

TIMETABLE FOR PERIODIC EVALUATION AND PERFORMANCE REVIEW 2010/11

REVIEW	WPAF DUE			PRE-REVIEW FOR COMPLETENESS			Candidate adds requested material no later than			PEER REVIEW (PRC) COMMITTEE REVIEW			Candidate picks up re-commendation no later than			End of rebuttal/response period *			End of PRC response period **			DEAN REVIEW			Candidate picks up re-commendation no later than			End of rebuttal/response period *			End of Dean's response period **			PROMOTION & TENURE (P&T) COMMITTEE REVIEW			Candidate picks up re-commendation no later than			End of rebuttal/response period *			End of P&T Committee response period **			PRESIDENT OR DESIGNEE REVIEW				
	Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End		Begin	End	Decision					
Periodic Evaluation (typically 1st, 3rd, and 5th year)	WED JAN 19	THUR JAN 20	WED JAN 26	WED FEB 02	THUR FEB 03	WED MAR 02	TUE MAR 08	FRI MAR 18	MON APR 04	TUE APR 05	MON MAY 02	WED MAY 04	MON MAY 16	MON MAY 23	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A												
	5 Work Days			7 Days			20 Work Days			10 Days			7 Days			20 Work Days			10 Days			7 Days																												
2nd Year Retention	MON AUG 30	TUE AUG 31	TUE SEP 07	TUE SEP 14	WED SEP 15	MON OCT 04	THUR OCT 07	MON OCT 18	MON OCT 25	TUE OCT 26	MON NOV 15	FRI NOV 19	WED DEC 01	WED DEC 08	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	THUR DEC 09	JAN 28																
	5 Work Days			7 Days			14 Work Days			10 Days			7 Days			14 Work Days			10 Days			7 Days																												
2nd Year Retention w/optional Tenure and/or Promotion Review	Use above timeline for 2nd Year Retention (including the Feb 26 final decision for retention) and continue with the following P&T Committee/President schedule:														MON JAN 31	FRI MAR 11	WED MAR 16	TUES APR 05	TUES APR 12	WED APR 13	TENURE JUN 01	PROMO JUN 15																												
4th Year Retention (3rd or 5th year for faculty off cycle)	TUE SEP 07	WED SEP 08	TUE SEP 14	TUE SEP 21	WED SEP 22	TUE OCT 26	MON NOV 01	FRI NOV 12	FRI NOV 19	MON NOV 22	WED JAN 05	TUE JAN 11	MON JAN 24	MON JAN 31	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	TUE FEB 01	JUN 01												
4th Year Retention w/ optional Tenure and/or Promotion Rvw (3rd or 5th year for faculty off cycle)	TUE SEP 07	WED SEP 08	TUE SEP 14	TUE SEP 21	WED SEP 22	TUE OCT 26	MON NOV 01	FRI NOV 12	FRI NOV 19	MON NOV 22	WED JAN 05	TUE JAN 11	MON JAN 24	MON JAN 31	TUE FEB 01	MON MAR 14	FRI MAR 18	THUR APR 07	THUR APR 14	FRI APR 15	TENURE JUN 01	PROMO JUN 15																												
Tenure and/or Promotion Review	TUE SEP 07	WED SEP 08	TUE SEP 14	TUE SEP 21	WED SEP 22	TUE OCT 26	MON NOV 01	FRI NOV 12	FRI NOV 19	MON NOV 22	WED JAN 05	TUE JAN 11	MON JAN 24	MON JAN 31	TUE FEB 01	MON MAR 14	FRI MAR 18	THUR APR 07	THUR APR 14	FRI APR 15	TENURE JUN 01	PROMO JUN 15																												
	5 Work Days			7 Days			25 Work Days			10 Days			7 Days			25 Work Days			10 Days			7 Days			30 Work Days			10 Days			7 Days			30/40 Work Days																
Post-Tenure Periodic Review	TUE MAR 1							FRI APR 1							FRI APR 29																																			

Holidays/Breaks:

Labor Day	SEP 06
Veteran's Day	NOV 11
Thanksgiving	NOV 25 - 26
Winter Holiday/Break	DEC 23 - JAN 11
Martin Luther King Jr.	JAN 17
Cesar Chavez Day	MAR 31
Spring Break	MAR 28 - APR 01

* Candidate may submit a rebuttal/response within 10 days of receipt of the recommendation or by the end date listed on timeline - whichever comes first.

** Reviewing committee/administrator may submit response to a candidate's rebuttal within seven days or by the end date listed on timeline - whichever comes first.

. Campus Holidays are NOT counted in number of "work" days.

The number of days indicated on the calendar is the minimum number of days required, so the actual number of days may be more than the minimum.

Curriculum for Consent Calendar
April 21, 2010

SUBJ	No	New No.	Course/Program Title	Form Type	Originator	Rec'd AP	To UCC/ Senate	UCC Action/ Appr.
BIOL	216		Biostatistics for the Health Sciences	C	William Kristen	2/1/10	2/23/10	4/12/10

BLP: Changes in Structure in Academic Affairs

Definition

This document establishes both policies and procedures for determining changes to the structure of CSUSM's Division of Academic Affairs. The purpose of this document is to facilitate performance of duties and responsibilities in an effective and efficient manner in achieving the overall mission of Academic Affairs.

This policy section of this document provides principles of decision-making as well as definitions of relevant units within Academic Affairs. The procedures outlined here are the steps to be followed to initiate, consider, and determine changes to Academic Affairs' structure.

Authority

At the direction of the Provost, pursuant to Academic Senate Resolution EC 328-08 "Resolution in Support of the Report of the Academic Affairs Structure Task Force."

Scope

This document addresses the creation, merger/transfer, split, and abolishment of units within Academic Affairs, including academic colleges and schools, as well as non-degree-offering Academic Affairs units.

I. Definitions

A. *University:* A larger institution of higher learning that encompasses such academic entities as colleges and/or schools, institutes, and graduate and professional schools/programs.

1. It has an administrative structure (president/chancellor, provost, vice presidents, directors), support staff, teaching faculty, and governance.
2. A university will also have a research component involving faculty, in contrast to some colleges (especially community colleges) that focus on teaching.

B. *Academic Affairs:* Academic Affairs is a division of the University.

C. *College:* A college is a unit of Academic Affairs, part of the organizational structure with its own distinct leadership and governance structure.

1. It consists of subunits of related academic departments or programs offering degrees or credentials, organized for efficient resource usage and efficient and equitable governance.
2. Through its colleges, the university shall grant baccalaureate degrees, credentials, and graduate degrees.

D. *School not housed within a College:* A school is a unit within Academic Affairs that functions in the same way as a college, with the difference being that a school is more specialized than a college in that it offers a single degree or a distinct cluster of closely related degrees.

1. Typically schools are professional programs with distinct accrediting standards.

- 34 E. Non-degree-offering Academic Affairs units: These are the various units within Academic
35 Affairs that do not offer degree programs, including the Academic Affairs Administrative Group
36 (currently comprised of Academic Programs, Academic Resources, Planning and Accreditation,
37 Graduate Studies & Research and Global Education), Extended Learning, Instructional &
38 Information Technology Services, and the Library.
39
- 40 F. Academic Affairs Leadership Council (AALC): This entity serves as the “Advisory body to the
41 Provost comprised of the Provost’s direct-report MPP-level managers and Chair of the Academic
42 Senate” (http://www.csusm.edu/aa/committees_councils/aalc_pages/aalc.html).
- 43 G. Budget & Long-Range Planning Committee (BLP): This standing committee of the Academic
44 Senate is staffed according to Article 6.6 of the Academic Senate’s Constitution and Bylaws, and
45 its duties are spelled out in Article 6.6.1 of that document.
46

47 II. Principles

- 48
- 49 A. These principles are the factors that are to be addressed in any proposals submitted for
50 structurally creating, merging/transferring, splitting, or abolishing units within Academic Affairs.
51 They are the criteria against which any submitted proposals will be evaluated by reviewing
52 deliberative bodies and administrators.
53
- 54 1. Any change in the organizational structure needs to be consistent with the mission, vision,
55 core values, and goals of Academic Affairs.
56
 - 57 2. The organizational change needs to be consistent with the Division’s human, fiscal and
58 physical resources. There must be sufficient resources to sustain the new unit(s), and the
59 change should produce a net positive benefit for the entire division.
60
 - 61 3. The organizational change should result in a more effective and efficient decision making
62 and operation in terms of effective communications, coordination and integration of efforts
63 across and within units.
64
 - 65 4. The organizational change should provide for clear authority, responsibility, and
66 control/accountability.
67

68 III. Procedures: The procedures for structural changes shall follow the outline provided in Flow Chart

69 A. The Provost’s office shall provide administrative support to assure adherence to procedural
70 timelines.
71

- 72 A. Proposals: Proposals for the creation, merger/transfer, split, or abolishment of colleges, schools,
73 or non-degree-offering Academic Affairs units may be initiated by individual faculty members,
74 departments, schools, colleges, or administrative officers of the University. The proposal shall
75 provide written justification based on the “Principles” Section of this document (Section II). The
76 proposal shall be informed by and address all relevant Memoranda of Understanding or
77 Collective Bargaining Agreements for the affected tenured and probationary faculty and for
78 permanent staff.
79
- 80 1. The creation, merger, split, transfer, or abolishment of a subunit within an existing college,
81 school, or non-degree-offering Academic Affairs unit shall be handled internal to that entity.
82

83 2. Proposals shall be disseminated to all faculty and unit administrators in affected Academic
84 Affairs units.

85
86 3. Units engage in their standard deliberative processes which may include consultation,
87 consensus and /or voting.
88

89 C. Recommendations: At each step of the review process, an official recommendation shall include
90 a written rationale. Additionally, affected faculty members, staff, and administrators may
91 provide independent, perhaps dissenting, perspectives in writing¹ to inform the next stage of
92 review. All written documentation is compiled by the Provost's Office and made available on the
93 Academic Affairs webpage. The Provost's Office forwards the documentation to the next stage
94 of review.
95

96 D. Timeline: The initiator may start the process at any time during the Academic Year. The
97 timeline clock stops temporarily during Winter break and Spring break. The clock resets between
98 the last day of classes for Spring semester until the first day of classes Fall semester. In the event
99 the Senate does not receive the proposal in time to have both a first and second reading, the
100 timeline for Academic Senate starts at the beginning of the next Academic Year.
101

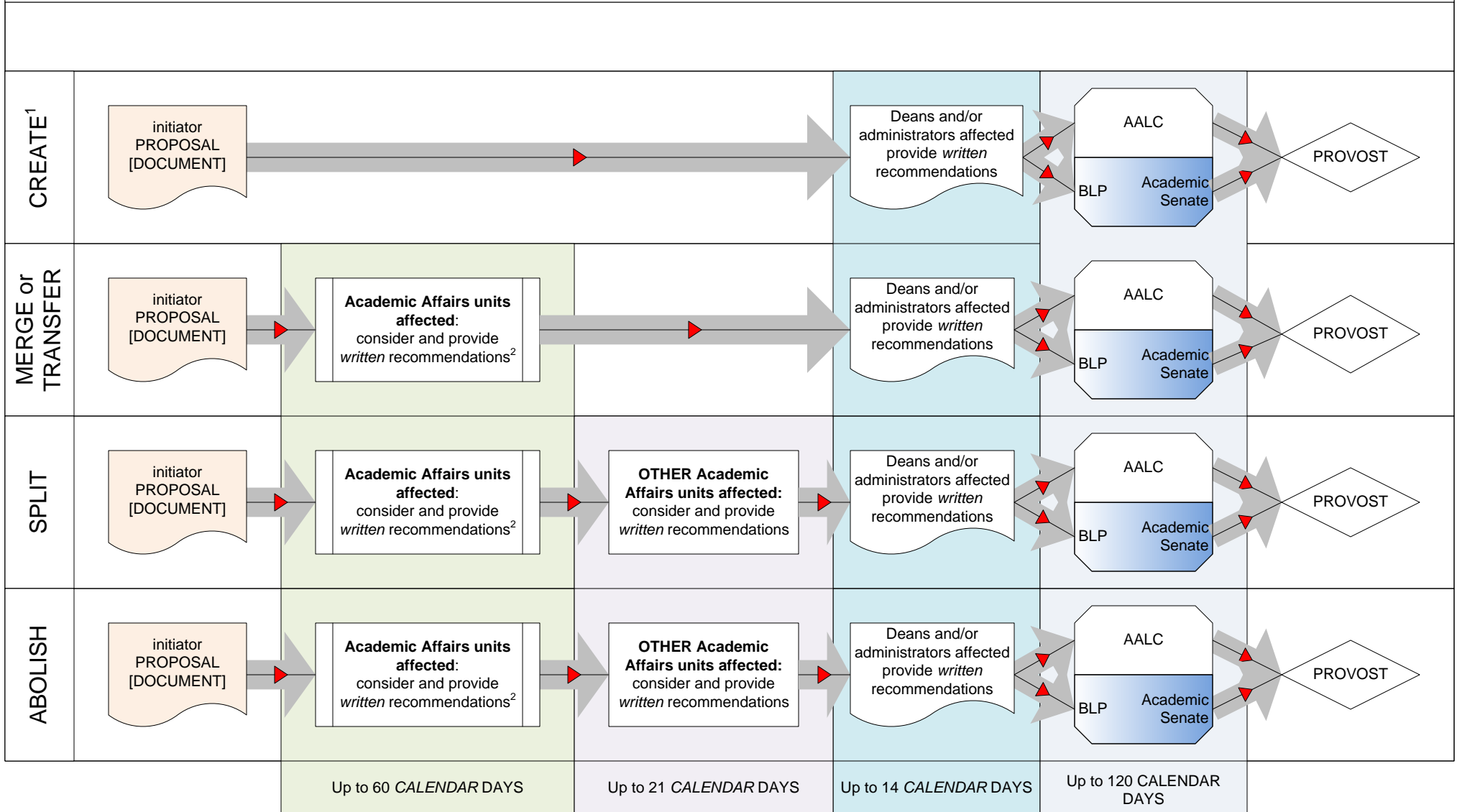
102 1. At any stage of a proposal's review, a party's failure to provide a written recommendation by
103 the assigned deadline will mean that the proposal proceeds to the next level of review with a
104 designation of "no recommendation" from that party.
105
106
107
108

This policy is based on "Academic Affairs Structure Task Force Final Report" (1/21/09).

¹ All written recommendations identify the author(s).

FLOWCHART A

PROCEDURES FOR RESTRUCTURING ACADEMIC AFFAIRS UNITS



NOTES

¹ If the process requires a curriculum change in an academic unit, the proposal is sent to the University Curriculum Committee (UCC) concurrent with Budget and Long-Range Planning (BLP) review.

² Units engage in their standard deliberative processes which may include consultation, consensus, and/or voting.

—▶— controlled transfer coordinated by Academic Affairs, source documents made available through the AA webpage

APC: Academic Program Discontinuance

Notes from APC:

- We currently do not have a policy on Program Discontinuance / Suspension and this policy will comply with coded memo AAP 91-14.
- This policy was crafted based on the existing policies of CSU Channel Islands, Long Beach and San Francisco, but taking into account that we have UCC and BLP reviewing program proposals.
- This policy takes care of discontinuation of an academic degree program, option, track, etc. and is not meant to cover re-organization or elimination of units within Academic Affairs.
- Discussion about layoffs cannot be mentioned in this document.

Definition: This policy provides categories of decision variables and a set of processes and procedures to be used in recommending the discontinuation or enrollment suspension of academic programs at California State University San Marcos (CSUSM).

Scope: All CSUSM academic programs

Authority: The President of the University and Coded Memo AAP 91-14

I. PREAMBLE

This policy provides categories of decision variables and a set of processes and procedures to be used in recommending the discontinuation of academic programs at California State University San Marcos (CSUSM). This policy does not address re-organization or elimination of organizational units within Academic Affairs. Academic programs covered by this policy include:

- undergraduate and graduate degree programs;
- concentrations, tracks and options;
- minors;
- certificate programs (including Extended Learning) for credit; and
- credential programs.

Should it be necessary to consider the discontinuation of an academic program, a determination will be based upon a thorough review of the following categories of decision variables:

- the importance of the program to the University's mission as articulated in the approved mission statement;
- the quality of the program;
- the efficiency (cost effectiveness); and
- the viability (demand) of the program.

In considering a decision to discontinue a program, no one category should necessarily be deemed more crucial than any other, nor, likewise, its deficiency, or low rating, in any one category necessarily sufficient for program discontinuance. A decision to discontinue a program should not be based solely on quantitative measures, but on a holistic assessment of the program in terms of all the decision variables, within a process that is broadly consultative and collegial.

II. DECISION VARIABLES

A. Importance to the institution

1. To what extent the program promotes the mission of the University.
2. To what extent the program is central to the curriculum of a department, a college/school or the University.

53 3. To what extent the program contributes to a balanced curriculum.

54
55 B. Quality of the program

56
57 To what extent the quality of the program justifies continuance in its present form. The
58 variables for evaluating program quality include but are not limited to:

- 59 1. demonstrated ability of the faculty to offer and maintain a current and rigorous
60 curriculum;
61 2. access to resources adequate to develop the sufficient breadth, depth and coherence of the
62 program;
63 3. demonstrated ability to attract and retain well-qualified faculty;
64 4. the quality of the program's faculty as demonstrated by participation in appropriate
65 scholarly, creative and/or professional activity; and
66 5. to what extent the program's excellence and standing in its discipline enhances the
67 reputation of the University.

68
69 C. Efficiency (cost effectiveness) of the program

70
71 To what extent the program is cost-effective relative to disciplinary norms and compared to
72 similar programs at comparable institutions. The measurements presented for the specific
73 program shall include:

- 74 1. student-faculty ratio;
75 2. total cost per FTEF;
76 3. the total cost per FTES;
77 4. potential for external funding and support; and
78 5. other discipline specific variables.

79
80 D. Viability (demand) of the program

81
82 To what extent the present and projected demand for the program is sufficient. Demand for
83 the program may be measured by one or more of the following:

- 84 1. the number of completed applications for admission;
85 2. the FTES generated in lower division, upper division, and/or graduate level courses;
86 3. the number of students who completed the program;
87 4. the anticipated need for graduates of the program.

88
89 III. PROCESS AND PROCEDURE

90
91 The process for discontinuance is similar to the process for the creation of programs. This
92 process involves program faculty, program/department chair (or equivalent), the dean of the
93 college/school housing the program, the Provost, the Academic Senate, and the President of the
94 University (or designee). This process for reviewing program discontinuance shall be completed
95 as follows. The Ad-Hoc Program Discontinuation Review Committee shall submit its
96 recommendation within eight months after the initial recommendation excluding the summer
97 months. The Senate vote and President's campus decision on program discontinuance shall be
98 completed within four months after the Ad-Hoc Program Discontinuation Review Committee's
99 recommendation excluding the summer months.

100
101 A. Initiation of program discontinuance

102 A recommendation to consider program discontinuance may be made by any of the
103 following parties:

- 104 1. the chair of the program (or equivalent) with the written approval of a majority of the
105 tenured/tenure-track faculty in the program;

2. the dean of the college/school (or equivalent administrator) housing the program;
3. the Provost; or
4. the Program Assessment Committee (PAC).

Each recommendation must be accompanied by documentation that indicates specific reasons for discontinuance based on the decision variables listed above. A recommendation to discontinue a program should not be based solely on quantitative measures, but on a holistic assessment of the program in terms of all the decision variables. Each recommendation shall include information regarding the potential effect on the future employment status of the faculty and staff in the program.

The recommendation shall be submitted in writing to the chair of the Academic Senate. The chair of the Academic Senate shall inform the following parties within 7 calendar days of the receipt of the recommendation:

1. all tenured and tenure-track faculty who teach in the program;
2. the dean of the college/school (or equivalent administrator) housing the program;
3. the Provost;
4. the Academic Senate; and
5. the students of the affected program (via ASI student representative and chair of department).

“Calendar days” exclude the summer break and the breaks between semesters wherever the term is used in this document.

If, within 14 calendar days of receipt of this recommendation, none of the individuals or parties listed in 1- through 5- above has objected to the proposed discontinuance in writing to the Provost and the chair of the Academic Senate, a recommendation for discontinuance will be sent to the President.

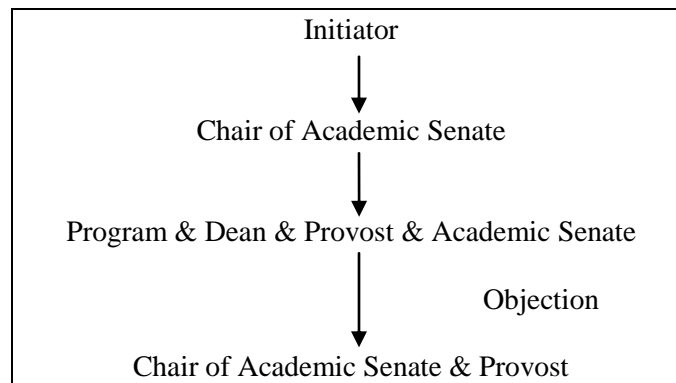


Figure 1. Initiation of Program Discontinuance

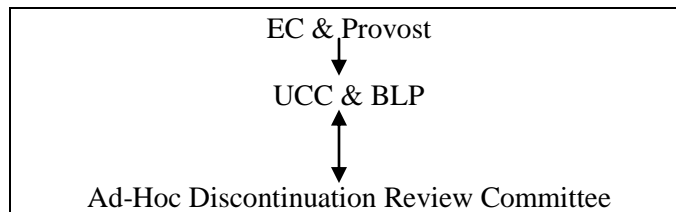
If, within 14 calendar days of receipt of this recommendation, a written objection is submitted by one or more of the individuals or parties listed in 1. through 5. above to the Provost and the chair of the Academic Senate, the following procedure shall be followed prior to submission of program discontinuance recommendation to the President.

B. Review of the recommendation

Within 14 calendar days of receipt of the letter objecting to a proposed program discontinuance from one of the parties listed above, the Senate Executive Committee in consultation with the Provost shall request that the University Curriculum Committee (UCC) and the Budget and Long-Range Planning committee (BLP) form an **Ad-Hoc Program**

159 **Discontinuation Review Committee** to conduct a special program review focused on issues
160 related to potential discontinuance. The committee shall include:

- 161 1. the chair (or designee) of UCC¹,
- 162 2. the chair (or designee) of BLP²,
- 163 3. the chair (or designee) of PAC³,
- 164 4. one faculty member from the affected program chosen by the faculty of the program⁴,
- 165 5. the chair (or equivalent) of the affected program/department, and
- 166 6. the dean of the college/school which houses the program.



167
168
169
170
171
172
173
174
175 **Figure 2. Review Process**

176
177 The committee is responsible for deciding to what extent to involve appropriate
178 constituencies such as additional program faculty, library liaisons, AVP Academic
179 Programs, Dean of Graduate Studies (if applicable), IITS representative, and representative
180 students of the program, etc.

181
182 The Ad Hoc Discontinuation Review Committee shall evaluate the recommendation to
183 discontinue a program by collecting necessary data and supporting documentation from all
184 appropriate campus sources. These may include- program review(s), ~~and an~~ external
185 review(s), ~~or and~~ accreditation review(s), ~~as well as other sources deemed appropriate.~~

186
187 Again, a recommendation to discontinue a program should not be based solely on
188 quantitative measures, but on a holistic assessment of the program in terms of all the
189 decision variables.

190
191 At the end of the review, the Ad Hoc Discontinuation Review Committee shall report in
192 writing its findings, recommendation, and rationale to UCC and BLP. The Committee may
193 recommend that the program be (a) discontinued; (b) discontinued unless specified
194 conditions can be met; (c) suspended (i.e., suspend new enrollment); (d) continued; (e)
195 limited in size; (f) offered in whole or in part only through Extended Learning; (g) combined
196 with another program; or (h) offered jointly with one or more CSU campuses. The
197 Committee may make other recommendations as appropriate.

198
199 When UCC and BLP have reviewed the report for completeness, they shall forward it to the
200 following parties:

- 201 • the Executive Committee of the Academic Senate
- 202 • the dean of the affected college/school
- 203 • the Provost
- 204 • the Vice President of Student Affairs (for information only)
- 205 • the faculty of the affected program (for information only)

¹ If the committee chair is a member of the affected program, a designee must be chosen.

² If the committee chair is a member of the affected program, a designee must be chosen.

³ If the committee chair is a member of the affected program, a designee must be chosen.

⁴ Names of faculty of affected program will be determined by governance structure of college/school.

206
207
208
209
210
211
212
213
214
215
216
217
218
219
220
221
222
223
224
225
226
227
228
229
230
231
232
233
234
235
236
237
238
239
240
241
242
243
244
245
246
247
248
249
250
251
252

- the Dean of the Library (for information only)
- the Dean of Graduate Studies (if applicable)

The dean and the Provost may submit their recommendations to the Executive Committee of the Academic Senate.

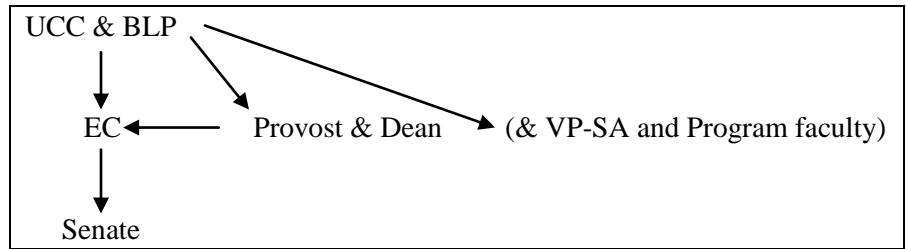


Figure 3. Commenting on the Review Report

The Executive Committee of the Academic Senate shall collect the individual recommendations from the Ad-Hoc Discontinuation Review Committee, the dean, and the Provost, and shall prepare a summary and a motion to be distributed to the Senate along with the individual recommendations.

The Executive Committee shall forward the motion to the Senate for appropriate action. The dean, faculty, and students of the affected program shall be invited to attend the Senate meetings when the Ad-Hoc Discontinuation Review Committee report is presented. The Ad-Hoc Discontinuation Review Committee recommendation and Senate action on program discontinuance shall then go to the President for review.

IV. SAFEGUARDS FOR STUDENTS

If a program is to be discontinued, procedures shall be set up by the program to enable students to complete their course of study at CSUSM. The procedures shall include:

- preparation of an official list of students enrolled in the program;
- establishment of a cut-off date for students to declare the major;
- a tentative plan of course offerings for completion of the program; and
- the date by which program requirements must be met.

V. SAFEGUARDS FOR FACULTY AND STAFF

Safeguards for faculty and staff are contained within the appropriate collective bargaining agreement between the Board of Trustees and the exclusive bargaining agents.

VI. PROCEDURE FOR ENROLLMENT SUSPENSION AND REINSTATEMENT⁵

From time to time it may become necessary for new enrollment in an academic program to be temporarily suspended, due to either a lack of qualified faculty or a reduction in the budget. Enrollment suspension of a program is proposed and approved in accordance with section B of this policy.

⁵ This section supersedes the section on Voluntary Inactivation of Programs of Study in the Inactive Course Policy and Procedure (1999-2000).

253 Reinstatement of a suspended program may be proposed by the appropriate program/department
254 faculty in consultation with the college/school dean. The proposal shall explain in detail the
255 changes in staffing or funding that makes reinstatement possible.

256
257 In cases where the program has been suspended for two years or less, the Provost, if satisfied that
258 sufficient faculty and budget are available to offer the program successfully, may approve the
259 proposal for reinstatement by notifying the Academic Senate of the action that has been taken.

260
261 Dean \longrightarrow Provost

262
263 In cases where the program has been suspended for more than two years, the Provost will refer
264 the proposal for reinstatement to the Academic Senate for review and recommendation by the full
265 Senate. In all cases, reinstatement requires final approval by the Provost.

266
267 Dean \longrightarrow Provost \longrightarrow Senate

268
269 VII. DISCONTINUED AND SUSPENDED PROGRAM ARCHIVE

270
271 All materials necessary for potential reinstatement of a suspended or discontinued program shall
272 be forwarded to the appropriate CSUSM institutional repository.

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

I. DEFINITION OF TERMS AND ABBREVIATIONS

- 1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
- A. In the policies and procedures prescribed by this document, “is” is informative, “shall” is mandatory, “may” is permissive, “should” is conditional, and “will” is intentional.
- B. The numbers in parentheses refer to sections of the Collective Bargaining Agreement (in effect at the time of the adoption of this document) between the Board of Trustees of The California State University and the California Faculty Association.
- C. The following terms – important to understanding faculty policies and procedures for retention, tenure, and promotion – are herein defined:
1. Administrator: an employee serving in a position designated as management or supervisory in accordance with the Higher Education Employer-Employee Relations Act. (2.1)
 2. Candidate: a faculty unit employee being evaluated for retention, tenure, or promotion. (15.1)
 3. CBA: Collective Bargaining Agreement between the California Faculty Association and the Board of Trustees of the California State University for Unit 3 (Faculty).
 4. CFA: the California Faculty Association or the exclusive representative of the Union. (2.7)
 5. College/Library/School/SSP-AR: College of Arts and Sciences, College of Business Administration, College of Education, Library. School of Nursing, and Student Services Professional, Academic Related.
 6. Confidentiality: confidential matter is private, secret information whose unauthorized disclosure could be prejudicial. Given the RTP Procedure, confidentiality applies to the circle of those reviewing a file in a given year.
 7. CSU: the California State University.
 8. CSUSM: California State University San Marcos.
 9. Custodian of the File (COF): the administrator designated by the President who strives to maintain accurate and relevant Personnel Action Files and to ensure that the CSUSM RTP Timetable is followed. (11.1, 15.4)
 10. Day: a calendar day. (2.11)
 11. Dean/Director: the administrator responsible for the college/unit.
 12. Department: the faculty unit employees within an academic department or other equivalent academic unit. (2.12)
 13. Department Chair: the person selected by the president or designee, based on faculty recommendation, to serve as the director/coordinator of the faculty unit employees within an academic department or other equivalent academic unit. (20.32)
 14. Equivalent Academic Unit: any unit that is equivalent to an academic department or library unit for purposes of this document, but not recognized under the CBA.
 15. Evaluation: a written assessment of a faculty member’s performance. An evaluation shall not include a recommendation for action.
 16. Faculty Unit Employee: a member of bargaining Unit 3 who is subject to retention, tenure, or promotion. (2.13) See also *Candidate*.
 17. Librarian: those individuals who have achieved the rank of full Librarian.
 18. Merit awards: in various CBAs, the CSU and CFA have agreed upon different terms and different names for merit awards, such as Merit Salary Adjustments, Performance Step Salary Increases and Faculty Merit Increases. If they are in effect during a review, merit awards are separate from the Retention, Tenure, and Promotion process, and thus have no bearing on the set of policies and procedures that follows.
 19. Peer Review Committee (PRC): the committee of full-time, tenured faculty unit employees whose purpose is to review and recommend faculty unit employees who are being considered for retention, tenure, and promotion. (15.35)
 20. Performance Review: the evaluative process pursuant to retention, tenure, and/or promotion. (15.32)
 21. Personnel Action File (PAF): the one official personnel file containing employment information and information relevant to personnel recommendations or personnel actions regarding a faculty unit employee. (2.17)
 22. President: the chief executive officer of the university or her/his designee. (2.18)
 23. Probation, Normal Period of: the normal period of probation shall be a total of six (6) years of full-time probationary service and credited service, if any. Any deviation from the normal six (6) year probationary period, other than credited service given at the time of initial appointment, shall be the decision of the President following her/his consideration of recommendations from the department

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- 59 or equivalent unit, Dean/Director, appropriate administrators, and the Promotion and Tenure
60 Committee. (13.3)
- 61 24. Probationary Faculty: the term probationary faculty unit employee refers to a full-time faculty unit
62 employee appointed with probationary status and serving a period of probation. (13.1)
- 63 25. Professor: those individuals who have achieved the rank of full professor.
- 64 26. Promotion: the advancement of a probationary or tenured faculty unit employee who holds
65 academic or librarian rank to a higher academic or librarian rank or of a counselor faculty unit
66 employee to higher classification. (14.1)
- 67 27. Promotion, Early consideration for: in some circumstances, a faculty unit employee may, upon
68 application and with a positive recommendation from her/his Department or equivalent academic
69 unit, be considered for early promotion to Associate Professor or Professor, Associate Librarian or
70 Librarian, SSP-AR II or SSP-AR III prior to the normal period of service. (14.2-14.4)
- 71 28. Promotion and Tenure Committee (P & T Committee): an all-University committee composed of
72 full-time, tenured Professors and a Librarian elected according to the faculty constitution. The
73 University charges the P & T Committee to make recommendations for tenure and promotion.
74 When School of Nursing faculty or SSP-ARs are under review, faculty member from the School of
75 Nursing or SSP-AR III will be added to the P & T Committee for the School of Nursing or SSP-AR
76 review only.
- 77 29. Rebuttal/Response: a written statement intended to present opposing or clarifying evidence or
78 arguments to recommendations resulting from a performance review at any level of review. It is
79 not intended for presentation of new information/material. (15.5)
- 80 30. Recommendation: the written end product of each level of a performance review. A
81 recommendation shall be based on the WPAF and shall include a written statement of the reasons
82 for the recommendation. A copy of the recommendation and the written reasons for it is provided
83 to the faculty member at each level of review. (15.40, 15.12c, 15.5)
- 84 31. Retention: authorization to continue in probationary status.
- 85 32. RTP: retention, tenure, and/or promotion.
- 86 33. RTP Timetable: A timetable that lists the order of review and establishes dates for the review
87 process at each level for a particular year. This calendar is based on the approved academic year
88 calendar. The President, after consideration of recommendations of the appropriate faculty
89 committee, shall announce the RTP Timetable for each year. (13.5)
- 90 34. Service Credit: the President, upon recommendation of the Dean/Director after consulting with the
91 relevant department or equivalent unit, may grant to a faculty unit employee up to two (2) years
92 service credit for probation based on previous service at a post-secondary education institution,
93 previous full-time CSU employment, or comparable experience. (13.4)
- 94 35. Tenure: the right to continued permanent employment at the campus as a faculty unit employee
95 except when such employment is voluntarily terminated or is terminated by the CSU pursuant to
96 the CBA or law. (13.13)
- 97 36. Working Personnel Action File (WPAF): that portion of the Personnel Action File specifically
98 generated for use in a given evaluation cycle. The WPAF shall include all forms and documents,
99 all information specifically provided by the candidate, and information provided by faculty unit
100 employees, students, and academic administrators. It also shall include all faculty and
101 administrative level evaluations, recommendations from the current cycle, and all rebuttal
102 statements and responses submitted. (15.8)

103 104 105 II. PERSONNEL FILES

106 107 A. Personnel Action File (PAF): ~~Definition~~

- 108 1. Each faculty member shall have a Personnel Action File (PAF). This is a confidential file with
109 exclusive access of the faculty member and designated individuals. (11)
- 110 2. The President of the University designates where such files will be kept and who will act as
111 Custodian of the File (COF). The COF will keep a log of all requests to see each file. The COF
112 shall monitor the progress of all evaluations ensuring that she/he gives proper notification of each
113 step of the evaluation to the Candidate, each committee and administrator as specified in these
114 procedures. (11)
- 115 3. The PAF is the one official personnel file for employment information relevant to personnel
116 recommendation or personnel actions regarding a Candidate. Faculty members may review all
117 material in their PAF, including pre-employment materials. Faculty members may submit rebuttals

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

118 to any item in the file, except for pre-employment materials. Faculty may request the removal of
119 any letters of reprimand that are more than three years old. (18) Material submitted to the PAF
120 must be identified by the source generating the information. No anonymously authored documents
121 shall be included in the file. (11)

~~4. B. Personnel Action File (PAF):~~ Contents of Personnel Action File (PAF) File

122 The PAF contains the following materials:
123

- 124 • All recommendations and decision letters that have been part of the RTP process.
- 125 • All indices of all WPAFs.
- 126 • The file concerning initial appointment.
- 127 • A curriculum vitae from each review.
- 128 • The Candidate's summaries for each RTP-related review.
- 129 • All rebuttals and responses.
- 130 • Letters of commendation.
- 131 • Letters of reprimand, until removed under 18.7.
- 132 • All fifth year post-tenure reviews.
- 133 • Documentation of any merit awards or salary adjustments.¹

~~4. B.~~ Working Personnel Action File (WPAF): Definition

- 134 1. During periods of evaluation, the Candidate shall create a WPAF specifically for the purpose of
135 evaluation. This material amplifies the PAF. It shall contain all required forms and documents and
136 all additional information provided by the Candidate. The WPAF is deemed to be part of the
137 Personnel Action File (PAF) during the period of evaluation. (11) Material submitted to the WPAF
138 must be identified by the source generating the information. No anonymously authored documents
139 shall be included in the file.
- 140 2. The WPAF is part of the review process. All parties to the review shall maintain confidentiality
141 regarding this file. (15)
- 142 3. The Candidate, appropriate administrators, the President, Peer Review Committee members,
143 Department Chair (only if she/he completes a separate Department Chair review), and Promotion
144 and Tenure Committee members, Custodian of the File and designated individuals shall have access
145 to the file. (15)
- 146 4. The WPAF shall be complete by the deadline announced in the RTP Timetable. Any material
147 added after that date must have the approval of the Peer Review Committee and must be material
148 that becomes available only after the closure date. Applicants are strongly encouraged to add such
149 updated material as it becomes available (e.g., a publication listed as "in press" and subsequently
150 published or a grant application funded after the WPAF submission date). New materials must be
151 reviewed, evaluated, and commented upon by the Peer Review Committee and the Department
152 Chair (if applicable) before consideration at subsequent levels of review. Once approved by the
153 PRC, the Dean and subsequent reviewers shall be notified simultaneously and they have the option
154 of changing recommendations. (15)

~~D.~~ 5. Guidance on the WPAF:

- 155 a. ~~1-~~ An item in the WPAF may be included in whichever category the Candidate sees as the best fit.
156 However, a single item may not be inserted in two different categories.

157 b. 2- The review emphasis of the WPAF will be based on the accomplishments of the Candidate since
158 the beginning of the last university-level review and not included as part of that review, i.e.,
159 items can only be considered in one promotion review. For retention review, the
160 review emphasis will be based on the time period since the last retention review. For promotion
161 or tenure to Associate Professor /Associate Librarian/SSP II AR or tenure, the emphasis-review
162 will be based on the time period since hiring. For promotion or tenure to
163 Professor/Librarian/SSP-AR III, the emphasis-review will be based on the time period since the
164 review for the Candidate's last promotion or since hiring if hired as an Associate Professor
165 /Associate Librarian/SSP II AR.

- 166 b.c. 3- If service credit was awarded, the Candidate should include evidence of accomplishments from
167 the other institution(s) for the most recent years of employment.
168

¹ Documentation of any merit awards or salary adjustments is an optional element in a PAF and WPAF except as required by previous contracts.

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- 171 | e.d. ~~4~~-This procedures document does not specify standards. Each Department may develop its own
172 | standards, including guidance on criteria in that unit. It is the responsibility of the Candidate to
173 | seek out and understand these standards. See V.A.1. and V. B. 4. below.
- 174 | e. ~~5~~-There are many creative ways to document scholarly performance in the WPAF, but the
175 | potential for a lack of selectivity and coherence is great. Assembling the WPAF (the
176 | Candidate's responsibility) and giving due consideration to the WPAF (the reviewing parties'
177 | responsibility) is made more time-consuming and difficult when the file is disorganized and/or
178 | too large. In presenting the WPAF, the Candidate should be selective, choosing documents,
179 | texts, or artifacts that are most significant and representative of their work. The WPAF should
180 | be focused and manageable. In order for a candidate to make the best case while minimizing
181 | file size, Statements-statements such as "~~Documentation~~ available ~~on-upon~~ request" are
182 | encouraged may be used. Materials mentioned as "available upon request" or cited in reflective
183 | statement and/or curriculum vitae are considered part of the WPAF. Reviewers at any level can
184 | obtain such documentation during the time of the review directly from the candidate or directly
185 | from the cited source, without the notification of any other level of review. Information in the
186 | public domain relevant to the material presented in the WPAF, but not specific to the candidate
187 | (e.g., journal acceptance rates, publication peer-review process, and/or publisher information),
188 | are considered part of the WPAF and can be accessed by reviewers at any level without
189 | notification.
- 190 |
- 191 | d.f. ~~6~~-The evidence of success in Teaching, Research/Creative Activity and Service shall consist of up
192 | to 30 items total in the WPAF that are representative of the work described in the narrative. ~~The~~
193 | ~~types of items included may vary.~~ The candidate will determine how to distribute the items
194 | among the three categories; however, each category will contain evidence.
- 195 | e.g. ~~7~~-The reflective statements included in the WPAF shall not exceed 15 pages in combined length.
196 | The Candidate will determine how many pages to devote to each statement. The statements will
197 | describe the Candidate's contributions in the areas of Teaching, Research/Creative Activity, and
198 | Service.
- 199 | f.h. ~~8~~-Electronic documentation is also acceptable, although the same principle of selectivity applies in
200 | this case.
- 201 | g.i. ~~9~~-The Candidate shall be notified of the placement of any material in her/his WPAF, and shall be
202 | provided with a copy of any material to be placed in the WPAF at least five days prior to such
203 | placement.
- 204 | • ~~a~~-Material inserted into the WPAF by reviewing parties is subject to rebuttal or request for
205 | removal by the faculty member undergoing review.
- 206 | • ~~b~~-Required or additional material relevant to the review may be added during the initial
207 | period of "review for completeness" by the faculty member undergoing review or other
208 | parties to the review.
- 209 | ~~E6~~. The WPAF, when submitted by the Candidate, shall contain:
- 210 | a. ~~1~~-A current curriculum vitae including all the accomplishments of the candidate's career.
211 | b. A statement outlining any special conditions of initial appointment, such as award of years of
212 | service credit or completion of terminal degree.
- 213 | c. For faculty applying for periodic reviews; retention, tenure, or tenure and promotion, all personnel
214 | reviews since hire. For faculty applying for promotion after the award of tenure (or tenure and
215 | promotion), all personnel reviews beginning with the previous promotion review or original
216 | appointment materials. For faculty applying for tenure after promotion, all personnel reviews
217 | beginning with original appointment materials. Personnel reviews (including recommendations,
218 | rebuttals and responses) are defined as:
- 219 | • periodic reviews
- 220 | • retention, tenure and promotion reviews
- 221 | • five-year post-tenure reviews
- 222 |
- 223 | d2. A reflective statement for each section (should be based on the work done since the last successful
224 | review): Teaching, Research/Creative Activity, and Service. (See II.D.7. above.)

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- 225 | 13. Evidence of teaching success (for all faculty unit members who teach) and equivalent
226 | professional performance based on primary duties assigned in the job description (for non-
227 | teaching faculty).²
228 | a. The reflective statement on teaching.
229 | b. Student evaluations from courses taught, in compliance with the CBA. The complete
230 | university-prepared report (containing numerical summaries and student comments)
231 | shall be included for each course submitted.
232 | c. Selected ~~items~~ items (a minimum of 1 item) representing/documenting the teaching
233 | accomplishments discussed, such as in the reflective statement, such as:
234 | • Peer evaluation
235 | • Self-evaluation
236 | • Videotape of class session
237 | • Instructional materials (e.g., syllabi, lesson plans, lecture notes, multimedia
238 | presentations, course assignments)
239 | • Product of your teaching/Evidence of student learning (e.g., completed student
240 | assignment, paper, thesis, exam, project, performance)
241 | • Teaching award, fellowship or honor
242 | • Other relevant items chosen by the faculty member
243 | 24. Evidence of success in research and creative activity (for teaching faculty and librarians) and
244 | continuing education/professional development (for SSP-ARs).
245 | a. The reflective statement on research and creative activity.
246 | b. Selected items (a minimum of 1 item) representing research and creative activity, such
247 | as:
248 | • Publications
249 | • Publications in press or under review (with documentation)
250 | • Creative performances (dance, music performance art, theatre), exhibits, videos,
251 | slides, recordings, CD-ROMS, multimedia, performance texts, installations,
252 | photographs, musical scores, directing or choreography, curating, producing
253 | • Presentations at professional meetings
254 | • Funded grants
255 | • Research/creative activity in progress
256 | • Instructional material development
257 | • Applied research/scholarship
258 | • Invited address
259 | • Research/creative activity award, fellowship or honor
260 | • Editing of a journal, book, or monograph
261 | • Unpublished research
262 | • Unpresented/unperformed creative activity
263 | • Unfunded grant proposal
264 | • Refereeing of a book, journal article, monograph, conference paper
265 | • Other relevant items chosen by the faculty member
266 | 35. Evidence of success in service.
267 | a. The reflective statement on service.
268 | b. Selected items (a minimum of 1 item) representing service to the campus, system,
269 | community, discipline, and/or profession, such as:
270 | • Committee activity
271 | • Consultantship to community organizations
272 | • Advising a student group
273 | • Mentoring of faculty and/or students
274 | • Office held and participation in professional organizations
275 | • Service award, fellowship or honor
276 | • Editing of a journal, book, or monograph
277 | • Refereeing of a book, journal article, monograph, conference paper
278 | • Other relevant items chosen by the faculty member
279 | ~~6.—For faculty applying for periodic reviews; retention, tenure, or tenure and promotion, all personnel~~
280 | ~~reviews since hire. For faculty applying for promotion after the award of tenure (or tenure and~~

² Non-teaching faculty include librarians and SSP-ARs.
AS 2nd Reading 04/21/2010

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

~~promotion), all personnel reviews beginning with the tenure (or tenure and promotion) review. Personnel reviews (including recommendations, rebuttals and responses) are defined as periodic reviews; retention, tenure and promotion reviews; and five year post tenure reviews.~~

- ~~e7. Department/Unit/College/Library/School/SSP-AR standards for retention, tenure and promotion.
f8. A complete index of the material contained in the WPAF. (Should be located at the beginning of the WPAF)~~

III. REVIEW PROCESS SCHEDULE

A. Tenure and Promotion to the Rank of Associate Professor/Associate Librarian/SSP-AR II

1. All probationary (nontenured) faculty members shall undergo annual review. The normal review process schedule depends on the probationary status of the Candidate. If the Candidate's initial appointment is on the tenure track at the rank of Assistant Professor, Senior Assistant Librarian (which normally requires a doctorate or other appropriate terminal degree), or SSP-AR I without credit for prior years of service, the review process schedule is as follows:
 - First, third, and fifth years: PRC level and Dean/Director review
 - Second and fourth years: PRC, Dean/Director and President review
 - Sixth year: Mandatory review for promotion and tenure by Department Chair,³ Peer Review Committee, Dean, and Promotion and Tenure Committee with a recommendation to the President
2. Tenure-track probationary faculty may be given credit for a maximum of two years of service at another institution. The amount of credit allowed shall be stipulated at the time of employment and documented in a letter to the faculty member. This letter should be included in the file. If one or two years of credit are given, the review process begins with the first year level review. The mandatory promotion and tenure decision is shortened by the number of service credit years given. (13.4)
3. If a probationary faculty member without a doctorate or appropriate terminal degree is hired at the rank of Instructor, Assistant Librarian, or SSP-AR I, the Candidate may choose not to count the time as Instructor/Assistant Librarian/SSP-AR I toward the mandatory sixth year tenure and promotion review. The Candidate must stipulate her/his choice at the time of initial appointment to a tenure track position.
4. Normally, a probationary faculty member shall not be promoted during the probationary period of six years of full-time service. (13.3, 14.2) At the request of the Candidate or on the initiative of the Department, a Candidate may be considered for Promotion and Tenure prior to the sixth year of service. In that event, the sixth-year-level review substitutes for the annual review. Promotion or tenure prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards. For early promotion or tenure, a sustained record of achievement should demonstrate that the candidate has a record comparable to that of a candidate who successfully meets the criteria in all three categories for promotion or tenure in the normal period of service. Candidates^[CSUSM1] for promotion before the mandatory sixth-year review may withdraw from consideration without prejudice at any level of review. (14.7)
5. Mandatory sixth-year consideration entails recommendations to the President for the Candidate's tenure and promotion. Normally, award of tenure to probationary faculty members also entails promotion. (14.2) Probationary faculty members shall not be promoted beyond the rank of Associate. (14.2)

B. Tenure for Probationary Faculty Hired at the Ranks of Associate Professor/Associate Librarian/SSP-AR II and Professor/Librarian/SSP-AR III

1. Nontenured Associate Professors/Professors, Associate Librarians/Librarians, and SSP-AR II/SSP-AR IIIs shall be reviewed annually according to the following schedule:
 - First, third, and fifth years: PRC level and Dean/Director review
 - Second and fourth years: PRC, Dean/Director and President review
 - Sixth year: Mandatory review for tenure by the Department Chair,⁴ Peer Review Committee, Dean, and Promotion and Tenure Committee recommendation to the President.

³In cases when the Department Chair elects to make separate recommendations on the Candidates in her/his Department.

⁴In cases when the Department Chair elects to make separate recommendations on the Candidates in her/his Department.

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

2. Tenure-track probationary faculty may be given credit for a maximum of two years of service at another institution. The amount of credit allowed shall be stipulated at the time of employment. The letter shall be included in the file. (13.4)
 3. Normally, a probationary faculty member shall not be promoted during the probationary period of six years of full-time service. (13.3, 14.2) At the request of the Candidate or on the initiative of the Department, a Candidate may be considered for Promotion and Tenure prior to the sixth year of service. In that event, the sixth-year-level review substitutes for the annual review. The President may award tenure to a faculty unit employee before the normal six year probationary period. (13.18) Promotion and tenure prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards. For early promotion or tenure, a sustained record of achievement should demonstrate that the candidate has a record comparable to that of a candidate who successfully meets the criteria in all three categories for promotion in the normal period of service. Candidates^[CSUSM2] for promotion before the mandatory sixth-year review may withdraw from consideration without prejudice at any level of review. (14.7)
 4. Tenure review for probationary Associate Professor /Associate Librarian/SSP-AR II is separate and distinct from review for promotion to the rank of Professor /Librarian/SSP-AR III. Probationary faculty shall not be promoted beyond the rank of Associate. (14.2) In other words, Associate Professors/Associate Librarians/SSP-AR IIs must be awarded tenure before they are eligible to apply for promotion to full Professor/Librarian/SSP-AR III.
- C. The President may extend a faculty member's probationary period for an additional year when a faculty member is on Workers' Compensation, Industrial Disability Leave, Nonindustrial Disability Leave, leave without pay, or paid sick leave for more than one semester or two consecutive terms. (13.7)
- D. Review of Tenured Faculty at Rank other than Professor/Librarian/SSP-AR III Ranks
1. Except for early promotion considerations, review for promotion to the rank of Professor, Librarian, or SSP-AR III follows the standard sequence of review for tenure: Department Chair (at the Department Chair's discretion) and Peer Review Committee, Dean/Director, Promotion and Tenure Committee making recommendations to the President.
 2. Only tenured faculty unit employees with rank of Professor/Librarian/SSP-AR III can make recommendations regarding promotion to these ranks. (Professors/Librarians/SSP-AR IIIs may make recommendations for promotion across these positions.)
 3. The promotion of a tenured faculty unit employee normally shall be effective the beginning of the sixth year after appointment to her/his current academic rank/classification. In such cases, the performance review for promotion shall take place during the year preceding the effective date of the promotion. This provision shall not apply if the faculty unit employee requests in writing that she/he not be considered. (14.3)
 4. The promotion of a faculty unit member to the rank of Professor, Librarian, or SSP-AR III that will be effective prior to the start of the sixth year after appointment to his/her current academic rank/classification is considered an "early promotion." Promotion prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards. For early promotion, a sustained record of achievement should demonstrate that the candidate has a record comparable to that of a candidate who successfully meets the criteria in all three categories for promotion in the normal period of service. An^[CSUSM3] early promotion decision requires that the applicant receive a positive recommendation from his/her department or equivalent unit. In cases where the department or equivalent unit does not make a positive recommendation, no further levels of review take place and the promotion is not considered. (14.3, 14.4)
- E. Except for denial of tenure in the mandatory sixth-year review, denial of tenure and/or promotion does not preclude subsequent review. Probationary faculty denied tenure prior to the sixth year may be considered in any subsequent year through the mandatory sixth-year review. Tenured Assistant/Associate Professors, Senior Assistant/Associate Librarians, and SSP-AR I/IIIs denied promotion may be reviewed in any subsequent year.

IV. RESPONSIBILITIES OF THOSE INVOLVED IN THE REVIEW CYCLE

- A. Responsibilities of the Candidate

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- 395
396
397
398
399
400
401
402
403
404
405
406
407
408
409
410
411
412
413
414
415
416
417
418
419
420
421
422
423
424
425
426
427
428
429
430
431
432
433
434
435
436
437
438
439
440
441
442
443
444
445
446
447
1. Preparation of the WPAF
 - a. Prior to the beginning of the review process, the Candidate shall be responsible for reviewing the Department/Unit/College/Library/School/SSP-AR evaluation criteria and review procedures that have been made available, including the CSUSM RTP timetable.
 - b. Prior to the beginning of the review process, the Candidate shall be responsible for consulting campus resources relevant to the review process (e.g., the CBA, Academic Affairs, Faculty Center resources and workshops, and colleagues).
 - c. Prior to the beginning of the review process, the Candidate shall be responsible for the identification of materials she/he wishes to be considered and for the submission of such materials as may be accessible to her/him. (15.12.a)
 - d. The Candidate shall be responsible for the organization and comprehensiveness of the WPAF.
 - e. If the Candidate is requested to remove any material from her/his WPAF, she/he can either remove the material or add explanations to the reflective statement about the relevance of the material.
 2. Submission of the WPAF
 - a. The Candidate shall be responsible for indicating clearly in a cover letter the specific action she/he is requesting: consideration for retention, tenure, and/or promotion.
 - b. The Candidate is responsible for submission of the WPAF in adherence to the RTP Timetable.
 3. The Candidate is responsible for preparing, as necessary, a timely rebuttal or response at each level of the review according to the RTP Timetable.
 4. The Candidate is responsible for requesting a meeting, if wanted, at each level of the review according to the RTP Timetable. No formal, written response is required subsequent to this meeting.
 5. The Candidate may request and shall approve of external review and reviewers. (15.12.d) See Appendix C.
- B. Responsibilities of Department Chairs and Faculty Governance Units
1. In academic units with a Department Chair, the Chair shall ensure that there is an election of a PRC. This entails: identifying eligible members of the Department or equivalent academic unit, College/Library/School, or the entire University faculty, when necessary, who are willing to serve; consulting with faculty in the Department about names to place on the ballot; sending out the ballot one week before the election date; ensuring that ballots are counted by a neutral party; and announcing the results to the Department and to the Candidates. The Department Chair shall convene the first meeting of the PRC and ensure that a chair is elected.
 2. In academic units with no Department Chair, the appropriate faculty governance group shall ensure that there is an election of a PRC. This entails: identifying eligible members of the Department or equivalent academic unit, College/Library/School, or the entire University faculty, when necessary, who are willing to serve; consulting with faculty in the Department about names to place on the ballot; sending out the ballot one week before the election date; ensuring that ballots are counted by a neutral party; and announcing the results to the Department and to the Candidates. The appropriate faculty governance group shall convene the first meeting of the PRC and ensure that a chair is elected.
 3. The Department Chair may submit a separate recommendation concerning retention, tenure, and/or promotion under the following conditions: The Department Chair must be tenured and the Department Chair must be of equal or higher rank than the level of promotion requested by the Candidate.⁵ The Department Chair's review runs concurrently with the PRC review. When a Department Chair chooses to make a separate recommendation in a given year, she/he must do so for all Candidates in the Department in that year for which she/he is eligible to submit a recommendation. In this case, Department Chairs shall have the additional responsibilities indicated below. If the Department Chair is a member of the PRC, she/he may not make a separate recommendation.
 - a. During the time specified for this activity, the Department Chair shall review the file for completeness. Within seven days of the submission deadline the Department Chair shall:
 - 1) Submit a letter to the Custodian of the File outlining material that is lacking. The custodian notifies the faculty member.

⁵ When the Department Chair is eligible to write recommendations for some Candidates and not others (e.g., Department Chair is a tenured Associate Professor eligible to submit separate recommendations for tenure and promotion to Associate Professor, but not for full Professor/Librarian), the Department Chair will notify the Custodian of the File. The Custodian of the File will insert a letter into the WPAF of those Candidates for whom the Department Chair is ineligible to make recommendations that explains the reason that no Department Chair letter was submitted to the file.

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- 448 2) Add any existing material missing from the file that the faculty member did not add.
449 The Department Chair must add the required evidence, but may choose not to add the
450 non-mandatory additional evidence requested.
- 451 b. The Department Chair may determine whether to request external review of the file. In the
452 case of external review request, see Appendix C for responsibilities and timetable.
- 453 c. Consistent with the CBA, the Department/Unit/College/Library/School/SSP-AR RTP
454 documents and the RTP Timetable, the Department Chair shall review and evaluate the
455 WPAF of each candidate for retention, tenure, and promotion.
- 456 d. The Department Chair may write a recommendation with supporting arguments to “The file
457 of [the faculty member under review].” The Department Chair’s recommendation is a
458 separate and independent report from that of the PRC.
- 459 1) The recommendation shall be based on the contents of the WPAF. (15.12.c)
460 2) The recommendation clearly shall endorse or disapprove of the Candidate’s retention,
461 tenure, and/or promotion.
- 462 e. The Department Chair shall submit the recommendation to the Custodian of the File by the
463 deadline specified in the RTP Timetable.
- 464 f. The Candidate may request a meeting with the Department Chair within seven days of receipt
465 of the Department Chair’s recommendation (15.5). If a meeting is requested, the Department
466 Chair shall attend the meeting. No formal, written response is required subsequent to this
467 meeting.
- 468 g. The Department Chair may respond to a Candidate’s written rebuttal or response within seven
469 days of receipt. No formal, written response to a candidate rebuttal or response is required.
- 470 h. Should the P & T Committee call a meeting of all previous levels of review, the Department
471 Chair shall attend and revise or reaffirm her/his recommendation. The Department Chair
472 shall then submit in writing her/his recommendation to the Custodian of the File consistent
473 with the RTP Timetable.
- 474 i. The Department Chair shall maintain confidentiality of the file, of deliberations and
475 recommendations. (15.10 and 15.11)
- 476 j. When Department Chairs submit a separate recommendation for Candidates in their
477 Departments, they are ineligible to serve on Peer Review Committees in their respective
478 Departments, but may serve on PRC’s in other Departments. Department Chairs, like other
479 parties to the review, may not serve at more than one level of review.
- 480 4. If a Department Chair chooses not to make a separate recommendation, then she/he may serve on
481 any Peer Review Committees within her or his academic unit.
- 482 5. If any stage of a Performance Review has not been completed according to the RTP Timetable, the
483 WPAF shall be automatically transferred to the next level of review or appropriate administrator
484 and the Candidate shall be so notified. (15.41)
- 485 C. Election and Composition of the Peer Review Committee (PRC)
- 486 1. The Department or appropriate academic unit is responsible for determining the size and election
487 conditions of the PRC. The Department Chair shall ensure that there is an election of a PRC.
488 Where no Department Chair exists, the department or appropriate faculty governance unit will
489 ensure that there is an election of a PRC. (See IV.B.1. and 2. above.)
- 490 2. The PRC shall be composed of at least three full-time tenured faculty elected by tenure-track
491 faculty in the Candidate’s department (or equivalent), with the chair elected by the committee. That
492 is, if there are enough eligible faculty members in a department or program, members of the Peer
493 Review Committee are elected from these areas. If not, the department or program shall elect Peer
494 Review Committee members from eligible university faculty in related academic disciplines.
495 (15.35)
- 496 3. In the case of a faculty member with a joint appointment, the Peer Review Committee shall include
497 when possible representatives from both areas with a majority of members on the committee
498 elected from the Department or program holding the majority of the faculty member’s appointment.
499 If a faculty member holds a 50/50 joint appointment, the committee will have representatives from
500 both departments.
- 501 4. Peer Review Committee members must have higher rank/classification than those being considered
502 for promotion.
- 503 5. Candidates for promotion are ineligible for service on promotion or tenure Peer Review
504 Committees.

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- 505 6. Each College/Library/School/SSP-AR shall adopt procedures for electing a Peer Review
506 Committee from the eligible faculty. These procedures must follow the guidelines of the CBA.
507 (15.35)
- 508 D. Responsibilities of the Peer Review Committee (PRC)
- 509 1. The PRC shall review the WPAF for completeness. Within seven days of the submission deadline
510 the PRC shall:
- 511 a. Submit a letter to the Custodian of the File outlining material that is lacking. If no WPAF has
512 been submitted, the PRC shall submit a letter to the Custodian of the File within the same
513 deadline indicating that the WPAF is lacking.
- 514 b. Add any existing required material, ~~required or additional~~, missing from the WPAF that the
515 Candidate has not added via the COF. (15.12).
- 516 c. Add any additional existing material with written consent of the candidate.
- 517 d. Request any irrelevant material to be removed from the WPAF.
- 518 2. The PRC shall determine whether to request external review of the WPAF. In the case of an
519 external review request, see Appendix C for responsibilities and timeline.
- 520 3. Consistent with the CBA, the Department/College/Library/School/SSP-AR RTP standards/
521 documents, the University RTP document, and the RTP Timetable:
- 522 a. The PRC shall review and evaluate the WPAF of each candidate for retention, promotion, and
523 tenure.
- 524 b. Each committee member shall make an individual evaluation prior to the discussion of any
525 specific case.
- 526 4. The PRC shall meet as an entire committee face-to-face. In these meetings, each member shall
527 comment upon the candidate's qualifications under each category of evaluation.
- 528 5. The PRC shall write a recommendation with supporting arguments to "The file of [the faculty
529 member under review]." (See Appendix E.) The PRC's recommendation is a separate, independent
530 report from that of the Department Chair.
- 531 a. The recommendation shall be based on the contents of the WPAF. (15.12.c)
- 532 b. The recommendation clearly shall endorse or disapprove of the retention, tenure, and/or
533 promotion.
- 534 6. Each recommendation shall be approved by a simple majority of the committee. To maintain
535 confidentiality, the vote for recommendations shall be conducted by printed, secret ballot. (See
536 Appendix D.) The report of the vote shall be anonymous. Committee members may not abstain in
537 the final vote. The vote tally shall not be included in the letter. Dissenting opinions shall be
538 incorporated into the text of the final recommendation. When the vote is unanimous, the report
539 shall so indicate. All members of the committee shall sign the letter. (See Appendix E.)
- 540 7. The PRC shall submit the recommendation to the Custodian of the File by the deadline specified in
541 the RTP Timetable.
- 542 8. Should the candidate call a meeting within seven days of receipt of the PRC's recommendation, the
543 PRC shall attend the meeting. (15.5) No formal, written response is required subsequent to this
544 meeting.
- 545 9. The PRC may respond to a candidate's written rebuttal or response within seven days of receipt of
546 rebuttal. No formal, written response to a candidate rebuttal or response is required.
- 547 10. Should the P & T Committee call a meeting of all previous levels of review, the PRC shall attend
548 and revise or reaffirm their recommendation. The PRC shall then submit in writing their
549 recommendation to the Custodian of the File consistent with the RTP Timetable.
- 550 11. The PRC shall maintain confidentiality of the file, of deliberations and recommendations, pursuant
551 to articles 15.10 and 15.11 of the CBA.
- 552 12. If any stage of a Performance Review has not been completed according to the RTP Timetable, the
553 WPAF shall be automatically transferred to the next level of review or appropriate administrator
554 and the faculty unit employee shall be so notified. (15.41)
- 555 E. Responsibilities of the Dean/Director
- 556 1. The Dean/Director shall review the file for completeness. Within seven days of the submission
557 deadline, the Dean/Director shall:
- 558 a. Submit a letter to the Custodian of the File outlining material that is lacking.
- 559 b. If the requested missing material is not added, the Dean/Director shall have the COF insert
560 that material. (15.12)
- 561 c. Request any irrelevant material to be removed from the WPAF.
- 562 ed. The Custodian of the File shall notify the faculty member of any material added to the file.

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

2. The Dean/Director shall determine whether to request external review of the file. In the case of an external review request, see Appendix C for responsibilities and timeline.
 3. The Dean/Director shall review and evaluate the WPAF of each candidate for retention, tenure, and/or promotion, consistent with the CBA, Department/Unit/College/Library/School/SSP-AR RTP document, [the University RTP document](#), and the RTP Timetable.
 4. The Dean/Director shall write a recommendation with supporting arguments addressed “To the file of [the name of the Candidate].”
 - a. The recommendation shall be based on the contents of the WPAF. (15.12 c)
 - b. The recommendation shall clearly endorse or disapprove retention, tenure and/or promotion.
 5. The Dean/Director shall submit the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
 6. Should the candidate call a meeting within seven days of receipt of the Dean/Director’s recommendation (15.5), the Dean/Director shall attend the meeting. No response is required.
 7. Should the candidate submit a rebuttal or response, the Dean/Director may respond to the rebuttal in writing within seven days of receipt. No formal, written response to the candidate’s rebuttal or response is required.
 8. Should the Promotion and Tenure Committee call a meeting of all the previous levels of review, the Dean/Director shall attend and revise or reaffirm her/his recommendation. The Dean/Director shall then submit, in writing, her/his recommendation to the Custodian of the File.
 9. The Dean/Director shall maintain the confidentiality of deliberations and recommendations pursuant to articles 15.10 and 15.11 of the CBA.
 10. If any stage of a Performance Review has not been completed according to the RTP Timetable, the WPAF shall be automatically transferred to the next level of review or appropriate administrator and the faculty unit employee shall be so notified. (15.41)
- F. Composition of the Promotion and Tenure (P & T) Committee
1. The University Promotion and Tenure Committee shall be composed of seven members: six full-time tenured Professors and one full-time tenured Librarian elected in accordance with the rules and procedures of the Academic Senate. Candidates for election to the Committee shall be voting members of the Faculty as defined in the by-laws of the CSUSM Academic Senate.
 2. The six Professors shall be elected as follows: One from the College of Education; one from the College of Business Administration; three from the College of Arts and Sciences (these three must come from at least three of the four Divisions within the College: Humanities, Social Sciences, Sciences and Interdisciplinary Studies); and one university-wide at-large member. The faculty members of the Library shall elect the Librarian member. When School of Nursing faculty or SSP-ARs are under review, faculty member from the School of Nursing or SSP-AR III will be added to the P & T Committee for the School of Nursing or SSP-AR review only.
 3. For various reasons of ineligibility, the Promotion and Tenure Committee may lack the full set of seven members. If Committee membership falls below five, the Senate shall hold a replacement election or an at-large election as appropriate to ensure a minimum of five members for the Committee. Faculty with specified roles in assessing, directing, or counseling faculty in relation to their professional responsibilities are ineligible for service (e.g., Director of General Education, Director of the Faculty Center).
 4. Each year, the members of the Committee shall elect the Chair. They will hold this election during the spring semester preceding the year of service on the Committee.
 5. Members of the Promotion and Tenure Committee are ineligible to serve at any other level of review. That is, they cannot make recommendations as Department Chairs or members of Peer Review Committees for any candidates during their term as members of the Promotion and Tenure Committee.
- G. Responsibilities of the Promotion and Tenure Committee
1. The P & T Committee shall review for completeness each file from all candidates for promotion and/or tenure. In order to complete this review within seven days of the submission deadline, the Chair shall assign two members of the Committee to each file. These members will report their findings to the Chair within the specified deadline.
 2. The P & T Committee shall identify, request and provide existing materials related to evaluation which do not appear in the file [and request that any irrelevant material be removed from the file.](#) In cases where the Committee members request that the candidate add [or remove](#) material to the file, this request shall be made in writing to the Custodian of the File within the specified deadline. In cases where the Committee members add material to the file via the COF, they shall do so within the specified deadline. The Custodian of the File shall inform the candidate of this addition.

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- 622
623
624
625
626
627
628
629
630
631
632
633
634
635
636
637
638
639
640
641
642
643
644
645
646
647
648
649
650
651
652
653
654
655
656
657
658
659
660
661
662
663
664
665
666
667
668
669
670
671
672
673
674
675
676
3. The P & T Committee shall determine whether to request external review. The members assigned to review each file for completion shall arrive at an independent assessment of the need for external review. The full Committee shall meet at the end of this initial review period to determine the need for external review. The Committee shall conduct a simple majority vote to determine whether or not an external review shall be requested. In the case of external review, see Appendix C for External Review.
 4. Consistent with the CBA, the Department/Unit/Library/School/SSP-AR RTP standards/documents, the University RTP document and the RTP timetable, the P & T Committee shall review and evaluate the WPAF of each candidate for tenure and/or promotion. Each committee member shall make an individual assessment prior to the discussion of any specific case.
 5. The P & T Committee shall meet as an entire committee face-to-face concerning each of the WPAFs. In these meetings, each member shall comment upon the candidate's qualifications under each category of evaluation.
 6. The P & T Committee shall write a clear recommendation, addressed "To the file of [the candidate]" with supporting arguments. (See Appendix E.) Each recommendation shall be approved by a simple majority of the committee. The Chair shall vote. Because the CBA states that "[t]he end product of each level of a Performance Review shall be a written recommendation," (15.40) a report of a tie vote does not constitute an acceptable action of the Committee. The P & T Committee must recommend for or against promotion and/or tenure.
 7. The report of the vote shall be anonymous. Committee members may not abstain in the final vote. The vote tally shall not be included in the letter. Dissenting opinions shall be incorporated into the text of the final recommendation. When the vote is unanimous, the report shall so indicate. All members of the committee shall sign the letter.
 8. The P & T Committee shall provide a copy of the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
 9. Should the candidate call a meeting within seven days of receipt of the P & T Committee's recommendation, the P & T Committee shall attend the meeting. (15.5) No formal written response is required subsequent to this meeting.
 10. Should the candidate submit a rebuttal or response, the P & T Committee may respond to the rebuttal or response in writing within seven days of receipt. No formal written response to the candidate's rebuttal or response is required.
 11. When there is disagreement in the recommendations at any level of review, the P & T Committee shall call a conference involving all levels of the review, i.e., the Department Chair, the Peer Review Committee, the Dean, and the Promotion and Tenure Committee itself. The P & T Committee shall schedule this meeting within seven days after the designated deadline for the candidate to respond to the Promotion and Tenure Committee's recommendation. All members of the P & T Committee shall attend this meeting.
 12. Subsequent to such a meeting, the P & T Committee shall revise or reaffirm their recommendations. The P & T Committee shall then submit in writing their recommendation to the Custodian of the File consistent with the RTP Timetable.
 13. The P & T Committee shall maintain confidentiality of the file, of deliberations and recommendations, pursuant to articles 15.10 and 15.11 of the CBA.
 14. If the P & T Review has not been completed according to the RTP Timetable, the WPAF shall be automatically transferred to the next level of review and the faculty unit employee shall be so notified. (15.41)
- H. Responsibilities of the President or Designee⁶
1. The President shall announce the RTP Timetable after recommendations, if any, by the appropriate faculty committee. (14.4, 15.4)
 2. The President shall follow the specific deadlines outlined for various personnel actions in provisions 13.11, 13.12, 13.17, and 14.9 of the CBA.
 3. The President may review for completeness each file from all candidates for promotion and/or tenure.
 4. The President may identify, request and provide existing materials related to evaluation which do not appear in the file and request that any irrelevant material be removed from the file. In cases where the President requests that the candidate add or remove material to the file, this request shall

⁶ In the text that follows, "the President" should be understood to mean "the President or ~~her/his~~ designee." The designee must be an Academic Administrator. (15.2) In the case of an SSP-AR review, the designee may be the Vice President of Student Affairs.

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

677 | be made in writing to the Custodian of the File within the specified deadline. In cases where the
678 | President adds material to the file via the COF, it shall be done within the specified deadline. The
679 | Custodian of the File shall inform the candidate of this addition.

- 680 | 5. The President shall consider a decision in relation to external review. Both the President and the
681 | faculty member undergoing review must agree to external review.
- 682 | 46. The President shall review and consider the Performance Review recommendations and relevant
683 | material and make a final decision on retention, tenure, or promotion. For probationary employees
684 | holding a joint appointment in more than one Department, the President shall make a single
685 | decision regarding retention, tenure, or promotion. (13.10, 13.15, 14.8, 15.42)
- 686 | 57. The President shall review and consider the Performance Review recommendations, relevant
687 | material and information, and the availability of funds for promotion. (14.8)
- 688 | 68. Should the President make a personnel decision on any basis not directly related to the professional
689 | qualifications, work performance, or personal attributes of the individual faculty member in
690 | question, those reasons shall be reduced to writing and entered into the Personnel Action File and
691 | shall be immediately provided the faculty member. (11.9)
- 692 | 79. The President shall provide a written copy of the decision with reasons to the Custodian of the File,
693 | who will provide it to the faculty member undergoing review and to all levels of review.
- 694 | 810. The President shall maintain confidentiality of the file, of deliberations and of recommendations,
695 | pursuant to articles 15.10 and 15.11 of the CBA.

I. Responsibilities of the Custodian of the File

- 696 | 1. The Custodian of the File shall notify all Candidates, Department Chairs, and Deans one semester
697 | in advance of the scheduled required reviews for retention, reappointment, tenure and/or promotion.
698 | In May, the COF shall notify all faculty members and the Deans/Director of the CSUSM RTP
699 | Timetable for the following academic year. The COF shall notify all Candidates that the Faculty
700 | Center, the Deans, Department Chairs or equivalents and other appropriate resources are available
701 | to provide advice, guidance, and direction in constructing their WPAF.
- 702 | 2. The COF shall provide each new faculty unit employee no later than fourteen days after the start of
703 | fall semester written notification of the evaluation criteria and procedures in effect at the time of
704 | her/his initial appointment. In addition, pursuant to CBA provision 15.3, the faculty unit employee
705 | shall be advised of any changes to those criteria and procedures prior to the commencement of the
706 | evaluation process. (12.2)
- 707 | 3. The COF shall receive the initial file, and date and stamp the initial page of the file.
- 708 | 4. The COF shall maintain confidentiality of the files.
- 709 | 5. Only when dire circumstances exist may a WPAF be turned in late. The COF will determine what
710 | constitutes dire circumstances.
- 711 | 6. Within two working days of the end of the review for completeness, the COF shall notify the
712 | Candidate that she/he needs to add required and additional documentation requested by the
713 | Department Chair, review committee chairs, or administrators. If the Candidate fails to submit the
714 | required materials and a reviewing party submits the materials, the COF will notify the Candidate
715 | of materials that others add to the file.
- 716 | 7. In cases where the Department Chair wishes to submit a separate recommendation, but is ineligible
717 | to make recommendations for all Candidates, the Custodian of the File will place a form letter into
718 | the WPAF of the Candidates not receiving a separate recommendation that explains the reason that
719 | no Department Chair letter was submitted to the file.
- 720 | 8. The COF shall notify the Candidate of any other additional items to be added to the file along with
721 | the Candidate's right to rebut or request deletion.
- 722 | 9. If a Candidate scheduled for review submits no WPAF, the COF shall place a letter in a file folder
723 | stating that no file was submitted. A copy of the letter will be sent to the appropriate Dean and the
724 | Candidate.
- 725 | 10. The COF shall ensure that all who review a file sign in each time they review the file. The COF
726 | shall maintain a log of action for each file.
- 727 | 11. If any party of the review process, including the Candidate, indicates that they want an external
728 | review, the COF shall administer the process as outlined in the CBA (Article 15) and the University
729 | Retention, Tenure, and Promotion (RTP) documents. That is, the COF shall advise the President of
730 | the request and obtain the consent of the Candidate. If both are in agreement to have an external
731 | review, the Custodian of the File shall administer the process.
- 732 | 12. The COF shall receive, process, and hold all recommendations and responses and/or rebuttals
733 | during each step of the process.
- 734 |

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- 735 13. The COF shall monitor the progress of all evaluations ensuring that proper notification is given to
736 the Candidate, each committee, and the appropriate administrators as specified in these procedures.
737 The COF shall provide copies of the evaluations and recommendations to the candidates and the
738 reviewing parties. The COF shall document each notification.
739

740 V. PRINCIPLES FOR THE REVIEW PROCESS

741 A. General Principles

- 742
- 743 1. Faculty shall be evaluated in accordance with the Unit 3 CBA as well as standards approved for
744 their Departments or equivalent units (when such standards exist), standards approved by their
745 College/Library/School/SSP-AR, and in accordance with this policy. In case of conflict between
746 the Department and College/Library/School/SSP-AR standards, the College/Library/School/SSP-
747 AR standards shall prevail. The policies and procedures in this document are subject to Board of
748 Trustees policies, Title 5 of the California Administrative Code, California Education Code, the
749 Unit 3 CBA, and other applicable State and Federal laws.
 - 750 2. Faculty members will present the relevant evidence in each category of performance. Each level of
751 review is responsible for evaluating the quality and significance of all evidence presented.
 - 752 3. Everyone, at all levels of review, shall read the Candidate's file.
 - 753 4. Committee members shall work together to come to consensus.
 - 754 5. Retention, tenure, and promotion of a faculty member always shall be determined on the basis of
755 professional performance as defined by the CBA (20) and the University and Department/Unit/
756 College/Library/School/SSP-AR documents, demonstrated by the evidence in the WPAF. In the
757 evaluation of teaching performance, student evaluation forms shall not constitute the sole evidence
758 of teaching quality. No recommendation shall be based on a Candidate's beliefs, nor on any other
759 basis that would constitute an infringement of academic freedom.
 - 760 6. The Candidate shall have access to her/his WPAF at all reasonable times except when the WPAF is
761 actually being reviewed at some level.
 - 762 7. Prior to the final decision, candidates for promotion may withdraw, without prejudice, from
763 consideration at any level of review.
 - 764 8. Maintaining confidentiality is an extremely serious obligation on the part of committee reviewers
765 and administrators. All parties to the review need to be able to discuss a Candidate's file openly,
766 knowing that this discussion will remain confidential. All parties to the review shall maintain
767 confidentiality, respecting their colleagues, who, by virtue of election to a personnel committee,
768 have placed their trust in each other. Deliberations and recommendations pursuant to evaluation
769 shall be confidential. (15) There may be a need for the parties to the review to discuss the
770 Candidate's file with other levels of review when all levels do not agree. Also, the Candidate may
771 request a meeting with parties to the review at any level. These particular discussions fall within
772 the circle of confidentiality and comply with this policy. Otherwise, reviewing parties shall not
773 discuss the file with anyone. Candidates who believe that confidentiality has been broken may
774 pursue relief under the CBA. (10)
 - 775 9. Service in the personnel evaluation process is part of the normal and reasonable duties of tenured
776 faculty, Department Chairs, and administrative levels of review. Lobbying or harassment of parties
777 to the review in the performance of these duties constitutes unprofessional conduct. Other
778 University policies cover harassment as well. The statement here is not intended to restrict the
779 University in any way from fulfilling the terms of other policies that cover harassment.
 - 780 10. When a probationary faculty member does not receive tenure following the mandatory sixth year
781 review, the University's contract with the individual shall conclude at the end of the seventh year of
782 service, unless the faculty member is granted a subsequent probationary appointment by the
783 President. (13.17)

784 B. Standards Applied in Different Types of Decisions

- 785 1. Review for Retention of Probationary Faculty
- 786 a. Whenever a probationary faculty member receives reappointment, CSUSM shall provide to
787 the Candidate a review that identifies any areas of weakness.
- 788 b. To the extent possible and appropriate, the University should provide opportunities to
789 improve performance in the identified area(s).
- 790 2. Review for Granting of Tenure
- 791 a. The granting of tenure requires a more rigorous application of the criteria than reappointment.
792

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- 793
794
795
796
797
798
799
800
801
802
803
804
805
806
807
808
809
810
811
812
813
814
815
816
817
818
819
820
821
822
823
824
825
826
827
828
829
830
831
832
833
834
835
836
837
838
839
840
841
842
843
844
845
846
847
848
849
850
851
- b. A Candidate for tenure at CSUSM shall show sustained high quality achievement in support of the Mission of the University in the areas of teaching, research and creative activity, and service (for teaching faculty and librarians) or in the primary duties as assigned in the job description, continuing education/professional development, and service (for SSP-ARs).
 - c. Normally, tenure review will occur in the sixth year of service at CSUSM or one or two years earlier in cases where the Candidate has been granted service credit. Tenure review prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for tenure as specified in University, College/Library/School, and Department standards.
 - d. An earned doctorate or an appropriate terminal or professional degree that best reflects the standard practices in an individual field of study is required for tenure. In exceptional cases, individuals with a truly distinguished record of achievement at the national and/or international level will qualify for consideration for purposes of granting tenure. An ad hoc committee consisting of three members jointly appointed by the Chair of the Promotion and Tenure Committee and the Department Chair shall judge all exceptions. This ad hoc committee shall make a recommendation to the President for or against awarding tenure.
3. Review for Promotion
- a. Promotion to Associate Professor, Associate Librarian or SSP-AR II requires a more rigorous application of the criteria than reappointment.
 - b. Promotion to the rank of Professor, Librarian or SSP-AR III shall require evidence of substantial and sustained professional growth at the Associate rank as defined by University, College/Library/School/SSP-AR, and Department standards.
 - c. In promotion decisions, reviewing parties shall give primary consideration to performance during time in the present rank. Promotion prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards. For early promotion, a sustained record of achievement should demonstrate that the candidate has a record comparable to that of a candidate who successfully meets the criteria in all three categories for promotion in the normal period of service[CSUSM4].
4. College/Library/School/SSP-AR Standards
- a. A College or equivalent unit shall develop standards for the evaluation of faculty members of that College or equivalent unit.
 - b. College or equivalent unit standards shall not conflict with law or University policy. In no case shall College standards require lower levels of performance than those required by law or University policy.
 - c. Written College or equivalent unit standards shall address:
 - 1) Those activities which fall under the categories of Teaching Performance, Scholarly and Creative Activity, and Service;
 - 2) A description of standards used to judge the quality of performance;
 - 3) The criteria employed in making recommendations for retention, tenure, and promotion.
 - d. These standards shall be reviewed by the Faculty Affairs Committee for compliance with university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been verified, the College/Library/School/SSP-AR standards will be recommended to the Academic Senate for approval.
5. Departmental Standards
- a. A Department or equivalent unit may develop standards for the evaluation of faculty members of that Department or equivalent unit.
 - b. Department or equivalent unit standards shall not conflict with law or University policy. In no case shall Department standards require lower levels of performance than those required by law or University policy.
 - c. Written Department or equivalent unit standards shall address:
 - 1) Those activities which fall under the categories of Teaching Performance, Scholarly and Creative Activity, and Service;
 - 2) A description of standards used to judge the quality of performance;
 - 3) The criteria employed in making recommendations for retention, tenure, and promotion.
 - d. The Dean/Director of the College/Library/School/SSP-AR shall review the Department standards for conformity to College/Library/School/SSP-AR standards. If the Dean finds it in conformance, she/he will forward the Department standards to the Faculty Affairs Committee. The Faculty Affairs Committee has the responsibility to verify and ensure compliance with

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

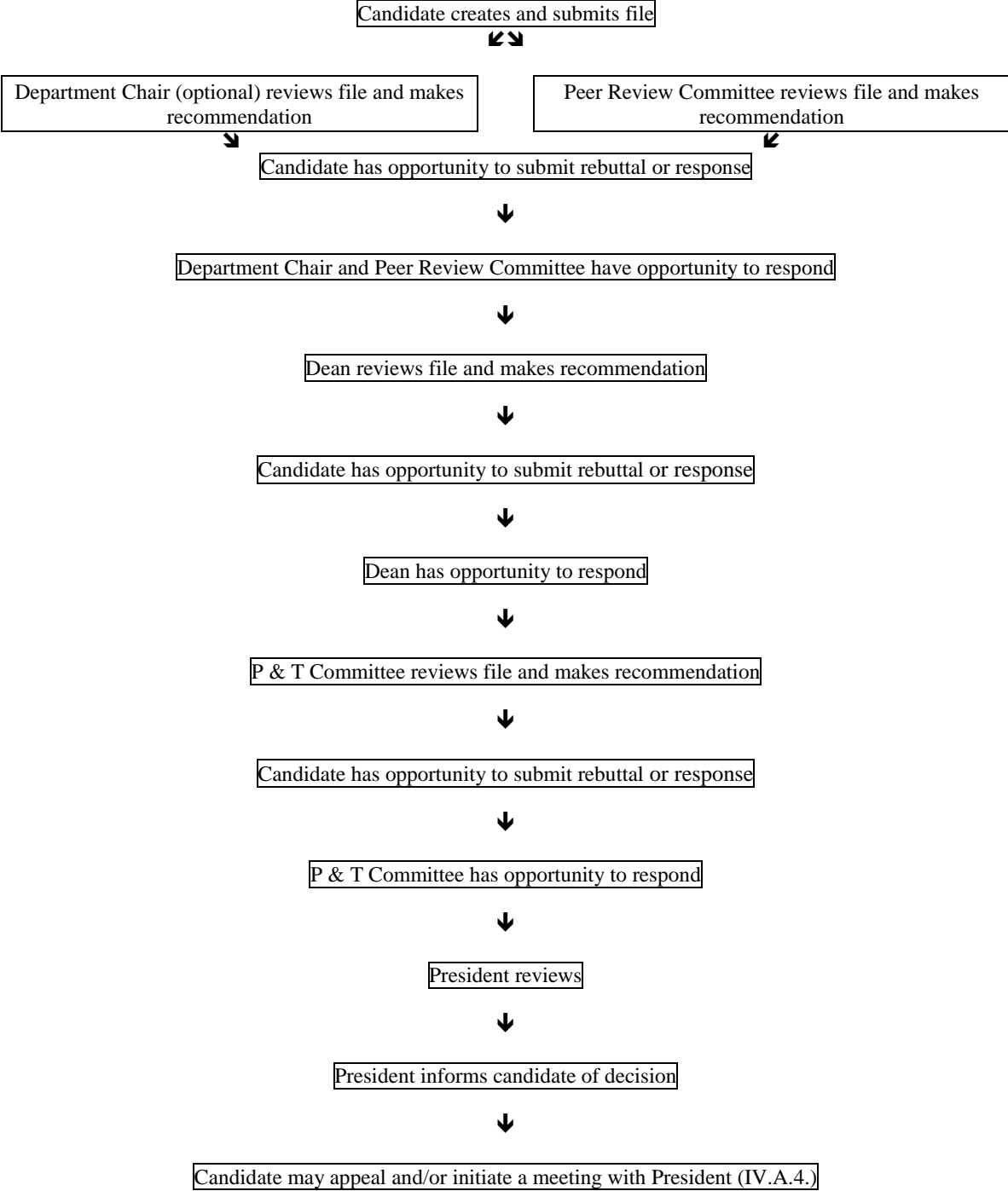
852 university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been
853 verified, the Department standards will be forwarded to the Provost for review. The Provost
854 will provide the Faculty Affairs Committee with a recommendation (with explanation)
855 regarding approval of the Department standards. The Faculty Affairs committee will base its
856 approval of the standards on its own review and the recommendation of the Provost. Once
857 approved, Department standards will be forwarded to Academic Senate as an information
858 item. Departments or equivalent units shall follow this approval process each time they wish
859 to change their standards.
860
861

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

862
863
864
865
866
867
868

APPENDIX A

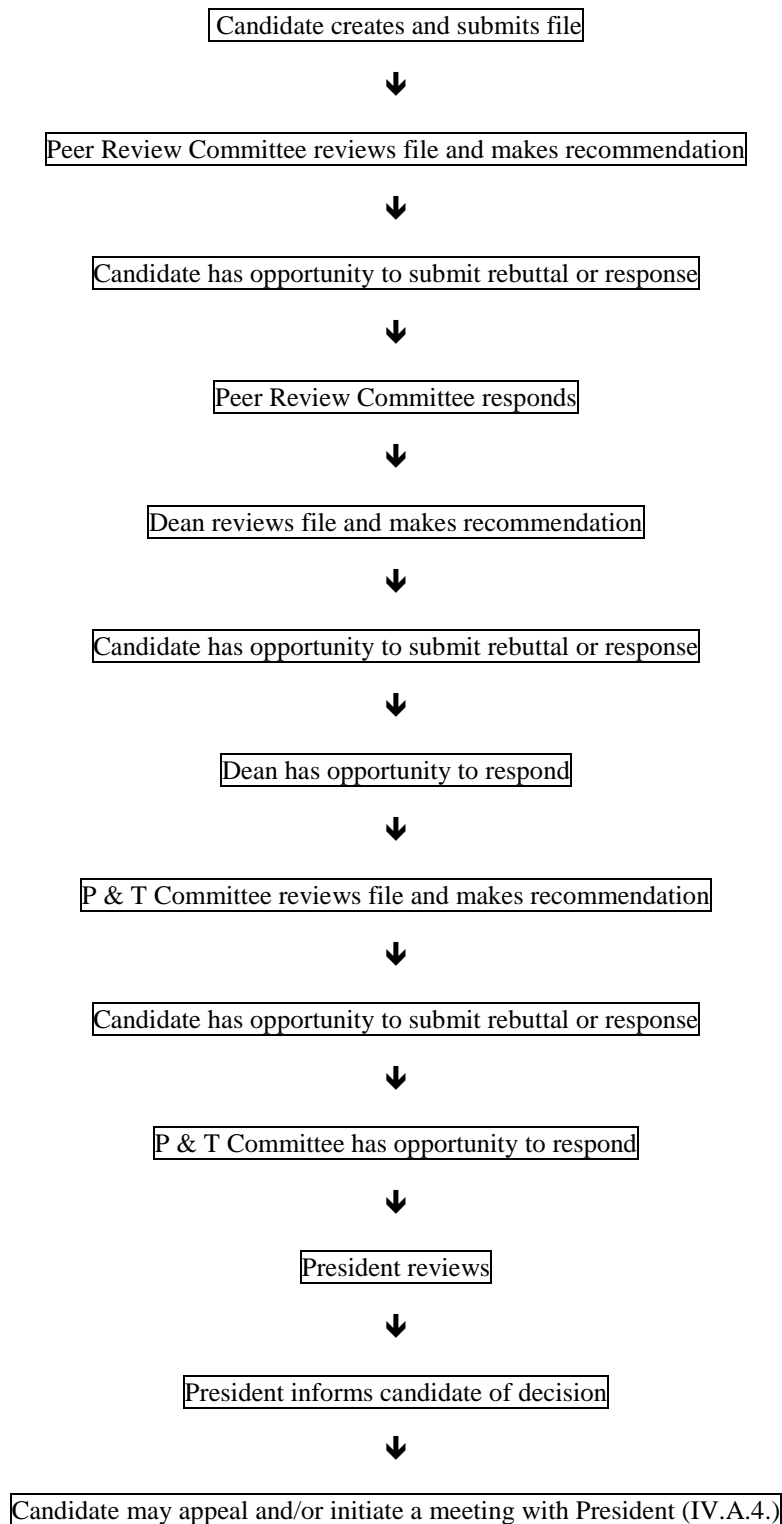
STEPS IN THE RTP REVIEW PROCESS WHEN THERE IS A DEPARTMENT CHAIR



FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

APPENDIX B

STEPS IN THE RTP REVIEW PROCESS WHEN THERE IS *NO* DEPARTMENT CHAIR



FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

APPENDIX C EXTERNAL REVIEW PROCESS

I. Initiation of a Request for External Review

- A. A request for an external review of materials submitted by a Candidate for retention, promotion, and/or tenure may be initiated at any level of review by any party to the review, including the Candidate. Such a request shall document (1) the special circumstances which necessitates an outside review, and (2) the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the President with the concurrence of the faculty unit employee. (15.12d)
- B. If any party of the review process, including the candidate, indicates that they want an external review, the COF shall administer the process as outlined in the CBA (Article 15.12d). The Custodian of the File shall administer the process.

II. Procedure for Selection of External Reviewers

The faculty member being considered shall provide a list of five names of experts in the corresponding field of scholarly or creative inquiry. A brief description of the proposed evaluators' fields, institutional affiliations and professional records shall be included with the list.

The Peer Review Committee shall select the external reviewers. The PRC may accept the entire list of five names provided by the Candidate. Alternatively, the PRC may select only three of the names from the list of five. When it selects three names, the PRC also may choose to add up to two additional reviewers. Thus, the PRC shall select a minimum of three external reviewers provided by the Candidate and a maximum of two that it provides, forming a list of three to five external reviewers. When selecting reviewers other than those recommended by the Candidate, the PRC must justify that action in a written statement. Should the Candidate wish to challenge the choices, she/he may provide a written rebuttal. In such cases, the President shall decide on the final list of external reviewers.

- C. Criteria for selection of external reviewers shall include the following. The reviewer must:
 - 1. Be active in the same specialized area of scholarly or creative work;
 - 2. Hold a professional affiliation approved by peer review committee;
 - 3. Be at a rank greater than the faculty member, if affiliated with an academic institution; and
 - 4. Be neither a collaborator nor co-author of any publication or funded research proposal, nor a close friend.
- D. It is the responsibility of the Peer Review Committee to determine that criteria for selection of external reviewers have been satisfied.
- E. The COF is charged with managing the process of external review. The COF shall solicit external reviews, receive the documents, and place them in the WPAF. The COF shall request external reviewers to respond in a timely manner. When a solicited external review does not receive a timely response, the COF shall insert a letter into the file stating that the external reviewer did not respond by the requested time.

FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

APPENDIX D: SAMPLE BALLOT FOR THE PRC

Candidate has requested consideration for the following action: Promotion to Associate Professor/Associate Librarian/SSP-AR II; Promotion to Professor/Librarian SSP-AR III; Tenure.

Please vote below on the appropriate action.

Promotion to Associate Professor/Associate Librarian/ SSP-AR II	_____ Yes _____ No
Promotion to Professor/Librarian /SSP-AR III	_____ Yes _____ No
Tenure	_____ Yes _____ No

APPENDIX E: MEMORANDUM

DATE: <date>

TO: WPAF for <Candidate's name>

FROM: Peer Review Committee <or P & T Committee>

<Committee members' names with initial line such as:>

Harvey Goodfellow	_____
Shirley U. Gest	_____
Betta B. Great	_____

RE: Request for <retention, tenure, promotion, etc.>

The Committee <unanimously> or <by simple majority> <recommends/does not recommend> <name of Candidate> for <request>.

Attached please find the complete narrative portion of the recommendation.

APC – International Baccalaureate Program Credit Policy

1	
2	
3	Definition
4	This policy governs the awarding of credit to students who have received diplomas
5	from the International Baccalaureate Program.
6	Authority
7	Executive Order 1036
8	Scope
9	The undergraduate curriculum of CSU San Marcos.

I. BACKGROUND

The International Baccalaureate (IB) Program enables students, who have reached the university level of education outside the classroom and before matriculation, to demonstrate their knowledge and to earn baccalaureate credit.

CSU San Marcos recognizes the high scholastic quality of the International Baccalaureate (IB) program. High school students holding the IB diploma (not certificate) are eligible for admission and will receive 6 units of credit for each higher level examination passed with a minimum score of 4. Application of credit to a major or minor is determined through the campus articulation process in a manner similar to articulation of courses taken at another institution for the purpose of satisfying the requirements for a major or minor.

The International Baccalaureate curriculum is comprised of six subject groups:

1. Best language,
2. Second modern language,
3. Individuals and Societies,
4. Experimental Sciences,
5. Mathematics, and
6. Arts Electives.

IB Diploma Programme candidates are required to study six subjects: one subject each from groups one to five, and a sixth subject from group six or an elective. The electives include a second subject from groups one to four, further mathematics at a standard level, computer science, and a school-based syllabus approved by the IB school.

At least three and not more than four of the six subjects are taken at a higher level (HL), the others at a standard level (SL). Each subject is graded on a scale of 1 point (minimum) to 7 points (maximum).

When a student receives a passing score on an IB examination, s/he

- Receives credit toward graduation which is recorded on the student's transcript, and, depending on the course, s/he may also
- Satisfy certain requirements for a major or minor,
- Satisfy prerequisite requirements for a more advanced course, and
- Satisfy certain General Education and other general graduation requirements.

When a student passes an IB exam, s/he may not also receive graduation credit for taking a course articulated with the IB exam, or a course which is a prerequisite thereto.

49 II. GRADUATION CREDIT

50

51 CSU San Marcos awards six units of credit for each International Baccalaureate Higher Level
52 subject examination passed with a score of 4 or better (except that three units of credit are
53 awarded for the Psychology examination).

54

55 A student may not receive graduation credit for subsequently taking a course, which is
56 articulated with the IB credit that s/he has received, or for a course that is a prerequisite to such a
57 course.

58

59 IB credit may not be awarded when course credit has been granted at a level more advanced than
60 that represented by the examination.

61

62 III. USE IN SPECIFIC MAJOR REQUIREMENTS

63

64 Every IB exam will be articulated with CSUSM courses (to the extent possible) in a manner
65 similar to articulation of courses taken at another institution for the purpose of satisfying the
66 requirements for a major or minor. The IB Diploma Programme Curriculum descriptions
67 (<http://www.ibo.org/diploma/curriculum/>) will form the basis of these articulation “agreements.”
68

69

69 IV. USE IN GENERAL EDUCATION AND OTHER GENERAL GRADUATION
70 REQUIREMENTS

71

72 The General Education Committee shall determine which General Education requirements – if
73 any – are satisfied by sufficiently high scores on IB exams.

74

75 The General Education Committee shall determine which of the other specific graduation
76 requirements over which it has jurisdiction (the U.S. History, Constitution and American Ideals
77 Requirement, the Language Other Than English Requirement, the Computer Competency
78 Requirement, and the Graduate Writing Assessment Requirement) – if any – are satisfied by
79 sufficiently high scores on IB exams.

80

81 **Procedures:**

82

83 I. RECORDING OF CREDIT

84

85 To receive credit, applicants who plan to enroll at CSUSM, should request a copy of their IB
86 transcript of grades be sent to the Office of Admissions for evaluation. IB examinations not
87 covered by the IB course articulation table will be reviewed on a case-by-case basis, via petition
88 to the Director of Registration and Records.

89

1 **TO:** Academic Senate, April 21, 2010
2 **FROM:** SAC and Student Affairs
3 **SUBJECT:** Student Grievance Policy—Summary of the main changes

4 Many useful changes have been made to the old grievance policy to reflect a more detailed and explicit
5 policy including the switch from the word “student” or “faculty or staff” to “grievant” or “respondent” which is
6 seen throughout the new policy. At the beginning of the policy is the expansion of the introduction which lays
7 out what is determined to be a grievance, and when a grievance can be filed with the Dean of Students Office.
8 In addition, the new policy excludes any legal representation (no attorneys may appear in the proceedings). The
9 Definitions section of the new policy is a complete addition from the old policy. This section will allow for less
10 ambiguity when referring to the specifics stated within the policy.

11 Section III titled Student Grievance Committee Membership and Structure is a combination of two
12 sections in the old policy. Some of the more noticeable changes in this section are; adding graduate students to
13 the list of people that can serve on the committee, adding a Vice Chair to serve in the absence of the Committee
14 Chair, allowing committee members to communicate via email and the duties of the Chair or Vice Chair.

15 The section with the most significant changes is titled Steps for Seeking Redress. A change that
16 encompasses both subsections of Steps for Seeking Redress is the addition of a strict timeline, outlining the time
17 in which one can file a grievance, to the approximate date of completion should the grievance go to a formal
18 hearing. This new timeline, unlike the previous timeline coincides with the Student Grade Appeal deadline
19 (March 15 for grievances occurring in the previous fall/summer semesters and October 15 for grievances
20 occurring in the previous spring semesters). Additionally, it specifically states that grievance meetings and
21 hearings will not take place over the summer or winter allowing for Committee members to have sufficient time
22 off.

23 The informal resolution section differs from the original in that the procedures for the informal
24 resolution are much more specific to what the grievant needs to accomplish before proceeding to the Formal
25 Grievance Hearing. Once a grievant has exhausted the informal resolution and has decided to proceed to the
26 formal grievance hearing they must follow new guidelines for submitting documentation, preparing evidence,
27 preparing witnesses, and answering questions presented to both grievant and respondent from the Committee.

28 The Grievance Hearing Procedures in the new policy allow for the Committee Chair to have authority
29 over the ways in which the hearings are conducted including the presentation of evidence and witnesses. In the
30 new policy the hearing will remain under the same strict guidelines pertaining to a closed hearing and
31 confidentiality, however, it is now explicitly stated who can attend the hearing and the ways in which the
32 committee will submit its recommendations following the conclusion of the hearing to the appropriate Vice
33 President.

34 ###
35

SAC: Student Grievance Policy and Procedures

Student Grievance Policy

Definition: Provides a means for students to seek redress of complaints regarding matters other than grade appeals or allegations of discrimination, harassment, retaliation, or concerns regarding university compliance federal and state disability related laws. Grade appeals can be filed by following the Student Grade Appeal Policy. Students concerned with matters of discrimination, harassment, retaliation, compliance with disability related laws, or any similar matter should contact the Dean of Students Office for assistance.

Scope: The purpose of the Student Grievance Policy is to enable a student to resolve a complaint arising out of any alleged unauthorized or unjustified act or decision, other than a grade appeal, by a member of the faculty, administration, or staff that in any way adversely affects the status, rights, or privileges of a member of the student body. The burden of proof shall lie with the complainant, also referred to as grievant herein.

Timeline: Requests for formal grievance hearing arising from alleged unauthorized or unjustified actions which occurred during the spring or summer term must be filed by October 15 of the same calendar year. Requests for formal grievance hearing arising from alleged unauthorized or unjustified actions which occurred during the fall term must be filed by March 15 of the subsequent calendar year. Students must attempt informal resolution to the dispute prior to filing a request for formal grievance hearing. See Section IV - A.

Authority:

STUDENT GRIEVANCE PROCEDURES

I. INTRODUCTION

The relationship of the student to California State University San Marcos is governed by statutes, rules, and policies adopted by the California Legislature, the Trustees, the Chancellor, the campus President, and their duly authorized designees. This document establishes and describes procedures that are to be used for resolving student complaints and grievances arising from a student's claim that a member of the faculty, staff, or administration has in some way adversely impacted the student by an alleged unauthorized or unjustified act or decision. Only those claims arising from official actions taken by faculty, staff, or administrators on behalf of California State University San Marcos can be considered, and the grievability of such claims is to be determined through the procedures specified in this document.

If there is a specific policy or procedure for appealing decisions made in a unit or department, that appeal process must be completed prior to filing a formal grievance through the Dean of Students Office. Students are required to attempt to resolve complaints informally and may seek the support of the Dean of Students Office as an impartial advisor to provide guidance on University processes. Should informal attempts to resolve a complaint fail, the formal grievance procedures described herein may be invoked. In all cases, these procedures are designed to effect reasonable and orderly resolutions of student complaints and grievances in a fair, consistent, and timely manner.

The procedures specified herein are to be followed when no other specific campus policy or procedure exists that would more appropriately and effectively bring about a resolution of a student's complaint or grievance. Grade appeals must be pursued per the Student Grade Appeal Policy. Students concerned with matters of discrimination, harassment, retaliation, compliance with disability related laws, or any similar matter should contact the Dean of Students Office for assistance. The grievance procedures cannot be used as a method of rebuttal to any student disciplinary action, nor as a means to establish or change university policy.

II. DEFINITIONS (new section)

Advisor – An individual who advises or speaks on behalf of the grievant or respondent. Attorneys are excluded from the University's grievance process. See Section IV.C.11.

- 81 Appointing Officer or Agency – The individual or group identified in these procedures to appoint members to the
82 Student Grievance Committee, e.g., Academic Senate for faculty appointments, Associated Students, Inc. for
83 student appointments.
- 84 Appropriate Vice President – The Vice President or other direct report to the University President leading the unit
85 in which the respondent is employed.
- 86 Chair – A member of the University faculty assigned responsibility by the President for managing those cases in
87 which informal resolution of differences has not been achieved, facilitating the Formal Grievance Hearing, and
88 serving as the Committee's administrative officer.
- 89 Conflict of Interest – A person who has a personal relationship with either party to the grievance; persons
90 involved with the grievance or other type of dispute related to the complaint; any person who is serving as an
91 advocate for faculty, staff, students, or administration; or any member who believes he or she cannot remain
92 objective in committee proceedings. A conflict of interest may exist between a committee member and the
93 grievant, a committee member and the respondent, a committee member and a witness to the grievance, a
94 committee member and an advisor for either the grievant or the respondent. For questions regarding a conflict of
95 interest please contact the Dean of Students Office.
- 96 Dean of Students – The Dean of Students or designee assigned by the Dean as an impartial representative from
97 the Dean of Students Office to provide assistance and guidance on the grievance process itself to all parties upon
98 request.
- 99 Grievant - A student who has filed a complaint that is proceeding to the formal grievance process including a
100 grievance hearing. The student must be presently enrolled at CSU San Marcos or have been previously enrolled at
101 the time the action which is the subject of the complaint occurred.
- 102 Grievance - A complaint that was not satisfactorily resolved at the informal level. The action in question taken on
103 behalf of CSU San Marcos must have occurred when the grievant was a registered student at the University.
- 104 Informal Resolution - Students are required to attempt to resolve complaints informally and at the lowest possible
105 organizational level prior to filing a formal grievance. Steps for informal resolution will vary by colleges and
106 units within the University. Students may seek the support of the Dean of Students Office as an impartial advisor
107 to provide guidance on University processes. For more information, see Section IV-A.
- 108 Instructional Days – days on which regularly scheduled classes or examinations are held at CSU San Marcos
109 excluding Saturdays, observed holidays, and academic breaks. Grievance proceedings are held only during the fall
110 and spring semesters. At the discretion of the Committee Chair, an exception may be allowed if the committee is
111 available, and if the exception is requested by and/or acceptable to both the grievant and the respondent. See
112 Section IV.E.1.
- 113 President – The President of CSU San Marcos or designee.
- 114 Provost – The Provost/Vice President for Academic Affairs or designee.
- 115 Recorder – A designated faculty or staff member who provides administrative support to the Committee Chair
116 and records the formal hearing and deliberations. This person is not a member of the committee.
- 117 Request for Formal Student Grievance Hearing – A form designed by the Dean of Students on which the grievant
118 records a description of the grievance and the desired outcome. The written “Request for a Formal Student
119 Grievance Hearing” form, including any supporting documentation, signals the start of the formal proceedings
120 and must be written by the grievant.
- 121 Respondent – A member, or members, of the CSU San Marcos faculty, staff, or administration against whom the
122 grievance is filed.

123 Student - A person who is regularly enrolled at CSU San Marcos.

124 University – California State University San Marcos also referred to as CSU San Marcos or CSUSM.

125
126 III. STUDENT GRIEVANCE COMMITTEE MEMBERSHIP AND STRUCTURE

127 A. Three students named by Associated Students, Inc. Undergraduate and graduate students serving on this
128 Committee shall be students in good standing (i.e., not under any type of university probation). Graduate
129 students shall be enrolled in an authorized graduate degree or credential program.

130 B. A minimum representation of at least one tenured faculty member from each college named by the Academic
131 Senate. A recommendation to add representation from other academic units, e.g., School of Nursing, may be
132 made at any time for decision by Academic Senate. However, the additional faculty representative will not be
133 included in any case under review by the Student Grievance Committee at the time his or her appointment.

134 C. One full-time staff member or Administrator from the Division of Academic Affairs or the Division of
135 Student Affairs named by the President.

136 D. A Committee Chair will be selected by a vote of the committee members from among the faculty members on
137 the committee. A Vice Chair will be selected in the same fashion from remaining non-student
138 representatives. The Vice Chair shall assume the responsibilities of the Chair should the Chair step down
139 temporarily or permanently.

140 E. Alternates will include the following individuals. Alternates may vote only if acting on behalf of a voting
141 member of the committee.

142 1. Two alternate students named by the Associated Students, Inc. Undergraduate and graduate students
143 serving on this committee shall be students in good standing. Graduate students shall have been enrolled
144 in an authorized graduate degree or credential program.

145 2. Two alternate tenured faculty named by the Academic Senate.

146 3. One alternate full-time staff member from the Division of Academic Affairs or Division of Student
147 Affairs named by the President.

148 F. All members shall be appointed for two years on staggered terms. No member shall serve more than two
149 consecutive terms. A Chair shall be appointed for two years by the President of the University. No member
150 shall serve as Chair for more than two consecutive terms.

151 G. The duties of the Chair include the following. To manage workload, the Chair may delegate duties to the Vice
152 Chair.

153 1. Arranging for the date, time, and location of all meetings and hearings. Informing the grievant,
154 respondent, the Committee, the Dean of Students and any other parties to the grievance (excluding
155 advisors or witnesses for either side) of the time, date, and location of meetings and hearings that they are
156 requested to attend.

157 2. Securing and distributing written material appropriate for consideration by committee members or parties
158 to the grievance prior to or during meetings and proceedings as designated in these procedures.

159 3. Maintaining all written and electronic records and providing documentation of the committee's
160 recommendations to all appropriate recipients.

161 4. Identifying an investigating subcommittee from the committee membership to explore the case in depth
162 and report back to the grievance committee. The investigating subcommittee will include four members,
163 one of whom must be a faculty member and one of whom must be a student. The investigating

164 subcommittee may meet in person with both parties to the grievance, and may, on behalf of the grievance
165 committee, explore options for informal resolution.

166 5. Organizing and facilitating at least one committee meeting prior to the formal hearing to review the
167 evidence submitted by the grievant and respondent, accept the report of the investigating subcommittee, and
168 compile the committee's questions based on the evidence to be answered by the grievant and respondent.

169 6. The Committee Chair has the ability to seek procedural advice from the Dean of Students Office and/or
170 CSU San Marcos general counsel at anytime.

171 H. Committee Operations

172 1. Should any member of the Committee be unable to complete an appointed term, a replacement shall be
173 appointed to fill the balance of the term by the original appointing officer or agency. Resignations shall be
174 submitted in writing to the Chair of the Committee. The Chair shall inform the appropriate officer or
175 agency of the vacancy in writing and shall request the prompt appointment of a replacement.

176 2. Should a Committee member be unable to hear a grievance, an alternate shall be appointed for the course
177 of the grievance. If a member of the Committee is granted an official leave for less time than remaining in
178 a term, or if because of illness or other reasons a member is judged unwilling or unable to participate in
179 the work of the Committee, the Chair shall inform the administrator or agency of the appointee and shall
180 request the prompt appointment of a temporary replacement.

181 3. When the services of a temporary appointee are no longer required, the Chair shall promptly inform the
182 temporary appointee and the appointing administrator or agency in writing.

183 4. Should the Committee be involved in a specific case when an absent member returns, the replacement
184 member shall continue as a member of the committee in all sessions dealing with that specific case until it
185 is concluded. The returning member shall resume membership on the Committee for subsequent cases.

186 5. When a member of the Committee has more than three absences, the Committee may vote to remove that
187 member and may request a replacement from the appointing administrator or agency.

188 6. A member of the Committee may be reappointed upon the expiration of term if duly recommended by the
189 original appointing administrator or agency. The member may be appointed for a third term only after a
190 break in service of no less than two years.

191 7. If the Committee is involved in a case when a member's term expires, the member shall continue on the
192 Committee only in its consideration of that case. A newly appointed member shall not be considered a
193 member of the Committee for a case which is in process at the time of appointment. The new Committee
194 member shall, however, serve for all other matters.

195 8. A member of the Committee may choose to resign from the Committee, in which event a replacement
196 shall be appointed by the original appointing administrator or agency for the balance of the member's
197 term.

198 9. A member of the Committee may choose to be disqualified from consideration of any case for which
199 there may be a conflict of interest (see definition above). In this event a replacement shall be appointed
200 by the Chair of the Committee from the list of alternates of the member's constituency.

201 10. If a Committee member is the grievant or respondent in a hearing, a conflict of interest is inherent, and
202 the member shall be excluded from considering that case and an alternate appointed.

203 Upon the conclusion of a hearing in which a Committee member was a principal party, the Committee
204 shall determine the member's fitness to continue on the Committee. The decision shall be conveyed by the

205 Chair to the appointing officer or agency, either informing of the continuation of membership or
206 requesting a replacement.

207 Either party to a hearing may request of the Chair that a Committee member(s) be excluded from
208 considering the case. The request shall be brought to the Chair's attention prior to the hearing and must be
209 supported by a substantial reason for exclusion. The Chair will bring the matter to the Committee for
210 vote on the member's exclusion. If a member is disqualified by the Committee from consideration, a
211 replacement shall be appointed by the Chair from the list of alternates of the member's constituency.

212 11. The Committee may conduct procedural business via email including distributing materials for review
213 prior to meetings. The Committee Chair may elect to request a secure site, such as WebCT or its
214 successor, be established to streamline document drafting and review. If so, the Committee Chair must
215 confer with the Dean of Students Office so that information security and confidentiality guidelines are in
216 place. No members of the committee may discuss the facts of any grievance, nor their opinions thereof,
217 through any electronic media. All deliberations and decisions related to the recommended outcome of the
218 grievance must be conducted in person and confidentially.

219 IV. STEPS FOR SEEKING REDRESS

220 A. Informal Resolution

221 1. Informal discussion between the grievant and respondent in a grievance shall be essential in the early
222 stages of the dispute and should be encouraged at all stages of the formal grievance process. An equitable
223 solution to a problem should be sought before anyone involved in the case assumes official or public
224 positions that might polarize the dispute and render a solution more difficult. No one involved in or aware
225 of a case may use the informal resolution process, the filing of a grievance, or the character of the
226 informal discussions to strengthen the case for or against persons directly involved in the dispute or for a
227 purpose other than to resolve the grievance.

228 2. A grievance can be brought as a result of an unauthorized or unjustified act or decision by a member of
229 the faculty, staff, or administration which in any way adversely affects the status, rights or privileges of a
230 student. The student may consult with the Dean of Students Office to evaluate the situation and to
231 determine which of the following steps might best apply. In general, informal resolution will be
232 conducted in one of the two following ways:

233 a. The student should bring the complaint to the attention of one or more of the proper college
234 committees where such grievance provision exists or to the chair, dean, administrator, or staff
235 supervisor; or

236 b. The student should bring a complaint against an administrator or staff member to that person's
237 supervisor.

238 3. Should the grievant or respondent require a reasonable accommodation as mandated by Title II of the
239 Americans with Disabilities Act, or have any other special needs, it must be brought to the attention of the
240 administrator of the informal process and the Dean of Students Office in writing no less than seven
241 instructional days prior to the date the accommodation is requested to be implemented.

242 B. Criteria for a Case to Proceed to a Formal Grievance Hearing

243 The grievant must show that the remedy sought will not effectively result in either (1) special favoritism for
244 him or her and/or (2) prejudice against others. The fact that no other student has initiated a grievance or
245 requested a Formal Grievance Hearing regarding the same issue does not preclude the outcome being in favor
246 of the grievant.

247 C. Filing of Grievance and Rebuttal

248 At any point in the proceedings, the grievant may withdraw the Request for a Formal Grievance Hearing or accept
249 an informal resolution. Should an informal resolution be under negotiation or consideration during the formal
250 process, the Committee Chair may elect to pause the timeline for the formal grievance until the attempt at
251 informal resolution is exhausted.

- 252 1. A form entitled, "Request for a Formal Grievance Hearing" is available in the Dean of Students Office
253 and must be completed and returned to the Dean of Students Office no later than the following dates:
254 March 15 for alleged grievances that took place during the previous Summer/Fall Semesters, October 15
255 for alleged grievances that took place during the previous Spring Semester. By filing the "Request for a
256 Formal Grievance Hearing", the grievant acknowledges that the Grievance Committee may review the
257 grievant's university records in order to fully examine the issues of the case. Such review will be done
258 within the constraints of pertinent privacy laws and university policies.
- 259 2. The Dean of Students Office must provide both grievant and respondent with access to copies of these
260 procedures and be available to address procedural questions related to these procedures.
- 261 3. The grievant may file a Request for Extension in writing with the Dean of Students Office should he or
262 she require additional time due to a "serious and compelling" reason. The request must describe the
263 reasons for the extension and the extended time necessary. The request should be submitted as soon as
264 the grievant becomes aware of the circumstances and should not be delayed until the March 15/October
265 15 deadline without cause. The Dean of Students Office will submit the Request for Extension to the
266 Grievance Committee for decision.
- 267 4. Within five instructional days of receiving the Request for a Formal Grievance Hearing, the Dean of
268 Students Office will transmit copies to the respondent and the Committee Chair. Prior to doing so, the
269 Dean of Students Office will confirm that a good faith attempt to resolve the complaint informally has
270 been made. The Committee Chair will set a meeting to confirm all the committee members for the case
271 and identify members of the investigating subcommittee. The investigating subcommittee will conduct its
272 review in a way that does not extend the timelines outlined in these procedures.
- 273 5. Within ten instructional days of receipt of the Request for a Formal Grievance Hearing, the respondent
274 will provide a written answer to the grievance to the Dean of Students Office. The Dean of Students
275 Office will then provide a copy to the grievant. If a written answer from the respondent is not received
276 within ten instructional days, the Dean of Students Office will notify the Committee Chair.
- 277 6. Within five instructional days after receiving the respondent's written answer to the grievance, the Dean
278 of Students Office will forward all materials to the Grievance Committee Chair serving as notification
279 that the formal grievance proceedings can begin.
- 280 7. Within ten instructional days after receipt of the respondent's answer to the grievance, the Committee
281 Chair will hold a committee meeting to review the evidence submitted by the grievant and respondent and
282 compile the committee's questions based on the evidence to be answered by the grievant and respondent.
- 283 8. Within fifteen instructional days of the committee meeting (See IV.C.9), the questions will be submitted
284 to the respondent and the grievant by the Committee Chair.
- 285 9. Within ten instructional days after the parties receive the questions, the committee's questions must be
286 answered by both the grievant and respondent and submitted to the Committee Chair.
- 287 10. Within five instructional days of receiving the answers to the questions the Committee Chair will set the
288 hearing date and notify the grievant and respondent. The hearing date will be set no sooner than twenty
289 instructional days from this point to allow time for logistical arrangements and sufficient preparation by
290 the committee while avoiding unnecessary extension of the case.

291 11. The grievant and/or respondent may each independently name an advisor to assist him or her through any
292 portion of the formal process. The name of the advisor must be given to the Dean of Students Office as
293 soon as the advisor is secured but no less than ten instructional days prior to the grievance hearing.
294 Attorneys may not appear in the proceedings as advisors for either party. The University also may choose
295 whether or not to enlist the services of the campus general counsel to assist the Committee in order to
296 ensure due process for both parties and provide procedural advice. Both parties are responsible for
297 notifying their advisors of the hearing date and ensuring their presence at the hearing. The hearing may
298 proceed if an advisor fails to attend. The advisor for the grievant or respondent may not be a witness to
299 the grievance and may not be called to speak at the hearing.

300 D. Preparing Witnesses and Evidence

- 301 1. The grievant and respondent are responsible for obtaining their own witnesses and documentation.
302 Participation in this process by prospective witnesses is voluntary.
- 303 2. The names of witnesses, if any, for either party along with a brief statement of their testimony and any
304 written evidence they will be presenting must be submitted to the Chair ten instructional days before the
305 hearing. If testimony and evidence are not submitted to the Committee Chair at least ten instructional
306 days prior to the start of the hearing, the related witness and/or evidence will not be admitted in the
307 hearing.
- 308 3. Witnesses must sign and date all testimony and evidence submitted. Witnesses will be subject to
309 appropriate university disciplinary action and may be exposed to civil liability if false information is
310 submitted.
- 311 4. The grievant and respondent may elect to present exhibits in the hearing, e.g., regulations, statements in
312 catalogs, or student handbooks, etc. In order for exhibits to be included in the hearing they must be
313 submitted to the Committee Chair at least ten instructional days prior to the hearing.
- 314 5. No later than five instructional days prior to the start of the hearing, the Committee Chair working in
315 collaboration with the Dean of Students Office, will make hearing materials available for review in the
316 Dean of Students Office by the grievant and respondent. Materials may include the Request for Formal
317 Grievance form, statements by the grievant and respondent, names of witnesses and their testimony, and
318 any other written evidence and exhibits. The materials will also be available in the Dean of Students
319 Office for committee members to review prior to the hearing if they so choose.
- 320 6. Both parties are responsible for notifying their witnesses of the hearing date and ensuring their presence at
321 the hearing. The Chair may also approve an appearance via electronic medium that enables the committee
322 to see, hear, and interact with the witness. However, if the witness cannot be present as described above,
323 written evidence must be submitted. If the witness fails to appear in person or via electronic medium, with
324 the exception of a “serious and compelling” reason, and only submits written evidence, the Grievance
325 Committee may, if it so chooses, discount the witness' written evidence.

326 E. Grievance Hearing Procedures

- 327 1. Grievance proceedings are held only during the fall and spring semesters. At the discretion of the
328 Committee Chair, an exception may be allowed if the committee is available, and if the exception is
329 requested by and/or acceptable to both the grievant and the respondent. The grievant and respondent are
330 responsible for securing the availability of their witnesses and/or advisors (if any) prior to requesting or
331 approving the exception.
- 332 2. Quorum - Five of the Committee members including a minimum of one student shall constitute a quorum.
333 Quorum is necessary for committee decision-making in a particular case or other official business.

- 334 3. An audio recording of the hearing including all testimony will be made. The Chair will coordinate the
335 logistics of the recording with the Dean of Students Office who will provide the mechanism for recording.
336 There will be no recording of committee deliberations.
- 337 4. Hearing Facilitation
- 338 a. The Chair facilitates the hearing and makes rulings on procedural matters. The Chair must present all
339 written material for the committee to study and provide relevant information if so requested by the
340 committee. Proceedings shall be conducted in accordance with the American Association of
341 University Professors' Joint Statement on Rights and Freedoms of Students (1990) or its successor.
- 342 b. The Chair shall be responsible for conducting the hearing in such a manner that the rights of the
343 grievant and respondent are observed throughout and that fair play and due process are accorded.
- 344 c. The hearing shall not be conducted according to technical legal rules relating to evidence and
345 witnesses or rigid procedural guidelines. The Chair shall admit evidence on which reasonable persons
346 are accustomed to rely in the conduct of serious affairs, but shall exclude evidence that is irrelevant,
347 inappropriate, or unduly repetitious. Statements related to questions of character, excluding factual
348 evidence presented regarding credibility of statements or witnesses will not be admitted in the
349 hearing.
- 350 5. Presenting Evidence and Witnesses
- 351 a. Written evidence presented by either party may be subject to refutation and consideration by the
352 opposite party and Committee members. Only evidence presented to the Committee per Section
353 IV.D.1-5 may be presented at the hearing. Only evidence presented in the hearing shall be considered
354 in the final recommendations.
- 355 b. At the hearing, the grievant and respondent, and witnesses may testify and be questioned by the
356 opposite party and Committee members. The Chair will facilitate a structured process. No party to
357 the hearing or committee member may proceed with questioning without acknowledgement or
358 instruction from the Chair. Any party or witness who is disruptive to the hearing process may be
359 excused from the hearing by the chair after one verbal warning regarding inappropriate conduct.
- 360 c. Each witness must leave the room after giving evidence and must not hold discussions with other
361 witnesses.
- 362 d. At the request of the committee, a witness may be recalled only to provide clarification. The Chair
363 must make a decision on the importance of the potential testimony against the inconvenience of
364 recalling excused witnesses.
- 365 e. Additional witnesses, beyond those previously named by the grievant and the respondent per Section
366 IV.D.1-5 may not be called to present evidence at the hearing unless approved by the Chair. Such
367 exceptions will be rare, and the rationale for such exception must be substantiated by the Chair and
368 entered into the hearing record.
- 369 f. The Chair may ask each witness the following question: "Do you promise that the testimony you are
370 about to give in this matter shall be the truth as you know it?"
- 371 F. Closed Hearing and Confidentiality
- 372 1. No member of the committee shall discuss personal and/or pertinent information relating to a specific
373 grievance with any persons who are non-committee members except at the request of the committee or as
374 part of the investigation or hearing processes defined in this document. This shall not preclude
375 notification of University Police and the Dean of Students Office by the Student Grievance Committee

- 376 Chair in the event that any committee member perceives the safety of any person or property to be in
377 jeopardy.
- 378 2. The formal grievance hearing is a closed proceeding. Attendance in the hearing is limited to the grievant,
379 the respondent, their advisors (if any), witnesses while giving evidence, the committee, and a recorder (if
380 any), to provide administrative support for the Chair. The content of the proceedings and the committee
381 recommendations resulting wherefrom must not be made public by any participant in the hearing. In the
382 event these matters should become public, further public statements may only be made by the President or
383 designee. This closed proceeding does not prohibit referral by the committee to an appropriate unit for
384 review of a party's conduct following appropriate procedures on the basis of evidence presented at the
385 hearing.
- 386 3. To protect the grievant and respondent, all participants shall maintain confidentiality to the maximum
387 extent possible at every level of the grievance process. A breach of confidentiality is a breach of ethics
388 and may breach employment contracts, the code of student conduct, or the Family Education Rights and
389 Privacy Act (FERPA).
- 390 4. Communication Guidelines: All written documentation and recommendations relating to individual
391 grievances shall be marked and handled per the university's practices for confidential material. The
392 Committee Chair may consult with the Dean of Students Office for further information.
- 393 5. Committee Deliberation and Recommendation
- 394 a. The Committee shall have up to ten instructional days from the date of the hearing in which to
395 conduct its deliberations and determine its recommended outcome to the case.
- 396 b. Committee members shall deliberate and arrive at their recommendations in consultation among
397 themselves based only on evidence admitted in the formal grievance hearing. Only those entitled to
398 vote on the case, their alternates, the chair, and the recorder shall be present during consultation and
399 voting. Only members of the Committee who have heard all testimony during the hearing relating to
400 the grievance shall vote on the case.
- 401 c. A committee member may seek procedural advice only from the Chair.
- 402 d. The Chair must not allow coercion of any member of the committee by another member.
- 403 e. The Committee will determine the recommended outcome to the grievance by secret ballot. The Chair
404 records the vote.
- 405 f. A simple majority of the quorum is required to reach a conclusion.
- 406 g. The Chair must write a report consisting of the finding of facts and recommendations made by the
407 Grievance Hearing Committee. This report will be signed by all the committee members and
408 submitted to the Appropriate Vice President within ten instructional days after the committee has
409 determined the recommended outcome of the grievance.
- 410 h. Dissenting committee members may write a minority report which must be submitted to the
411 Appropriate Vice President within ten instructional days after the committee has determined the
412 outcome of the grievance. A copy of the Committee Report and the Dissenting report(s) will be filed
413 in the Dean of Students Office within the same timeframe.
- 414 h. When in the opinion of the Committee, disciplinary action against a student or university employee
415 may be appropriate, the Committee may recommend that the report be reviewed by the appropriate
416 administrator or department to determine if disciplinary action against a student or university
417 employee is warranted.

- 418 i. The recommended outcome determined by this Committee shall supersede any previous decisions
419 reached by individuals or committees within departments, schools, or colleges of the University.
- 420 j. If the recommended outcome reveals a need for policy review or creation, the Committee shall refer
421 its recommendations to the Senate Executive Committee or to the Vice President of the Division
422 responsible for the policy as appropriate.
- 423 k. Should any grievant, respondent, or person not directly involved in a complaint, allegedly suffer some
424 disadvantage, discrimination, or reprisal as the result of a complaint, testimony, or statement in
425 connection with Committee action, the Student Grievance Committee shall, upon request or upon its
426 own motion, refer the concern to the appropriate administrator or department for review and potential
427 action.

428 9. Decision

- 429 a. Within ten instructional days from receipt of the committee's report, the appropriate Vice President
430 will render a decision on the grievance and communicate it in writing to the grievant and respondent.
431 A copy of this decision will be provided to the President's Office, the Dean of Students Office, the
432 Grievance Committee Chair, and the administrator of the unit in which the respondent is employed.
433 Unless deemed otherwise by the President, the appropriate Vice President has the sole decision
434 making power to carry out the recommendations of the Committee or to make an alternate decision
435 on the grievance. Should a disagreement occur, the vice president would meet with the committee
436 chair to further discuss the decision. This decision is final for all purposes and supersedes all previous
437 recommendations and decisions. Written copies of the decision will be kept on file in the Dean of
438 Students Office with all other materials relating to the case.
- 439 b. Ordinarily, the outcome of the formal Grievance Hearing shall not be overturned because of technical
440 departure from the procedures or because of errors in their application. However, if technical
441 departures or errors were such that a fair and just determination of the issues was compromised, then
442 the appropriate Vice President may reject the recommendation or call for a new hearing.
- 443 c. Deciding the effect, if any, of a failure to strictly adhere to the time deadlines stated in these
444 procedures is within the discretion of the appropriate Vice President with input from the Dean of
445 Students, the Chair, and the Grievance Committee.

446 V. RECORDS RETENTION AND CONFIDENTIALITY UPON CONCLUSION OF CASE

447 All documents and recordings of the hearing relative to an individual grievance case shall be appropriately
448 maintained in locked file drawers located in the Dean of Students Office for three years after the grievant
449 separates from the university. Records will be destroyed after this three year period. Upon conclusion of the
450 case, requests for copies of any materials related to a formal grievance case must be submitted to the Dean of
451 Students Office. Such requests will be reviewed per relevant university policies and applicable laws to
452 determine whether the request will be granted, the format and timeline in which materials will be available,
453 and if any charge will apply to the requesting party.

454

Grievance Timeline	
1. Grievance Occurs	
2. Informal Resolution	
3. Last Day to submit Request for formal Grievance Hearing	March 15 for grievances occurring in the preceding Summer/Fall Semester. October 15 for grievances occurring in the preceding Spring Semester
4. Dean of Students Transmits copies to respondent and Committee Chair	5 Instructional Days (I-Days) of Step 3
5. Respondent provides answer to grievance to Dean of Students. Dean of Students will provide copy of answer to grievant	10 (I-Days) of Step 3
6. Dean of Students provide Committee Chair with respondent answer, and all other materials	5 (I-Days) of Step 5
7. Committee chair holds committee meeting to review evidence submitted by grievant and respondent	10 (I-Days) of Step 5
8. Committee Chair submits questions to the grievant and respondent	15 (I-Days) of Step 7
9. Grievant and Respondent must provide Committee with answers to questions	10 (I-Days) of Step 8
10. Committee Chair will set hearing date and notify the grievant and respondent. The hearing date will be set at least twenty days from this point	5 (I-Days) of Step 9
11. Grievant and respondent must provide the name of their advisor (if they have one) to the Dean of Students	10 (I-Days) prior to Step 15
12. Grievant and respondent must provide the names of their witnesses with a brief statement of their testimony and written evidence to the Chair	10 (I-Days) prior to Step 15
13. Grievant and respondent must present exhibits to the Chair	10 (I-Days) prior to Step 15
14. Committee Chair will make all materials available in the Dean of Students Office for review by the grievant, respondent or committee	5 (I-Days) prior to Step 15
15. Grievance Hearing Date	
16. Committee members shall deliberate (vote) and arrive at their recommendations	10 (I-Days) of to Step 15
17. Committee Chair will write a report consisting of the findings and recommendations to the appropriate Vice President	10 (I-Days) of to Step 16
18. Dissenting Committee members if they choose will submit a minority report to the appropriate Vice President	10 (I-Days) of to Step 16
19. The appropriate Vice President will render a decision on the grievance and notify the grievant and respondent of that decision	10 (I-Days) of to Step 17

Grievance Timeline (Example Calendar)	Fall 2010	Spring 2011
1. Grievance Occurs	Fall 2010	Spring 2011
2. Informal Resolution - Required before the filing of the formal process		
3. Last Day to submit Request for formal Grievance Hearing	No later than 3/15/2011	No later than 10/15/2011
4. Dean of Students Transmits copies to respondent and Committee Chair	3/22/2011	10/21/2011
5. Respondent provides answer to grievance to Dean of Students. Dean of Students will provide copy of answer to grievant	4/5/2011	11/4/2011
6. Dean of Students provide Committee Chair with respondent answer, and all other materials	4/12/2011	11/14/2011
7. Committee chair holds committee meeting to review evidence submitted by grievant and respondent	4/19/2011	11/30/2011
8. Committee Chair submits questions to the grievant and respondent	5/10/2011	1/19/2012
9. Grievant and Respondent must provide Committee with answers to questions	8/29/2011	2/2/2012
10. Committee Chair will set hearing date and notify the grievant and respondent. The hearing date will be set at least twenty days from this point	9/6/2011	2/9/2012
11. Grievant and respondent must provide the name of their advisor (if they have one) to the Dean of Students	9/20/2011	2/16/2012
12. Grievant and respondent must provide the names of their witnesses with a brief statement of their testimony and written evidence to the Chair	9/20/2011	2/16/2012
13. Grievant and respondent must present exhibits to the Chair	9/20/2011	2/16/2012
14. Committee Chair will make all materials available in the Dean of Students Office for review by the grievant, respondent or committee	9/27/2011	2/23/2012
15. Grievance Hearing Date	10/4/2011	3/1/2012
16. Committee members shall deliberate (vote) and arrive at their recommendations	10/18/2011	3/15/2012
17. Committee Chair will write a report consisting of the findings and recommendations to the appropriate Vice President	11/1/2011	3/29/2012
18. Dissenting Committee members if they choose will submit a minority report to the appropriate Vice President	11/1/2011	3/29/2012
19. The appropriate Vice President will render a decision on the grievance and notify the grievant and respondent of that decision	11/16/2011	4/19/2012

B.A. in Environmental Studies

BLP: The Budget and Long Range Planning Committee (BLP) has investigated and discussed the P-Form for a proposed program in Environmental Studies. BLP has reviewed the immediate and long range prospects for this proposed program and has considered the resource implications of the initiation of the program. We appreciate the cooperation of the proposer, Dr. Robert Brown, and thank him for his willingness to meet with BLP to provide timely responses to our questions which enabled us to complete our work. BLP submits the following analysis of the impact of this program to the Academic Senate to guide Senators in their consideration of the proposal.

BLP recognizes that in difficult budget times, curriculum should move forward even if the launch date may be delayed by resource constraints. The proposers of the program, and their College Curriculum and Academic Policy Committee concur that they shall not launch this new program until assured that sufficient resources are available to support the program. Senate approval of programs, in the present economic environment, will position a program to be implemented when the resources are available.

Program Demand: Rather than using student stated-preference data to indicate program demand, the proposal reports student enrollment in environment-related courses at CSUSM over a 5-year period, showing a strong interest in courses that would be offered in the major. These existing courses from across disciplines will support the degree, in addition to seven newly proposed Environmental Studies courses and three new Visual Arts courses. Sources such as SANDAG data indicate issues of importance to the San Diego region including resource/energy management, land-use decisions, and protecting the region's environmental entities (beaches) would be addressed in the curriculum.

Resource Implications: Delivery of the Environmental Studies program is estimated to require at least two new tenure-track faculty over the first two years. The proposal identifies the need for a faculty member specializing in hydrology and geomorphology, a science hire that would likely incur research lab space and their associated costs. A second faculty hire in environmental and urban planning with extensive knowledge in GIS is necessary given existing faculty with expertise are already committed to teaching courses in present programs. Existing faculty, from across disciplines, are available to develop some of the new courses, but would impede their present teaching commitments. The program could be launched using adjunct specialists and existing faculty, only as a very short-term solution and if commitment to faculty resources was imminent. For example, the Geomorphic Processes (ENVS 200) requirement could be satisfied with Geography and Geology courses, some offered at the community colleges, but is not a viable longer term solution.

The program would require a Director funded with two course releases per year as an on-going cost. Additional release time would be necessary for outreach efforts for both student recruitment and community outreach for program support. Library cost, in today's dollars, is estimated at approximately \$15,000. This includes an environmental studies focused database presently not licensed by the Library. Ongoing funding is needed to support the information resources necessary for the program.

BLP believes that the Environmental Studies program review and approval should move forward so that when resources are available, the program is positioned for implementation.

UCC: UCC has finished its review of the Environmental Studies Degree Major Program and is completing its review of the accompanying new course forms. The program is proposed as an interdisciplinary program that draws from faculty expertise in Chemistry and Philosophy in addition to newly proposed Environmental Studies courses for its upper division core. It draws from Biology, Chemistry, Physics, Anthropology, Economics, Geography, Liberal Studies, Philosophy, and Political Science for upper division electives.

The program is based on six newly proposed Environmental Studies core courses, one newly developed Environmental Studies elective course and three newly developed Visual Arts courses. ENVS 100 Introduction to Environmental Studies, ENVS 105 Introduction to Biology/Ecology, ENVS 200 Geomorphic Processes, and ENVS 210 Research Methods: Intro to GIS serve as preparatory courses for the major and ENVS 310 Environmental Impact Analysis and ENVS 490 Capstone in Environmental Studies serve as upper division core courses. The newly developed elective courses are VSAR 313 Digital Arts and the Environment, VSAR 330 Art and Science: Historical and Contemporary Practice, VSAR 330 Art, Science, and Technology, and ENVS 320 Environmental and Land Use Design.

The Environmental Studies Program is designed to provide a collaborative setting for University and community partners to study environmental and land use issues and to provide students with an opportunity to interact with environmental systems on local, regional, and global scales. Philosophy and literature classes in the program will help students to evaluate environmental issues ethically and aesthetically and social science courses will provide them with the background to work within environmental review processes such as the National Environmental Policy act, and to understand the impacts and process of urbanization and suburbanization on the environment. Chemistry and Biology courses will help them to understand the fundamentals of the physical and life sciences as applied to environmental systems.

UCC supports the program proposal, finding it to be academically sound and particularly suited for our region and student population.

1 For the complete curriculum associated with this proposal, visit the Curriculum Review website:
2 http://www2.csusm.edu/academic_programs/Curriculum_review_09_10/index.htm#UCC_Packet_12. This proposal is in Packet
3 #12.

4 Proposed Catalog Language for the
5 Bachelor of Arts in Environmental Studies
6

7 The Environmental Studies Program at Cal State San Marcos will provide a collaborative setting for faculty, students, and
8 community partners to study environmental and land-use issues. The degree provides introductory training in physical sciences, life
9 sciences, social sciences, land-use planning, geographic information systems (GIS), environmental policy and law, research
10 methods, and environmental arts and humanities. Students will be prepared to pursue diverse careers in land management agencies,
11 environmental policy, environmental review processes in both private and public sectors, outdoor recreation, government,
12 environmental education, and non-profit organizations.

13
14 The multidisciplinary core of the degree comprises four general areas (italicized):
15

- 16 • *Life and Physical Sciences*: Provides the scientific background for the major, consisting of courses in biology, chemistry,
17 physics, ecology, and geomorphology.
- 18 • *Social Sciences and Policy* exposes students to institutional and legal frameworks of environmental policy, and to processes
19 by which policy is established.
- 20 • *Research Methods* prepares students with the quantitative tools – GIS, statistics, and research methods – necessary for
21 applied work in the professional arena and also for graduate studies.
- 22 • *Environmental Arts and Humanities* encourages students to think critically, ethically, and aesthetically about the
23 environment.

24
25 **Degree Requirements**

26 Courses taken for the B.A. degree in Environmental Studies or in preparation for the Major must be taken for “Credit.” A grade of
27 C (2.0) or better must be received in each course. At least 18 units of the required upper-division courses for the degree must be
28 taken at Cal State San Marcos.
29

30 **Bachelor of Arts in Environmental Studies**

GE requirements

31 Preparation for Major	21-24 units
32 Required upper-division courses	12 units
33 Major Elective Courses	24 units from approved course lists below
34 General Electives	Sufficient to bring total of units to 120

35 **Required Courses for B.A Degree in Environmental Studies:**¹
36

Preparation for Major

21-26
units

ENVS 100 ²	Introduction to Environmental Studies	3
ENVS 105 ³	Introduction to Biology/Ecology	3
GES 101 ⁴	Matter, Molecules, Life and the Environment I (or CHEM 150 ⁵)	3
ES 100	The Earth and Its Place in the Universe	3
ENVS 200	Geomorphologic Processes (or 3 units of Geography and 3 units of Geology)	3
ENVS 210	Research Methods: Introduction to GIS (prerequisite is ENVS 100)	3

Plus one course from:

¹ Required coursework satisfies General Education areas B1, B2, B3, and D or D7.

² Satisfies General Education area D7 (Interdisciplinary Social Sciences) or area D (Discipline Specific or Second Interdisciplinary Social Science)

³ Satisfies General Education area B2 (Life Science).

⁴ Satisfies General Education areas B1 (Physical Science) and B3 (Laboratory).

⁵ Students who substitute CHEM 150 for GES 101 are required to take PHYSICS 351 to fulfill 3 units of their Physical and Life Sciences electives – this is to assure some physics exposure in their course studies. A student may substitute CHEM 150 for GES 101 without taking CHEM 150L (laboratory) but, in this case, then must satisfy General Education area B3 (Laboratory) with another course selection

PSYC 220	Introductory Statistics in Psychology	3
SOC 201	Introductory Statistics for Social Sciences	3
BIOL 215	Experimental Design and Statistical Analysis	4
MATH 242	Introduction to Statistics	3

Upper Division Core Requirements

ENVS 310	Environmental Impact Analysis (prerequisite is ENVS 100)	<u>3</u>
ENVS 490	Capstone in Environmental Studies	3
PHIL 340	Ethics and the Environment	3
CHEM 311	Chemicals and the Environment	3

Major Elective Courses

24 units chosen from courses listed in Arts and Humanities, Social Science, and Natural Sciences with at least six units completed in each area (see below). Courses listed in multiple areas can only be counted as part of the six units in one area.

24 units

Major Elective Course Lists:

A. Arts and Humanities Course List

ANTH 370	Environment, Population, Culture	3
ANTH 470	Community Ethnobotany	3
ANTH 480 ⁶	Local Archaeological Practice	3
HIST 340	Environmental History of the US	3
VSAR 313	Digital Arts and The Environment	3
VSAR 330	Art and Science: Historical and Contemporary Practice	3
VSAR 331	Art, Science, and Technology	3

B. Social Science Course List

ANTH 370	Environment, Population, Culture	3
ANTH 470	Community Ethnobotany	3
BRS 453	Border Water Conflicts	3
ECON 325 ⁷	Economics of the Environment and Natural Resources	3
ENVS 320	Environmental and Land Use Design	3
GEOG 320	Patterns of San Diego County	3
HIST 340	Environmental History of the US	3
LBST 307	Children and the Environment	3
PSCI 420	US Environmental Policy	3
PSYC 338	Environmental Psychology	3

C. Physical and Life Science Course List

BIOL 336	Coastal Environments	3
BIOL 338	Human Impact on the Environment	3
BIOL 339	Conservation Biology	3
BIOL 363 ⁸	Principles of Conservation Biology	3
BIOL 388 ⁹	Marine Communities	3
PHYS 351	How Things Work	3
CHEM 313	Energy and Society	3
ES 314	The Geosphere in Context	3

⁶ ANTH 480 has an enrollment requirement of ANTH 200.

⁷ ECON 201 and 202 are prerequisites for ECON 325.

⁸ BIOL 210 and 211 are prerequisites for BIOL 363.

⁹ BIOL 210 and 211 are prerequisites for BIOL 363.

New Course Descriptions

ENVS 100 - Introduction to Environmental Studies (3). An introduction to the ways in which human behavior impacts and is connected to environmental systems. The course integrates multiple perspectives of environmental issues from the natural sciences, behavioral sciences, social sciences, culture, ethics, and the arts and humanities. Topics include energy use, resource depletion, water supply, air pollution, population growth, urbanization, climate change, biodiversity, and more.

ENVS 105 - Introduction to Biology/Ecology (3). An introduction to the natural and physical processes governing environmental systems, as well as the ways in which human behavior impacts and is connected to the environment. The course studies how living organisms function and evolve with the natural world, covering a diversity of organisms and physical environments. Examples of topics covered in the course include energy flow, nutrient cycling, population dynamics, and the ecological and biological consequences of human activities.

ENVS 200 - Geomorphic Processes (3). The course studies relations between water, wind, gravity, and humans in the formation and deposition of land and sea landforms. The course introduces landform terminologies and processes that shape the earth's environmental landscape. The connection between geomorphic processes and human activities is a central focus.

ENVS 210 – Research Methods: Introduction to Geographic Information Systems (GIS) (3). Students are provided the foundations of spatial landscape analysis through computer-based, geographic information systems. The course emphasizes spatial data collection, processing, analysis, and presentation using GIS software within the context of environmental and urban design. The course introduces spatial variations and interactions of rural, suburban, and urban landscape. In addition, the course examines land-use planning issues such as transportation, economic development, housing, open space preservation, environmental protection, urban design, and public finance.

ENVS 310 - Environmental Impact Analysis (3). The course introduces methods for analyzing and quantifying human impacts on the environment. Theoretical and applied aspects of environmental impact assessment are covered, with particular focus on preparation processes of environmental impact reports (EIRs) and statements (EISs) mandated by state and federal statutes. California planning statutes are studied, as well as the political processes surrounding land-use decisions. The course introduces such topics as cost-benefit analysis, EIR/EIS review processes, and litigation and mediation of EIRs. Prerequisite is ENVS 100.

ENVS 320 - Environmental and Land-Use Design (3). Building on ENVS 200, this course further develops methods to study human impacts on the environmental landscape associated with land-use planning. Spatial variations and interactions of rural, suburban, and urban landscapes are studied. In addition, land-use planning approaches are examined within legal, administrative, comparative perspectives, and applied research methods. Course examines policies like transportation, open space preservation, housing, economic development, environmental protection, urban design, and public finance. Prerequisite is ENVS 200.

ENVS 490 - Capstone in Environmental Studies (3). The capstone requires students to apply concepts from their coursework to complete an original research project. At least *one faculty member* approves and advises the student on a project that is mutually designed to satisfy the student's intellectual interests and professional objectives. The capstone project should demonstrate the student's ability to integrate coursework from throughout the major in a project that examines a particular environmental topic, issue, or creative endeavor. Prior to enrolling in ENVS 490, a student must complete all course requirements listed under "Preparation for the Major" as well as ENVS 310 and CHEM 311 (concurrent enrollment in ENVS 310 and/or CHEM 311 is allowed with consent of the faculty advisor.)

VSAR 313 – Digital Arts and the Environment (3). Course investigates a broad range of artistic practices and contemporary artists who use digital media to comment on and shape current environmental debates. Explores a broad range of environmental perspectives to enrich our understanding of current environmental concerns and their interpretation through digital media. Lectures, screenings, interviews, group discussions, research. Final projects include site-specific art exhibitions, artist's books, photographic series, video. May be repeated one time for credit for a total of 6 units.

VSAR 330- Art and Science: Historical and Contemporary Practice (3). The course surveys the connection between art and science from the Renaissance to the present focusing on themes including space, time, process, pattern and material. Students will be introduced to the structural parallels between art and science as well as the cultural and ethical issues surrounding science as they are reflected through art.

VSAR 331 - Art, Science and Technology (3). This advanced studio course focuses on the juncture of art and science in contemporary art practice. Students will be exposed to different approaches, materials, and technologies used by artists today, and they will develop their own projects based in themes including environmental art and science, the body (biology and medicine), and space, time and light (physics). Prerequisites: 21 units of lower division classes in either VSAR or in the sciences.

Border Studies Minor

BLP: No resource implications anticipated.

UCC: UCC has finished its review of the Border Studies Minor proposed as a stand-alone minor housed in the Liberal Studies Department. The purpose of the minor is to complement the knowledge and skills that students master in their chosen minor by elucidating the complexities of border regions and communities. This is an interdisciplinary program with courses that will prepare students for working with communities having overlapping cultural, geopolitical, linguistic, and social frontiers.

The program requires that students take one of two Geography courses, GEOG 201 World Regional Geography or GEOG 302 World Regional Geography: Geographic Information Systems Enhanced as preparation for the Core classes. Both of these courses offer a survey of major world regions and include the study of specific geographical circumstances and concepts, including an emphasis on physical geography. The core Classes include BRS 300 Borders and Regions: Interdisciplinary Perspectives, BRS 301 Research Methods in Border and Regional Studies, and BRS 400 Comparative Border and Regional Studies. These courses introduce students to concepts, theories, and issues central to the study of regions and borders and to methodologies used in collecting and analyzing data in border and regional studies. Two elective courses may be selected from a list that includes other Border Studies and Geography courses and Linguistics 305, Languages in Contact.

This is an 18-unit undergraduate minor that draws from the expertise of the Liberal Studies Department Faculty and requires no new faculty resources. No new courses are proposed for the minor.

1 For the complete curriculum associated with this proposal, visit the Curriculum Review
2 website:
3 [http://www2.csusm.edu/academic_programs/Curriculum_review_09_10/index.htm#](http://www2.csusm.edu/academic_programs/Curriculum_review_09_10/index.htm#UCC_Packet_14)
4 [UCC Packet 14](http://www2.csusm.edu/academic_programs/Curriculum_review_09_10/index.htm#UCC_Packet_14). This proposal is in Packet #14.
5
6

7 Proposed Catalog Language for the 8 Minor in Border Studies 9

10 The Borders Studies minor offers an interdisciplinary opportunity to explore
11 communities and territories which emerge in border regions worldwide. The courses
12 which make up the minor examine human interactions that shape and are shaped by
13 borders that divide people and places. The curriculum provides an understanding of
14 how border communities are formed and sustained, and explores the interrelationships
15 of diverse groups across the cultural, geopolitical, linguistic and social frontiers that
16 exist in communities.
17

18 **Requirements** 19

20 Completion of eighteen (18) units of credit, fifteen (15) of which must be at the upper-
21 division level. Each course counted toward the minor must be completed with a grade
22 of C (2.0) or better.

23 Units

24 Prep (3 units):

25 GEOG 201 or GEOG 302 3
26

27 Required Core Classes (9 units):

28 BRS 300 3

29 BRS 301 3

30 BRS 400 3
31

32 Six (6) units selected from the following:

33 BRS 330 3

34 BRS 364 3

35 BRS 430 3

36 BRS 453 3

37 GEOG 305* 3

38 GEOG 305S* 3

39 GEOG 320 3

40 GEOG 341 3

41 GEOG 460 3

42 LING 305 3
43

44 * GEOG 305 and GEOG 305S cannot both be taken to fulfill this requirement

45

46 **Special Conditions for the Minor in Border Studies**

47 Completion of a Border Studies Minor is not available to students whose major course
48 of study includes the Bachelor of Arts in Liberal Studies, Border Studies Option.

49 However, students whose major course of study includes the Bachelor of Arts in Liberal
50 Studies, Elementary Subject Matter Preparation or Integrated Credential Program (or
51 any other major at the university) are eligible to complete a Minor in Border Studies.

52

53

54

55

New Course Descriptions

56

57 **GEOG 341 - Nature and Society in California (3)**

58 Has California influenced people or have people changed California? A review of the
59 historical context within which Spanish, Mexican, European, and Asian settlers arrived
60 in California including consideration of the state's physical geography, the evolution of
61 nature-society relationships, related myths, social relations, economic trajectories,
62 political currents, and cultural dynamics. Through readings and film, discussion and
63 lecture, students pursue classic themes in geography such as natural resource
64 exploitation, regional development, and urban-rural relations.

65

66 **GEOG 460 - Food Systems and Emerging Markets (3)**

67 An assessment of the North American food system in the context of globalization and
68 world development including the impact of U.S. food production and foreign policy
69 on developing nations. Considers the structure and operation of the food system from
70 the farm gate to the dinner table, with an emphasis on case studies of food production-
71 consumption, food and agricultural regulation and emerging markets, and geographic
72 difference. Covers related areas in entomology, soil science, food science, and agro-
73 ecology.

74

75

Geography Minor

BLP: No resource implications anticipated.

UCC: UCC has finished its review of the Geography Minor proposed as a stand-alone minor housed in the Liberal Studies Department. The Geography Minor focuses on the interaction of people with their social, physical and biological environments across space and time and offers students the opportunity to analyze patterns of social and physical activity from the geographic perspective.

The program requires that students take ES 100 The Earth and its Place in the Universe, GEOG 201 World Regional Geography, and GEOG 302 World Regional Geography: Geographic Information Systems Enhanced as preparation for the Core classes. These courses will equip students with foundational knowledge, concepts and theories in physical and human geography through a survey of major world regions that includes the study of physical geography. The four core classes can be selected from among thirteen upper-division courses including the following:

- four Border Studies courses – BRS 300 Borders and Regions: Interdisciplinary Perspectives, BRS 330 Introduction to Migration Studies, and BRS 364 Trade Routes: Pathways across Borders, BRS 453 Border Water Conflicts;
- four Geography courses – GEOG 305 The U.S.-Mexican Border or GEOG 3305S La Frontera Mexico-Estado Unidos, GEOG 320 Patterns of San Diego County, GEOG 340 Regional Geography, GEOG 341 Nature and Society in California, and GEOG 460 Food Systems and Emerging Markets.
- two additional courses: ID 340 Diversity and Discrimination in America and LBST 307 Children and the Environment.

This is an 18-unit undergraduate minor that draws from the expertise of the Liberal Studies Department Faculty and requires no new faculty resources. Two new courses are proposed for the minor, GEOG 341 Nature and Society in California and GEOG 460 Food Systems and Emerging Markets. These courses have been successfully taught as topics courses and are being converted to GEOG courses.

1 For the complete curriculum associated with this proposal, visit the Curriculum Review website:
2 http://www2.csusm.edu/academic_programs/Curriculum_review_09_10/index.htm#UCC_Packet
3 14. This proposal is in Packet #14.
4

5 Proposed Catalog Language for the Minor in Geography 6

7 Geographers study why and where people, places and environments are located on the planet and
8 the processes of social and spatial change they are experiencing. The Minor in Geography provides
9 students with a suite of courses that use geographic understanding to explore issues and themes
10 related to social justice and the environment, globalization and global change, border development,
11 climate change impacts and adaptation, water governance, and economic development.
12

13 The minor program provides students with analytical tools, research opportunities, global
14 understanding and broad preparation for further graduate study, and for careers in business,
15 education, environmental management, international and community development, and
16 government. It is an excellent addition to majors in Anthropology, Business Administration,
17 Biochemistry, Biological Sciences, Border Studies, Communications, Ethnic Studies, Global Studies,
18 History, Liberal Studies, Native Studies, Political Science, Sociology, and Women's Studies.
19

20 **Requirements:** 21

22 Completion of eighteen (18) units of credit, twelve (12) of which must be at the upper-division level.
23 Students may choose any upper division course in geography in addition to those listed below. Each
24 course counted toward the minor must be completed with a grade of C (2.0) or better.
25

26 Preparation for the Minor (Choose two) Units 27

28 ES 100	The Earth and its Place in the Universe	3
29 Geog 201	World Regional Geography	3
30 Geog 302	World Regional Geography: Geographic 31 Information Systems (GIS) Enhanced	3

32 Core Courses for the Minor (Choose four): 33

34 BRS 300	Borders and Regions: Interdisciplinary 35 Perspectives	3
36 BRS 330	Introduction to Migration Studies	3
37 BRS 364	Trade Routes: Pathways across Borders	3
38 BRS 453	Border Water Conflicts	3
39 Geog 302	World Regional Geography: Geographic 40 Information Systems (GIS) Enhanced	3
41 Geog 305	The U.S.-Mexican Border	3

43	Geog 305s	La Frontera Mexico-Estados Unidos	3
44	Geog 320	Patterns of San Diego County	3
45	Geog 340	Regional Geography	3
46	A.	Africa	
47	B.	Asia	
48	C.	Latin America	
49	D.	Europe	
50	E.	North America	
51	F.	China	
52	G.	United States	
53	Geog 341	Nature and Society in California	3
54	Geog 460	Food Systems and Emerging Markets	3
55	ID 340	Diversity and Discrimination in America	3
56	LBST 307	Children and the Environment	3

57
58 * Students may not take both GEOG 305 and GEOG 305S, nor both Geog 201 and 302.

59 **Additional courses may be available; check the class schedule for the latest offerings.

60
61
62
63

New Course Descriptions

64 **GEOG 341 - Nature and Society in California (3)**

65 Has California influenced people or have people changed California? A review of the historical
66 context within which Spanish, Mexican, European, and Asian settlers arrived in California including
67 consideration of the state's physical geography, the evolution of nature-society relationships, related
68 myths, social relations, economic trajectories, political currents, and cultural dynamics. Through
69 readings and film, discussion and lecture, students pursue classic themes in geography such as
70 natural resource exploitation, regional development, and urban-rural relations.

71

72 **GEOG 460 - Food Systems and Emerging Markets (3)**

73 An assessment of the North American food system in the context of globalization and world
74 development including the impact of U.S. food production and foreign policy on developing
75 nations. Considers the structure and operation of the food system from the farm gate to the dinner
76 table, with an emphasis on case studies of food production-consumption, food and agricultural
77 regulation and emerging markets, and geographic difference. Covers related areas in entomology,
78 soil science, food science, and agro-ecology.

79
80