the individual being reviewed will provide the Dean with a short written

description of the major accomplishments achieved during the period under review.

- (3) A separate three-member Review Committee will be established to assist the Dean with the review of each Associate Dean. Membership of the Review Committee will be constituted as follows:
  - i. One Department Chair selected by the Chairs within the College to serve as Chair of the Review Committee.
  - ii. A faculty member selected by and from the College Personnel Committee.
  - iii. A faculty member appointed by the Dean
  
- b. The Review Committee will function within the following charges:
  - (1) Meet with the Dean to discuss the responsibilities of that Associate Dean's position, the procedures to be employed in the review, and the time frame for the review.
  - (2) Meet with the individual being evaluated to discuss the procedures to be followed in the review.
  - (3) Devise appropriate means for obtaining information regarding the individual's performance. Such means will provide an opportunity for all Department Chairs and full-time tenure-track faculty in the College to contribute information to the review. Contributions should also be sought from Associate Deans in other Colleges as well as from members of appropriate University committees, since the Associate Dean often must speak for the College before various University committees.
  
- c. The evaluation will include, but not be restricted to, an assessment of the Associate Dean's effectiveness:
  - (1) In commanding respect as an academic leader and scholar;
  - (2) In achieving the goals of the Departments and College and the mission of the University;
  - (3) In creating an educational environment conducive to excellence in teaching and scholarship and, in the Library, excellence in librarianship as well; and

## **Recruitment, Selection, Appointment, and Evaluation**

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- (4) In implementing the Affirmative Action Plan of the University.
- d. Upon completion of the above steps, the College Dean will meet with the Associate Dean to discuss the performance evaluation. In addition, the College Dean will submit a written report to the Provost and Vice President for Academic Affairs, with a copy to the individual under review.

### 622.6 Appointment and Evaluation of Department Chairs.

#### 1. Term of Office.

The term of office for Department Chairs will normally be three years. A department may submit alternative policies specifying terms of a different length to the Personnel Planning and Review Committee. At the end of a term of office, the Department Chair position will be considered to be vacant. The vacancy will be filled by the Appointment Procedures that follow.

#### 2. Appointment Procedures.

##### a. Search and Screen Committee.

- (1) In anticipation of the end of a Department Chair's term, or in the event of a vacancy for other reasons, the Dean will call a meeting of the Department faculty for the election of a committee of three to five tenured teaching faculty to serve as a Search and Screen Committee. Where such a committee cannot be formed, the Dean will so advise the College Personnel Committee, which will determine the appropriate action. The first meeting of the Search and Screen Committee will be called by the Dean or a designee.
- (2) Members of a Department faculty who will not be reappointed, who are on terminal notice, or who have resigned or accepted another full-time position elsewhere will not vote in the election of, nor serve on, the Search and Screen Committee.

##### b. Nomination of Candidates.

The Search and Screen Committee will solicit candidates for the position of Department Chair. Nominations, including self-nominations, for the position of Department Chair will be put forward by any member of the department's tenure track faculty. All candidates will have indicated a willingness to serve. A Search and Screen Committee member who becomes a candidate will resign and be replaced.

c. Departmental Advisory Vote and Certification.

The Department Search and Screen Committee will conduct an advisory vote to allow the Department's tenure track faculty to indicate their preference for Department Chair. The Department Search and Screen Committee will tabulate and advance the number of votes received by each candidate, on the advisory ballot, along with its certification of the process to the Dean of the College.

d. Responsibilities of the College Dean.

The Dean will provide opportunities for full-time faculty in the department to have conferences with the Dean concerning the selection of a new chair. After these conferences, the Dean of the College will transmit to the President of the University a recommendation by the Dean and the results of the department faculty's advisory vote.

3. Evaluation Procedures.

a. The Deans of Colleges will evaluate the performance of Department Chairs and the overall functioning of the Department at intervals of not more than three years.

b. Earlier evaluations will be conducted at the request of a majority of the teaching faculty or at the discretion of the Dean.

c. Methods of evaluation will be at the discretion of the Dean with the approval of the College Personnel Committee and the Provost and Vice President for Academic Affairs, but must include the opportunity for full-time faculty to have conferences with the Dean.

d. The evaluation will include, but not be restricted to, assessment of the Chair's effectiveness:

(1) In commanding respect as an academic leader and scholar;

(2) In achieving the goals of the Department and College and the mission of the University;

(3) In creating an educational environment conducive to excellence in teaching and scholarship and, in the library, excellence in librarianship as well; and

(4) In implementing the diversity goals of the University.



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- e. Upon completion of the evaluation the College Dean will meet with the Chair to discuss the evaluation.
  - f. The Dean will apprise the Department faculty of the Dean's evaluation of the Chair and the Department.
  - g. The Dean will submit a written report to the Provost and Vice President for Academic Affairs, with a copy to the Chair under review.
4. Reassignment Procedures.
- a. Department Chairs serve at the pleasure of the University President and can be reassigned following an evaluation of the Chair or at any other time during the Chair's term.
  - b. When the College Dean has determined that there are reasons to warrant the reassignment of a Department Chair, the Dean will present to the Provost and Vice President for Academic Affairs, in writing, the rationale for the proposed reassignment with a copy to the Department Chair.
  - c. The Department Chair will have the opportunity to respond in writing and to meet with the Dean and the Provost and Vice President for Academic Affairs to discuss the proposed reassignment.
  - d. The Provost and Vice President for Academic Affairs, after consultation at the Department and College levels, will forward a recommendation to the President, who will make the final decision regarding reassignment.
5. Acting Appointments.
- When a Department Chair is temporarily vacated for periods of one year or less, or during the search for a permanent replacement, an Acting Chair will be appointed upon the recommendation of the College Dean with the concurrence of the Department Personnel Committee.
- a. Acting Chairs will ordinarily be chosen from the senior rank faculty within a Department.
  - b. Acting appointments will be made only on a year-to-year basis.
  - c. Except in the case of temporary appointments, an active search for a permanent Chair will be conducted during this period.
6. Decision of the President.

The ultimate decision regarding all appointments and retentions of Department Chairs will rest with the President.

### SECTIONS 630 – 639 – RETENTION, TENURE, AND PROMOTION.

#### **630 General Policy Statement.**

- 630.1 Procedures for determining retention, tenure, and promotion are subject to the confidentiality requirements of Section 607 of this Manual.
- 630.2 Reappointment, tenure, and promotion are earned by the faculty, and are not granted automatically. Faculty members must demonstrate to their colleagues their worthiness by documenting the quality of their performance.
- 630.3 Recommendations should consider information from other faculty members and any other source, including, but not limited to, students (Title 5, Section 42701).
- 630.4 Evaluation will be based upon an analysis of the documented evidence presented.
- 630.5 Department Chairs and senior faculty members have an obligation to assist junior faculty in identifying and meeting the criteria for retention, tenure, and promotion appropriate to their particular programs. Such assistance is especially important when the candidate's background and training differs from that of the senior faculty.

#### **631 Procedures for Review and Recommendations.**

- 631.1 There will be consultation as specified in Section 634.
- 631.2 Each Department Personnel Committee will review all relevant data in light of the criteria for retention, tenure, or promotion (See 612.5.2.g) and will submit a recommendation on each candidate. Prior to submitting its recommendation, the Department Committee will 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.
- 631.3 Each Department Chair will make an independent evaluation of each candidate for retention, tenure, and promotion. Department Chairs will not evaluate themselves.
- 631.4 The Personnel Committee of the College will review the Department recommendations to ensure: (1) equitable consideration of each candidate and (2) consistency in the application of the criteria among Departments throughout the College, and will submit its own recommendation on each candidate (See 612.4.2.b.(6)).
- 631.5 The Dean of each College will make an independent evaluation of each candidate.

#### **632 Criteria for Making Judgments.**

### 632.1 Definition of Rank.

1. Assistant Professor, Senior Assistant Librarian, Student Services Professional – Academic-Related I.

These ranks require adequate professional preparation and evidence of potential success in those areas considered essential for the awarding of tenure at this University.

2. Associate Professor, Associate Librarian, Student Services Professional – Academic-Related II.

These ranks require clear demonstration from the Assistant Professor, Senior Assistant Librarian, or Student Services Professional – Academic-Related I of progress toward achieving those characteristics that are recognized by the University as essential for senior rank.

3. Professor, Librarian, Student Services Professional – Academic-Related III.

These ranks are reserved for those eligible faculty who meet the requirements specified in Sections 632.2 through 632.6.

### 632.2 Professional Preparation

1. The University Standard.

The University standard requires that possession of a doctorate or other appropriate terminal degree, earned from an institution of higher learning that holds at least regional accreditation, is the normal minimal requirement for promotion to the rank of Associate Professor, Associate Librarian, Student Services Professional – Academic-Related II, Professor, Librarian, or Student Services Professional – Academic-Related III. Exceptions will be based upon evaluation of evidence considered appropriate under procedures established by Departments and Colleges with the approval of the Personnel Planning and Review Committee.

2. Assistant Professor, Senior Assistant Librarian, Student Services Professional – Academic-Related I.

Doctorate or other terminal degree recommended. Limited relevant experience expected.

3. Associate Professor, Associate Librarian, Student Services Professional – Academic-Related II.

Doctorate or other terminal degree normally required. Extensive relevant

experience expected.

4. Professor, Librarian, Student Services Professional – Academic-Related III.

Doctorate or other terminal degree normally required. Extensive relevant experience expected.

### 632.3 Teaching Effectiveness and Direct Instructional Contributions; Effectiveness in Librarianship; Effectiveness in Counseling.

1. The University Standard.

The University standard requires that the individual continue to make contributions to the instructional mission of the University. Instructional contributions are made primarily through teaching, and teaching effectiveness is an essential criterion for retention, for tenure, and for promotion to any rank. While no other contributions or service can substitute for effective teaching, activities that directly advance instruction in additional ways are also recognized as instructional contributions.

2. Teaching Effectiveness.

Teaching effectiveness refers to the instructor's success in providing learning experiences well designed to achieve the educational objectives of classroom instruction, student laboratories, and individual student projects, research, and field work. Evaluation of teaching effectiveness is based upon procedures established by the Department (see Section 612.5.2.c.(1)-(3)).

3. Faculty Activities.

Faculty who undertake activities that make substantial contributions to their courses beyond what is normally evaluated as teaching effectiveness, or who engage in activities that contribute to instruction beyond the limits of their classes, will be given appropriate positive recognition.

Examples of such instructional contributions include, but are not limited to, the following: development of effective instructional materials, teaching strategies, or other pedagogical improvements, especially when these are useful to other instructors and their students; providing service-learning or community-based learning; dissemination (through workshops, seminars, conferences, or publications) of information, materials, or skills designed to sustain or improve teaching effectiveness; development and/or execution of programs designed to assist the teaching efforts of other faculty, for example, training programs for new faculty or teaching assistants; development of unusually clear educational objectives and of the testing

instruments to measure their achievement, when these are helpful to the Department or University.

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

4. Effectiveness in Librarianship and Counseling
  - a. Effectiveness in librarianship will be described in the personnel procedures from the Library.
  - b. Effectiveness in counseling will be described in the personnel procedures from Student Affairs.

### 632.4 Contributions to the Field of Study.

1. The University Standard.

The University standard requires that the individual demonstrate continued growth as a recognized scholar and contributor to the field of study. Scholarly achievements made prior to the initial tenure-track appointment or previous promotion at California State University, Northridge will be considered as establishing a pattern of scholarly activities. However, additional significant contributions to the field since appointment are expected for tenure and initial promotion. Additional significant contributions since previous promotion are also expected for subsequent promotion.

2. Defining Significant Scholarly and Creative Contributions.

It is the responsibility of the departments to define those professional activities that constitute significant scholarly or creative contributions to their specific fields of study. Such standards, as defined by the candidate's Department Personnel Committee and approved by departmental faculty, will be submitted to the appropriate College Personnel Committee for approval (See Section 612.4.2.b.(2)). College Personnel Committees will submit approved departmental policies to the Personnel Planning and Review Committee for approval (see Section 612.3.2.c).

- a. Departmental standards defining significant scholarly or creative contributions to the field of study must include the principle of peer review as a means of verifying the significance of the candidate's professional achievements. Publication is a standard university measure of professional achievement. But where publication is not a, or the only, measure of achievement within a discipline, or where traditional academic peer review is not a formal part of the decision

making process in the publication, dissemination, performance, or display of a candidate's work, the evaluation of the candidate must include:

- (1) Identification of the format and public forum in which the work appears and a statement of its significance to the field of study.
    - (2) Specific procedures and criteria by which the work will be evaluated. The evaluation will include outside reviews by peers in the field.
  - b. In the absence of an approved departmental procedure defining significant scholarly or creative contributions to the field of study, the university will recognize as significant contributions to the field of study peer-reviewed scholarly books and peer-reviewed articles that are published by recognized presses and journals (including peer-reviewed e-journals) devoted to 1) the candidate's academic discipline or closely-related field; and/or 2) pedagogical research and/or teacher education in the candidate's academic discipline or closely-related field
3. Assistant Professor, Senior Assistant Librarian, Student Services Professional – Academic-Related I.
- a. Significant scholarly or creative contributions to the field of study as defined in Section 632.4.2 beyond terminal degree are desirable.
  - b. Functions as an active member through participation in professional organizations, institutes, etc.
  - c. Pioneering work in profession not required.
4. Associate Professor, Associate Librarian, Student Services Professional – Academic-Related II.
- a. Significant scholarly or creative contributions to the field of study as defined in Section 632.4.2 beyond terminal degree are normally required.
  - b. Participation in a program and carrying out of significant responsibilities in professional organizations, institutes, etc.
  - c. Pioneering work in profession, (i.e., organizing professional groups, promoting reforms, developing new fields) is desirable.
5. Professor, Librarian, Student Services Professional – Academic-Related III.

- a. Significant scholarly or creative contributions to the field of study as defined in Section 632.4.2 beyond terminal degree are required. The College or Department may have additional requirements of scholarly or creative contributions to the field of study. Exceptions to these requirements will be defined and justified by the candidate and evaluated by the recommending agencies in the Department and College. No exception will 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.
- b. Assumes leadership responsibilities; presents major papers in professional organizations, institutes, etc.
- c. Pioneering work in profession, (i.e., organizing professional groups, promoting reforms, developing new fields) is desirable.

632.5 Contributions to the University and Community.

1. Quality of the Contribution.

The quality of the contribution is more important than the level at which it is made.

2. Definitions of Contributions.

Contributions to the University and community refer to those contributions normally expected from all members of the faculty. Such contributions include active membership on committees at the Department, College, or University level, student advisement, and such other responsibilities, including community service, undertaken to advance the goals of the University.

Positive recognition will be given to those faculty who help the University serve students and community members from underrepresented groups. Positive recognition will also be given to those faculty who make significant contributions in advancing University programs dealing with teacher education and/or internationalizing education. As part of their personnel procedures, Departments may, in addition, specify the types of contributions which advance their efforts in these areas.

3. Assistant Professor, Senior Assistant Librarian, Student Services Professional – Academic-Related I.

- a. Effective participation in faculty and student affairs at various levels



(University, College, Department) is desirable.

- b. Student advisement, mentoring, and retention activities are highly desirable.
  - c. Community service is desirable.
4. Associate Professor, Associate Librarian, Student Services Professional – Academic-Related II.
    - a. Significant contributions in effective participation in faculty and student affairs at various levels (University, College, Department).
    - b. Identification as being effective in student advisement, mentoring, and retention activities is highly desirable.
    - c. Community service is desirable.
  5. Professor, Librarian, Student Services Professional – Academic-Related III.
    - a. Demonstrates leadership qualities and makes significant contributions through effective participation in faculty and student affairs at various levels (University, College, Department).
    - b. Identification as being effective in student advisement, mentoring, and retention activities is highly desirable.
    - c. Community service is desirable.

### 632.6 Professional Responsibilities.

1. For appointment or promotion to any tenure-track faculty rank, the faculty member should show definite promise of being a valuable addition to the University in terms of discharge of professional responsibilities as outlined in Section 604.
2. The need to maintain and nurture constructive relations with others in the conduct of academic affairs in no sense precludes the right to dissent and disagreement.

### **633 Conflicting Recommendations.**

When both the Dean and the College Personnel Committee recommend positively on a faculty member who has received negative recommendations from both the Department Chair and the Department Committee, the Dean will schedule a meeting of all four recommending agencies at which the College representatives will explain

their reasons for reversing the Department recommendations. Should the disagreement persist at the end of this meeting, the matter will be forwarded directly to the President of the University for resolution.

**634 Consultation.**

634.1 There will be consultation between the Department Personnel Committee and the Department Chair. Consultation from faculty and students will follow Section 613 Written Comments About Faculty.

634.2 There will be consultation between the College Committee and the Dean, and other consultations among recommending agencies are permissible by mutual consent. Consultations between the College and Department agencies are urged in cases where their recommendations may differ. However, because the recommendations of a Department Personnel Committee and a College Personnel Committee must be independent of the Department Chair and the College Dean (see Section 631.3 and 631.5 and Article 15 of the CFA/CSU Bargaining Agreement), neither a Department Chair nor a College Dean will be present during the Committees' final deliberations of candidates nor during any votes on candidates. Committees will decide what constitutes the final deliberation period.

634.3 Consultation regarding retention, tenure, or promotion of specific candidates normally will not occur between a Dean and the Provost prior to the Dean's formal recommendation. It is understood that a Dean of a College on occasion may need to consult with the Provost on personnel matters during the review process; however, to ensure that the independent judgments of the Deans not be compromised, such consultation will be initiated by the Dean and will be in reference to a specific faculty member or members from the College represented by the Dean desiring consultation.

**635 Evaluations and Recommendations on Retention, Tenure, and Promotion.**

635.1 Candidates for retention in years 2, 4, and 6 will be reviewed by the Department, the College, and President or the President's designee. If a candidate in year 3 or 5 receives all positive recommendations for retention at the Department and College levels, he or she will be considered to be reappointed with the placement of those positive recommendations in the Personnel Action File. Any negative recommendation at the Department or College level in years 3 or 5 will automatically be reviewed by the President or the President's designee, as will any early tenure or accelerated promotion recommendation.

635.2 The Department Personnel Committee, the Department Chair, the College Personnel Committee, and the College Dean separately and in writing will provide an evaluation of the candidate with reasons based upon an analysis of the evidence presented. The written evaluation will 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 will include a specific recommendation on retention, tenure, and/or promotion. Each committee will provide only one recommendation for each personnel consideration. The written recommendation and evaluation will be in the form of a letter addressed to the candidate and such letter will 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 will 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 will be sent to the faculty member's CSUN email address and otherwise made available upon request before being forwarded to a subsequent review level. The date of the email starts the ten (10) calendar day response period for the faculty member.

- b. Response

Faculty members have the right to file a written rebuttal statement within 10 calendar days following the date the email notification was sent. The faculty member has the right to also request a meeting that will be held within the same 10 days, to discuss the recommendation, before the recommendations are placed in the PAF and are sent to each of the other recommending agencies.

Based on the written response 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 will not extend the timelines. A copy of the response or rebuttal statement will be placed in the Personnel Action File and will also be sent to all previous levels of review.

3. The faculty member under personnel consideration may disclose the contents of the written evaluations and recommendations he or she receives as that faculty member chooses. Such disclosure is not a violation of the policy of confidentiality stated in Section 607.
4. Candidates for promotion (but not for retention) may withdraw their files from further consideration at any time prior to the final decision by making a written request to their Department Chair and/or to their College Dean. Such requests will be placed in the Personnel Action File. All

evaluations and recommendations submitted to the next level of review prior to withdrawal will also become part of the Personnel Action File.

**636 Transmission of Evaluations and Recommendations.**

636.1 The Chair of the Department Personnel Committee will transmit the Committee's recommendations (including the results of final balloting) to the Department Chair.

636.2 The Department Chair will transmit a recommendation and the Department Personnel Committee recommendation (including the results of final balloting) to the Dean of the College.

636.3 The Dean will transmit the Department recommendations (including the results of final balloting) to the Chair of the College Personnel Committee.

636.4 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.

636.5 Deans will transmit all recommendations (including the results of final balloting), with their own, to the President of the University.

**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 will notify faculty in writing of the decision on retention, tenure, and promotion. Such written notification will 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 will become part of the faculty member's Personnel Action File and will be the official view of the University.

**638 Right to Counsel.**

638.1 Advisors. The privilege of an advisor is available to either or both the candidate and the recommending agency, upon written notice, two working days in advance of the discussion.

1. Role of the Advisor. An advisor may participate in the discussion.
2. Selection of the Advisor. Selection is at the discretion of each party; however, advisors will be drawn from faculty at this campus.

638.2 Confidentiality. Advisors are bound by the confidentiality provisions of Section 607 of this Manual.

638.3 Continuing Discussion. Nothing in this section will be construed as limiting the informal professional discussions that normally occur among faculty.

**SECTIONS 640 – 649 – PARTICULAR PROCEDURES FOR PROBATION, TENURE,  
AND PROMOTION.**

(See also Sections 630-639)

**641 Probation and Tenure of Academic Personnel.**

641.1 Policy on Reappointment.

1. In order to be retained during the probationary period, a faculty member must show evidence, as demonstrated in the Professional Information File, of making progress toward meeting the requirements for tenure and promotion.
  - a. A probationary faculty member who shows little indication of success at this University will not be retained for a third year. One who shows weakness but promise of improvement, may be retained for the third year; if, however, during the third year, marked improvement is not clearly evident, the faculty member will not be reappointed for an additional probationary year.
  - b. In subsequent years, the eventual tenurability and promotability of a faculty member becomes a consideration of increasing importance when the candidate is being considered for retention.
2. Faculty who have not demonstrated that they are potentially promotable will not be approved for tenure.

641.2 Length of Probationary Period for Faculty.

Tenure status for faculty whose full-time service began on or after October 1, 1983, becomes operative under the following provisions as established by the Faculty Bargaining Agreement.

1. Normal Assessment Period.

The initial evaluation by recommending agencies of probationary faculty will take place in their second year of full service. If a faculty member is appointed after the start of the academic year, the first year of full service will commence at the start of the following academic year. The normal pattern of awarding tenure will involve the assessing of a faculty member's performance over a period of six successive academic years.

2. Extended Probation.
  - a. Parental leaves of one year.

## Particular Procedures for Probation, Tenure, and Promotion

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At the request of the faculty member, the President will extend for an additional year the probationary period of a faculty unit employee taking a one-year leave of absence for pregnancy/birth or adoption. (Bargaining Agreement 13.7)

- b. Parental leaves of less than one year.

At the request of the faculty member, the President may extend, for an additional year, the probationary period of a faculty unit employee taking a leave of absence for less than a year for pregnancy/birth or adoption. (Bargaining Agreement 13.8)

- c. Other Leaves.

At the request of the faculty member, the President in special circumstances may extend a faculty member's probationary period for an additional year. For example, such circumstances could arise when the faculty member is on Worker's Compensation, Industrial Disability Leave, Nonindustrial Disability Leave, Leave Without Pay, or paid sick leave for more than one semester, or in the event of a natural disaster which has a significant adverse effect on the faculty member's professional activities lasting for more than one semester.

- 3. Service Credit.

The President, upon recommendation by the affected Department or equivalent unit, may grant to a faculty unit employee at the time of initial appointment to probationary status up to two (2) years of service credit for probation based on previous service at a postsecondary education institution, previous full-time CSU employment, or comparable experience. If service credit is granted, the offer letter or a Memorandum of Understanding must identify which scholarly activities and contributions, as well as which teaching and service contributions, will be considered and evaluated during the retention, tenure, and promotion process. Contributions to the field and teaching and service during service credit years will never be sufficient in and of themselves for granting of promotion or tenure. Faculty hired at the rank of Associate Professor with service credit may use items not previously considered in prior tenure/promotion reviews at the previous institution. All faculty are reminded of the provisions of Section 632.4.1, which stress continued growth as a scholar and contributor to the field of study, and that Departments may require specified additional achievements since appointment at CSUN.

- 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 mission, programmatic needs, or priorities. It is the responsibility of the positively recommending agencies to explain why it is advantageous to grant early tenure.

5. Effective Date.

Tenure for academic employees will be effective when they enter upon their duties at the same University at the beginning of the academic year next succeeding the year during which tenure is awarded.

6. Length of Service.

A year of service for a faculty member in an academic year position is two consecutive semesters within an academic year. A year of service in a twelve-month position is any consecutive twelve months of full-time employment. A year of service in a ten-month position is ten months of full-time employment within a twelve-month period of time.

7. Appointment of Lecturers to Tenure Track.

The President, upon recommendation by the affected department or equivalent unit, may grant to a faculty unit employee at the time of initial appointment to probationary status up to two (2) years of service credit for probation based on previous service at a post-secondary educational institution, previous full-time CSU employment, or comparable experience. Not more than two years of service as full-time Lecturer at California State University, Northridge may be credited toward tenure. Such service must be immediately prior to the tenure track appointment. Requests for service as Lecturer to count toward service required for tenure will be considered only at the time of appointment to tenure track.

8. Part-time Appointments.

Individuals on part-time appointments do not earn credit toward tenure.

9. Fraction Tenure.

Faculty members who have been awarded tenure on a full-time basis, and who subsequently request reappointment on a part-time basis, retain tenure in the fraction of a position represented by their reappointment.



## **Particular Procedures for Probation, Tenure, and Promotion**

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### 641.3 Calendar for Notification of Retention and/or Tenure.

(See also Section 608)

1. Faculty members in their second year of full-time probationary service with CSUN who did not receive credit for prior service at the time of initial appointment will be notified by February 15 that they are to be reappointed, receive tenure, or are to be terminated at the end of the academic year.
5. Faculty members who have served more than two years of probation will be notified of the President's final decision regarding retention, appointment with tenure, or a terminal year by June 1.

### 641.4 Notification by President.

Reappointments to a succeeding academic year, and the award of tenure, may be accomplished only by notice from the President or a designee. No person will be deemed to have been reappointed or to have been awarded tenure because notice is not given or received by the time or in the manner prescribed. Should it occur that no notice is received by the times prescribed, it is the duty of the academic employee concerned to make inquiry to determine the decision of the President who will without delay give notice.

### 641.5 Non-reconsideration During Terminal Year.

Since candidates can avail themselves of a variety of established redress procedures at the time an unfavorable retention or tenure decision is made, reconsideration by faculty committees will not normally be undertaken during a terminal year.

## **642 Tenure of Academic-Administrative Personnel.**

Academic-administrative personnel do not receive tenure in their assignments as administrators. Tenure in a concurrent academic appointment must be granted in accordance with the procedures and criteria in Sections 630-641.

## **643 Promotions.**

### 643.1 Eligibility for Consideration.

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 will 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 will not normally be promoted during probation. Probationary faculty members will 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 will 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 will 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.

2. Academic-Administrative Personnel.

Academic-administrative personnel with concurrent academic appointments will be considered for promotion to a higher academic rank according to the procedures and criteria for academic promotions which are applied to members of the academic Department in which they have a concurrent academic appointment.

3. Faculty on Leave.

Faculty members on leave, who are candidates for promotion, will be considered as carefully as if they were not on leave. They must ensure that their Professional Information Files are up-to-date and should inform their Department Chairs of their current and projected activities which might have a bearing on promotability.

4. Voluntary Withdrawal from Consideration.

Faculty members may, in writing, withdraw their names from consideration

## **Particular Procedures for Probation, Tenure, and Promotion**

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at any time by a letter to their Department Chair. Such withdrawal from consideration will not make them eligible to serve on a Personnel Committee. Failure to submit a Professional Information File, prior to the Department deadline for submission of materials, will constitute a voluntary withdrawal from promotion consideration.

### 5. Initiation of Early Review.

A faculty member will be considered for promotion before the normal time only if the faculty member notifies the Department Chair and the College Dean, in writing and prior to the start of the department-level review, that the faculty member wishes to be considered for accelerated promotion. Tenured faculty members must submit written notification early enough in the Fall semester to allow time for peer class visits as required by Section 612.5.2.c.(2)(a).

## **644 Service Salary Increases.**

### 644.1 Eligibility.

A Service Salary Increase (SSI) refers to upward movement on the salary schedules. Such adjustments will be negotiated and determined by the California Faculty Association and the California State University system. For the most updated information about SSI eligibility, contact the Office of Faculty Affairs (677-2962) and see the current contract at the following website:

[http://www.calstate.edu/LaborRel/Contracts\\_HTML/CFA\\_CONTRACT/2014-2017/](http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/2014-2017/)

### 644.2 Criteria.

Upon the determination by the appropriate College Dean that a faculty member has performed in a satisfactory manner in carrying out the duties of the faculty member's position, the faculty member will receive such a salary adjustment. Such a determination will be made after consideration of material in the faculty member's Personnel Action File.

### 644.3 Procedures.

The College Dean will be responsible for making recommendations on SSIs to the President. College Deans are encouraged to consult Department Chairs before making recommendations on SSIs, and to consult with personnel committees before denying an SSI.

1. A faculty member will receive written notice of denial of a Service Salary Increase.

2. Upon request of a faculty member denied an SSI, a meeting with the Dean will be arranged within seven (7) days for the purpose of reviewing such a denial. The faculty member may be represented at this meeting by the CFA. At this meeting the Dean may establish conditions upon which the SSI will be authorized within the year, and the date of review to determine whether such conditions were met.
6. The Dean may at any time reverse the denial of an SSI. Such a reversal may be retroactive or effective for a part of the year.

**645 Periodic Review of Tenured Faculty**

645.1 The Collective Bargaining Agreement Between the CSU and CFA, Unit 3-Faculty (in effect through June 30, 2017) mandates that there be periodic evaluation of tenured faculty. The purpose of Section 645 is to outline campus processes for implementation of the mandated periodic evaluation. Should the provisions related to periodic evaluation of tenured faculty be removed from this or future Faculty Contracts, these provisions will become null and void.

645.2 The purpose of periodic evaluation of tenured faculty (“post tenure review”) is to facilitate continued faculty development and improvement.

645.3 Each tenured faculty unit employee will be reviewed at least once every five years. A performance review for promotion will be considered to be such review in calculating the five-year intervals. Tenured faculty unit employees will not be reviewed while on sabbatical leave or leave of absence. Participants in the Faculty Early Retirement Program (FERP) will not be required to undergo evaluation unless an evaluation is requested by either the FERP participant or the appropriate administrator.

645.4 The Peer Review Committee of the Department or equivalent unit and the College Dean, separately and in writing, will provide a review. The Peer Review Committee will be comprised of tenured faculty unit employees at the rank of Professor or equivalent. Where there are insufficient department faculty to form a Peer Review Committee, tenured faculty at the rank of Professor from related academic disciplines may serve.

1. The Department Peer Review Committee will provide a written report of the evaluation to the faculty member under review ten (10) calendar days before it is sent to the College Dean and placed in the faculty member’s Personnel Action File.
2. The faculty member may request a meeting with the committee to discuss the report. The meeting will be held within those ten (10) calendar days. The faculty member may also submit a written rebuttal statement or

## **Particular Procedures for Probation, Tenure, and Promotion**

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response within that period. This statement or response will be placed in the faculty member's Personnel Action File.

3. The Chair of the Department Peer Review Committee, or designee, and the College Dean will meet with the tenured faculty unit employee under review to discuss the employee's strengths and weaknesses along with suggestions, if any, for improvement.
4. The College Dean will provide a written report of the Dean's evaluation to the faculty member under review ten (10) days before it is placed in the faculty member's Personnel Action File and sent to the Department Chair and Chair of the Department Peer Review Committee.
5. The faculty member may request a meeting with the College Dean to discuss the report. The meeting is to be held within those ten (10) calendar days. The faculty member may also submit a written rebuttal statement or response within that period. This statement or response will be placed in the faculty member's Personnel Action File.

645.5 Tenured faculty unit employees will be reviewed based on their actual work assignments only. For those faculty members with teaching responsibilities, consideration will include student evaluations of teaching performance.

645.6 Departments may establish additional policies and criteria consistent with the criteria described in this section.

1. Department criteria for review of tenured faculty will be reviewed and approved by the tenured and probationary faculty in the Department. The criteria will be submitted to the College Dean for review and approval and to the Personnel Planning and Review Committee for final review and approval for consistency with Section 645 and the Faculty Collective Bargaining Agreement. PP&R may designate the Chair of PP&R to review the criteria and approve on behalf of PP&R.
2. Department criteria, policies and procedures, even if unchanged, will be reviewed in their entirety every five years to assure consistency with College and University policies and procedures. Procedures not forwarded to and approved by the Personnel Planning and Review Committee at the five-year limit will be considered obsolete, and Department criteria, policies, and procedures will revert to Section 600.

## SECTIONS 650 – 659 – RETIREMENT AND EMERITUS STATUS.

### 650 Retirement and Emeritus Status.

#### 650.1 Pre-Retirement Reduction in Time Base.

The policies and procedures covering aspects of Pre-Retirement Reduction in Time Base are subject to change as the Collective Bargaining Agreement is re-negotiated. For the most updated information, contact the Office of Faculty Affairs (677-2962), and see the current contract at the following website:

[http://www.calstate.edu/LaborRel/Contracts\\_HTML/CFA\\_CONTRACT/2014-2017/](http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/2014-2017/)

#### 650.2 Faculty Early Retirement Program.

The policies and procedures covering aspects of the Faculty Early Retirement Program (FERP) are subject to change as the Collective Bargaining Agreement is re-negotiated. For the most updated information, contact the Office of Faculty Affairs (677-2962), and see the current contract at the following website:

[http://www.calstate.edu/LaborRel/Contracts\\_HTML/CFA\\_CONTRACT/2014-2017/](http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/2014-2017/)

Faculty members who participate in the Faculty Early Retirement Program will have the option of teaching full-time during one semester of each succeeding year and receive half an annual salary based on the rank and step they held at retirement or teaching half-time each semester and receive 50 percent of an annual salary based on the rank and step they held at retirement. During the semester of full-time service, the faculty member will be expected to fulfill normal obligations, including teaching, advisement, committee service, and other instructionally related assignments which would be required if the faculty member had not retired.

#### 650.3 Emeritus Status.

##### 1. Criteria.

Senior tenured members of the faculty who have served a minimum of 10 years as full-time tenure track faculty at CSUN and who have retired from active service in the University, and lecturer faculty members who have served the equivalent of a minimum of 10 years of full-time service at CSUN and who have retired from active service in the University, may be granted Emeritus status by the President of the University. Those faculty members participating in the Faculty Early Retirement Program may be granted Emeritus status after completing their final semester of service. The granting of Emeritus status recognizes faculty members who have met their professional responsibilities as members of an academic profession, as teachers, counselors, or librarians, as colleagues, and as members of an academic institution and who have consistently performed high quality

work in the areas of (1) teaching, librarianship, or counseling, (2) scholarly or creative activity, and/or (3) service.

2. Procedures.

- a. A faculty member may be nominated for Emeritus status by the eligible faculty member, the faculty member's Department Chair (or equivalent), the faculty member's College Dean (or other equivalent administrator), or other senior-rank tenured faculty member in the University. The eligible faculty member or other nominator must submit an updated curriculum vitae and a short biography (200 words or less) of the nominee to the Department Personnel Committee and request review of the faculty member for Emeritus status, no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures.
- b. The Department Personnel Committee will review the nomination based on the criteria set forth in this section and forward the nomination and its recommendation to the College Dean (or equivalent administrator) no later than the deadline date set forth in the Academic Year Calendar of Personnel Procedures. However, the probationary and tenured members of the Department may choose to elect a Faculty Emeritus Committee to act in lieu of the Department Personnel Committee for purposes of evaluating the Emeritus nominations. The Dean will review the nomination and recommendation based on the criteria set forth in this section and forward it with the Dean's recommendation to the Personnel Planning and Review Committee on or before the deadline date set forth in the Academic Year Calendar of Personnel Procedures. The Personnel Planning and Review Committee will review the nomination and recommendations based on the criteria set forth in this Section and forward them with the Committee's recommendation to the President of the University on or before the deadline date set forth in the Academic Year Calendar of Personnel Procedures. Upon review and upon approval, Emeritus status is granted by the President of the University. The President will inform the faculty member of the final decision.

3. Encouraged to Contribute Expertise.

Emeritus faculty members are encouraged to contribute their expertise to the intellectual and cultural life of the University.

4. Ethical Obligations.

Emeritus faculty have an ethical obligation to cite CSUN as an academic

affiliation when University facilities are used in the performance of their professional activities.

### 5. Rights and Privileges.

When University resources permit, faculty members gaining Emeritus status at California State University, Northridge, will continue to enjoy the rights and perquisites of members of the faculty that are allowed by University and State regulations. Basic rights and privileges accorded to Emeritus Faculty will include, but not necessarily be limited to, the following:

- a. An Emeritus Faculty identification card issued by the President of the University.
- b. A library card allowing full use of the University Library, including interlibrary loans, and any special faculty facilities in the Library, including study carrels.
- c. A lifetime courtesy campus parking permit.
- d. Complimentary or discounted admission to University- sponsored cultural events and ticketed regular season home athletic events, subject to availability.
- e. Notification about major public ceremonies of the University, such as commencement, dedications, open houses, convocations, and the like, and the right to participate, subject to availability.
- f. Complimentary subscriptions to selected publications of the University.
- g. Courtesy membership or access to University recreational facilities.
- h. Listing in the campus telephone directory and the University Catalog. Individuals who wish to opt out of being listed should contact the Office of Faculty Affairs for information on the opt-out process.
- i. The right to administer grants, contracts, or other research projects funded by resources outside the CSU System.
- j. Office and/or laboratory space allocated by Colleges or individual Departments after all space needs of their active faculty members have been met.



- k. Access to University electronic mail and University computing facilities and information technology resources.
- l. Upon request, and after the needs of the Department's active faculty have been met, a Department faculty mailbox. The mailbox will be used in accordance with the rules and procedures established by individual departments.
- m. Other rights and privileges as determined by the President of the University, Associated Students, and/or other individuals and agencies.

### 650.4 Rights and Privileges Extended to Surviving Life Partners.

The University extends to surviving life partners of Emeritus Faculty those rights and privileges listed in Sections 650.3.5.a through 650.3.5.g. and in Section 650.3.5.m. in the Administrative Manual.

## **651 Endowments.**

### 651.1 Preamble.

This University recognizes that endowments can play an important role in achieving our educational goals as expressed in the University's Mission Statement. In this statement of purpose, teaching, research, and public service are recognized as the University's three major responsibilities. Endowments are expected to advance these three activities by providing our students and faculty with opportunities for dialogue with outstanding teachers who are recognized scholars and who will offer classes and conduct research that enhance learning.

Named gift endowments from private sources may be established for endowed chairs, partially endowed chairs, and endowed professorships.

- 1. **Endowed Chair.** An endowed chair provides funds to a chair holder in support of teaching, research, and service, and is supported by the payout from an endowment fund.
- 2. **Partially Endowed Chair.** The establishment of an endowed chair will be contingent upon completion of funding by an agreed upon date. Following approval of this chair and until funding is completed, the chair will be deemed conditionally established as a partially endowed chair.
- 3. **Endowed Professorship.** Donors may donate funds to be augmented by Department resources to establish an endowed professorship. The endowed professorship provides funds to the professorship holder in support of teaching, research, and service, and is supported by the payout from an endowment fund.

651.2 Policy Guidelines for Establishment of Endowed Chairs and Endowed Professorships

1. Departments and Colleges establish goals for Endowed Chairs and/or Endowed Professorships through the University planning process. As part of the University's fundraising efforts, the President, the Office of University Advancement, the Dean, the development officers in the college, and faculty may seek external funds in support of the established goals. Funds in support of an Endowed Chair and/or Endowed Professorship for a department and/or college should be accepted only if they are in support of established goals.

The President will consult with the affected department(s) and/or college(s). No Department, Program, or College will be required to accept a faculty endowment.

2. In every case, any ensuing programmatic or curricular changes will be subject to the regular processes of faculty review and approval. The search, screen, and appointment process for Endowed Chairs or Endowed Professorships will occur through the process outlined in Section 651.2.3.
3. Nominations for either Endowed Chairs or Professorships will originate in the Department by the normal University procedures for selection and appointment of faculty under Section 600.
  - a. Clearly outstanding persons should be nominated for Endowed Chairs and/or Professorships. Additional factors which help to define the necessary professional stature for such individuals are their having received national or international recognition. They are generally recognized as "original sources," having initiated a major change, trend, or school of thought or direction in their field, and, for full professor rank positions, have published extensively. For endowed positions designed to attract faculty that exhibit exceptional potential, nominees should be identified as contributing to scholarly/creative activity that is initiating a major change, trend, or school of thought or direction in their field.
  - b. Highest consideration will generally be given to those nominees who could participate in both undergraduate and graduate programs. Letters of recommendation should clearly delineate teaching effectiveness and describe how the individual would interact with students.
  - c. Upon appointment, Endowed Chairs and Professors will be expected to participate in the instructional program of the University.

- d. The term of appointment normally will be determined at the time the endowment is established. Adjustments to the length of time of the appointment may be made with agreement between the University and the donor.
- e. Holders of Endowed Chairs and Professorships are reviewed according to University personnel procedures as described in Section 600.
- f. Endowed Chairs and Professorships will be so designated in official correspondence and in University catalogs, bulletins, and publications.

### **652 Grant-Related/Specially-Funded Instructional Faculty Appointments**

#### 652.1 Preamble

The purpose of the Grant-Related/Specially-Funded Instructional Faculty (GRIF) classification policy is to establish the means by which instructional faculty engaged in substantial grant activity can be granted a GRIF classification.

#### 652.2 Definition

The Grant-Related/Specially-Funded Instructional Faculty (GRIF) member serves as a California State University Northridge instructional faculty member. GRIF members may be appointed to a non-permanent academic year or a 12-month GRIF classification. The classification can be used for grant-funded faculty assignments as well as faculty assignments funded by gifts and bequests or by Foundation allocations. The GRIF classifications provide for additional salary at a range specified by the Faculty Collective Bargaining Agreement.

#### 652.3 Eligibility

- 1. To be considered for a GRIF appointment, the faculty member must meet the following criteria:
  - a. The faculty member must be primarily responsible for annual grant and contract awards exceeding \$500,000 in 2008 constant dollars (per faculty member in the case of co-Principal Investigators (“co-PIs”)) in volume, administer multiple awards, and supervise multiple staff.
  - b. The faculty member’s grant and contract funds must buy out a minimum of 40% of the faculty member’s 1.0 time base appointment during the academic year. In the case of co-PIs, the grant and contract funds must buy out a minimum of 40% of each

faculty member's 1.0 time base appointment during the academic year.

- c. Non-state funds must be identified to cover the GRIF salary differential percentage (including related benefits) to be added to the General Fund portion of the GRIF position. The source of non-state funds cannot be a direct charge to the grant.
- d. The faculty member's grant and contract activity must clearly be related to the faculty member's regular University responsibilities and must make a substantial contribution to CSUN's mission and vision.
- e. The faculty member must be involved in the instructional program through classroom/laboratory teaching and/or mentoring students in training, research, or creative activities.
- f. The faculty member appointed to a GRIF classification will demonstrate exceptional professional merit in scholarship and teaching as evidenced by regional or national stature in the faculty member's discipline with a continuous record of recognized leadership and significant achievement in creative or scholarly work.
- g. Generally, an individual appointed to the GRIF classification will have the responsibility as a Project Director and/or Principal Investigator.
- h. Faculty members who have been awarded a sabbatical or difference-in-pay leave are not eligible for GRIF appointments for the duration of the sabbatical or difference-in-pay leave.

2. Duration

- a. Appointment to a GRIF classification automatically expires at the end of the period stated and does not establish a right to a subsequent GRIF appointment. Faculty seeking an additional or renewed GRIF appointment must re-apply through the same process as first-time applicants.
- b. Since a GRIF appointment is contingent on the availability of adequate funding from grants, gifts, or other non-state funds, should the funding not be available, the GRIF appointment will terminate.

1. No later than March 1 of the year before the GRIF appointment is requested, the faculty member submits a letter to the Dean, copied to the Department Chair, requesting a GRIF appointment. The eligible faculty member must specify in writing the GRIF additional salary differential percentage requested. The Dean is responsible for obtaining written confirmation from the Office of Research and Graduate Studies that the faculty member has sufficient external support to cover all costs. This includes identification of the source(s) of external funds from which the GRIF differential will be paid.
2. The application is reviewed by the Department Chair who submits a recommendation, no later than March 15, copied to the applicant, which includes a review of the criteria listed in Section 652.3.1.d. through g. and a recommendation for approval or denial of the GRIF appointment.
3. The application and recommendation from the Department Chair is reviewed by the College Dean. The Dean submits a letter of recommendation, no later than April 1, to the Provost and Vice President for Academic Affairs, copied to the applicant, that confirms the identified sources of funding and, if the College Dean supports the appointment, he or she specifies the recommended GRIF salary differential.
4. The Provost and Vice President for Academic Affairs reviews the application letter and recommendations from the Department and College-level reviewers and approves or denies the GRIF appointment and if approved, specifies the amount of the GRIF salary differential. The Provost's decision to approve or deny a GRIF appointment is final. The decision of the Provost is communicated to the applicant by letter, no later than April 15, with copies to the College Dean and Department Chair.

### 652.5 Terms of Appointment

1. Appointments to this classification are not permanent and will be made only for one academic year (for academic year instructional faculty) or one 12-month period (for 12-month instructional faculty).
2. Appointees to these classifications will receive compensation comprising the base salary of their normal faculty appointment plus a salary augmentation within the range specified for GRIF by the Faculty Collective Bargaining Agreement above such base salary. The letter of appointment from the Provost will state the amount of the differential salary.

- a. Changes in compensation during the course of a GRIF appointment will be limited to any general salary increase, service salary increase, promotion as determined by the campus retention, tenure, and promotion process or any other contractual compensation adjustment granted to the faculty member during this time.
- b. When the appointment to a GRIF position is concluded, the faculty member will revert back to the salary classification of the faculty member's prior faculty position with any intervening salary adjustments.
- c. In addition to responsibilities as a GRIF faculty member, the GRIF faculty member will also have normal Departmental, College, and University service responsibilities expected of all other faculty in their regular appointments.
- d. No tenure or salary rights attach to either GRIF classification separate from the tenure rights and salary normally accruing from regular full-time faculty appointment. Appointment to either classification does not constitute a promotion nor does termination of a GRIF appointment without renewal constitute a demotion.
- e. GRIF appointments will begin on the first day of the Fall semester for both academic year and 12-month appointments. The end date for academic year appointments will be the last day of the following Spring semester. The end date for 12-month appointments will be the day prior to the first day of the following Fall semester.
- f. There is no automatic renewal of a GRIF appointment.
- g. The CSU and the California Faculty Association have agreed that the CSU will not employ systemwide more than one hundred (100) faculty members in the GRIF classifications at any one point in time.

### 652.6 Review of Policy

This policy will be assessed in five years from its effective date to determine its utility and effectiveness. The policy may be assessed before that time if changes in the Faculty Collective Bargaining Agreement mandate campus changes.

**SECTIONS 660 – 669 – APPEALS.**

**660 Appeals.**

660.1 Definitions.

An appeal, as construed in this Manual, is a request by a faculty member for review of a retention, tenure, or promotion decision made at the College level and is directed to the Personnel Planning and Review Committee. An appeal may be based on whatever grounds the affected faculty member considers relevant to the negative decision.

660.2 Scope.

The right of appeal will be limited to matters covered by Sections 630 to 659 inclusive.

660.3 Bases for Appeal.

Since the University is not required to show cause when a decision is made not to retain or to grant tenure, the only normal bases of appeal from such decisions are:

1. Failure to follow established procedures.
2. Unprofessional conduct on the part of the individuals or agencies involved in making the decision or recommendation.
3. Disagreement among the recommendations from the Department and the College levels.

660.4 Procedures.

1. Adverse Retention, Tenure, or Promotion Recommendations Made at College Level.

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.

2. Procedures of the Appeal.

The Personnel Planning and Review Committee, sitting as the appeal board, will examine all previous actions relevant to the appeal, examine accumulated data, and conduct any additional investigation it considers necessary.

a. Filing the Appeal.

- (1) When an appeal is filed, the Chair of the Personnel Planning and Review Committee will acknowledge receipt of the appeal and inform the appellant that the appeal statement will be forwarded to all recommending agencies.
- (2) Any recommending agency may respond in writing to any materials submitted during the appeal; responses will be forwarded to the appellant and the other recommending agencies.
- (3) The appellant may file a written response to any statement submitted by any of the recommending agencies.
- (4) All supplemental documents submitted by the appellant in support of the appeal will be received within ten working days following notification of the College decision.
- (5) All documents concerning an appeal will be placed in the appellant's Personnel Action File. These include the original letter of appeal, responses or comments from previous recommending committees and administrators, and any other documents submitted by the appellant or used in deciding the appeal as well as the final recommendation to the President.
- (6) The appellant, the Department Chair, the College Dean, and a representative from the Department and the College Personnel Committees will be invited to appear before a Personnel Planning and Review Committee subcommittee that will be considering the appeal. Upon approval by the subcommittee, other faculty may be invited to appear.
- (7) An advisor may accompany a faculty member or a representative of a recommending agency during testimony before subcommittees of the Personnel Planning and Review Committee charged with hearing appeals (see Section 638).

b. Recommendation.

The Personnel Planning and Review Committee will report its recommendation and will provide a rationale for the recommendation, in writing, directly to the appellant ten (10) calendar days before forwarding the recommendation to the President of the University, with copies to the recommending agencies. When the President disagrees with the recommendation of the Personnel Planning and Review



Committee, the President will consult further with that Committee prior to making a final decision.

3. Decision of the President.

The President's decision with respect to appeals is final on this campus.

SECTIONS 670 – 679 – LEAVES OF ABSENCE.

**670 Leaves of Absence for Academic Personnel.**

Leaves are granted only by the President of the University. Applications should be submitted through the regular University administrative channels.

**671 Special Leaves, Sick Leave, and Military Leaves of Absence.**

The procedures covering special leaves, sick leave, and military leaves of absence are subject to change as the Collective Bargaining Agreement is re-negotiated. For the most updated information, contact the Office of Faculty Affairs (677-2962), and/or the Office of Benefits Administration (677-3810, or 677-2119), and see the current contract at the following website:

[http://www.calstate.edu/LaborRel/Contracts\\_HTML/CFA\\_CONTRACT/2014-2017/](http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/2014-2017/)

**672 Sabbatical and Difference-In-Pay Leaves.**

It will be the policy of the University to encourage tenured members of the faculty to take paid leaves of absence. The proposed leave will contribute to the advancement of the applicant's discipline, teaching, library service, or expertise in other areas.

672.1 Eligibility.

Full-time faculty members will be eligible for a sabbatical leave or a difference-in-pay leave if they have served full-time at California State University, Northridge for six (6) full academic years in the seven (7) year period preceding the leave. To be eligible for a subsequent sabbatical leave, full time faculty members must have served full time at least six (6) full academic years after any previous leave with pay. A faculty unit employee will be eligible for a subsequent difference-in-pay leave after he/she has served full time for three full academic years after the last leave with pay. Credit granted in the CSUN appointment letter for service elsewhere towards the completion of the probationary period will also apply towards fulfilling the eligibility requirements for a leave with pay.

672.2 Sabbatical Procedures.

1. The University will annually set aside funds sufficient to provide at least the number of sabbatical leaves (42) that were granted during the 1992-93 year. These sabbatical leave funds will be allocated to the Colleges proportionate to the number of faculty eligible for sabbatical leave.
2. Eligible faculty members will submit applications for sabbatical leave to their Department Chair or equivalent no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual. The request for sabbatical leave will be submitted on the

appropriate form, which is available in all Department offices and on the Faculty Affairs website. The application, which will not exceed three pages, plus a current curriculum vitae not to exceed one page citing information relative to the sabbatical proposal, will include a statement of the purposes of the sabbatical leave, a description of the proposed project and the CSU resources, if any, necessary to complete the project, and a statement of the time requested, which will not exceed one year.

3. A sabbatical leave may be requested for one of the following:
  - a. One (1) semester at full salary, or
  - b. Two (2) semesters at one-half (1/2) of full salary.

A sabbatical leave of two semesters may be granted within a two consecutive academic year period (for example, Spring semester of one academic year and the following Fall semester), subject to the recommendations of the College Dean and the College Personnel Committee and the approval of the President.

4. The Department Personnel Committee will review all sabbatical applications and provide a written evaluation of each proposal. The written evaluation will relate specifically to each of the criteria cited in Section 672.2.7.b. Departments may establish specific guidelines for evaluating sabbatical leave proposals; any such guidelines will be forwarded to the College Personnel Committee and the Personnel Planning and Review Committee for approval. The Department Chair will provide a statement to the College Dean and College Personnel Committee regarding the possible effect on the curriculum and the operation of the Department should the employee be granted a sabbatical. The probationary and tenured members of the Department may choose to elect a Professional Leave Committee to act in lieu of the Department Personnel Committee for purposes of evaluating the sabbatical applications. All sabbatical applications, accompanied by the written evaluations from the Department level, will be forwarded to the College Personnel Committee no later than the deadline date set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual. Copies of the specific evaluation will be provided to the applicant.
5. Each applicant has the right to include a written response to the written evaluations at the Department level; any such responses must be submitted to the College Personnel Committee no later than the deadline date set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual. Copies of the specific evaluation will be provided to the applicant.

6. The College Personnel Committee will review all sabbatical applications. It should be the policy of the College Personnel Committee to recommend every applicant who is legally entitled to a leave and to rank these applicants by taking into consideration the evaluative criteria as specified in 672.2.7.b The probationary and tenured faculty members of the College may choose to elect a Professional Leave Committee to act in lieu of the College Personnel Committee for purposes of evaluating the sabbatical applications.

As a result of this review, the College Personnel Committee will place a proposal into one of four possible groups:

- a. Those that are judged by the College Personnel Committee to be outstanding;
- b. Those that are judged by the College Personnel Committee to be meritorious;
- c. Those that are judged by the College Personnel Committee to be outstanding or to be meritorious, but because of severe curriculum hardship created in the Departments – as indicated by the Department Chair's statement – granting of leave is inadvisable;
- d. Those that the College Personnel Committee judges cannot be recommended for funding at this time.

Of the four categories, it is the intention of this policy that the first category, those projects judged to be outstanding, be reserved for those proposals which, by virtue of some feature or features of extraordinary value or promise, warrant that the proposal be approved for funding regardless of equity, defined as accrued service since the establishment of initial eligibility for sabbatical leave. It is anticipated that, in any given year, not all proposals recommended for funding by the College Personnel Committee will be in the outstanding category.

The College Personnel Committee will recommend to the President that all proposals for projects placed in the second category, those judged to be meritorious, be ranked in order of accrued service since their last sabbatical (no other ranking will be produced, except that ties of length since last sabbatical will be broken by length of full-time service at CSUN; if a tie still exists, the applicant to be recommended will be determined by lot and forwarded to the President with a recommendation that sabbaticals be awarded in order of ranking until available funds are exhausted). All proposals placed in the third category will be forwarded to the President with the indication that they are outstanding or meritorious but because of hardship to the University granting of leave is inadvisable. All proposals

placed in the fourth category will be forwarded to the President without a recommendation for funding.

The College Personnel Committee will provide the President with a written statement of the reasons for recommending or not recommending funding of each proposal, including a justification for recommending outstanding projects for funding irrespective of accrued service. A copy of the recommendation will be provided to the applicant. In conveying its recommendations to the President, the College Personnel Committee will include the Departmental statements and responses by applicants to the recommendations. The College Personnel Committee will not submit more sabbatical leave applications ranked as outstanding than the total number of sabbatical leaves allocated to that College under Section 672.2.1.

7. Evaluation of Applications.

a. Dimensions of Evaluation.

The Committee will assess the appropriateness of the substance of each proposal, the benefits which would ensue from its being undertaken, and its practicability.

b. Criteria.

(1) Appropriateness. Appropriate paid leave activities may include the following; this list implies no ranking of relative worth among the categories. Each proposal will be evaluated on the basis of standards relevant to its character.

- (a) A course of study leading to increased mastery of the applicant's own field, or the development of an additional area of specialization within the applicant's field, or the development of a new field of specialization.
- (b) A plan for professionally beneficial travel, which will enable the applicant further to develop knowledge, skill, or expertise in a discipline or area of specialization within a discipline.
- (c) Professional development of a scope or nature not possible through normal workload assignment.
- (d) Pursuit of a scholarly, research, or creative project of a scope or nature not permitted through normal workload assignment.

- (e) Study or experience designed to improve teaching effectiveness.
  - (f) Study or experience designed to improve professional practice.
- (2) Benefits. Paid leave projects will demonstrate clear promise of producing results beneficial to students, to the development of the profession or a discipline within the profession, to the University, and/or to the faculty member as a teacher, scholar, or professional practitioner.
  - (3) Practicability. The proposed project will be clearly defined and articulated, and will conform to the requirements of Article 27.3 of the Faculty Collective Bargaining Agreement, and will state objectives that are realistically attainable.
- 8. The College Personnel Committee will forward its recommendations to the College Dean no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual.
  - 9. Colleges may establish specific guidelines for evaluating sabbatical leave proposals; any such guidelines will be forwarded for approval to the Personnel Planning and Review Committee. All sabbatical applications, accompanied by written evaluations from the Department and College levels, will be forwarded to the College Dean no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual. At the same time, the College Personnel Committee will inform all applicants for sabbatical leaves whether they are being recommended for a sabbatical leave.
  - 10. Each applicant has the right to include a written response to the written evaluations at the College level; any such responses must be submitted to the College Dean no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual.
  - 11. Faculty members applying for paid leaves may not participate in the review of paid leave applications, nor will faculty members serve on more than one level of review.
  - 12. The College Dean will ensure that the number of leaves will not be so great in any Department or equivalent unit as to disrupt the course offerings. If the College Personnel Committee recommends one or more meritorious proposals which cannot be funded by the allocation available to the College, the Dean will determine, in consultation with the affected Departments, whether Departmental FTES targets and programmatic requirements can be

met if one or more of these meritorious proposals is granted. If the Dean decides that one or more such meritorious proposals can be granted, such proposal or proposals will be added to those recommended to the President by the College Personnel Committee. The College Dean will forward the sabbatical applications and all recommendations to the President no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual.

13. The Personnel Planning and Review Committee will review for approval all specific guidelines for evaluating sabbatical leave proposals that have been received from Departments or Colleges.
14. Meritorious applicants for a sabbatical who are not funded may, if they wish, be granted a difference-in-pay leave.
15. The President will notify all applicants for sabbatical leaves of the decisions on their proposals no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual. The notification from the President will include the reasons for approval or denial of the request for sabbatical leave. If a sabbatical leave was denied in the immediate year prior due to curriculum hardship, an application for a sabbatical submitted for the following academic year will not be denied based on the same factors.
16. Final approval of a sabbatical leave will not be granted until the applicant has filed with the President a suitable bond or an accepted statement of assets (not including PERS holding) and/or a promissory note that is individually or collectively at least equal to the amount of salary paid during the leave. The guarantee posted will indemnify the State of California against loss in the event the employee fails to render the required service in the CSU following return of the employee from the sabbatical leave. The guarantee posted will immediately be canceled in full upon completion of required service or upon waiver of that service by mutual agreement of the faculty member and the CSU.
17. An approved sabbatical leave will not be implemented unless adequate funds for such a sabbatical leave have been budgeted.

### 672.3 Difference-in-Pay Procedures.

1. Eligible faculty members will submit applications for difference-in-pay leaves to their Department Chair no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual. The request for a difference-in-pay leave will be submitted on the appropriate form, which is available in all Department offices and on the Faculty Affairs website. The application, which will not exceed three

pages, plus a current curriculum vitae not to exceed one page citing information relative to the proposal, will include a statement of the purposes of the leave, a description of the proposed project, and the CSU resources, if any, necessary to complete the project, and a statement of the time requested, which will not exceed one year.

2. The Department Personnel Committee will review all difference-in-pay applications and provide a written evaluation of each proposal. The written evaluation will relate specifically to each of the criteria cited in Section 672.2.7.b. It is expected that meritorious proposals will be recommended for funding. The Department Chair will provide a statement to the College Dean regarding the possible effect on the curriculum and the operation of the Department should the employee be granted a difference-in-pay leave. The probationary and tenured members of the Department may choose to elect a Professional Leave Committee to act in lieu of the Department Personnel Committee for purposes of evaluating the difference-in-pay leave application. All difference-in-pay leave applications, accompanied by the written evaluations from the Department level, will be forwarded to the College Dean no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual. Copies of the specific evaluation will be provided to the applicant.
3. Each applicant has the right to include a written response to the written evaluations at the Department level; any such responses must be submitted to the College Dean no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual.
4. Faculty members applying for paid leaves may not participate in the review of applications for paid leaves.
5. The College Dean will ensure that the number of leaves will not be so great in any Department or equivalent unit as to disrupt the course offerings. The College Dean will forward the difference-in-pay leave applications and all recommendations to the President no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual.
6. The President will notify all applicants for difference-in-pay leaves of the decisions on their proposals no later than the deadline set forth in the Academic Year Calendar of Personnel Procedures located at the end of this Manual. The notification from the President will include the reasons for approval or denial of the request for leave.
7. Final approval of a difference-in-pay leave will not be granted until the applicant has filed with the President a suitable bond or an accepted statement of assets (not including PERS holding) and/or a promissory note



that is individually or collectively at least equal to the amount of salary paid during the leave. The guarantee posted will indemnify the State of California against loss in the event the employee fails to render the required service in the CSU following return of the employee from the difference-in-pay leave. The guarantee posted will immediately be canceled in full upon completion of required service or upon waiver of that service by mutual agreement of the faculty member and the CSU.

8. When a faculty member is afforded an unexpected opportunity, such as external funding, a scholarship, or fellowship, the regular calendar will be set aside and a rapid and expedited review will be provided.

### 672.4 Leave Report.

Faculty members granted leaves with pay will, within 90 days after return to service, submit a written report of their leave activities to the Department Chair and the Dean of the College for inclusion in their Personnel Action Files.

### 672.5 Post Leave Term.

Each leave with pay must be followed by a term of service to the University for each term of leave.

### 672.6 Benefits.

Faculty members on leave with pay will continue to exercise all faculty prerogatives and will continue to receive health, dental, and appropriate fringe benefits provided by the CSU in the same manner as if they were not on leave with pay. Faculty members on leave with pay will be entitled to accrue sick leave, vacation, and service credit toward service salary adjustment eligibility, eligibility toward promotion, if applicable, and seniority credit.

### 672.7 Employment While on Leave With Pay.

Normally, faculty members on leave with pay will not accept employment elsewhere, although they may accept a Fulbright or similar grant or accept payment of travel expenses connected with a leave program.

1. Faculty on leave with pay are not precluded from accepting any employment, but such employment should not interfere with completion of leave activities.
2. There may be rare instances where employment would actually contribute to the goal of the individual's leave. However, the burden of proof should be on the individual in any such exceptional circumstances to demonstrate the worth of such employment.

3. The President of the University is responsible for ensuring that any employment will not interfere with completion of leave activities. A faculty member on leave with pay will not accept additional and/or outside employment without prior approval of the President.

**673 Leaves Without Pay Following a Leave With Pay.**

Each California State University President is designated and authorized to grant an employee one leave of absence without pay not to exceed one year, at any time following the completion of leave of absence with pay by such employee, if the President determines that the best interests of The California State University will be so served. The leave will be granted pursuant to Article 5 of Title 5 of the California Code of Regulations, commencing at Section 43000.

**674 Leaves Without Pay.**

The policies and procedures covering all aspects of leaves with or without pay are subject to change as the Collective Bargaining Agreement is re-negotiated. For the most updated information, contact the Office of Faculty Affairs (677-2962), and/or the Office of Benefits Administration (677-3810, or 677-2119), and see the current contract at the following website:

[http://www.calstate.edu/LaborRel/Contracts\\_HTML/CFA\\_CONTRACT/2014-2017/](http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/2014-2017/)

### **SECTIONS 680 – 689 – SEPARATION, DISMISSAL, DEMOTION, SUSPENSION.**

The procedures covering aspects of separation for lack of funds, or lack of work, dismissal, demotion, and suspension are governed by the Collective Bargaining Agreement, the California Code of Regulations, Education Code, and Executive Orders. For the most updated information, contact the Office of Faculty Affairs (677-2962), and see the current contract at the following website:

[http://www.calstate.edu/LaborRel/Contracts\\_HTML/CFA\\_CONTRACT/2014-2017/](http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/2014-2017/)

### **SECTIONS 690 – 699 – OTHER PERSONNEL MATTERS.**

The procedures covering aspects of grievance procedures, disciplinary action procedures, and reprimands are governed by the Collective Bargaining Agreement, the California Code of Regulations, Education Code, and Executive Orders. For the most updated information, contact the Office of Faculty Affairs (677-2962), and see the current contract at the following website:

[http://www.calstate.edu/LaborRel/Contracts\\_HTML/CFA\\_CONTRACT/2014-2017/](http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/2014-2017/)

2022-23 ACADEMIC YEAR CALENDAR OF PERSONNEL PROCEDURES

**NOTES:**

*Placing materials in a faculty member's Personnel Action File.*

All recommending agencies are reminded that Article 11.4 of the Faculty Collective Bargaining Agreement requires that any material to be placed in a Personnel Action File (PAF) must be provided to the affected faculty member at least five days prior to such placement.

*Faculty receipt of written evaluations.*

In addition, Section 635.2.2 of the CSUN *Administrative Manual* states (in part) that "A copy of the written evaluation and recommendation will be emailed to the faculty member's CSUN email address and otherwise made available upon request before being forwarded to a subsequent review level. The date of the email starts the ten (10) calendar day response period for the faculty member."

*Recommendations and rebuttal statements.*

Article 15.5 of the Faculty Collective Bargaining Agreement is also relevant and is quoted in its entirety as follows:

"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 statements 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."

*Deadlines.*

The approved Calendar of Personnel Procedures sets forth dates by which actions must be taken by Department and College Personnel Committees, Department Chairs, College Deans, and the Provost and Vice President for Academic Affairs often with a specified deadline date "or earlier." Please note that Departments and Colleges may establish **earlier** deadlines for the dates when they begin deliberations on retention, tenure, and promotion (RTP), for the dates that recommendations must be made available to the candidates, or for other personnel matters. Departments must establish deadlines for submission of Professional Information Files (PIFs) to initiate the RTP process.

*Reappointment.*

If all recommendations for a faculty member in the third year or fifth year of probation are positive, then reappointment for the subsequent academic year is determined at the time the College-level recommendations are placed in the Personnel Action File.

**RTP** = Retention, Tenure, and Promotion

**PP&R** = Personnel Planning and Review Committee

**PIF** = Professional Information File

**PAF** = Personnel Action File

**Deadlines and Dates for the 2022-23 Academic Year:**

1. **August 24 (Wed.) or earlier – Promotions Announcement Due from Provost.**  
The Provost and Vice President for Academic Affairs will announce promotions effective at the beginning of the 2022-23 academic year.
2. **August 31 (Wed.) or earlier – Department Personnel Policies and Procedures Distribution Due from Department Chair to Faculty.**  
Department Chairs will provide a copy of Department Personnel Policies and Procedures to all Department faculty.
3. **August 31 (Wed.) – Personnel Planning and Review Committee (PP&R) Meets.**  
The Personnel Planning and Review Committee will conduct its first meeting of the academic year.
4. **September 9 (Fri.) or earlier – Election of College Personnel Committees.**  
Election of College Personnel Committees and Chairs for the 2022-23 academic year.
5. **September 23 (Fri.) or earlier – Election of Department Personnel Committees.**  
Election of Department Personnel Committees and Chairs for the 2022-23 academic year.
6. **September 23 (Fri.) – Sabbatical Leave Applications from Faculty Due to Department Chair.**  
Last day for faculty to submit a sabbatical leave application for the 2023-24 academic year to the Department Chair or Program Director.
7. **September 30 (Fri.) or earlier – Leave Without Pay Return to Duty Notification for Spring Semester Due.**  
Faculty on leave without pay for Fall Semester 2022 only will notify the Provost and Vice President for Academic Affairs of intention to return to duty for Spring Semester 2023.

8. **October 7 (Fri.) or earlier – Sabbatical Leave Evaluations from Department Due to Applicants.**

Departments will forward all sabbatical leave applications accompanied by written evaluations to applicants. Copies of the applications and written evaluations are not forwarded to the College Personnel Committee until seven (7) calendar days after the original documents are forwarded.

9. **October 14 (Fri.) or earlier – Sabbatical Leave Applications from Department Due to College.**

Departments will forward all sabbatical leave applications accompanied by written evaluations to the College Personnel Committees. Any written responses to the Department level evaluation from applicants will be submitted to the College Personnel Committee.

10. **October 14 (Fri.) or earlier – 3-6 Year Candidates Must Declare the Type of RTP Review to Faculty Affairs and to Their Department Chair.**

All 3-6 year RTP candidates must declare in writing the type of review they are seeking for the current year – retention, tenure, promotion, early promotion, early tenure, or promotion with tenure. This written statement from the candidate must be submitted to Faculty Affairs and to the Department Chair *before* deliberations begin.

11. **October 21 (Fri.) or earlier – Department RTP Recommendations Due to 2<sup>nd</sup>-Year Candidates.**

Department Chairs and Department Personnel Committees will make their recommendations on retention available to second-year probationary faculty candidates. Copies of the letters are not forwarded to the other recommending agencies until ten (10) calendar days after the original letters are made available to the candidates.

12. **October 31 (Mon.) or earlier – Department RTP Recommendations of 2<sup>nd</sup>-Year Faculty Due to Deans.**

Department Chairs will forward their recommendations and those of their Department Personnel Committees on retention of second-year probationary candidates to the Dean of their College. The Dean will transmit the Department recommendations, *including the results of final balloting*, to the Chair of the College Personnel Committee.

13. **November 4 (Fri.) or earlier – Department Personnel Policies and Procedures Revisions from Department Due to College.**

Each Department will submit any revisions to its personnel procedures to the College Personnel Committee for approval for the following academic year.

14. **November 9 (Wed.) or earlier – Sabbatical Leave Recommendations from College Due to Applicant.**

College Personnel Committees will forward recommendations on sabbatical leave applications accompanied by written evaluations to applicants. Copies of the applications and written evaluations are not forwarded to the Dean until seven (7) calendar days after the original documents are forwarded.

15. **November 16 (Wed.) or earlier** – **Sabbatical Leave Applications from College Due to Dean.**

College Personnel Committees will forward recommendations on sabbatical leave applications accompanied by written evaluations to the College Dean.

16. **November 22 (Tues.) or earlier** – **Sabbatical Leave Recommendations from Dean Due to President.**

College Deans will forward recommendations on sabbatical leave applications to the President.

17. **November 29 (Tues.) or earlier** – **Dean and College RTP Recommendations Due to 2<sup>nd</sup>-Year Candidates.**

The Dean and College Personnel Committee will make available their recommendations on retention of second-year probationary faculty to the candidates. Copies of the letters are not forwarded to the other recommending agencies until ten (10) calendar days after the original letters are made available to the candidates.

18. **December 1 or earlier** – **Department Level Deliberations Begin on 3-6 Year Faculty RTP Candidates.**

Department Chairs and Department Personnel Committees are strongly encouraged to begin deliberations on retention, tenure, and promotion, or notice of a terminal year appointment for 3-6 year faculty candidates 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, 2023. Departments must establish a deadline for submission of PIFs to initiate the RTP process for their 3-6 year candidates.

19. **December 9 (Fri.) or earlier** – **All RTP Recommendations for 2<sup>nd</sup>-Year Candidates Due from Dean to Provost.**

College Deans will forward all recommendations on the retention of second-year probationary faculty candidates to the Provost and Vice President for Academic Affairs.

20. **December 13 (Tues.) or earlier** – **Approved College and Department Personnel Policies Due from College to Faculty Affairs.**

Each College Personnel Committee will submit approved revisions of College or Department Personnel Policies and Procedures, with its Chair's and its Dean's signature, to Faculty Affairs for review by PP&R and implementation the following academic year.

21. **December 19 (Mon.) or earlier** – Appeals from 2<sup>nd</sup>-Year RTP Candidates Due to PP&R.

Second-year probationary faculty members not recommended for retention by a College level reviewing agency may file an appeal with the Personnel Planning and Review Committee. All materials supporting the appeal must be submitted to the Office of Faculty Affairs for review by the Personnel Planning and Review Committee.

22. **January 6 (Fri.) or earlier** – Sabbatical Leave Decisions from President Due to Applicants.

The President will notify each sabbatical leave applicant of the decision on the proposal.

23. **January 20 (Fri.) or earlier** – PP&R Decision on 2<sup>nd</sup>-Year Candidate Appeals Due to Appellants.

The Chair of the Personnel Planning and Review Committee will make recommendation on retention, tenure, and promotion appeals available to second-year probationary faculty appellants.

24. **January 20 (Fri.) or earlier** – Department RTP Recommendations for 3-6 Year Candidates Due to Candidates.

Department Chairs and Department Personnel Committees will make available their recommendations on retention, tenure, and promotion, or notice of a terminal year appointment to 3-6 year faculty candidates 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, 2023. Copies of the letters are not forwarded to the other recommending agencies until ten (10) calendar days after the original letters are made available to the candidates.

25. **January 27 (Fri.) or earlier** – Emeritus Status Nominations Due to Department.

Emeritus status faculty nominations are due to the nominated faculty member's Department Personnel Committee or Department Emeritus Committee.

26. **January 31 (Tues.) or earlier** – Department RTP Recommendations for 3-6 Year Candidates Due to Dean.

Department Chairs will forward to the Deans of their Colleges their recommendations and those of their Department Personnel Committees on retention, tenure, or promotion, and on notice of a terminal year appointment for 3-6 year faculty candidates 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, 2023. The Dean will transmit the Department recommendations, *including the results of final balloting*, to the Chair of the College Personnel Committee.



27. **February 1 (Wed.) or earlier** – Discussion of 2<sup>nd</sup>-Year RTP Candidates by Provost and PP&R.

The Provost and Vice President for Academic Affairs will meet with the Personnel Planning and Review Committee to discuss retention, tenure, and promotion cases involving second-year probationary faculty members.

28. **February 10 (Fri.) or earlier** – Provost Notifies 2<sup>nd</sup>-Year Candidates of RTP Decision.

The Provost and Vice President for Academic Affairs will notify second-year probationary faculty members that they are to be reappointed for another academic year, are to receive tenure, or are to be terminated at the end of the 2022-23 academic year.

29. **February 24 (Fri.) or earlier** – GRIF Applications from Faculty Due to Deans.

Faculty will submit GRIF applications to their Dean, with a copy to the Department Chair and the Research and Sponsored Programs office, for consideration for a GRIF appointment in the 2023-24 Academic Year.

30. **February 28 (Tues.) or earlier** – Emeritus Status Recommendations from Department Due to College.

Departments will forward all faculty Emeritus status nominations accompanied by written recommendations to the College Dean.

31. **February 28 (Tues.) or earlier** – Dean and College RTP Recommendations Due to 3-6 Year Candidates.

The Dean and College Personnel Committee will make available to 3-6 year candidates their recommendations on retention, tenure, and promotion, or notice of a terminal year appointment for 3-6 year faculty candidates 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, 2023. Copies of the letters are not forwarded to the other recommending agencies until ten (10) calendar days after the original letters are made available to the candidates.

32. **March 10 (Fri.) or earlier** – College RTP Recommendations for 3-6 Year Candidates Due to Dean.

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 retention, tenure, and promotion, or notice of a terminal year appointment for 3-6 year faculty candidates 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, 2023.

33. **March 10 (Fri.) or earlier** – **GRIF Recommendations from Department Due to Dean.**  
Department Chairs submit GRIF appointment recommendations (approval or denial) to the Dean, with a copy to the applicant.

**Note: Spring Recess March 20-26, 2023**

34. **March 20 (Mon.) or earlier** – **Appeals from 3-6 Year RTP Candidates Due to Faculty Affairs.**

Faculty members not recommended for retention, tenure, or promotion by a College level reviewing agency may file an appeal with the Personnel Planning and Review Committee. All materials supporting the appeal must submit to the Office of Faculty Affairs for review by the Personnel Planning and Review Committee.

35. **March 21 (Tues.) or earlier** – **Emeritus Status Recommendations from Dean Due to Faculty Affairs.**

College Deans will forward all faculty Emeritus status nominations, Department Committee recommendations, and the Dean's recommendations to the Office of Faculty Affairs for review by the Personnel Planning and Review Committee.

36. **March 31 (Fri.) or earlier** – **GRIF Recommendations from Deans Due to the Research and Sponsored Programs office and Provost.**

The Dean submits recommendations for approval or denial of GRIF appointments to the Research and Sponsored Programs office and the Provost, with a copy to the applicant.

37. **March 31 (Fri.) or earlier** – **Leave Without Pay Return to Duty Notifications for Fall Semester Due.**

Faculty on leave without pay for the Spring Semester 2023 or the 2022-23 academic year will notify the Provost and Vice President for Academic Affairs of their intention to return to duty at the start of Fall Semester 2024.

38. **April 13 (Thurs.) or earlier** – **GRIF Decisions from Provost Due to Applicants.**

Provost notifies each applicant of an approved or denied GRIF appointment. If approved, the Provost specifies the amount of the GRIF salary differential. The decision letter is copied to the Dean and Department Chair.

39. **May 2 (Tues.) or earlier** – **PP&R Recommendations on 3-6 Year Candidate Appeals Due to Appellants.**

The Chair of the Personnel Planning and Review Committee will make available the Committee's recommendation on retention, tenure, and promotion appeals to appellants.

40. **May 16 (Tues.) or earlier** – **Post Tenure Review Evaluations from Dean Due to Faculty.**  
College Deans will provide their written post-tenure review reports to faculty members.
41. **May 17 (Wed.) or earlier** – **Provost Meets with PP&R Regarding RTP Cases.**  
The Provost and Vice President for Academic Affairs will meet with the Personnel Planning and Review Committee to discuss retention, tenure, and promotion cases involving 3-6 year probationary faculty members.
42. **June 1 (Thurs.) or earlier** – **Provost Notifies 3-6 Year Candidates of RTP Decision.**  
The Provost and Vice President for Academic Affairs will formally notify 3-6 year faculty candidates whether the subsequent academic year is an additional probationary year, promotion to a higher rank, a first year of tenure, or a terminal year appointment effective for the 2023-24.
43. **June 1 (Thurs.) or earlier** – **Applications for Additional Leave Without Pay Due to Provost.**  
Faculty on leave without pay for 2022-23 AY and who wish to apply for leave without pay for the 2023-24 AY shall submit their requests to the Provost and Vice President for Academic Affairs.

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**MEMBERS OF THE 2022-23 PERSONNEL PLANNING AND REVIEW COMMITTEE**

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Alford-Keating, Pat	University Counseling	8217	Dept. 2366 Office	2024
Ashton, Tamarah	Special Education	8265	Dept. 2596 Office 4869	2024
Brown, Lindsay Hansen <b>(Chair)</b>	University Library	8327	Dept. 2211 Office 7147	2023
Buenavista, Tracy	Asian American Studies	8251	Dept. 4966 Office 5688	2023
Hoggan, Michael	Cinema and Television Arts	8317	Dept. 3192 Office 2849	2024
Macauley, Sylvia	History	8256	Dept. 3566 Office 2162	2024
Marchetti, Paulo	Kinesiology	8287	Dept. 3205 Office 6983	2025
Minassians, Henrik	Urban Studies	8259	Dept. 2904 Office 5115	2024
Neubauer, Michael <b>(Faculty President)</b>	Mathematics	8313	Dept. 2721 Office 3111	2024
Torabian-Riasati, Setareh	Family Consumer Sciences	8308	Dept. 3051 Office 2842	2025
Vigneron, Franck	Marketing	8377	Dept. 2458 Office 2018	2025
Wiegley, Jeffrey	Computer Science	8295	Dept. 3398 Office 2038	2025
(VACANT)	Science and Math	XXXX	Dept. Office	
Guido, Diane	Faculty Affairs	8220	Dept. Office 2962	NA