

1 **BLP: Changes in Structure in Academic Affairs**
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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.*

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4 I. Definitions

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6 A. *University:* A larger institution of higher learning that encompasses such academic entities as
7 colleges and/or schools, institutes, and graduate and professional schools/programs.
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9 1. It has an administrative structure (president/chancellor, provost, vice presidents,
10 directors), support staff, teaching faculty, and governance.
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12 2. A university will also have a research component involving faculty, in contrast to some
13 colleges (especially community colleges) that focus on teaching.
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15 B. *Academic Affairs:* Academic Affairs is a division of the University.
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17 C. *College:* A college is a unit of Academic Affairs, part of the organizational structure with
18 its own distinct leadership and governance structure.
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20 1. It consists of subunits of related academic departments or programs offering degrees
21 or credentials, organized for efficient resource usage and efficient and equitable
22 governance.
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24 2 Through its colleges, the university shall grant baccalaureate degrees, credentials, and
25 graduate degrees.
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27 D. *School not housed within a College:* A school is a unit within Academic Affairs that
28 functions in the same way as a college, with the difference being that a school is more
29 specialized than a college in that it offers a single degree or a distinct cluster of closely related
30 degrees.
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32 1. Typically schools are professional programs with distinct accrediting standards.
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- 34 E. Non-degree-offering Academic Affairs units: These are the various units within Academic
35 Affair that do not offer degree programs, including Academic Programs, Academic Resources,
36 Extended Learning, the Faculty Center, Graduate Studies & Research, Global Education,
37 Instructional & Information Technology Services, and the Library.
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- 39 F. Academic Affairs Leadership Council (AALC): This entity serves as the “Advisory body to the
40 Provost comprised of the Provost’s direct-report MPP-level managers and Chair of the Academic
41 Senate” (http://www.csusm.edu/aa/committees_councils/aalc_pages/aalc.html).
- 42 G. Budget & Long-Range Planning Committee (BLP): This standing committee of the Academic
43 Senate is staffed according to Article 6.6 of the Academic Senate’s Constitution and Bylaws, and
44 its duties are spelled out in Article 6.6.1 of that document.
45

46 II. Principles 47

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

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

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85 3. Units engage in their standard deliberative processes which may include consultation,
86 consensus and /or voting.
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88 C. Recommendations: At each step of the review process, an official recommendation shall include
89 a written rationale. Additionally, affected faculty members, staff, and administrators may
90 provide independent, perhaps dissenting, perspectives in writing¹ to inform the next stage of
91 review. All written documentation is compiled by the Provost's Office and made available on the
92 Academic Affairs webpage. The Provost's Office forwards the documentation to the next stage
93 of review.
94

95 D. Timeline: The initiator may start the process at any time during the Academic Year. The
96 timeline clock stops temporarily during Winter break and Spring break. The clock resets between
97 the last day of classes for Spring semester until the first day of classes Fall semester. In the event
98 the Senate does not receive the proposal in time to have both a first and second reading, the
99 timeline for Academic Senate starts at the beginning of the next Academic Year.
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102 This policy is based on "Academic Affairs Structure Task Force Final Report" (1/21/09).

¹ All written recommendations identify the author(s).

1 **Resolution for the Adoption of a University Policy Opposing**
2 **Unacceptable Behavior Demeaning Individuals or Groups on Campus and**
3 **Prohibiting the Use of University Funds or Facilities by Those Making Such Statements**
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6 **WHEREAS,** Recent occurrences of hate speech appeared on campus facilities and were intended to be,
7 derogatory of many members of the California State University San Marcos (CSUSM) student body; and
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9 **WHEREAS,** The Academic Senate of CSUSM is dedicated to the creation and maintenance of a learning
10 environment which respects and enhances the potential of all members of its community; and
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12 **WHEREAS,** The acceptance of diversity in terms of race, ethnicity, religion, culture, gender, sexual
13 orientation or physical challenges is critical to responsible leadership and citizenship; and
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15 **WHEREAS,** Silence in response to individual and institutional racism, sexism, and bigotry, facilitates their
16 perpetuation if not contagious expansion, and
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18 **WHEREAS,** The CSUSM Academic Senate reaffirms its commitment to promote respect for and
19 appreciation and celebration of diversity in all aspects of University life; and
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21 **WHEREAS,** The CSUSM Academic Senate embraces the development of a diverse learning environment,
22 which enhances the quality of the educational product, and applauds those individuals on each campus
23 who have shown their dedication to increasing diversity; and
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25 **WHEREAS,** The CSUSM Academic Senate declares these acts to be "shameful incidents," and "bigotry and
26 malicious aggression" against our students; and
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28 **WHEREAS,** It is never appropriate to demean or reduce an individual based on group affiliation or
29 personal characteristics; and
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31 **WHEREAS,** It is never appropriate to promote hate or discrimination; and
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33 **WHEREAS,** The faculty of CSUSM cherishes freedom of speech as a fundamental right and strongly
34 advocates freedom of speech in all aspects of University life; and
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36 **WHEREAS,** The faculty of CSUSM recognizes that the right to freedom of speech is not absolute and is
37 subject to both legal restrictions and standards of civility; now, therefore, be it
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39 **RESOLVED,** That the CSUSM Academic Senate encourage all members of the University community to
40 behave in a civil manner and to avoid any behavior which demeans or reduces an individual based on group
41 affiliation or personal characteristics or which promotes hate or discrimination; and be it further
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43 **RESOLVED,** That representatives of the Academic Senate and of other organizations on the University
44 campus dedicated to opposing bigotry and malicious aggression support student opposition to such
45 behaviors and their clearly stated demands for acceptance and respect of all University community
46 members.

MEMORANDUM

DATE: February 2, 2009

TO: Academic Senate Executive Committee

FROM: Catherine S. Herlihy and K. Brooks Reid, members of the 2007/2008 and 2008/2009 University Promotion & Tenure Committee

SUBJECT: Observations from the Promotion & Tenure Committee 2007/08 review process

In the weeks following the 2008 Promotion & Tenure Committee (P&T Committee) deliberations, members of the Committee discussed several issues that were identified as needing clarification for future P&T Committees. This process stalled during summer and fall 2008. Finally we forward these concerns to the Academic Senate asking for clarification of some vagaries that exist with the tenure and promotion process. (Perhaps the Faculty Affairs Committee is the appropriate place to address these concerns.) Even though clarifications will most certainly be made too late for the 2009 deliberations of the current P&T Committee, they will surely aid P&T Committees in future deliberations.

K. Brooks Reid and Kit Herlihy will be available to provide context on the following items in the University RTP document.

- 1) Section IIC4 of the Faculty Personnel Procedures for Retention, Tenure and Promotion policy document (University RTP document) states that "the WPAF shall be complete by the deadline announced in the RTP timetable. Any material added after that date must have the approval of the Peer Review committee and must be material that becomes available only after the WPAF closure date. New materials must be reviewed, evaluated, and commented upon by the Peer Review Committee and the Department chair (if applicable) before consideration at subsequent levels of review." In 2008 after the P&T Committee completed review of all WPAF's and after the P&T Committee sent out its recommendations to the candidates, the P&T Committee learned via an e-mail to the review committees that new items had been added to a candidate's file, apparently without review, evaluation and comment by the PRC (and the Department Chair) before consideration at subsequent levels of review. The University RTP document policy needs to clarify how the Custodian of the Files can take action of this sort after the P&T Committee has completed its work. In doing so, the policy needs to take into account the time reality of possible repeated reviews of renewed files.
- 2) The University RTP document should require the candidate to distinguish work done during the review period from prior work. Of course, there are cases in which new research builds upon earlier projects, but in such situations the candidate should make clear why work done before the review period is included.
- 3) What can be done to assist the P&T Committee to discern what research/scholarly activity has been counted towards previous promotions in previous reviews by previous reviewers?
- 4) Candidates may include the phrase "documentation available on request" in their WPAFs (see Section IID5 of the University RTP document). Material that the candidate refers to with "documentation available on request" should be considered as part of the material of the WPAF. The University RTP document should include language that allows each level of review to obtain such documentation during the time of

the review...directly from the candidate instead of the process described in IIC4, and without the notification of any other level of review.

- 5) The initial period of review for completeness that is referred to in Section IV, parts D1, E1, and G1, of the University RTP document should be a review for the presence of all of the required items only. It is entirely impractical for all levels of the review to make a full-scale review of all of the WPAF's in such a brief period. Moreover, all levels of review should be able to obtain and to add additional materials to the WPAF at any time during the cycle of review subject to conditions similar to the process in item 4 above.
- 6) Section IIE8 of the University RTP document should be expanded slightly to require that the index to the WPAF be located at the beginning of the WPAF and that the index must include the location of the CV, the reflective statement[s], each piece of evidence up to 30, and required previous reviews and appropriate RTP documents.
- 7) Section IIID4 of the University RTP document states that 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. Section VB3c requires that "... 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." Is the requirement of clear evidence of a sustained record of achievement for early promotion to mean a higher standard than the requirement of fulfilling all criteria for normal promotion?
- 8) Section IIIB3 The University RTP document states that "Normally, a probationary faculty shall not be promoted during the probationary period of six years of full time service." Section VB3c requires that "... 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." Is the requirement of clear evidence of a sustained record of achievement for promotion prior to the sixth year to mean a higher standard than the requirement of fulfilling all criteria for normal promotion?
- 9) The P&T Committee suggests that the Academic Senate explore the idea of creating confidential electronic versions of the narratives and portions of the WPAF that could be accessed by reviewers during the review period at their computer workstations. Perhaps a WebCT container could be set up for each applicant and monitored for confidentiality and security. Having such material available electronically would permit all reviewers wider and more frequent access to the files. For materials that could not be added to an electronic file, all reviewers would be obligated to review that portion of the file before final discussions/decisions.
- 10) The responsibilities of those involved at different levels of review do not specify the same documents. Section IVD3 of the University RTP document specifies documents for use in PRC reviews but does not mention the University RTP document for use in PRC reviews. Section IVE3 specifies documents for use in Dean/Director reviews but does not mention the University RTP document for use in the review by a Dean/Director. Section IVG is silent about any documents for use by the P&T committee. Section IVG should specify something like: "Consistent with the CBA, the Department/Unit/College/Library/School/SSP-AR RTP standards/documents, the University RTP document and the RTP timetable, the University P&T Committee shall review and evaluate"

Rationale for changes to the RTP document

Lines 148-154. Material that becomes available only after closure date. P&T Committee feedback made it clear that adding information to the file during the reviews at stages beyond the PRC was an issue. We discussed this at length in FAC. The policy seems very clear that material CANNOT be added unless it truly became available after the WPAF submission deadline. It also seemed clear that any material which was proposed to be added must be approved by the PRC. It was not clear that other levels, such as the Dean, would be notified if something were added during a later review period. We added language to say everyone must be notified as soon as a PRC accepts materials. We also wanted to remove any questions about whether or not this would look bad to a candidate, so faculty were encouraged to add materials as they became available.

Lines 158-165 and lines 208-219. What material is being reviewed. A major milestone in the last revision of the RTP document was to reduce the size of the files to bring more focus to the narrative and the evidence that is included. Still, there were faculty who found words like “emphasis” to mean that they should still include large amounts of material from previous reviews. In practice, these are never examined. FAC agreed with P&T that this wording should be clarified to include ONLY material from the latest period of review in this review unless it was being used to show development or trends. We also included additional possible circumstances like being hired with tenure or receiving tenure separately from a promotion.

Lines 178-187. Material that is available upon request. Current practice is that material that is available upon request is handled 2 different ways: 1) it may be added formally to the file just like materials that became available after the file; or 2) it may be sent directly to the reviewer without being formally added to the file at all. There were also questions about whether or not reviewers were allowed to look up a citation from a candidate’s c.v. or from their narrative.

FAC and P&T members discussed ways to standardize these practices and to make them as useful as possible to faculty and reviewers. The result was our proposal that “available upon request” material be considered part of the file, so reviewers could request it from the candidate (through the Custodian of the File) if they wanted to see it. In addition, all reviewers should be allowed to retrieve a citation if desired. The thinking was that faculty would put their strongest evidence in their file, but that they may have additional materials that could strengthen their arguments or be considered a waste of an item. If faculty are unsure of what to include, it increases the anxiety of the process. Faculty are typically unsure of how much to include as evidence, and what the reviewers will think is sufficient body of evidence and argument to make their case. Allowing faculty to say material beyond that which they feel makes their case is “available upon request” removes some of this guesswork. If reviewers wanted to see that additional material, we should streamline the process.

In the case of citations, FAC felt that any materials which are available to all levels of review and are referenced in the c.v., narrative or evidence should be considered part of the file that may be accessed by all reviewers. This simplifies the process by allowing reviewers to access materials from their computer or another resource without going through the cumbersome request process for materials that are already considered to be part of what was submitted by the candidate.

One of the questions that came to us from EC concerned relevant material available in the public domain, but not specific to the candidate, such as acceptance rate for a journal. After consulting with CFA, and discussing this, we concluded there is no reason to limit this for the review or discussion. If reviewers have access to this information, they should be allowed to use it in their discussion.

Lines 208-219 Listing of Required Material for the WPAF. This is information that was always intended to be included in the WPAF, but it was ambiguous in the policy. As a result, some faculty included information such as service credits and 5-year post-tenure reviews, while some did not.

A minimum of one item of evidence for each section was introduced throughout (**Lines 230, 244, 266**).

Lines 230-231. Items included are expected to be discussed in narrative. This is another case where it is common practice and understanding that items included as evidence should actually be evidence for something discussed in the narrative. However, there have been some cases where faculty have included items which are not discussed anywhere, and reviewers are left guessing why the items have been included. This reflects negatively on the candidate. The additions in this section make it clear that there is an expectation that items will be discussed in the narrative.

Lines 283-284. Location of index. This was a simple request from P&T, and confirmed by others who have reviewed multiple files. We can standardize this and make it easier on all levels of review.

Lines 314-322, 344-351, 376-383, and 812-816. What are the criteria for early tenure/promotion? This was a major issue in the feedback we received from all levels in the review process. We need to be more explicit about what is considered sufficient for early tenure and/or promotion. The clear consensus in P&T feedback and on FAC was that candidates who apply for early tenure/promotion should be making the case that they have a sufficient record to be recognized as being ahead of the normal process of development. For example, the candidate may have an excellent record of scholarship for a 3rd year probationary faculty member, but would that same record be considered excellent if s/he were in the 6th year? The same logic applies to both teaching and service. It is not thought to be useful to make a more precise statement about early application for tenure/promotion, as the circumstances and requirements are so different from one College/School/Library to another and even from one Department to another.

Lines 408-409 and line 519. Removal of material from WPAF. During the review of completeness, it has happened that faculty have included material beyond what is discussed or even considered to be applicable to the review is included in the WPAF, such as a publication from a previous position at another University that is outside of the scope of the review and not mentioned in the narrative. The reviewers may request that this extraneous material be removed from the file. This is current practice. If this is requested, the candidate should have a chance to add a reference to this material in the narrative or remove the material from the file. It has been a case of a missing footnote or citation rather than a lack of relevance in some cases.

Lines 516-518. Addition of Items to WPAF. Changed the wording to reflect that only required material may be added to the WPAF by the PRC without consent of the candidate. We also allowed the PRC to add “additional” material during the review for completeness with the written consent of the candidate. This will cover cases where the candidate may be out of town, etc. and unable to place the material in the file personally.

Additional Changes: There were other small changes that we considered editorial, such as removing the word Definition when what followed was not actually a definition (as pointed out by EC), and where the language or format was altered to make something more clear or inclusive or to make a correction.

1 **FAC: Faculty Personnel Procedures For Retention, Tenure, And Promotion**
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6 **Definition** The process for decisions regarding promotion, tenure and retention of faculty unit
7 employees of CSU San Marcos shall be governed by the Faculty Personnel Procedures for
8 Promotion, Tenure and Retention.

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11 **Authority** The collective bargaining agreement between The California State University and the
12 California Faculty Association.

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14 **Scope** Faculty unit employees of CSU San Marcos.

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17 I. DEFINITION OF TERMS AND ABBREVIATIONS

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20 A. In the policies and procedures prescribed by this document, “is” is informative, “shall” is mandatory, “may” is
21 permissive, “should” is conditional, and “will” is intentional.
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23 B. The numbers in parentheses refer to sections of the Collective Bargaining Agreement (in effect at the time of the
24 adoption of this document) between the Board of Trustees of The California State University and the California
25 Faculty Association.
26
27 C. The following terms – important to understanding faculty policies and procedures for retention, tenure, and
28 promotion – are herein defined:
29
30 1. Administrator: an employee serving in a position designated as management or supervisory in accordance
31 with the Higher Education Employer-Employee Relations Act. (2.1)
32
33 2. Candidate: a faculty unit employee being evaluated for retention, tenure, or promotion. (15.1)
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35 3. CBA: Collective Bargaining Agreement between the California Faculty Association and the Board of
36 Trustees of the California State University for Unit 3 (Faculty).
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38 4. CFA: the California Faculty Association or the exclusive representative of the Union. (2.7)
39
40 5. College/Library/School/SSP-AR: College of Arts and Sciences, College of Business Administration,
41 College of Education, Library. School of Nursing, and Student Services Professional, Academic Related.
42
43 6. Confidentiality: confidential matter is private, secret information whose unauthorized disclosure could be
44 prejudicial. Given the RTP Procedure, confidentiality applies to the circle of those reviewing a file in a
45 given year.
46
47 7. CSU: the California State University.
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49 8. CSUSM: California State University San Marcos.
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51 9. Custodian of the File (COF): the administrator designated by the President who strives to maintain accurate
52 and relevant Personnel Action Files and to ensure that the CSUSM RTP Timetable is followed. (11.1, 15.4)
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54 10. Day: a calendar day. (2.11)
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56 11. Dean/Director: the administrator responsible for the college/unit.
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58 12. Department: the faculty unit employees within an academic department or other equivalent academic unit.
59 (2.12)
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61 13. Department Chair: the person selected by the president or designee, based on faculty recommendation, to
62 serve as the director/coordinator of the faculty unit employees within an academic department or other
63 equivalent academic unit. (20.32)
64
65 14. Equivalent Academic Unit: any unit that is equivalent to an academic department or library unit for
66 purposes of this document, but not recognized under the CBA.
67
68 15. Evaluation: a written assessment of a faculty member’s performance. An evaluation shall not include a
69 recommendation for action.
70
71 16. Faculty Unit Employee: a member of bargaining Unit 3 who is subject to retention, tenure, or promotion.
72 (2.13) See also *Candidate*.
73
74 17. Librarian: those individuals who have achieved the rank of full Librarian.
75
76 18. Merit awards: in various CBAs, the CSU and CFA have agreed upon different terms and different names for
77 merit awards, such as Merit Salary Adjustments, Performance Step Salary Increases and Faculty Merit
78 Increases. If they are in effect during a review, merit awards are separate from the Retention, Tenure, and
79 Promotion process, and thus have no bearing on the set of policies and procedures that follows.
80
81 19. Peer Review Committee (PRC): the committee of full-time, tenured faculty unit employees whose purpose
82 is to review and recommend faculty unit employees who are being considered for retention, tenure, and
83 promotion. (15.35)
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85 20. Performance Review: the evaluative process pursuant to retention, tenure, and/or promotion. (15.32)

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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 or equivalent unit, Dean/Director, appropriate administrators, and the Promotion and Tenure Committee. (13.3)
 24. Probationary Faculty: the term probationary faculty unit employee refers to a full-time faculty unit employee appointed with probationary status and serving a period of probation. (13.1)
 25. Professor: those individuals who have achieved the rank of full professor.
 26. Promotion: the advancement of a probationary or tenured faculty unit employee who holds academic or librarian rank to a higher academic or librarian rank or of a counselor faculty unit employee to higher classification. (14.1)
 27. Promotion, Early consideration for: in some circumstances, a faculty unit employee may, upon application and with a positive recommendation from her/his Department or equivalent academic unit, be considered for early promotion to Associate Professor or Professor, Associate Librarian or Librarian, SSP-AR II or SSP-AR III prior to the normal period of service. (14.2-14.4)
 28. Promotion and Tenure Committee (P & T Committee): an all-University committee composed of full-time, tenured Professors and a Librarian elected according to the faculty constitution. The University charges the P & T Committee to make recommendations for tenure and promotion. 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.
 29. Rebuttal/Response: a written statement intended to present opposing or clarifying evidence or arguments to recommendations resulting from a performance review at any level of review. (15.5)
 30. Recommendation: the written end product of each level of a performance review. A recommendation shall be based on the WPAF and shall include a written statement of the reasons for the recommendation. A copy of the recommendation and the written reasons for it is provided to the faculty member at each level of review. (15.40, 15.12c, 15.5)
 31. Required material for the WPAF:
 - A statement outlining any special conditions of initial appointment, such as award of years of service credit or completion of terminal degree.
 - For faculty applying for periodic reviews; retention, tenure, or tenure and promotion, all personnel reviews since hire. For faculty applying for promotion after the award of tenure (or tenure and promotion), all personnel reviews beginning with the previous promotion review or original appointment materials. For faculty applying for tenure after promotion, all personnel reviews beginning with original appointment materials. Personnel reviews (including recommendations, rebuttals and responses) are defined as:
 - periodic reviews
 - retention, tenure and promotion reviews
 - five-year post-tenure reviews
 - Curriculum vitae
 - Reflective statements for each section: teaching/professional performance, research/creative activities, and service
 - A minimum of one item of evidence for each section: teaching/professional performance, research/creative activities, and service (See II. D. and II. E. for information on expectations.)
 - Student evaluations as appropriate
 31. Retention: authorization to continue in probationary status.
 32. RTP: retention, tenure, and/or promotion.
 33. RTP Timetable: A timetable that lists the order of review and establishes dates for the review process at each level for a particular year. This calendar is based on the approved academic year calendar. The President, after consideration of recommendations of the appropriate faculty committee, shall announce the RTP Timetable for each year. (13.5)
 34. Service Credit: the President, upon recommendation of the Dean/Director after consulting with the relevant department or equivalent unit, may grant to a faculty unit employee up to two (2) years service credit for probation based on previous service at a post-secondary education institution, previous full-time CSU employment, or comparable experience. (13.4)

- 108 35. Tenure: the right to continued permanent employment at the campus as a faculty unit employee except
109 when such employment is voluntarily terminated or is terminated by the CSU pursuant to the CBA or law.
110 (13.13)
- 111 36. Working Personnel Action File (WPAF): that portion of the Personnel Action File specifically generated for
112 use in a given evaluation cycle. The WPAF shall include all forms and documents, all information
113 specifically provided by the candidate, and information provided by faculty unit employees, students, and
114 academic administrators. It also shall include all faculty and administrative level evaluations,
115 recommendations from the current cycle, and all rebuttal statements and responses submitted. (15.8)
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118 II. PERSONNEL FILES 119

120 A. Personnel Action File (PAF): Definition

- 121 1. Each faculty member shall have a Personnel Action File (PAF). This is a confidential file with exclusive
122 access of the faculty member and designated individuals. (11)
- 123 2. The President of the University designates where such files will be kept and who will act as Custodian of the
124 File (COF). The COF will keep a log of all requests to see each file. The COF shall monitor the progress of
125 all evaluations ensuring that she/he gives proper notification of each step of the evaluation to the Candidate,
126 each committee and administrator as specified in these procedures. (11)
- 127 3. The PAF is the one official personnel file for employment information relevant to personnel
128 recommendation or personnel actions regarding a Candidate. Faculty members may review all material in
129 their PAF, including pre-employment materials. Faculty members may submit rebuttals to any item in the
130 file, except for pre-employment materials. Faculty may request the removal of any letters of reprimand that
131 are more than three years old. (18) Material submitted to the PAF must be identified by the source
132 generating the information. No anonymously authored documents shall be included in the file. (11)

133 B. Personnel Action File (PAF): Contents of File

134 The PAF contains the following materials:

- 135 1. All recommendations and decision letters that have been part of the RTP process.
- 136 2. All indices of all WPAFs.
- 137 3. The file concerning initial appointment.
- 138 4. A curriculum vitae from each review.
- 139 5. The Candidate's summaries for each RTP-related review.
- 140 6. All rebuttals and responses.
- 141 7. Letters of commendation.
- 142 8. Letters of reprimand, until removed under 18.7.
- 143 9. All fifth year post-tenure reviews.
- 144 10. Documentation of any merit awards or salary adjustments.¹

145 C. Working Personnel Action File (WPAF): Definition

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

163 D. Guidance on the WPAF:

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

- 164 1. An item in the WPAF may be included in whichever category the Candidate sees as the best fit. However, a
165 single item may not be inserted in two different categories.
- 166 2. The ~~review emphasis~~ of the WPAF will be based on the accomplishments of the Candidate since her/his last
167 university-level review. For retention review, the ~~review emphasis~~ will be based on the time period since the last
168 retention review. For promotion ~~or tenure~~ to Associate Professor /Associate Librarian/SSP II AR or tenure, the
169 ~~emphasis-review~~ will be based on the time period since hiring. For promotion ~~or tenure~~ to Professor/Librarian/SSP-
170 AR III, the ~~emphasis-review~~ will be based on the time period since the review for the Candidate's last promotion or
171 since hiring if hired as an Associate Professor /Associate Librarian/SSP II AR.
172
- 173 3. If service credit was awarded, the Candidate should include evidence of accomplishments from the other
174 institution(s) for the most recent years of employment.
- 175 4. This procedures document does not specify standards. Each Department may develop its own standards,
176 including guidance on criteria in that unit. It is the responsibility of the Candidate to seek out and
177 understand these standards. See V.A.1. and V. B. 4. below.
- 178 5. There are many creative ways to document scholarly performance in the WPAF, but the potential for a lack
179 of selectivity and coherence is great. Assembling the WPAF (the Candidate's responsibility) and giving due
180 consideration to the WPAF (the reviewing parties' responsibility) is made more time-consuming and difficult when
181 the file is disorganized and/or too large. In presenting the WPAF, the Candidate should be selective, choosing
182 documents, texts, or artifacts that are most significant and representative of their work. The WPAF should be
183 focused and manageable. Statements such as "Documentation available on request" are encouraged. Materials
184 mentioned as "available upon request" or cited in reflective statement and/or curriculum vitae are
185 considered part of the WPAF. Each level of review can obtain such documentation during the time of the
186 review directly from the candidate or directly from the cited source, without the notification of any other
187 level of review.
188
- 189 6. The evidence of success in Teaching, Research/Creative Activity and Service shall consist of up to 30 items
190 total in the WPAF. The types of items included may vary. The candidate will determine how to distribute
191 the items among the three categories; however, each category will contain evidence.
- 192 7. The reflective statements included in the WPAF shall not exceed 15 pages in combined length. The
193 Candidate will determine how many pages to devote to each statement. The statements will describe the
194 Candidate's contributions in the areas of Teaching, Research/Creative Activity, and Service.
- 195 8. Electronic documentation is also acceptable, although the same principle of selectivity applies in this case.
- 196 9. The Candidate shall be notified of the placement of any material in her/his WPAF, and shall be provided
197 with a copy of any material to be placed in the WPAF at least five days prior to such placement.
- 198 a. Material inserted into the WPAF by reviewing parties is subject to rebuttal or request for removal by the
199 faculty member undergoing review.
- 200 b. Required or additional material relevant to the review may be added during the initial period of "review for
201 completeness" by the faculty member undergoing review or other parties to the review.

202 E. The WPAF, when submitted by the Candidate, shall contain:

- 203 1. A current curriculum vitae including all the accomplishments of her/his career.
204
205 2. A statement outlining any special conditions of initial appointment, such as award of years of service credit
206 or completion of terminal degree.
207 3. For faculty applying for periodic reviews; retention, tenure, or tenure and promotion, all personnel reviews
208 since hire. For faculty applying for promotion after the award of tenure (or tenure and promotion), all
209 personnel reviews beginning with the previous promotion review or original appointment materials. For
210 faculty applying for tenure after promotion, all personnel reviews beginning with original appointment
211 materials. Personnel reviews (including recommendations, rebuttals and responses) are defined as:
212
 - 213 • periodic reviews
 - 214 • retention, tenure and promotion reviews
 - 215 • five-year post-tenure reviews

216 42. A reflective statement for each section (should be based on the work done since the last successful review):
217 Teaching, Research/Creative Activity, and Service. (See II.D.7. above.)

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

² Non-teaching faculty include librarians and SSP-ARs.

- 275 | 87. Department/Unit/College/Library/School/SSP-AR standards for retention, tenure and promotion.
276 | 98. A complete index of the material contained in the WPAF. (Should be located at the beginning of the
277 | WPAF)
278 |
279 |

280 III. REVIEW PROCESS SCHEDULE
281

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

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

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

- 318 1. Nontenured Associate Professors/Professors, Associate Librarians/Librarians, and SSP-AR II/SSP-AR IIIs
319 shall be reviewed annually according to the following schedule:
- 320 • First, third, and fifth years: PRC level and Dean/Director review
 - 321 • Second and fourth years: PRC, Dean/Director and President review
 - 322 • Sixth year: Mandatory review for tenure by the Department Chair,⁴ Peer Review Committee, Dean,
323 and Promotion and Tenure Committee recommendation to the President.
- 324 2. Tenure-track probationary faculty may be given credit for a maximum of two years of service at another
325 institution. The amount of credit allowed shall be stipulated at the time of employment. The letter shall be
326 included in the file. (13.4)
- 327 3. Normally, a probationary faculty member shall not be promoted during the probationary period of six years
328 of full-time service. (13.3, 14.2) At the request of the Candidate or on the initiative of the Department, a
329 Candidate may be considered for Promotion and Tenure prior to the sixth year of service. In that event, the
330 sixth-year-level review substitutes for the annual review. The President may award tenure to a faculty unit

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.

331 employee before the normal six year probationary period. (13.18) Promotion and tenure prior to the normal
332 year of consideration requires clear evidence that the Candidate has a sustained record of achievement that
333 fulfills all criteria for promotion as specified in University, College/Library/School, and Department
334 standards. For early promotion or tenure, a sustained record of achievement should demonstrate that the
335 candidate has a record comparable to that of a candidate who successfully meets the criteria in all three
336 categories for promotion in the normal amount of time. Therefore, a successful candidate for early
337 promotion or tenure will have a record of achievement that exceeds the expectations for peers with the same
338 years of service at the Associate level. [CSUSM2] Candidates for promotion before the mandatory sixth-
339 year review may withdraw from consideration without prejudice at any level of review. (14.7)

- 340 4. Tenure review for probationary Associate Professor /Associate Librarian/SSP-AR II is separate and distinct
341 from review for promotion to the rank of Professor /Librarian/SSP-AR III. Probationary faculty shall not be
342 promoted beyond the rank of Associate. (14.2) In other words, Associate Professors/Associate
343 Librarians/SSP-AR IIs must be awarded tenure before they are eligible to apply for promotion to full
344 Professor/Librarian/SSP-AR III.
- 345 C. The President may extend a faculty member's probationary period for an additional year when a faculty member
346 is on Workers' Compensation, Industrial Disability Leave, Nonindustrial Disability Leave, leave without pay, or
347 paid sick leave for more than one semester or two consecutive terms. (13.7)
- 348 D. Review of Tenured Faculty at Rank other than Professor/Librarian/SSP-AR III Ranks
- 349 1. Except for early promotion considerations, review for promotion to the rank of Professor, Librarian, or SSP-
350 AR III follows the standard sequence of review for tenure: Department Chair (at the Department Chair's
351 discretion) and Peer Review Committee, Dean/Director, Promotion and Tenure Committee making
352 recommendations to the President.
- 353 2. Only tenured faculty unit employees with rank of Professor/Librarian/SSP-AR III can make
354 recommendations regarding promotion to these ranks. (Professors/Librarians/SSP-AR IIIs may make
355 recommendations for promotion across these positions.)
- 356 3. The promotion of a tenured faculty unit employee normally shall be effective the beginning of the sixth year
357 after appointment to her/his current academic rank/classification. In such cases, the performance review for
358 promotion shall take place during the year preceding the effective date of the promotion. This provision
359 shall not apply if the faculty unit employee requests in writing that she/he not be considered. (14.3)
- 360 4. The promotion of a faculty unit member to the rank of Professor, Librarian, or SSP-AR III that will be
361 effective prior to the start of the sixth year after appointment to his/her current academic rank/classification
362 is considered an "early promotion." Promotion prior to the normal year of consideration requires clear
363 evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as
364 specified in University, College/Library/School, and Department standards. For early promotion, a sustained
365 record of achievement should demonstrate that the candidate has a record comparable to that of a candidate
366 _____
367 _____
368 _____ An early promotion
369 decision requires that the applicant receive a positive recommendation from his/her department or equivalent
370 unit. In cases where the department or equivalent unit does not make a positive recommendation, no further
371 levels of review take place and the promotion is not considered. (14.3, 14.4)
- 372 E. Except for denial of tenure in the mandatory sixth-year review, denial of tenure and/or promotion does not
373 preclude subsequent review. Probationary faculty denied tenure prior to the sixth year may be considered in any
374 subsequent year through the mandatory sixth-year review. Tenured Assistant/Associate Professors, Senior
375 Assistant/Associate Librarians, and SSP-AR I/IIIs denied promotion may be reviewed in any subsequent year.

377
378 IV. RESPONSIBILITIES OF THOSE INVOLVED IN THE REVIEW CYCLE

- 379 A. Responsibilities of the Candidate
- 380 1. Preparation of the WPAF
- 381 a. Prior to the beginning of the review process, the Candidate shall be responsible for reviewing the
382 Department/Unit/College/Library/School/SSP-AR evaluation criteria and review procedures that have
383 been made available, including the CSUSM RTP timetable.
- 384 b. Prior to the beginning of the review process, the Candidate shall be responsible for consulting campus
385 resources relevant to the review process (e.g., the CBA, Academic Affairs, Faculty Center resources
386 and workshops, and colleagues).
- 387

- 388 c. Prior to the beginning of the review process, the Candidate shall be responsible for the identification of
389 materials she/he wishes to be considered and for the submission of such materials as may be accessible
390 to her/him. (15.12.a)
391 d. The Candidate shall be responsible for the organization and comprehensiveness of the WPAF.
392 e. If the Candidate is requested to remove any material from her/his WPAF, she/he can either
393 remove the material or add explanations to the reflective statement about the relevance of the
394 material.

395 2. Submission of the WPAF

- 396 a. The Candidate shall be responsible for indicating clearly in a cover letter the specific action she/he is
397 requesting: consideration for retention, tenure, and/or promotion.
398 b. The Candidate is responsible for submission of the WPAF in adherence to the RTP Timetable.
399 3. The Candidate is responsible for preparing, as necessary, a timely rebuttal or response at each level of the
400 review according to the RTP Timetable.
401 4. The Candidate is responsible for requesting a meeting, if wanted, at each level of the review according to the
402 RTP Timetable. No formal, written response is required subsequent to this meeting.
403 5. The Candidate may request and shall approve of external review and reviewers. (15.12.d) See Appendix C.

404 B. Responsibilities of Department Chairs and Faculty Governance Units

- 405 1. In academic units with a Department Chair, the Chair shall ensure that there is an election of a PRC. This
406 entails: identifying eligible members of the Department or equivalent academic unit,
407 College/Library/School, or the entire University faculty, when necessary, who are willing to serve;
408 consulting with faculty in the Department about names to place on the ballot; sending out the ballot one
409 week before the election date; ensuring that ballots are counted by a neutral party; and announcing the
410 results to the Department and to the Candidates. The Department Chair shall convene the first meeting of
411 the PRC and ensure that a chair is elected.
412 2. In academic units with no Department Chair, the appropriate faculty governance group shall ensure that
413 there is an election of a PRC. This entails: identifying eligible members of the Department or equivalent
414 academic unit, College/Library/School, or the entire University faculty, when necessary, who are willing to
415 serve; consulting with faculty in the Department about names to place on the ballot; sending out the ballot
416 one week before the election date; ensuring that ballots are counted by a neutral party; and announcing the
417 results to the Department and to the Candidates. The appropriate faculty governance group shall convene
418 the first meeting of the PRC and ensure that a chair is elected.
419 3. The Department Chair may submit a separate recommendation concerning retention, tenure, and/or
420 promotion under the following conditions: The Department Chair must be tenured and the Department Chair
421 must be of equal or higher rank than the level of promotion requested by the Candidate.⁵ The Department
422 Chair's review runs concurrently with the PRC review. When a Department Chair chooses to make a
423 separate recommendation in a given year, she/he must do so for all Candidates in the Department in that year
424 for which she/he is eligible to submit a recommendation. In this case, Department Chairs shall have the
425 additional responsibilities indicated below. If the Department Chair is a member of the PRC, she/he may not
426 make a separate recommendation.
427 a. During the time specified for this activity, the Department Chair shall review the file for completeness.
428 Within seven days of the submission deadline the Department Chair shall:
429 1) Submit a letter to the Custodian of the File outlining material that is lacking. The custodian
430 notifies the faculty member.
431 2) Add any existing material missing from the file that the faculty member did not add. The
432 Department Chair must add the required evidence, but may choose not to add the non-mandatory
433 additional evidence requested.
434 b. The Department Chair may determine whether to request external review of the file. In the case of
435 external review request, see Appendix C for responsibilities and timetable.
436 c. Consistent with the CBA, the Department/Unit/College/Library/School/SSP-AR RTP documents and
437 the RTP Timetable, the Department Chair shall review and evaluate the WPAF of each candidate for
438 retention, tenure, and promotion.

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.

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- d. The Department Chair may write a recommendation with supporting arguments to “The file of [the faculty member under review].” The Department Chair’s recommendation is a separate and independent report from that of the PRC.
 - 1) The recommendation shall be based on the contents of the WPAF. (15.12.c)
 - 2) The recommendation clearly shall endorse or disapprove of the Candidate’s retention, tenure, and/or promotion.
 - e. The Department Chair shall submit the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
 - f. The Candidate may request a meeting with the Department Chair within seven days of receipt of the Department Chair’s recommendation (15.5). If a meeting is requested, the Department Chair shall attend the meeting. No formal, written response is required subsequent to this meeting.
 - g. The Department Chair may respond to a Candidate’s written rebuttal or response within seven days of receipt. No formal, written response to a candidate rebuttal or response is required.
 - h. Should the P & T Committee call a meeting of all previous levels of review, the Department Chair shall attend and revise or reaffirm her/his recommendation. The Department Chair shall then submit in writing her/his recommendation to the Custodian of the File consistent with the RTP Timetable.
 - i. The Department Chair shall maintain confidentiality of the file, of deliberations and recommendations. (15.10 and 15.11)
 - j. When Department Chairs submit a separate recommendation for Candidates in their Departments, they are ineligible to serve on Peer Review Committees in their respective Departments, but may serve on PRC’s in other Departments. Department Chairs, like other parties to the review, may not serve at more than one level of review.
4. If a Department Chair chooses not to make a separate recommendation, then she/he may serve on any Peer Review Committees within her or his academic unit.
 5. 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 Candidate shall be so notified. (15.41)
- C. Election and Composition of the Peer Review Committee (PRC)
1. The Department or appropriate academic unit is responsible for determining the size and election conditions of the PRC. The Department Chair shall ensure that there is an election of a PRC. Where no Department Chair exists, the department or appropriate faculty governance unit will ensure that there is an election of a PRC. (See IV.B.1. and 2. above.)
 2. The PRC shall be composed of at least three full-time tenured faculty elected by tenure-track faculty in the Candidate’s department (or equivalent), with the chair elected by the committee. That is, if there are enough eligible faculty members in a department or program, members of the Peer Review Committee are elected from these areas. If not, the department or program shall elect Peer Review Committee members from eligible university faculty in related academic disciplines. (15.35)
 3. In the case of a faculty member with a joint appointment, the Peer Review Committee shall include when possible representatives from both areas with a majority of members on the committee elected from the Department or program holding the majority of the faculty member’s appointment. If a faculty member holds a 50/50 joint appointment, the committee will have representatives from both departments.
 4. Peer Review Committee members must have higher rank/classification than those being considered for promotion.
 5. Candidates for promotion are ineligible for service on promotion or tenure Peer Review Committees.
 6. Each College/Library/School/SSP-AR shall adopt procedures for electing a Peer Review Committee from the eligible faculty. These procedures must follow the guidelines of the CBA. (15.35)
- D. Responsibilities of the Peer Review Committee (PRC)
1. The PRC shall review the WPAF for completeness. Within seven days of the submission deadline the PRC shall:
 - a. Submit a letter to the Custodian of the File outlining material that is lacking. If no WPAF has been submitted, the PRC shall submit a letter to the Custodian of the File within the same deadline indicating that the WPAF is lacking.
 - b. Add any existing material, required or additional, missing from the WPAF that the Candidate has not added via the COF. (15.12)
 - c. Request any irrelevant material to be removed from the WPAF.
 2. The PRC shall determine whether to request external review of the WPAF. In the case of an external review request, see Appendix C for responsibilities and timeline.
 3. Consistent with the CBA, the Department/College/Library/School/SSP-AR RTP standards/ documents, the University RTP document, and the RTP Timetable:

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- a. The PRC shall review and evaluate the WPAF of each candidate for retention, promotion, and tenure.
 - b. Each committee member shall make an individual evaluation prior to the discussion of any specific case.
 4. The PRC shall meet as an entire committee face-to-face. In these meetings, each member shall comment upon the candidate's qualifications under each category of evaluation.
 5. The PRC shall write a recommendation with supporting arguments to "The file of [the faculty member under review]." (See Appendix E.) The PRC's recommendation is a separate, independent report from that of the Department Chair.
 - a. The recommendation shall be based on the contents of the WPAF. (15.12.c)
 - b. The recommendation clearly shall endorse or disapprove of the retention, tenure, and/or promotion.
 6. Each recommendation shall be approved by a simple majority of the committee. To maintain confidentiality, the vote for recommendations shall be conducted by printed, secret ballot. (See Appendix D.) 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. (See Appendix E.)
 7. The PRC shall submit the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
 8. Should the candidate call a meeting within seven days of receipt of the PRC's recommendation, the PRC shall attend the meeting. (15.5) No formal, written response is required subsequent to this meeting.
 9. The PRC may respond to a candidate's written rebuttal or response within seven days of receipt of rebuttal. No formal, written response to a candidate rebuttal or response is required.
 10. Should the P & T Committee call a meeting of all previous levels of review, the PRC shall attend and revise or reaffirm their recommendation. The PRC shall then submit in writing their recommendation to the Custodian of the File consistent with the RTP Timetable.
 11. The PRC shall maintain confidentiality of the file, of deliberations and recommendations, pursuant to articles 15.10 and 15.11 of the CBA.
 12. 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)
- E. Responsibilities of the Dean/Director
1. The Dean/Director shall review the file for completeness. Within seven days of the submission deadline, the Dean/Director shall:
 - a. Submit a letter to the Custodian of the File outlining material that is lacking.
 - b. If the requested missing material is not added, the Dean/Director shall have the COF insert that material. (15.12)
 - c. The Custodian of the File shall notify the faculty member of any material added to the file.
 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.

- 555 10. If any stage of a Performance Review has not been completed according to the RTP Timetable, the WPAF
556 shall be automatically transferred to the next level of review or appropriate administrator and the faculty unit
557 employee shall be so notified. (15.41)
- 558 F. Composition of the Promotion and Tenure (P & T) Committee
- 559 1. The University Promotion and Tenure Committee shall be composed of seven members: six full-time
560 tenured Professors and one full-time tenured Librarian elected in accordance with the rules and procedures
561 of the Academic Senate. Candidates for election to the Committee shall be voting members of the Faculty
562 as defined in the by-laws of the CSUSM Academic Senate.
 - 563 2. The six Professors shall be elected as follows: One from the College of Education; one from the College of
564 Business Administration; three from the College of Arts and Sciences (these three must come from at least
565 three of the four Divisions within the College: Humanities, Social Sciences, Sciences and Interdisciplinary
566 Studies); and one university-wide at-large member. The faculty members of the Library shall elect the
567 Librarian member. When School of Nursing faculty or SSP-ARs are under review, faculty member from the
568 School of Nursing or SSP-AR III will be added to the P & T Committee for the School of Nursing or SSP-
569 AR review only.
 - 570 3. For various reasons of ineligibility, the Promotion and Tenure Committee may lack the full set of seven
571 members. If Committee membership falls below five, the Senate shall hold a replacement election or an at-
572 large election as appropriate to ensure a minimum of five members for the Committee. Faculty with
573 specified roles in assessing, directing, or counseling faculty in relation to their professional responsibilities
574 are ineligible for service (e.g., Director of General Education, Director of the Faculty Center).
 - 575 4. Each year, the members of the Committee shall elect the Chair. They will hold this election during the
576 spring semester preceding the year of service on the Committee.
 - 577 5. Members of the Promotion and Tenure Committee are ineligible to serve at any other level of review. That
578 is, they cannot make recommendations as Department Chairs or members of Peer Review Committees for
579 any candidates during their term as members of the Promotion and Tenure Committee.
- 580 G. Responsibilities of the Promotion and Tenure Committee
- 581 1. The P & T Committee shall review for completeness each file from all candidates for promotion and/or
582 tenure. In order to complete this review within seven days of the submission deadline, the Chair shall assign
583 two members of the Committee to each file. These members will report their findings to the Chair within
584 the specified deadline.
 - 585 2. The P & T Committee shall identify, request and provide existing materials related to evaluation which do
586 not appear in the file. In cases where the Committee members request that the candidate add material to the
587 file, this request shall be made in writing to the Custodian of the File within the specified deadline. In cases
588 where the Committee members add material to the file via the COF, they shall do so within the specified
589 deadline. The Custodian of the File shall inform the candidate of this addition.
 - 590 3. The P & T Committee shall determine whether to request external review. The members assigned to review
591 each file for completion shall arrive at an independent assessment of the need for external review. The full
592 Committee shall meet at the end of this initial review period to determine the need for external review. The
593 Committee shall conduct a simple majority vote to determine whether or not an external review shall be
594 requested. In the case of external review, see Appendix C for External Review.
 - 595 4. [Consistent with the CBA, the Department/Unit/Library/School/SSP-AR RTP](#)
596 [standards/ documents, the University RTP document and the RTP timetable,](#) the P & T Committee
597 shall review and evaluate the WPAF of each candidate for tenure and/or promotion. Each committee
598 member shall make an individual assessment prior to the discussion of any specific case.
 - 599 5. The P & T Committee shall meet as an entire committee face-to-face concerning each of the WPAFs. In
600 these meetings, each member shall comment upon the candidate's qualifications under each category of
601 evaluation.
 - 602 6. The P & T Committee shall write a clear recommendation, addressed "To the file of [the candidate]" with
603 supporting arguments. (See Appendix E.) Each recommendation shall be approved by a simple majority of
604 the committee. The Chair shall vote. Because the CBA states that "[t]he end product of each level of a
605 Performance Review shall be a written recommendation," (15.40) a report of a tie vote does not constitute an
606 acceptable action of the Committee. The P & T Committee must recommend for or against promotion
607 and/or tenure.
 - 608 7. The report of the vote shall be anonymous. Committee members may not abstain in the final vote. The vote
609 tally shall not be included in the letter. Dissenting opinions shall be incorporated into the text of the final
610 recommendation. When the vote is unanimous, the report shall so indicate. All members of the committee
611 shall sign the letter.
 - 612 8. The P & T Committee shall provide a copy of the recommendation to the Custodian of the File by the
613 deadline specified in the RTP Timetable.

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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 shall consider a decision in relation to external review. Both the President and the faculty member undergoing review must agree to external review.
 4. The President shall review and consider the Performance Review recommendations and relevant material and make a final decision on retention, tenure, or promotion. For probationary employees holding a joint appointment in more than one Department, the President shall make a single decision regarding retention, tenure, or promotion. (13.10, 13.15, 14.8, 15.42)
 5. The President shall review and consider the Performance Review recommendations, relevant material and information, and the availability of funds for promotion. (14.8)
 6. Should the President make a personnel decision on any basis not directly related to the professional qualifications, work performance, or personal attributes of the individual faculty member in question, those reasons shall be reduced to writing and entered into the Personnel Action File and shall be immediately provided the faculty member. (11.9)
 7. The President shall provide a written copy of the decision with reasons to the Custodian of the File, who will provide it to the faculty member undergoing review and to all levels of review.
 8. The President shall maintain confidentiality of the file, of deliberations and of recommendations, pursuant to articles 15.10 and 15.11 of the CBA.
- I. Responsibilities of the Custodian of the File
1. The Custodian of the File shall notify all Candidates, Department Chairs, and Deans one semester in advance of the scheduled required reviews for retention, reappointment, tenure and/or promotion. In May, the COF shall notify all faculty members and the Deans/Director of the CSUSM RTP Timetable for the following academic year. The COF shall notify all Candidates that the Faculty Center, the Deans, Department Chairs or equivalents and other appropriate resources are available to provide advice, guidance, and direction in constructing their WPAF.
 2. The COF shall provide each new faculty unit employee no later than fourteen days after the start of fall semester written notification of the evaluation criteria and procedures in effect at the time of her/his initial appointment. In addition, pursuant to CBA provision 15.3, the faculty unit employee shall be advised of any changes to those criteria and procedures prior to the commencement of the evaluation process. (12.2)
 3. The COF shall receive the initial file, and date and stamp the initial page of the file.
 4. The COF shall maintain confidentiality of the files.
 5. Only when dire circumstances exist may a WPAF be turned in late. The COF will determine what constitutes dire circumstances.

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.

- 669 6. Within two working days of the end of the review for completeness, the COF shall notify the Candidate that
670 she/he needs to add required and additional documentation requested by the Department Chair, review
671 committee chairs, or administrators. If the Candidate fails to submit the required materials and a reviewing
672 party submits the materials, the COF will notify the Candidate of materials that others add to the file.
- 673 7. In cases where the Department Chair wishes to submit a separate recommendation, but is ineligible to make
674 recommendations for all Candidates, the Custodian of the File will place a form letter into the WPAF of the
675 Candidates not receiving a separate recommendation that explains the reason that no Department Chair letter
676 was submitted to the file.
- 677 8. The COF shall notify the Candidate of any other additional items to be added to the file along with the
678 Candidate's right to rebut or request deletion.
- 679 9. If a Candidate scheduled for review submits no WPAF, the COF shall place a letter in a file folder stating
680 that no file was submitted. A copy of the letter will be sent to the appropriate Dean and the Candidate.
- 681 10. The COF shall ensure that all who review a file sign in each time they review the file. The COF shall
682 maintain a log of action for each file.
- 683 11. If any party of the review process, including the Candidate, indicates that they want an external review, the
684 COF shall administer the process as outlined in the CBA (Article 15) and the University Retention, Tenure,
685 and Promotion (RTP) documents. That is, the COF shall advise the President of the request and obtain the
686 consent of the Candidate. If both are in agreement to have an external review, the Custodian of the File shall
687 administer the process.
- 688 12. The COF shall receive, process, and hold all recommendations and responses and/or rebuttals during each
689 step of the process.
- 690 13. The COF shall monitor the progress of all evaluations ensuring that proper notification is given to the
691 Candidate, each committee, and the appropriate administrators as specified in these procedures. The COF
692 shall provide copies of the evaluations and recommendations to the candidates and the reviewing parties.
693 The COF shall document each notification.

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696 V. PRINCIPLES FOR THE REVIEW PROCESS

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698 A. General Principles

- 699 1. Faculty shall be evaluated in accordance with the Unit 3 CBA as well as standards approved for their
700 Departments or equivalent units (when such standards exist), standards approved by their
701 College/Library/School/SSP-AR, and in accordance with this policy. In case of conflict between the
702 Department and College/Library/School/SSP-AR standards, the College/Library/School/SSP-AR standards
703 shall prevail. The policies and procedures in this document are subject to Board of Trustees policies, Title 5
704 of the California Administrative Code, California Education Code, the Unit 3 CBA, and other applicable
705 State and Federal laws.
- 706 2. Faculty members will present the relevant evidence in each category of performance. Each level of review
707 is responsible for evaluating the quality and significance of all evidence presented.
- 708 3. Everyone, at all levels of review, shall read the Candidate's file.
- 709 4. Committee members shall work together to come to consensus.
- 710 5. Retention, tenure, and promotion of a faculty member always shall be determined on the basis of
711 professional performance as defined by the CBA (20) and the University and Department/Unit/
712 College/Library/School/SSP-AR documents, demonstrated by the evidence in the WPAF. In the evaluation
713 of teaching performance, student evaluation forms shall not constitute the sole evidence of teaching quality.
714 No recommendation shall be based on a Candidate's beliefs, nor on any other basis that would constitute an
715 infringement of academic freedom.
- 716 6. The Candidate shall have access to her/his WPAF at all reasonable times except when the WPAF is actually
717 being reviewed at some level.
- 718 7. Prior to the final decision, candidates for promotion may withdraw, without prejudice, from consideration at
719 any level of review.
- 720 8. Maintaining confidentiality is an extremely serious obligation on the part of committee reviewers and
721 administrators. All parties to the review need to be able to discuss a Candidate's file openly, knowing that
722 this discussion will remain confidential. All parties to the review shall maintain confidentiality, respecting
723 their colleagues, who, by virtue of election to a personnel committee, have placed their trust in each other.
724 Deliberations and recommendations pursuant to evaluation shall be confidential. (15) There may be a need
725 for the parties to the review to discuss the Candidate's file with other levels of review when all levels do not
726 agree. Also, the Candidate may request a meeting with parties to the review at any level. These particular
727 discussions fall within the circle of confidentiality and comply with this policy. Otherwise, reviewing

728 parties shall not discuss the file with anyone. Candidates who believe that confidentiality has been broken
729 may pursue relief under the CBA. (10)

- 730 9. Service in the personnel evaluation process is part of the normal and reasonable duties of tenured faculty,
731 Department Chairs, and administrative levels of review. Lobbying or harassment of parties to the review in
732 the performance of these duties constitutes unprofessional conduct. Other University policies cover
733 harassment as well. The statement here is not intended to restrict the University in any way from fulfilling
734 the terms of other policies that cover harassment.
- 735 10. When a probationary faculty member does not receive tenure following the mandatory sixth year review, the
736 University's contract with the individual shall conclude at the end of the seventh year of service, unless the
737 faculty member is granted a subsequent probationary appointment by the President. (13.17)

738 B. Standards Applied in Different Types of Decisions

739 1. Review for Retention of Probationary Faculty

- 740 a. Whenever a probationary faculty member receives reappointment, CSUSM shall provide to the
741 Candidate a review that identifies any areas of weakness.
- 742 b. To the extent possible and appropriate, the University should provide opportunities to improve
743 performance in the identified area(s).

744 2. Review for Granting of Tenure

- 745 a. The granting of tenure requires a more rigorous application of the criteria than reappointment.
- 746 b. A Candidate for tenure at CSUSM shall show sustained high quality achievement in support of the
747 Mission of the University in the areas of teaching, research and creative activity, and service (for
748 teaching faculty and librarians) or in the primary duties as assigned in the job description, continuing
749 education/professional development, and service (for SSP-ARs).
- 750 c. Normally, tenure review will occur in the sixth year of service at CSUSM or one or two years earlier in
751 cases where the Candidate has been granted service credit. Tenure review prior to the normal year of
752 consideration requires clear evidence that the Candidate has a sustained record of achievement that
753 fulfills all criteria for tenure as specified in University, College/Library/School, and Department
754 standards.
- 755 d. An earned doctorate or an appropriate terminal or professional degree that best reflects the standard
756 practices in an individual field of study is required for tenure. In exceptional cases, individuals with a
757 truly distinguished record of achievement at the national and/or international level will qualify for
758 consideration for purposes of granting tenure. An ad hoc committee consisting of three members
759 jointly appointed by the Chair of the Promotion and Tenure Committee and the Department Chair shall
760 judge all exceptions. This ad hoc committee shall make a recommendation to the President for or
761 against awarding tenure.

762 3. Review for Promotion

- 763 a. Promotion to Associate Professor, Associate Librarian or SSP-AR II requires a more rigorous
764 application of the criteria than reappointment.
- 765 b. Promotion to the rank of Professor, Librarian or SSP-AR III shall require evidence of substantial and
766 sustained professional growth at the Associate rank as defined by University,
767 College/Library/School/SSP-AR, and Department standards.
- 768 c. In promotion decisions, reviewing parties shall give primary consideration to performance during time
769 in the present rank. Promotion prior to the normal year of consideration requires clear evidence that the
770 Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in
771 University, College/Library/School, and Department standards. For early promotion, a sustained record
772 of achievement should demonstrate that the candidate has a record comparable to that of a candidate
773 who successfully meets the criteria in all three categories for promotion in the normal amount of time.
774 Therefore, a successful candidate for early promotion will have a record of achievement that exceeds
775 the expectations for peers with the same years of service at their current level. [CSUSM4]

776 4. College/Library/School/SSP-AR Standards

- 777 a. A College or equivalent unit shall develop standards for the evaluation of faculty members of that
778 College or equivalent unit.
- 779 b. College or equivalent unit standards shall not conflict with law or University policy. In no case shall
780 College standards require lower levels of performance than those required by law or University policy.
- 781 c. Written College or equivalent unit standards shall address:
- 782 1) Those activities which fall under the categories of Teaching Performance, Scholarly and Creative
783 Activity, and Service;
- 784 2) A description of standards used to judge the quality of performance;
- 785 3) The criteria employed in making recommendations for retention, tenure, and promotion.

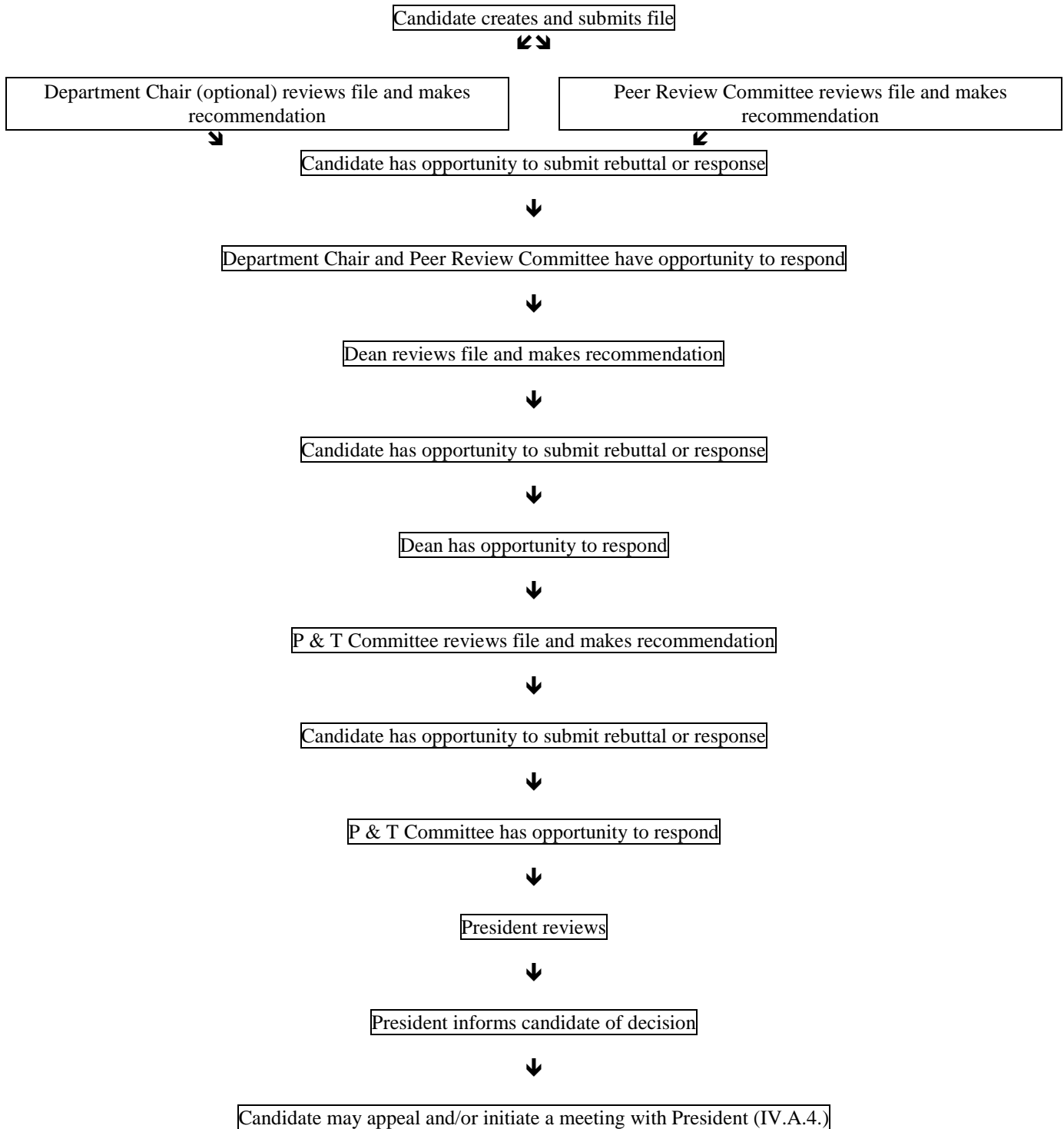
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- d. These standards shall be reviewed by the Faculty Affairs Committee for compliance with university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been verified, the College/Library/School/SSP-AR standards will be recommended 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 university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been verified, the Department standards will be forwarded to the Provost for review. The Provost will provide the Faculty Affairs Committee with a recommendation (with explanation) regarding approval of the Department standards. The Faculty Affairs committee will base its approval of the standards on its own review and the recommendation of the Provost. Once approved, Department standards will be forwarded to Academic Senate as an information item. Departments or equivalent units shall follow this approval process each time they wish to change their standards.

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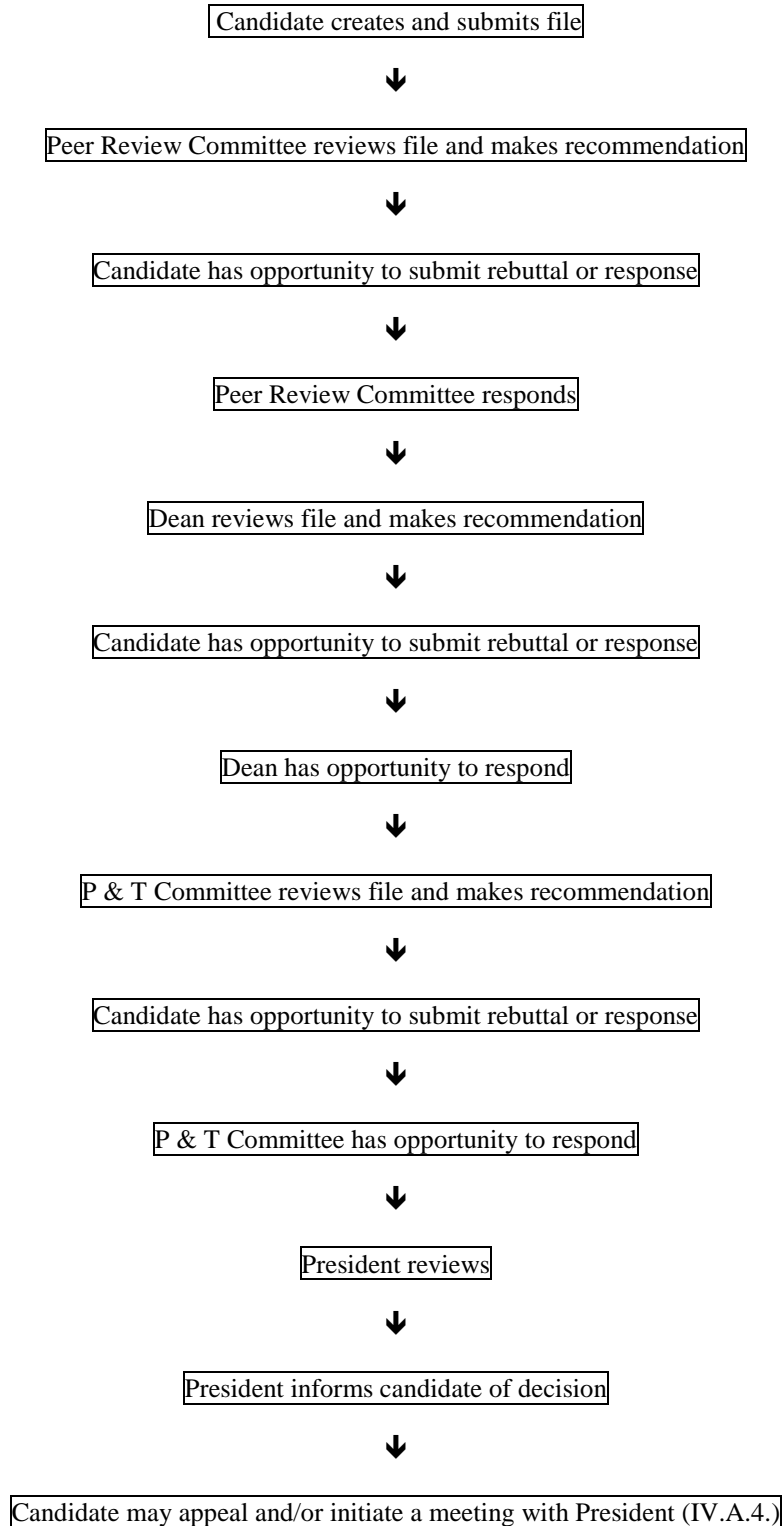
APPENDIX A

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



APPENDIX B

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



**.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.

