

Guidelines for Developing/Revising Department and College Personnel Policies and Procedures

From the Personnel Planning and Review Committee (Originally approved 5-8-13; Revised 9-2-20)

The purpose of this document is to provide guidelines and suggestions for departments and colleges as they develop and revise personnel policies and procedures. These guidelines are in no way meant to infringe on the right of departments and colleges to determine their own criteria and other policies and procedures, but rather to share suggestions that may encourage clarity and consistency, and ensure conformity of personnel policies and procedures with the Unit 3 Faculty Collective Bargaining Agreement and Sections 600 and 700 of the CSUN Administrative Manual.

Department Personnel Policies and Procedures should be developed in the spirit of recognizing and rewarding faculty for their work. While the type of work varies among different departments and colleges, the rationale for having personnel policies is consistent – to recognize the actual work performed.

Departments are required to have approved Personnel Policies and Procedures for tenure-track and lecturer *and* Procedures for the Periodic Review of Tenured Faculty (post-tenure review). These three documents should be separate and each accompanied by the appropriate cover sheet (available: <http://www.csun.edu/faculty-affairs/forms> at the bottom of the page under “Miscellaneous”). These cover sheets must include the date that the faculty voted and approved the procedures. With regard to the post tenure review procedures, a department may (and many do) simply submit the appropriate and signed cover sheet with a note that the department will follow Section 645 (Periodic Review of Tenured Faculty).

We present below a table of terms, abbreviations, and acronyms related to the topics discussed in this document.

Term	Definition
Section 600	Section 600 of the CSUN Administrative Manual – Academic Personnel Policies and Procedures Available online: Link to Section 600
Section 700	Section 700 of the CSUN Administrative Manual – Academic Personnel Policies and Procedures for Temporary Academic Personnel Available online: Link to Section 700
CBA	Collective Bargaining Agreement between The Board of Trustees of The California State University and the California Faculty Association – Unit 3 – Faculty Available online: http://www.calstate.edu/hr/employee-relations/bargaining-agreements/contracts/cfa/index.shtml
CPC	College Personnel Committee
DPC	Department Personnel Committee

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PPP	Personnel Policies and Procedures
Term	Definition
PP&R	Personnel Planning and Review Committee (sometimes referred to the “University” Level Committee)
PTR	Post Tenure Review (officially termed <i>Periodic Review of Tenured Faculty</i>)
RTP	Retention, Tenure and Promotion

Introductory Notes

- The Department PPP provide the most detailed description of criteria for evaluation of faculty.
- Department Personnel Policies and Procedures are required (Section 612.5.2.c.). College Personnel Policies and Procedures are optional.
- There is no need to reproduce CBA and/or Section 600 text verbatim in a PPP document, since department and college PPP are intended to supplement Section 600 and the CBA by way of emphasis or added detail. Some departments nonetheless copy selected portions of Section 600 text into their PPP for emphasis, or to save the reader from having to refer to the original document (i.e., Section 600).
- While the discussion in these guidelines focuses primarily on Department Personnel Policies and Procedures, some of the suggestions may apply to College Personnel Policies and Procedures as well.
- All current College and Department Personnel Policies and Procedures are available on the Faculty Affairs website: <http://www.csun.edu/faculty-affairs/policies>
- All documents must be submitted in Word format, with the exception of Cover Sheets, which require signatures and must be PDFs.

Suggested Policies and Procedures Document Sections

Section 612.5.2.c. requires that “Each Department shall have on record in the College Dean’s office its approved personnel procedures which shall include but not be limited to:”

- (1) Criteria for retention, tenure, and promotion
- (2) Procedures for evaluating teaching effectiveness
 - (a) Class visits
 - (b) Student evaluations (written)
 - (c) Other sources of evidence of teaching effectiveness deemed appropriate by the Department

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- (d) Additional material gathered by individual faculty members for inclusion in their Professional Information File (PIF)
- (3) Procedures for evaluating effectiveness in librarianship or counseling (for Librarians and Counselors only)
- (4) Student consultation procedures
- (5) Publication requirements

In light of these requirements, we have presented provisions to be included in a department's personnel policies and procedures (PPP). Additional sections addressing other areas may be included at a department's discretion. The samples listed for some of the sections have been taken from a variety of CSUN departments to show how they have addressed the issues. **These samples are included merely as examples, not as a dictate of what has to be done. Again, we defer to the individual departments on the content and details that best meet their needs.**

[Notes: (1) Some sections/subsections are required; others are optional. Each section/subsection's status is indicated in parentheses. (2) The section numbers below are for reference in this document only, and not necessarily to be used verbatim in a department's PPP document. (3) Specific reference to Section 600 subsection numbers (right-side column) are listed to assist the reader of these guidelines, but should **not** be included in the text of the actual PPP document].

Section 1 – Introduction (optional)

Section	Description	Section 600 References
Introduction	An introduction is not required, however, some departments include an introductory paragraph that describes aspects of the department. The introduction provides background and creates context for those who are reading the document.	
<p>Sample #1 – Department X, by its nature, is comprised of many interrelated sub-disciplines. As such, the Department embraces a broad view of teaching, scholarship, and service. These policies and procedures should be read and applied with recognition of the diversity of who we are and what we do, and in the context of recognizing and rewarding the wide variety of work the faculty are called upon to do in furthering the mission and goals of the Department, College, and University.</p> <p>Sample #2 – Department Y values excellence in teaching, scholarship in its many forms, and creative activity in its many forms. We also value active involvement in the Department, College, University and community. We view the personnel process as an opportunity for dialogue within the Department and University that will enable each faculty member to achieve success in each of the aforementioned areas.</p>		

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Sample #3 – College Z aspires to be California’s best regionally focused...program. We want to be recognized for our faculty’s research, our strong ties to the local community, the involvement of our alumni, and our focus on building education programs of excellence for both undergraduate and graduate...students.

Section 2 – Department/College Personnel Committee (optional)

Section	Description	Section 600 References
Personnel Committee (Department or College)	This section may include details regarding: <ul style="list-style-type: none"> • Committee membership (e.g., number of committee members, length of term, staggering of terms) • Election procedures • Vacancies (how to fill) • Committee Chair selection • Committee responsibilities 	College: Section 612.4 Department: Section 612.5
<p>Sample - Personnel Committee responsibilities are set forth in section 600. In addition, the Department Personnel Committee may be actively involved, as appropriate, with each candidate by providing guidance and support on an ongoing basis, as requested by the candidate.</p>		

Section 3 – Guidelines and Procedures for RTP Evaluation (required)

Section	Description	Section 600 References
Retention, Tenure, and Promotion (RTP) Evaluations	This section establishes evaluation criteria and procedures to be used in the RTP process. Some departments include an (optional) introductory paragraph to provide an overview of the department’s RTP philosophy.	Sections 630-638
<p>Sample # 1 - Retention without Tenure: During the first year, the candidate's commitment to teaching and their general competency within the field should be evidenced. During years two - six the eventual tenurability of the candidate becomes a consideration of increasing importance.</p> <p>Sample #2 – Involvement in original scholarly activity (“research”) is the hallmark of a truly engaged university professor. For this reason, it is expected that all faculty shall maintain ongoing research programs in their specialties. A satisfactory research program is one that</p>		

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reflects ongoing scholarly activity leading to peer reviewed publications and presentations at professional meetings. The candidate is required to publish results based upon research carried out since they were hired at CSUN, and is expected to obtain extramural and/or intramural funding to support their research program at CSUN.

Sample #3 – The philosophy of Department X is to empower the...community and to promote social justice through scholarly work that produces new knowledge, methodology and ways to serve our communities.

Section 3.1 – Professional Preparation (optional)

Section	Description	Section 600 References
Professional Preparation	Most departments do <i>not</i> have a section on Professional Preparation since professional preparation (e.g., requirement of a doctoral degree) is addressed in the AA-1 document at the time of hire, and not during the RTP process.	Section 632.2

Section 3.2 – Teaching Effectiveness and Instructional Contributions (required)

Section	Description	Section 600 References
Teaching Effectiveness and Instructional Contributions	<ul style="list-style-type: none"> • Criteria for evaluating teaching effectiveness • Procedures for: <ul style="list-style-type: none"> ○ Peer class visits ○ Student evaluations ○ Other sources of evidence of teaching effectiveness ○ Librarians and Counselors (when relevant) ○ Student consultation • Include special criteria, if applicable, for review of online, hybrid, service learning, team taught, and lab courses. 	Section 632.3 Sections: 612.5.2.c.(2).(a) 612.5.2.c.(2).(b) 612.5.2.c.(2).(c) 612.5.2.c.(3) 612.5.2.c.(4) Section 632.3.3

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	<ul style="list-style-type: none"> • In addition, “As part of their personnel procedures, Departments may identify additional types of contributions that warrant special recognition for advancing their instructional efforts.” 	
<p>Sample #1 - Additional Factors Regarding Teaching Effectiveness: The following factors will be considered when evaluating an instructor’s teaching effectiveness:</p> <ol style="list-style-type: none"> a. Grade distribution patterns as distributed by the Department; b. The instructor’s course examinations; c. Inclusion of a pedagogically significant writing component (e.g., essay questions on exams, papers, and other written assignments that require the instructor to evaluate the students’ writing and analysis) in all Department X’s courses taught by the instructor. <p>Sample #2 – Student Consultation Procedures Announcement of the candidate’s upcoming evaluation will be made in all Department X’s classes and posted on the Department’s website in advance of the consultation dates. This announcement will list the name(s) of faculty under review and inform the students of the procedures for consultation. Students will be given the opportunity to consult privately with the Personnel Committee regarding the teaching performance of the candidate. Students who could not make it at the time provided can also hand or send in a typed, signed letter to the Chair of the Personnel Committee of their evaluation of the candidate. The Personnel Committee will follow the procedures for handling oral and written comments about faculty as outlined in Section 600.</p> <p>Sample #3 – Sample materials such as syllabi, exams, handouts and class related websites, should be contained in the candidate’s PIF.</p> <p>Sample #4 – Self -Evaluation: All probationary faculty are encouraged to formulate their own teaching goals and their on-going methods of fulfilling these goals in ways that will clarify and facilitate assessment of their teaching effectiveness at various levels of review. They also are encouraged to describe any innovations in teaching and the development of curriculum materials, special projects or other self-improvements, and their response to issues raised in student and peer evaluations.</p> <p>Sample #5 - The candidate must provide evidence, to the satisfaction of the Department Personnel Committee, of a strong commitment to good teaching, for tenure and promotion to associate professor to be recommended. Demonstrations of this commitment may include, but are not limited to:</p> <ol style="list-style-type: none"> 1. effective teaching at more than one level of instruction; 2. development of innovative teaching methods or improved instructional material; 3. participation in Department curriculum development; 4. research and scholarly activity involving students. 		

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Section 3.3 – Contributions to the Field of Study (required)

Section	Description	Section 600 References
Contributions to the Field of Study	<ul style="list-style-type: none"> • Section 632.4.1 states “The University standard requires that the individual demonstrate continued growth as a recognized scholar and contributor to the field of study.” • The primary way of documenting growth as a contributor to the field of study is through peer-reviewed scholarly or creative contributions as defined by the department/college. • “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.” • “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” <p>“Identification of the format and public forum in which the work appears and a statement</p>	<p>Section 632.4.1</p> <p>Section 632.4.2.</p> <p>Section 632.4.2.a</p> <p>Section 632.4.2.a.(1)</p>

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	<p>of its significance to the field of study.”</p> <p><i>and</i></p> <p>“Specific procedures and criteria by which the work will be evaluated. The evaluation shall include an outside review by peers in the field.”</p> <p>Note: PP&R has consistently interpreted “outside review” as external to CSUN.</p> <p>“In the absence of an approved departmental procedure defining significant scholarly or creative contributions to the field of study, the university shall 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.”</p>	<p>Section 632.4.2.a.(2)</p> <p>Section 632.4.2.b</p>
<p>Examples of significant scholarly or creative contributions to the field of study (note: this list is not intended to be either all-inclusive or exclusive)</p> <ul style="list-style-type: none"> • Peer-reviewed scholarly books • Peer-reviewed articles • Other externally peer-reviewed products as defined by your department or college personnel policies. <p>Evaluation procedures for external reviews:</p> <p>Sample #1 - The candidate will meet with the Department Personnel Committee and Department Chair to discuss the evaluation process. The evaluation must include, at minimum, two independent external reviews by individuals with recognized expertise in the area of study. The reviewers will be selected by mutual agreement of the candidate, Department Personnel Committee and Department Chair. In cases where mutual agreement cannot be reached, there will be one additional reviewer, for a minimum of three reviewers, with one selected by the candidate, one by the Department Personnel Committee, and one by the Department Chair. Each external reviewer will provide a written evaluation of the work, including assessment of the quality and significance of the work.</p> <p>Sample #2 – The candidate, the Department Personnel Committee and the Department Chair shall each select an external peer reviewer who shall be a tenured professor at another institution</p>		

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<p>of higher education who has worked in the field related to the work under review. Each of the three reviewers will be asked to comment in writing on the quality of the material with respect to standards in the field, the material's originality and its impact on the field. The reports shall be placed in the candidate's Personnel Action File.</p>		
	<ul style="list-style-type: none"> • Some departments also require evidence of a “pattern of scholarly activity,” or something similar, and list activities and accomplishments that can be used to establish such a pattern. 	
<p> </p>		
	<ul style="list-style-type: none"> • Other Items Related to Contributions to the Field of Study <ul style="list-style-type: none"> ○ Departments may establish minimum numbers of peer-reviewed publications or standards related to the quality of the journal or the publication. ○ Departments may also include policies related to co-authored or multi-authored articles including a requirement that co-authors identify the level of their contributions to the article. ○ Specification of what constitutes “publication” (e.g., actually available in published form, or documented evidence of acceptance). Departments should define recognized and reliable sources, as opposed to predatory and vanity publications. ○ PP&R considers “editorship” as professional service (i.e., <i>not</i> publication), unless the candidate has an authored work in the edited volume. 	

Section 3.4 – Contributions to the University and Community (optional)

Section	Description	Section 600 References

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<p>Contributions to the University and Community</p>	<p>Some departments do not go beyond the University and Community Service requirements as covered in Section 632.5. Others are quite detailed in what is expected of candidates with respect to contributions (i.e., service) to the University and Community. Departments are encouraged to include enough detail in this section to guide candidates towards department-specific activities and reward candidates for service appropriate to furthering the mission and goals of the University, College, and Department, and meeting the needs of the greater communities served by CSUN.</p>	<p>Section 632.5</p>
<p>Sample #1 - Contributions to the university are evident through active participation at the departmental faculty and committee meetings, college and university-wide committees and governance, and evidence of commitment to students including sponsoring clubs, advising, supervising graduate research, organizing field trips, and community-based service learning opportunities for students. This list is not meant to be exhaustive but exemplifies departmental standards for “an engaged professor of the Department”.</p> <p>Contributions to the community are evident through activities such as community lectures, with community-based organizations and media contributions (e.g., television, film, editorials). Professional work that integrates community service with research and teaching, especially with students, should be described fully, emphasizing the benefits that each constituency gains from participation.</p> <p>Sample #2 - Some departments include service to the professional community in this section: In the area of professional service, such activity is expected to surpass that of simply belonging to relevant organizations and attending conferences. As faculty members progress through their careers, it is expected that they increasingly play a significant role in professional activities such as serving on professional committees, assuming leadership positions, serving as program planner, conducting seminars and workshops, and serving as a professional consultant, on editorial boards, and/or a reviewer of scholarly/professional materials.</p> <p>Sample #3 - After a preamble about the importance of contributions to the University and community, some department and colleges list examples of acceptable University and community services.</p> <ul style="list-style-type: none"> • Department Chairperson • Guest lecturer, or Presenter, giving presentation related to the Department’s discipline • Member of an Accreditation Team • Report writer of programs or projects • Recruiter of students and faculty • Student advisor and mentor • Peer advisor for retention, promotion and teaching • Curriculum developer 		

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- Member or Chairperson of a Conference Committee
- Elected officer in professional organization
- Contribution to the recognition of the department within the academic community and among professionals in the field
- Participation in interdisciplinary programs
- Advisement of student organizations
- Consultation, leadership and service for communities and community organizations at the local, national or international level
- Speeches/workshops for the community
- Fund raising for the University or community

Section 3.5 – Professional Responsibilities (optional)

Section	Description	Section 600 References
Professional Responsibilities	Most departments do <i>not</i> have a section on Professional Responsibilities in their Personnel Policies and Procedures. Section 632.6.1 states that “For appointment or promotion to any rank above that of Instructor/Assistant Librarian/Student Service Professional – Academically Related I, 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.” Most departments find this statement in Section 632.6.1 related to Professional Responsibilities adequate and in no need of elaboration.	Section 632.6 and Section 604

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Additional Notes

- **Memorandum of Understanding (MOU)**

At their option, departments may provide for a Memorandum of Understanding (MOU) that specifies requirements, and/or conditions applicable to an individual faculty member with respect to more specific expectations required for retention, tenure and/or promotion, and are consistent with Section 600 and the Collective Bargaining Agreement.

- **Periodic Review of Personnel Policies and Procedures**

The Personnel Policies and Procedures of each College [Section 612.4.2.b.(5)] and Department [Section 612.5.2.f] "...shall be reviewed in their entirety at least every five (5) years to assure consistency with 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...criteria, policies and procedures will revert to Section 600**" (emphasis added).

Even if a College or Department does not plan to modify their personnel procedures, the College or Department Faculty must vote to approve the current personnel procedures and submit a cover sheet and the existing personnel procedures for a full review.

A College or Department may make changes (subject to PP&R approval) prior to the 5-year review. When such changes are proposed, PP&R review is not restricted to the proposed changes alone. Instead, the entire document is "open" for discussion by PP&R. If changes are approved, a new 5-year review cycle begins.

- **Effective Date of New or Revised Personnel Procedures**

The following revision to Section 612.5.2.g was approved by the Faculty Senate on May 12, 2011.

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 shall 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 shall be evaluated under these new criteria.

An identical timeline applies if a College elects to change the criteria in its personnel procedures.

- **Style Issues and Conventions**

Based on past practice, PP&R has established a few style requirements intended to provide consistency and clarity. Among these are:

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- Do not make reference in the procedures to specific sections (e.g., Section 612.5.1), but rather simply refer to Section 600. The primary reason for doing so is to avoid the potential problem created when future changes to Section 600 involve section renumbering.
 - Use the term “Class visit” instead of “Classroom visitations,” since some instructional modes (e.g., online) do not meet in a classroom.
 - When submitting the Personnel Procedures for review by PP&R please submit it electronically as a Word document showing ***tracked changes***
 - If appropriate, distinguish between “publications” and “scholarly and creative contributions”
 - Date each version and include page numbers
 - Instead of having “publications or equivalencies to publications,” departments may define what are considered to be “significant scholarly or creative contributions to the field of study” in their personnel procedures.
- **Section 700 – Temporary Academic Personnel**
Departments will submit, in a separate document, their Personnel Policies and Procedures related to Temporary Academic Personnel (Section 700).
 - **Forms**
Any specific forms (e.g. peer class visit form) mentioned in the Personnel Policies and Procedures document should be included as an appendix to the document.
 - Section 612.5.3.e. states that “Unresolved differences between a College Committee and a Department Committee shall be referred to the Personnel Planning and Review Committee.”

(Revised 9-2-20)