Date: February 27, 2018

To: Veena Prabhu
Chair, Academic Senate

From: Sharon H. Ulanoff, Chair
Faculty Policy Committee

Copies: M. Caldwell, J. Lazo-Uy, R. Roquemore, V. Salcido, H. Riggio

Subject: Proposed Editorial Changes for Chapter VI of the Faculty Handbook
FPC 17-13: Personnel Committees

At its meeting on February 12, 2018, Faculty Policy Committee approved the following editorial changes related to semester conversion as part of its consent agenda.

**FPC 17-13: Personnel Committees**

Line 24: This language replaces quarters with semesters.

Line 25: This language replaces quarter with semester.

Line 111: Delete extra word “the.”
Personnel Committees

(Senate: 5/30/89, 4/15/03, 5/31/11, 8/3/11 [EA], 5/9/17; President: 8/8/89, 9/25/03, 8/26/11, 5/30/17;
Editorial Amendment: 9/99, 9/00; 8/01)

Collective Bargaining Agreement between the California State University and the California Faculty Association, especially Articles 2, 10, 12, 13, 14, 15, 27, 28, and 29.

A faculty personnel matter is defined as a matter pertaining to personnel recommendations and personnel actions regarding a faculty unit employee. Such matters may include appointment, retention, tenure, promotion, retreat rights, discipline, grievance, appeals, personal and professional leaves of absence, sabbatical leaves, difference-in-pay leaves, and other awards involving a member of the faculty. Within this same context, a faculty personnel matter is further defined to include incompatibility of employment, nepotism, academic freedom and professional ethics, and other such matters.

In cases where department/division/school, college, and University policy or the CSU/CFA Collective Bargaining Agreement requires or permit the involvement of a faculty personnel committee, the following policies on the formation and operation of personnel committees apply.

Eligibility for Membership on Personnel Committees

Membership on faculty personnel committees shall be limited to permanent faculty members. Exceptions to this restriction shall be limited to those instances in which the CSU/CFA Collective Bargaining Agreement requires the participation of other faculty employees.

Faculty participating in the Faculty Early Retirement Program (FERP) may serve on personnel committees when the committee's work would normally be completed during the period of FERP employment. However, personnel committees may not be comprised solely of faculty participating in the Faculty Early Retirement Program.

Faculty members on leave for one or more quarters SEMESTERS will normally not serve on personnel committees, and must notify the committee chair prior to the beginning of the quarter SEMESTER in which they will be absent. If a faculty member is available and willing to serve and if there are extraordinary circumstances that make the faculty member's attendance highly desirable, a faculty member may serve while on leave subject to the college dean's approval.

1. Appointment Committees

When the President has authorized the recruitment of a permanent faculty member in a department/division/school, the department/division/school shall elect an appointments committee of three or more tenured faculty members for the purpose of reviewing and recommending individuals for probationary or tenured appointments. At the discretion of the President and upon request of the department/division/school, these appointment committees may also include probationary faculty. If the President has authorized recruitment of a tenured faculty member, the appointments committee shall be limited to faculty members at a rank equivalent to or higher than the rank at which the faculty member will be appointed.
Each department/division/school and college shall establish procedures for the consideration of applicants for temporary appointments. If these procedures involve personnel committees, such committees will be governed by this policy.

2. Faculty Evaluation Committees

Each department/division/school and each college shall elect one or more personnel committees comprised of tenured faculty members to conduct evaluations of faculty members. Each department/division/school committee shall have a minimum of three members and one alternate. Each college committee shall have a minimum of five members and one alternate with no more than three members from any one department/division/school. For faculty units that are not organized into departments/divisions/schools, the unit-specific evaluations policies will identify equivalents to personnel committees. A faculty member cannot serve on more than one level of peer review for another faculty unit employee in any given academic year. If a faculty member is elected to peer review committees at two levels, the faculty member may decline service on either the department/division/school or college committee.

When a member is to be absent from a substantial part of the committee’s deliberations, the alternate will replace the member and will continue through the completion of all committee deliberations of that cycle. A committee member on the college evaluation committee may not be present when the committee is deliberating and voting on candidates from his or her department/division/school.

As established by the department/division/school policy, the chair or director may serve on the department/division/school evaluation committee either as an elected or ex officio voting member, or as an ex officio non-voting member. If the chair or director is not a voting member of the department/division/school evaluation committee, he or she has the responsibility to write an independent evaluation of the faculty member.

No member of an evaluation committee may participate in the evaluation of anyone who holds a rank higher than the member’s rank. Additionally, faculty members under promotion consideration are not eligible to serve on promotion or tenure peer review committees.

3. Other Personnel Committee

Other personnel matters that require the involvement of faculty committees shall be handled by the appropriate department/division/school, college, or University committee.

Ballots for Committee Membership

It is the responsibility of the department/division chair or school director (for department/division/school committees) and the college dean (for college committees) to insure that the ballot contains only the names of faculty eligible to serve. It is expected that all eligible faculty will be on the college and departmental/divisional/school ballot and shall serve if elected. When there are fewer than twice the number of faculty members eligible for election to a personnel committee as are required to serve, the faculty shall add the names of eligible nominees from closely related disciplines, in order to present a slate of nominees with at least twice the number to be elected. Each department/division/school or college shall establish procedures for the selection of additional candidates the ballot.
Committee Responsibilities

Once a personnel committee is constituted, each committee will elect its own chair. Members of personnel committees shall be familiar with the University's Statement of Diversity and Inclusivity and make efforts to strengthen diversity and inclusivity through the retention, tenure and promotion process.

In matters related to appointment, retention, tenure, and promotion, the role of the faculty personnel committee shall be to make a recommendation to the President or the appropriate appointing authority.

1. Appointment Committees

Each department/division/school appointments committee shall review and recommend individuals for probationary appointments. Each committee's recommendation report shall be approved by a simple majority of the committee members.

The department/division/school appointments committee will forward its recommendation of one or more candidates to the college dean. If the recommendation is not accepted by the dean, the appointments committee will be so informed and given the reasons for such action. The appointments committee then will either continue to review potential candidates and make further recommendations or abort the search.

2. Evaluation Committees

Evaluation committees are responsible for evaluating the work of the candidates in all areas based on the information provided in the personnel action file, for making a recommendation regarding retention/tenure/promotion, and for applying the specific criteria and standards of the department/division/school or of the college to the performance of their colleagues in the evaluation process. When faculty have approved individualized professional plans on file, the committee shall review and take into account such plans in evaluating the faculty member's performance.

For all levels of review, the evaluation committee is expected to consider whether evaluation criteria and recommendations from previous years have been met. Additionally, the expectation for future growth leading to tenure and/or promotion should be stated to provide guidance in future evaluations. If deficiencies are found, committees are responsible for making recommendations for improvement.

In addition to the responsibilities detailed above, the department/division/school committee is responsible for conveying to other levels of review the relative merit of the individual candidate's performance from the perspective of the candidate's academic discipline.

The college evaluation committee is responsible for evaluating the materials submitted by the candidate and the recommendations forwarded by the department/division/school and for making a recommendation concerning retention, tenure and promotion the college dean.

Evaluation committees are required to complete an evaluation report. The evaluation report represents the committee's judgment and rating of the faculty member's accomplishments in educational performance, professional achievement, and service to the University. A specific recommendation for or
against reappointment, retention, tenure, range elevation and/or promotion is required when a performance review is conducted.

Each evaluation recommendation and report shall be approved by a simple majority of the membership of that committee. The reservations of the minority may be written into the full committee report as qualifications or reservations or as a separate minority opinion, which shall always be included with the majority report.

Evaluation reports must be submitted in a timely manner. At all levels of review, faculty members shall be given a copy of the evaluation report before the report is forwarded to a subsequent review level. The faculty member may submit a rebuttal statement or response in writing and/or request a meeting to be held to discuss the report within ten (10) days following receipt of the evaluation report. Evaluation reports from all levels of review and any rebuttals or responses shall be placed in the faculty member's personnel action file, which is maintained in the dean's office, and shall also be sent to all previous levels of review.

Confidentiality of Personnel Matters

Except as otherwise provided by system-wide policy, the deliberations and recommendations of all faculty personnel committees shall be strictly confidential. The results of such deliberations shall be made known only to those to whom a committee is required to report and then only by the committee member or members charged with the responsibility. The principle of confidentiality shall be observed by all committee members as well as by all other participants in the process. Failure to preserve the confidentiality of personnel deliberations provides grounds for a charge of unprofessional conduct. In the event that the confidentiality of personnel deliberations is violated, the President may authorize such public statements as appropriate.

In those cases where a participant in the process appears before a review committee, to provide testimony to a duly authorized authority, or to otherwise respond to a legally binding request, the principle of confidentiality is waived to the extent required.

In the event that any participant in the process perceives serious violations of University regulations in confidential procedures, that person is relieved of the requirement of confidentiality in order to report that concern to the Committee on Academic Freedom and Professional Ethics for the purpose of obtaining advice, or to those to whom the committee is required to report, for whatever action may be deemed appropriate.