

**CALIFORNIA STATE UNIVERSITY CHICO**  
***Department of Accounting***

***PERSONNEL POLICIES AND PROCEDURES***

***\*Note: Revisions are necessary to conform to new FPPP language and changes in the COB's system of measuring intellectual contributions.***

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***Department of Accounting***  
***PERSONNEL POLICIES AND PROCEDURES***

***I. GENERAL STATEMENT***

The Department will comply with the Memorandum of Understanding and all University and School personnel policies and procedures. Text from these documents will not be repeated here in order to avoid redundancy.

***II. SELECTION AND OPERATION OF THE DEPARTMENT PERSONNEL COMMITTEE***

- A. The Department of Accounting Personnel committee will consist of
  - 1. Three voting members elected by a majority vote of the tenured/tenure track faculty within the Department. The voting members are elected from the tenured faculty in the Department (and the College, if necessary.) At least two of the three members should be of full professor rank. No faculty member may serve if he/she will be the subject of a performance review by the Committee in that year. Faculty members who are on leave for all or any part of the academic year will be ineligible to serve, and
  - 2. The Department Chair will serve as an ex officio member of the committee
- B. If there are any Department faculty eligible to serve on College or Department personnel committees, at least one such faculty member must serve on the Department Committee.
- C. The presence of two voting members will constitute a quorum.
- D. The committee will elect a Chair and a Secretary. The Chair will be a member of the Department unless there are no eligible Department members. The third member of the Committee will provide orientation to Affirmative Action Guidelines and serve as liaison with the College Affirmative Action Committee.
- E. The Department Personnel Committee will operate in compliance with the University Faculty Personnel Policies and Procedures (FPPP) document for the current academic year. This document details the (1) function, (2) structure, and (3) operation of the Committee. This document provides that the basic recommendation for appointing faculty, both probationary and full-time temporary, originates in the department personnel committees. The Department Personnel Committee may make recommendations for appointments when appropriate. The Personnel Committee may consider for appointment only candidates reviewed by both the Screening and Visitation Committees. The Screening Committee and Visitation Committee are detailed in Section III below.

### **III. APPOINTMENTS**

- A. Screening Committee: A Screening Committee will seek applicants for advertised positions, and review, in a timely manner, the credentials of all persons indicating an interest in a full-time academic appointment in the Department. The purpose of this review will be to establish a pool of acceptable candidates from which a Visitation Committee may recommend a campus visit. Any temporary faculty applying for a tenure-track appointment will be treated as a new applicant.
1. Formation: Annually a four person screening committee will be elected by a vote of the tenured/tenure-track faculty holding full-time appointments within the department. Each member will be elected by majority vote of those eligible to vote.
  2. Membership:
    - a. Tenured/tenure-track faculty may serve on the Screening Committee.
    - b. The department chair will serve ex officio as the fifth committee member.
    - d. The committee must select one member to act as affirmative action liaison faculty (AALF) as established by the FPPP Section 10.1.
  3. Operating and Screening Procedures:
    - a. Once established, the department search committee develops a recruitment plan consulting the university guidelines for the required documents and procedures.
    - b. The search committee will forward the university's Recruitment Authorization form with accompanying documents, to the dean for approval. The dean will review to ensure compliance with approved university policies and procedures and the needs of the department.
    - c. After receiving notification that the recruitment is approved, the committee directs the placement of ads, vacancy announcements, and all outreach efforts to solicit applications as defined in the Recruitment Plan (e.g., direct mail campaigns, listservs, phone calls, electronic mail, and personal contacts).
    - d. In response to all queries, the department secretary sends out acknowledgement letters with a copy of the complete, official vacancy announcement and the Application Information Questionnaire.
    - e. Within eight working days after the closing date, or beginning review date, the department search committee forwards a list of applicants to the dean (see Applicant Flow Log). This form must be amended as later applicants appear.
    - f. The signed Applicant Flow log will be forwarded to the OEP as the official list of applicants. Subsequent updates must also be forwarded to the OEP for inclusion in the recruitment file. The department search committee screens the applications following the advertised criteria when the applicant's file is complete. An applicant's file will be considered complete when it consists of
      1. a current resume,
      2. names, addresses, and phone numbers of three references, and
      3. a copy of a recent scholarly paper, if applicable

4. student evaluations of teaching, if applicable
- g. The committee will undertake a thorough review of each applicant's credentials. A minimum of three reference checks in accordance with the university procedures must be done by the committee members for all candidates on the final list under consideration for a campus interview. A written report of these reference checks will be available for all committee members' review at the time a candidate is screened. Reference checks beyond the list supplied by the applicant are encouraged. These reports will become part of an applicant's file. Reference reports will not become part of a faculty member's permanent personnel file.
  - h. The committee is encouraged to solicit input from faculty regarding candidates' qualifications and interviews which departmental faculty may have had with applicants while attending professional meetings. Faculty may submit written reports to the candidate's file for review by the Visitation Committee.
  - i. Screening criteria must be stated in the position announcement and may include the following criteria:
    1. Relevance of applicant's background with respect to the advertised position,
    2. Quality of the applicant's scholarly activity and/or potential for scholarship,
    3. Indications of teaching effectiveness,
    4. Academic and research reputation of the institution issuing the candidate's doctoral degree.
    5. Indications of professional reputation resulting from reference checks.
  - j. All screened applicants will be forwarded to the Visitation Committee unless two-thirds or more of the members of the Screening Committee vote not to forward the applicant's file to the Visitation Committee.
  - k. All applicants will be advised of the results of the screening vote by the committee chair.
  - l. The committee will at all times function in a manner consistent with all University affirmative action and equal opportunity policies and guidelines.
- B. Visitation Committee: The Visitation Committee, composed of all full-time tenured/tenure-track departmental faculty, will determine which candidates from those forwarded by the Screening Committee may be invited for a campus interview.
1. The Visitation Committee is not required to recommend a visit for any person found to be acceptable by the Screening Committee.
  2. Visitation votes will be scheduled as soon as the following additional application materials can be collected from continuing applicants:
    - a. student evaluations of teaching effectiveness, if readily available,
    - b. copies of graduate transcripts if the candidate is ABD or a recent graduate. Transcripts should be requested for

any candidate when the relevance of the candidate's background is in question.

3. If the Visitation Committee desires additional information about a candidate being considered for an interview, that Committee will direct the Screening Committee to gather such information in a timely fashion and report back to the Visitation Committee.
  4. Reference reports of the Screening Committee will be made available to the Visitation Committee.
  5. A favorable vote by at least two thirds of the full-time tenured/tenure track faculty in the department is required for a candidate to be recommended for a campus interview.
  6. The Visitation Committee will recommend by majority vote an appointment rank for each candidate recommended for a campus interview.
  7. Upon approval by the Visitation Committee, the dean is consulted to identify a preliminary list of finalists to interview.
  8. These finalists are named on the Interview Authorization form. Each finalist's curriculum vita must accompany the form. The form is routed to the dean for approval.  
Note: The committee is encouraged to develop an evaluation form to be used to compare candidate's qualifications with job requirements.
  9. Once the Interview Authorization form is approved by the Provost, the department may schedule and conduct interviews.
  10. Following completion of all interviews of the candidates forwarded by the screening committee and approved by the visitation committee, the search committee will consult with the chair and dean to report and discuss the results of the interviews and reference checks and will forward the Authorization to Extend an Offer form to the dean for approval.
  11. Following the dean's approval, the Authorization to Extend an Offer is forwarded to the OEP for review and subsequent routing to the Provost (VPHR, if temporary) for approval. The Provost will return the signed form and all original documents to the OEP. The OEP will forward the signed form and original documents to the college dean and a copy to the hiring department.
- C. The terminal degree for accounting faculty will be the Ph.D. in business (or DBA) with an emphasis in accounting, taxation, or accounting information systems. The following are criteria for equivalency consideration:
1. Master's degree in accounting or related business field, and
  2. Teaching effectiveness, and
  3. CPA, CMA, or CIA, and
  4. Evidence of continued professional and creative activities, and
  5. At least one of the two below:
    - a. Extensive managerial experience in public accounting, industry or not for profit organizations, or
    - b. An earned Ph.D. in an academic discipline.
- D. Appointments on the basis of equivalency require a two thirds vote of the tenured/tenure track faculty. An appointment under equivalency will not be made if it would raise the positions appointed under equivalency to more than twenty percent tenured/tenure track faculty.
- E. Selection Criteria for positions in accounting must be stated in the position announcement and may include the following:

1. Personal Qualifications
  - a. Earned doctorate in applicant's expected teaching field
    1. Doctorate in hand
    2. ABD with progress toward completion
  - b. Professional and personal character references attesting to ability and willingness to work well with others in an academic environment.
  - c. Ability to teach a wide range of courses.
  - d. Professional certification.
  - e. Professional experience.
2. Teaching Performance
  - a. Student evaluations.
  - b. Colleague recommendations
  - c. Teaching experience.
3. Professional Achievement
  - a. Publication in refereed journals or author of text.
  - b. Funded research.
  - c. Officer in academic or professional organization.
  - d. Papers presented at meetings.
  - e. Participation in continuing education programs.
  - f. Significant consulting.
  - g. Other relevant publications.
4. Service
  - a. Administrative activities.
  - b. Service on committees.
  - c. Advisor of student organization.
  - d. Institutional research.
  - e. Other relevant service.

<b>IV. PERFORMANCE REVIEW (Retention, Tenure, Promotion)</b>
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Relevant sections of the Faculty Personnel Policies and Procedures (FPPP) and of the Collective Bargaining Agreement (CBA) should be consulted in the performance review. In preparing and evaluating performance evidence, consult those sections in the FPPP dealing with teaching and professional development.

In all cases, it is the candidate's responsibility to ensure that his/her dossier contains a full, well-organized documentation of the evidence to be used in support of the RTP action requested. It is the further responsibility of the candidate to understand the provisions of the University FPPP, the College of Business Personnel Policies and Procedures, and the provisions contained within this document. To aid the candidate, the Departmental Personnel Committee, in consultation with the candidate, will appoint a tenured full professor annually to mentor the candidate in matters relating to retention, tenure and promotion. Furthermore, the candidate should periodically consult with (and seek guidance from) the Department Chair and/or the Department Personnel Committee with respect to questions about the RTP process generally, or about specific expectations or requirements pertaining to the candidate.

In providing performance documentation (e.g., through the dossier), the candidate is urged to provide as complete a set of evidence as possible, while still making the record relevant to the specific RTP requirements. Unmanageable quantities of material should be avoided. Capabilities, performance, and effectiveness must be demonstrated affirmatively. In the absence of sufficient evidence regarding an RTP criterion, the Department Chair and the Department Personnel Committee may not assume that satisfactory performance has been achieved by the candidate.

If the candidate presents the results of team efforts (e.g., a co-taught course or a co-authored publication), the candidate must document the team's accomplishment, identify his/her collaborators, and describe his/her role in the team's achievements.

A letter from the collaborator(s) explaining the candidate's role in the team accomplishment is highly recommended.

As stated in the FPPP, a successful candidate need not excel in all areas of the review. The question is whether the candidate overall provides a valuable contribution to the Department, College, and University. When evaluating candidate's contributions, the quality as well as quantity of performance will be considered.

<b>V. CRITERIA (Performance Review of Tenure Track Faculty and Periodic Evaluation of Temporary Faculty)</b>
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The three broad criteria for the Performance Review are INSTRUCTION, PROFESSIONAL GROWTH AND ACHIEVEMENT, and OTHER CONTRIBUTIONS TO THE UNIVERSITY AND COMMUNITY. The contribution to Strategic Plans and Goals of the Department, College and University are also considered.

A. Instruction

It bears repeating that "[t]eaching effectiveness is the first, minimum, and indispensable requirement for retention, tenure teaching faculty...The candidate must diligently provide evidence, beyond SEFs, of teaching performance" (FPPP Section 18.2.a).

Good teaching requires, among other things, knowledge, organization, effective communication, appropriate methodologies, and effective outcome measures. The assessment of instructional performance may include these factors, but will also focus on the learning outcome of the candidate's students.

As required by the Provost's memo of February 17, 1997, certain items must be considered in evaluating a candidate's instructional effectiveness. These items are presented below in italics.

1. *Contributions to the creation and support of innovative, high-quality, student-centered learning environments. It is important to understand that SEFs will not weight excessively in overall evaluation of teaching effectiveness, but that teaching portfolios, peer evaluations, course syllabi, examples of student achievement, and so on, will be included in the evaluation process.*

For each class that the candidate has taught since being appointed, promoted or tenured (whichever is most recent) he/she must include a complete set of and syllabi, examinations and supplementary material. The record normally should cover the last two times the candidate taught each course since appointment, tenure, or promotion. The course's supplementary material may be presented in whole or as an annotated bibliography. As appropriate, the candidate should include examples of students' work and examples of the candidate's feedback to students. Examples of feedback include written evaluations of papers, exams, presentations, etc. The candidate is advised to maintain sample of such feedback.

These materials will be used to help reviewers determine the candidate's currency and effectiveness, and whether the candidate is covering the material that is supposed to be presented in each course. The candidate should provide a written statement documenting how his/her section(s) of a multiple section course is (are) in basic department's approved course outline. (See EM 92-13; sec IX). When evaluating classroom materials developed by the candidate, reviewers should take into consideration the material's quality, degree of innovation reflected in the material, and the effort associated with its creation. Unless mandated by the University, the candidate may want to include in the dossier any of the following: peer evaluations (via direct observation) of classroom teaching effectiveness, and/or peer evaluations of significant independent study or research by students, special student projects, internships, or informal student seminars. Consistent with University policy, direct observation via classroom visitation is strongly encouraged (see also FPPP Section 18.2.b). Reviewers should appropriately weigh honors or special recognition received by the candidate as a result of teaching accomplishment.

2. *Student outcomes assessment.* In addition to the items specified above that reflect on student outcomes (e.g., teaching portfolios and examples of student achievement) the candidate should include the results of any standardized measures or examinations used across multiple faculty's classes.

One aspect in evaluating a candidate's instructional effectiveness may be the appropriate and creative development of student outcomes assessment measures. The measure and their results should be included in the dossier.

3. *Contributions to elements of the Strategic Plan, such as: involvement with K-12, involvement with General education, enhancement of instructional technology, [and] other.* Although the Department of Accounting has only minimum involvement with K-12 activities and GE offerings reviewers will give due weight to the unique challenges and contributions resulting from teaching such courses (provided the candidate provides evidence of these challenges and contributions.) The candidate should present evidence regarding his/her enhancement of instructional technology. This evidence should include measures indicating the quality and effectiveness of such enhancement. (Note that FPPP Section 18 contains additional instructions regarding the role in RTP of a candidate's contributions to the Strategic Plan.)

Many faculty activities naturally reflect on multiple areas of achievement. Reviewers should include consideration of material presented regarding professional growth and achievement that contributes to the evaluation of the candidate's instructional effectiveness and currency. The candidate should provide an additional narrative describing ways that are not captured through other evidentiary requirements in which he/she remains current.



In evaluating a candidate's instructional effectiveness, reviewers also should consider the candidate's role in course, curriculum and program development; and special forms of contact with students, such as individual student advising and involvement with student organizations. The unique challenges and contributions associated with team teaching will be duly weighed. As always, evidence of the quality of such activities must be presented.

B. Professional Growth and Achievement

The Department of Accounting adopts and incorporates the College's Intellectual Contributions (IC) standards and measures into its RTP evaluation process. These standards and measures reflect AACSB accreditation requirements for faculty to be considered academically qualified. In order to be retained, the candidate must show reasonable progress towards achievement of these standards for tenure (see FPPP Section 21 .1 for specific notes on retention). In order to be tenured, a candidate must be able to demonstrate that he/she is, and is likely to continue to be, academically qualified. As with service time, faculty may be hired with IC credit towards tenure (see FPPP Section 21 .2 for specific notes on tenure). For promotion, the candidate must be able to demonstrate that he/she is, and is likely to continue to be, academically qualified (see FPPP Section 21.3 for specific notes on promotion). Academic qualification is a necessary but not sufficient condition. The quality of the candidate's activities must be considered as well. Consistent with our mission, reviewers will weigh more heavily research projects in which students, business firms, or other organizations are active participants. To this end, Tenure/Tenure-track faculty wishing to pursue qualification via Practice Academician standing are permitted to do so.

Candidates should note that outside reviews may be helpful in assessing their work, as would reviewers' and/or editors' comments on work that has been submitted for review. Candidates should provide reviewers with any relevant evidence regarding works in progress. Note that FPPP Section 18 contains additional instructions regarding the role in the RTP process of a candidate's contributions to the Strategic Plan.

C. Other Contributions to the University and Community

The candidates should provide a table that outlines his/her service on committees and other relevant groups. For each committee, the table should list (1) the committee's name, (2) the candidate's role (e.g. Chair, member) , (3) the duration of service, (4) a contact person for verification of the candidate's contributions, and (5) the ways in which the candidate contributed to effective committee outcomes. As always, the quality of participation and outcomes will be considered.

There are many ways through which a faculty member can contribute to the success of the Department, College, University, and Community. The candidate should find appropriate means of documenting any such contributions. While the Department of Accounting does not particularly value any one form of contribution over another, personnel reviewers should consider the impact and quality of these efforts/outcomes as they relate to facilitating the achievement of University/College/Department strategic plans and goals. For example, effective mentoring of a colleague can contribute to goals regarding learning (through colleague's improved instructional performance) or the creation of knowledge (through the colleague's improved professional growth and achievement).

"Working collaboratively and productively with colleagues" is defined by the CBA as a professional responsibility of faculty and requires that this activity be included in the evaluation of "other contributions." It is the responsibility of the candidate to produce evidence that the candidate works particularly well with others. An example of such evidence is the written confirmation by others in the discipline that the candidate works collaboratively and productively with colleagues. Evidence presented under other sections above (e.g., team developed courses, co-taught classes, co-authored articles) may also demonstrate the effectiveness of the candidate's ability to work collaboratively and productively with colleagues.

D. Contribution to Strategic Plans and Goals of the Department, College and University

See FPPP Sections 18.3.b and 18.4.

E. Special Notes

Promotion to Associate or Full Professor requires a track record of sufficient length and quality to reasonably assure that the candidate will continue to be productive and effective after promotion or tenure (see also FPPP Section 21.3). The awarding of tenure similarly needs to be based on the candidate's likelihood for growth and a particularly rigorous evaluation (FPPP Section 21.2.b). Therefore, for a candidate to be granted early promotion or tenure, the candidate must meet all the normal minimum standards for such action and demonstrate why early tenure or promotion is justified. Justification for early tenure/promotion will normally include a record of "effective" rating on instruction and an "effective" rating on professional growth and achievement. (see also FPPP Section 21.2)

These policies and procedures are effective with the 1997/98 RTP cycle.

**VI. PERIODIC EVALUATION (Full Time Temporary)**

The periodic evaluation of full time temporary faculty will be the same as for the performance review of tenure track faculty except that there will be no review or recommendation regarding retention, tenure, or promotion. Instead, a report will be issued based on the faculty member's performance during the current contract period.

**VII. PERIODIC EVALUATION (Part Time Temporary)**

A Department Personnel Committee shall submit a Report to the candidate and to the Department Chair. The Department Chair shall concur, with or without attached comments, or not concur, with attached comments. The Department Chair will transmit the Report and his/her attached comments, if any, to the appropriate Dean for review and entry into the PAF. The Report shall contain a written evaluation of teaching effectiveness and a statement as to whether the teaching performance is satisfactory.

**VIII. FIFTH YEAR REVIEW OF TENURED FACULTY**

A. Selection of Evaluation Committee

1. The Department Personnel Committee will either act as the Evaluation Committee or will select three tenured faculty from within the Department (excluding the Department Chair) to serve on the Evaluation Committee. Committee members will be of equal or higher rank as the faculty member under review.

2. An instructor being evaluated may substitute one tenured faculty from any unit within the University in place of any Committee member, provided that at least two of the members come from within the Department.
3. The presence of two members will constitute a quorum.
4. The committee will elect a Chair and Secretary.

B. Operation

1. During the fifth year of full time teaching, after the most recent review, tenured faculty will be requested to submit information that is relevant to the evaluation (see **FPPP** Section 32.3).
2. All other faculty in the school of Business will be invited to submit relevant information.
3. The Committee will review the faculty member's working file, personnel action file and any other information that has been received.
4. The committee will meet with the faculty member to discuss matters relevant to his/her evaluation.
5. A definitive report will be written that addresses in detail the faculty member's teaching effectiveness and currency in the discipline, scholarship and creative activity, and service to the University (see also FPPP Section 32.4. The report must state either that teaching performance is satisfactory or that it is not satisfactory.
6. If teaching performance is not satisfactory, specific recommendations must be made for improvement. The faculty member's teaching performance will then be reviewed annually until it becomes satisfactory.

C. General Statements

1. The purpose of the post-tenure review is (1) to identify unsatisfactory teaching effectiveness, scholarship and creative activity, and service to the University, and (2) to encourage improvement where performance is unsatisfactory.
2. Generating evidence is the responsibility of each faculty member being evaluated.
3. A finding that teaching performance is unsatisfactory must be supported by unsatisfactory student evaluations and be confirmed by other available evidence.
4. A finding that scholarship is unsatisfactory must be supported by a determination that the faculty member is likely to be considered not academically qualified for AACSB accreditation purposes.

D. Criteria

1. Evidence normally available from the department or school:
  - a. Student evaluations.
  - b. Review of course outlines and examinations.
  - c. Written reports of teaching effectiveness by peers, based on first hand knowledge.
  - d. Committee service.
2. Evidence available from the faculty member being evaluated (also see FPPP Section 32.3):
  - a. Review of class notes and handouts.
  - b. Class visitation.
  - c. Ranking by peers.
  - d. Videotape of classroom performance.
  - e. Conferences attended.

- f. Copies or abstracts of publications.
- g. Copies of papers presented at scholarly/meetings.
- h. Letters of commendations.
- i. Additional information the faculty member may wish to have considered.

<b>IX. MISC.</b>
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- A. The Department of Accounting is an exclusively Tenure/Tenure-Track faculty vote department on all matters pertaining to the department, broadly defined.
- B. Assignment of Special Sessions Work. Department Chair assigns in an equitable manner; T/TT by seniority in the faculty member's area of teaching. The Department Chair will take into consideration quality teaching and learning considerations, especially for Special Sessions of shorter duration.
- C. The Accounting Department requires paper SET's for all faculty with the one exception of Tenured Full's who can opt into electronic SEF's.
- D. Tenure/Tenure-Track faculty have control of a range of delivery modes for their own sections except that online mode is considered to be a major course change and must follow the guidelines of a major course change.
- E. Department Chair Selection. In the Fall semester of the academic year when a presiding department chair's contract will expire, the Tenured/tenure-track faculty in the Department will form a Chair Selection Committee from all eligible tenured and tenure-track faculty in order to select a new chair. The incumbent chair is not eligible to serve on the Chair Selection Committee. The Chair Selection Committee will assemble names of all candidates found to be acceptable (candidates are to be Tenure/Tenure-Track faculty), and will specify the term of office (minimum 2, maximum 3 years). The Chair Selection Committee will elect a chair from the listing of acceptable candidates by secret ballot, and report the election result and term of office to the dean.