

**Resolution Affirming the Importance of Shared Governance
in Program Discontinuance in the CSU**

1 Whereas, State of California legislation, academic history, and common sense recognize the
2 importance of shared governance; and

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4 Whereas, Program discontinuance policies should have been established at the respective
5 campuses of the California State University (CSU) through the shared governance process;
6 and

7
8 Whereas, There is great concern that some CSU campus administrations may be short-
9 circuiting their own program discontinuance policies in order to address budget
10 shortcomings; now, therefore, be it

11
12 *Resolved*, That the California State University San Marcos (CSUSM) Academic Senate urge
13 campus administrations to abide by their own established discontinuance policies and the
14 principles of shared governance that underlie these policies; and be it further

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16 *Resolved*, That the CSUSM Academic Senate distribute this resolution to the Chancellor of
17 the CSU, to the Presidents of the twenty-three campuses in the CSU, to the Chairs of the
18 CSU Senates, and to the Academic Senate of the California State University.

**Resolution to Make
California State University San Marcos
a Smoke-Free Campus**

Whereas, The Surgeon General has stated that tobacco use in any form presents a significant health hazard, and the United States Environmental Protection Agency and the California Environmental Protection Agency have determined that **there is no safe level for exposure to environmental tobacco smoke (ETS, aka second-hand smoke)**; and

Whereas, ETS has been declared a toxic air contaminant and classified as a Class-A carcinogen by the State of California Air Resources Board; and

Whereas, Executive Order 599, the California Code of Regulations Title 5, Division 5, Section 42356, and the CSU Board of Trustees in its meeting on September 17-18, 2002 all gave authority to each CSU campus to establish its own policies with regard to tobacco use; and

Whereas, The current policy of restricting smoking to certain areas of campus actually requires already extraordinarily limited campus funds to be spent on signage, ash collection receptacles, enforcement, and leads to areas of campus that are, for all intents and purposes, inaccessible to those who wish not to be exposed to second-hand smoke; and

Whereas, The California Maritime Academy (a CSU campus), Palomar Community College, Point Loma Nazarene University, Grossmont-Cuyamaca Community College, and San Diego Mesa College have all banned smoking throughout their campuses; and

Whereas, CSUSM has an ethical obligation to safeguard the health of the entire campus community; now, therefore, so be it

Resolved, That the Academic Senate of California State University at San Marcos requests that President Karen Haynes considers banning smoking anywhere on the CSUSM campus, effective immediately, thereby creating a smoke-free learning and working environment for all.

1 SAC - Student Absence from Class for University Events and Religious Observances
2 Policy & Procedure

3 **Edited and Approved by SAC—November 19, 2009**
4

5 **Definition:** Provides a means for students to request reasonable accommodations from instructors for
6 official university events and religious observances.
7

8 **Authority:** Academic Affairs
9

10 **Scope:** The Student Absence from Class for University Events and Religious Observances Policy applies to
11 students who are (1) members of teams, organizations, or classes officially recognized by the university or
12 (2) followers of organized religions. The policy provides a means for students to notify their instructors of
13 potential conflicts between class dates and required events, and for instructors to convey to students and
14 sponsoring organizations any concerns about the student's completion of course requirements.
15

16 **Policy:** CSUSM provides a fair opportunity for students to attend required courses in a manner that allows
17 them to participate in the requirements of their sponsored activities and religious beliefs.
18

19 **Procedures:**

20 I. Absence for Official University Events and Activities:

21 A. Official university events and activities such as fine arts performances, forensics, and other
22 academic competitions supported by the university require participation by students as official
23 members of groups. Responsibilities shall be as follows:

24 1. Sponsoring Departments or Programs: A sponsor of an official university event or
25 activity shall provide each student participant with a memorandum regarding specific
26 absences from classes (see Appendix A). The memorandum shall be given to the student's
27 instructors within the first week of classes. If scheduling changes occur, the sponsor shall
28 provide the student with a revised memorandum to be given to instructors.

29 2. Student Participants: Within the first week of classes, a student who expects to be part
30 of an official event shall notify the instructors of affected courses. At that time, the student
31 shall request accommodation for any missed examinations or other assignments. If
32 scheduling changes occur, the student shall immediately notify the instructors.

33 3. Instructors: When possible, the instructor shall reasonably accommodate the student's
34 required absence from class. An instructor who believes that the anticipated absences would
35 preclude successful completion of the course or would seriously affect the student's grade
36 shall inform the student and the sponsor, in writing, by the end of the second week of classes.

37 II. Absence for Religious Observances:

38 A. By the end of the first week of classes, students should notify instructors of affected courses
39 of planned absences for religious observances. Instructors shall reasonably accommodate students

40 who notify them in advance of planned absences for religious observances. An instructor who
41 believes that the anticipated absences would preclude successful completion of the course or would
42 seriously affect the student's grade shall inform the student and the department chair, in writing, by
43 the end of the second week of classes.

44
45 Appendix A: Letter from [Sponsoring Team, Organization, Class] to Instructors of Student Participants

46 [date]

47 Dear Instructor:

48 The student delivering this letter to you is on the official roster listed below of [Name of Team, Organization, or Class]. Also
49 included below is the university's official Student Absence from Class for University Events Policy. Please take a moment to
50 familiarize yourself with the policy and discuss with the student what options s/he has to make up assignments or activities s/he
51 might miss because of her/his involvement in this matter. Please refer to our schedule of competition/events included on the back.
52 If scheduled competitions/events change, you will be notified as soon as possible.

53 If you believe that the anticipated absences would preclude successful completion of the course or would seriously affect the
54 student's grade, please inform both the student and me by the end of the second week of classes. Email responses should be sent
55 to [name]@csusm.edu and the student. Should you have any questions about the student's participation in our activities, please
56 contact [name] at [email] or [extension].

57 Sincerely,

58
59 [Name of Faculty Sponsor] _____

60 [Name of Team/Organization/Class]

61 STUDENT'S NAME: _____

62
63 Official Roster for [Sponsoring Group], [semester, year]

- 64 1. _____
65 2. _____
66 3. _____
67 4. _____
68 5. _____
69 6.
70

71 Student Absence from Class for University Events Policy

72 [include Policy and Procedures section of Student Absence from Class for University Events Policy here]

73 Schedule of Events

74 [include scheduled events]

2010-2011 ACADEMIC CALENDAR

(For information only; this calendar has already been approved)

2010-2011 ACADEMIC CALENDAR

(Originally for information only; this calendar has already been approved; now being submitted for changes)

SUMMER 2010 Term

<u>June 1 (Tue)</u>	<u>First day of classes for 11-week Summer classes and classes in first half-Summer block</u>
<u>July 5 (Mon)</u>	<u>Independence Day holiday (observed) — campus closed</u>
<u>July 7 (Wed)</u>	<u>Last day of classes for classes in first half-Summer block</u>
<u>July 8 (Thur)</u>	<u>First day of classes for classes in second half-Summer block</u>
<u>August 1 (Sun)</u>	<u>Initial Period for filing applications for Spring 2011 begins</u>
<u>August 14 (Sat)</u>	<u>Last day of classes for 11-week Summer classes and classes in second half-Summer block</u>
<u>August 19 (Thur)</u>	<u>Grades due from instructors; last day of Summer term</u>

FALL 2010 Semester

<u>August 24-27 (Tue-Fri)</u>	<u>Faculty pre-instruction activities</u>
<u>To Be Determined</u>	<u>Convocation for faculty and staff</u>
<u>August 30 (Mon)</u>	<u>First day of classes</u>
<u>September 6 (Mon)</u>	<u>Labor Day holiday — campus closed</u>
<u>October 1 (Fri)</u>	<u>Initial period for filing applications for Fall 2011 begins</u>
<u>October 22 (Fri)</u>	<u>Last day of class for first session of Fall half-semester classes*</u>
<u>October 23 (Sat)</u>	<u>First day of class for second session of Fall half-semester classes*</u>
<u>November 11 (Thur)</u>	<u>Veteran's Day — campus closed</u>
<u>November 25-26 (Thur-Fri)</u>	<u>Thanksgiving holiday — campus closed</u>
<u>December 11 (Sat)</u>	<u>Last day of classes</u>
<u>December 13-18 (Mon-Sat)</u>	<u>Final examinations</u>
<u>December 22 (Wed)</u>	<u>Grades due from instructors; last day of Fall semester</u>
<u>To Be Determined</u>	<u>Staff accumulated holidays — campus closed</u>

SPRING 2011 Semester

<u>January 12-14 (Wed-Fri)</u>	<u>Faculty pre-instruction activities</u>
<u>January 17 (Mon)</u>	<u>Martin Luther King Jr. Day — campus closed</u>
<u>January 18 (Tue)</u>	<u>First day of classes</u>
<u>March 11 (Fri)</u>	<u>Last day of class for first session of Spring half-semester classes*</u>
<u>March 12 (Sat)</u>	<u>First day of class for second session of Spring half-semester classes*</u>
<u>March 28-April 2 (Mon-Sat)</u>	<u>Spring break — campus closed March 31 for Cesar Chavez Day</u>
<u>May 6 (Fri)</u>	<u>Last day of classes</u>
<u>May 7-13 (Sat-Fri)</u>	<u>Final examinations</u>
<u>May 14 (Sat)</u>	<u>Commencement</u>
<u>May 19 (Thur)</u>	<u>Grades due from instructors; last day of Spring semester</u>

(Note: This calendar is not intended to be construed as an employee work calendar.)

**Some Fall and Spring semester classes meet in a half-semester term.*

2011-2012 ACADEMIC CALENDAR

SUMMER 2011 Term

May 31 (Tue)	First day of classes for 11-week Summer classes and classes in first half-Summer block
July 4 (Mon)	Independence Day holiday — campus closed
July 6 (Wed)	Last day of classes for classes in first half-Summer block
July 7 (Thur)	First day of classes for classes in second half-Summer block
August 1 (Mon)	Initial Period for filing applications for Spring 2012 begins
August 13 (Sat)	Last day of classes for 11-week Summer classes and classes in second half-Summer block
August 18 (Thur)	Grades due from instructors; last day of Summer term

FALL 2011 Semester

August 23-26 (Tue-Fri)	Faculty pre-instruction activities
<i>To Be Determined</i>	Convocation for faculty and staff
August 29 (Mon)	First day of classes
September 5 (Mon)	Labor Day holiday — campus closed
October 1 (Sat)	Initial period for filing applications for Fall 2012 begins
<u>October 15-21 (SatFri)</u>	<u>Last day of class for first session of Fall half-semester classes*</u>
<u>October 17-22 (MonSat)</u>	<u>First day of class for second session of Fall half-semester classes*</u>
November 11 (Fri)	Veteran's Day – campus closed
November 24-25 (Thur-Fri)	Thanksgiving holiday – campus closed
December 10 (Sat)	Last day of classes
December 12-17 (Mon-Sat)	Final examinations
December 22 (Thur)	Grades due from instructors; last day of Fall semester
<i>To Be Determined</i>	Staff accumulated holidays – campus closed

SPRING 2012 Semester

January 11-13 (Wed-Fri)	Faculty pre-instruction activities
January 16 (Mon)	Martin Luther King Jr. Day — campus closed
January 17 (Tue)	First day of classes
<u>March 10-9 (SatFri)</u>	<u>Last day of class for first session of Spring half-semester classes*</u>
<u>March 12-10 (MonSat)</u>	<u>First day of class for second session of Spring half-semester classes*</u>
March 26-31 (Mon-Sat)	Spring break – campus closed March 30 for Cesar Chavez Day (observed)
May 4 (Fri)	Last day of classes
May 5-11 (Sat-Fri)	Final examinations
May 12 (Sat)	Commencement
May 17 (Thur)	Grades due from instructors; last day of Spring semester

(Note: This calendar is not intended to be construed as an employee work calendar.)

**Some Fall and Spring semester classes meet in a half-semester term.*

2012-2013 ACADEMIC CALENDAR

SUMMER 2012 Term

May 29 (Tue)	First day of classes for 11-week Summer classes and classes in first half-Summer block
July 3 (Tue)	Last day of classes for classes in first half-Summer block
July 4 (Wed)	Independence Day holiday — campus closed
July 5 (Thur)	First day of classes for classes in second half-Summer block
August 1 (Wed)	Initial Period for filing applications for Spring 2013 begins
August 11 (Sat)	Last day of classes for 11-week Summer classes and classes in second half-Summer block
August 16 (Thur)	Grades due from instructors; last day of Summer term

FALL 2012 Semester

August 21-24 (Tue-Fri)	Faculty pre-instruction activities
<i>To Be Determined</i>	Convocation for faculty and staff
August 27 (Mon)	First day of classes
September 3 (Mon)	Labor Day holiday — campus closed
October 1 (Mon)	Initial period for filing applications for Fall 2013 begins
<u>October 20-19 (SatFri)</u>	<u>Last day of class for first session of Fall half-semester classes*</u>
<u>October 22-20 (MonSat)</u>	<u>First day of class for second session of Fall half-semester classes*</u>
November 12 (Mon)	Veteran's Day (observed) — campus closed
November 22-23 (Thur-Fri)	Thanksgiving holiday — campus closed
December 8 (Sat)	Last day of classes
December 10-15 (Mon-Sat)	Final examinations
December 20 (Thur)	Grades due from instructors; last day of Fall semester
<i>To Be Determined</i>	Staff accumulated holidays — campus closed

SPRING 2013 Semester

January 9-11 (Wed-Fri)	Faculty pre-instruction activities
January 14 (Mon)	First day of classes
January 21 (Mon)	Martin Luther King Jr. Day — campus closed
<u>March 9-8 (SatFri)</u>	<u>Last day of class for first session of Spring half-semester classes*</u>
<u>March 11-9 (MonSat)</u>	<u>First day of class for second session of Spring half-semester classes*</u>
April 1 (Mon)	Cesar Chavez Day (observed) — campus closed
April 1-6 (Mon-Sat)	Spring break
May 3 (Fri)	Last day of classes
May 4-10 (Sat-Fri)	Final examinations
May 11 (Sat)	Commencement
May 16 (Thur)	Grades due from instructors; last day of Spring semester

(Note: This calendar is not intended to be construed as an employee work calendar.)

**Some Fall and Spring semester classes meet in a half-semester term.*

2013-2014 ACADEMIC CALENDAR

SUMMER 2013 Term

May 28 (Tue)	First day of classes for 11-week Summer classes and classes in first half-Summer block
July 2 (Tue)	Last day of classes for classes in first half-Summer block
July 3 (Wed)	First day of classes for classes in second half-Summer block
July 4 (Thur)	Independence Day holiday — campus closed
August 1 (Thur)	Initial Period for filing applications for Spring 2014 begins
August 10 (Sat)	Last day of classes for 11-week Summer classes and classes in second half-Summer block
August 15 (Thur)	Grades due from instructors; last day of Summer term

FALL 2013 Semester

August 20-23 (Tue-Fri)	Faculty pre-instruction activities
<i>To Be Determined</i>	Convocation for faculty and staff
August 26 (Mon)	First day of classes
September 2 (Mon)	Labor Day holiday — campus closed
October 1 (Tue)	Initial period for filing applications for Fall 2014 begins
<u>October 12-18 (SatFri)</u>	<u>Last day of class for first session of Fall half-semester classes*</u>
<u>October 14-19 (MonSat)</u>	<u>First day of class for second session of Fall half-semester classes*</u>
November 11 (Mon)	Veteran's Day — campus closed
November 28-29 (Thur-Fri)	Thanksgiving holiday — campus closed
December 7 (Sat)	Last day of classes
December 9-14 (Mon-Sat)	Final examinations
December 19 (Thur)	Grades due from instructors; last day of Fall semester
<i>To Be Determined</i>	Staff accumulated holidays — campus closed

SPRING 2014 Semester

January 8-10 (Wed-Fri)	Faculty pre-instruction activities
January 13 (Mon)	First day of classes
January 20 (Mon)	Martin Luther King Jr. Day – campus closed
<u>March 8-7 (SatFri)</u>	<u>Last day of class for first session of Spring half-semester classes*</u>
<u>March 10-8 (MonSat)</u>	<u>First day of class for second session of Spring half-semester classes*</u>
March 31 (Mon)	Cesar Chavez Day — campus closed
March 31-April 5 (Mon-Sat)	Spring break
May 2 (Fri)	Last day of classes
May 3-9 (Sat-Fri)	Final examinations
May 10 (Sat)	Commencement
May 15 (Thur)	Grades due from instructors; last day of Spring semester

(Note: This calendar is not intended to be construed as an employee work calendar.)

**Some Fall and Spring semester classes meet in a half-semester term.*

1 **FAC: Faculty Personnel Procedures For Retention, Tenure, And Promotion**
2

3
4 **Definition** The process for decisions regarding promotion, tenure and retention of faculty unit
5 employees of CSU San Marcos shall be governed by the Faculty Personnel Procedures for
6 Promotion, Tenure and Retention.

7
8 **Authority** The collective bargaining agreement between The California State University and the
9 California Faculty Association.

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

11 I. DEFINITION OF TERMS AND ABBREVIATIONS

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

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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
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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 who successfully meets the criteria in all three categories for promotion in the normal amount of time.
367 Therefore, a successful candidate for early promotion will have a record of achievement that exceeds the
368 expectations for peers with the same years of service at their current level. [CSUSM3] 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/II denied promotion may be reviewed in any subsequent year.

377 IV. RESPONSIBILITIES OF THOSE INVOLVED IN THE REVIEW CYCLE

- 380 A. Responsibilities of the Candidate

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

- 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.

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

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

696 V. PRINCIPLES FOR THE REVIEW PROCESS

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698 A. General Principles

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

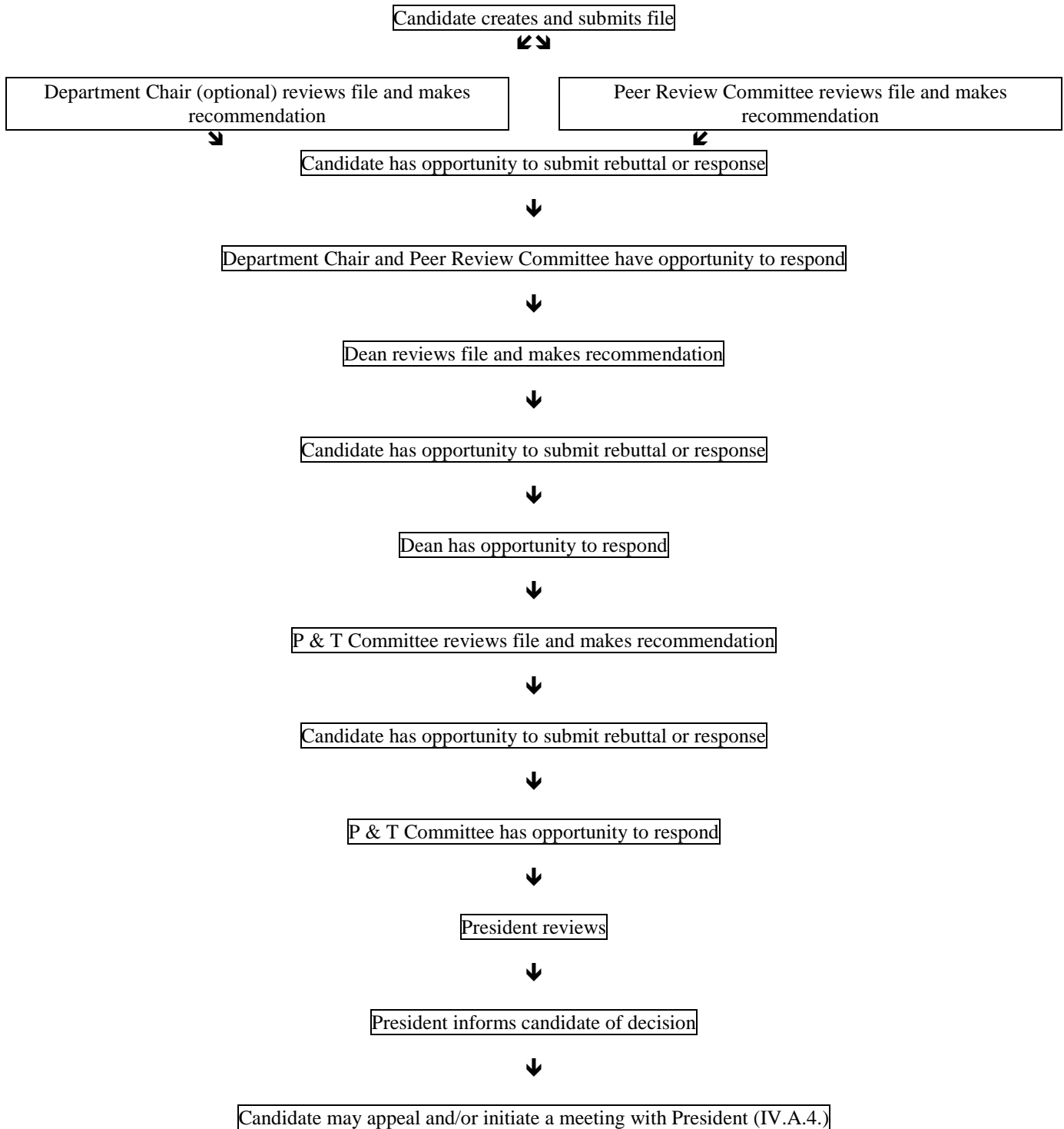
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- d. These standards shall be reviewed by the Faculty Affairs Committee for compliance with university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been verified, the College/Library/School/SSP-AR standards will be recommended 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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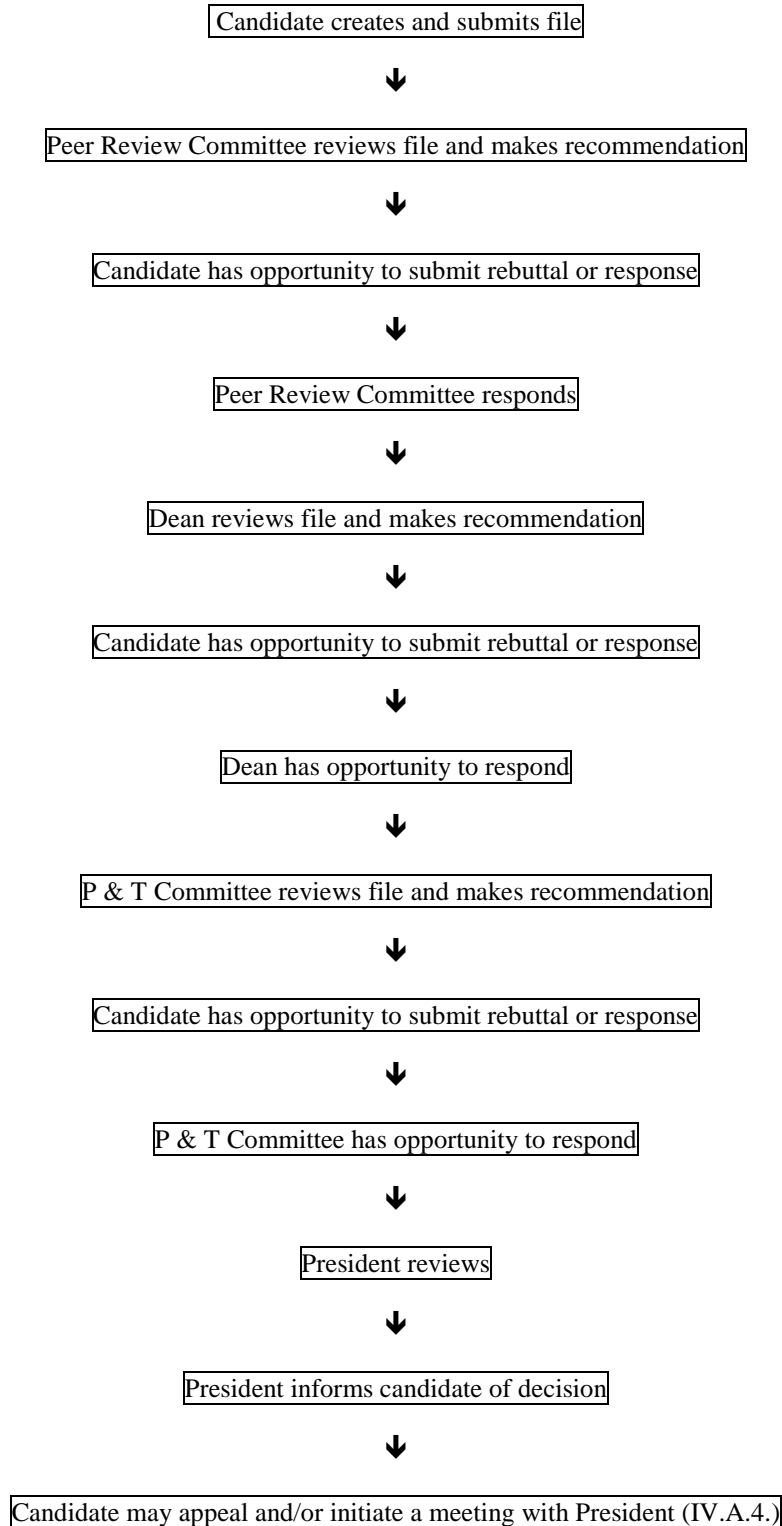
APPENDIX A

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.

APPENDIX D: SAMPLE BALLOT FOR THE PRC

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

Please vote below on the appropriate action.

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

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

Tenure _____ Yes _____ No

APPENDIX E: MEMORANDUM

DATE: <date>

TO: WPAF for <Candidate's name>

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

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

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

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

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

Attached please find the complete narrative portion of the recommendation.

FAC - CoE Evaluation of Temporary Faculty Unit 3 Employees

A. General Elements

1. **Definition of Temporary Faculty Employees** - Temporary faculty in the College of Education may be instructors in courses and/or supervisors of clinical practice.
2. **Appointment Categories of Temporary Faculty Employees** - For the purposes of appointment¹ and evaluation², the collective bargaining agreement (CBA) distinguishes between three types of Temporary Faculty Unit 3 Employees:
 - (1) part-time or full time appointments for one (1) semester or less
 - (2) part-time appointments for two (2) or more semesters
 - (3) full-time appointments for two (2) or more semesters
3. **Submission of WPAF** – All temporary faculty members shall submit a Working Personnel Action File (WPAF) to the office of the Associate Dean or appropriate administrator according to the timeline of the type of appointment described under Evaluation Cycle. Failure to submit a WPAF, or submitting an incomplete WPAF, will be reflected in the evaluation. If the WPAF is submitted according to the established timeline and no evaluation takes place, performance of the temporary faculty member is assumed to be satisfactory. In such cases, temporary faculty may request to be evaluated by the appropriate administrator. Electronic submission for part of or all elements of the WPAF is acceptable. The program should inform faculty of any preferences.
4. **Evaluation Cycle**
 - a. Temporary faculty appointed for one semester (1) shall be evaluated at the discretion of the Associate Dean or appropriate administrator. The employee may request that an evaluation be performed.
 - b. Temporary faculty appointed for two (2) or more semesters, regardless of break in service, shall be evaluated after every two semesters of employment. Evaluations may be conducted more frequently than every two semesters at the discretion of the Associate Dean or appropriate administrator.
 - c. Temporary faculty on three-year appointments (3) shall be evaluated at least once during the term of their appointment or more frequently at the discretion of the Associate Dean or appropriate administrator. The employee or the President may request more frequent evaluations.
5. **Peer Input (Optional)** – The temporary faculty member may request additional peer input in the file. Peer input can be provided by Unit 3 faculty, tenure-track faculty members or lecturers only from the same content area or program. The peer input must be provided in alignment with the timeline of the evaluation process. Faculty members who provide peer input may not serve on the PRC of a full-time temporary faculty member.
6. **Field Personnel Input (Optional)**
Temporary faculty members engaged in clinical practice supervision may also request input from field personnel (i.e. from cooperating teachers, clinical personnel, etc.) optional input regarding the performance of the temporary faculty supervisor.

B. Evaluation Procedures

1. **General Procedures:**
 - a. At the time of appointment, the College of Education will provide temporary faculty with a copy or web link of this policy no later than 14 working days after the first day of instruction of the academic term. All evaluation instruments will be provided to the faculty member.³
 - b. If an evaluation is to be performed, the Associate Dean or appropriate administrator must notify the

¹ The appointment of temporary faculty is governed by Article 12 of the Collective Bargaining Agreement. Please refer to the Faculty Affairs web site, then go to Academic Resources (http://www.csusm.edu/faculty_affairs/) to view the current contract

² The evaluation of temporary faculty is governed by Article 15 of the Collective Bargaining Agreement.

³ Evaluation instruments including rubrics may be periodically revised. All instruments must be approved by the COE Personnel Committee prior to use in the process.

52 temporary faculty member no later than the 10th week of the semester of the appointment that the
53 WPAF should be submitted to the office of the Associate Dean or appropriate administrator in
54 accordance with the timeline. When analysis of student evaluations of instruction and/or supervision of
55 clinical practice is available, they must all be placed in the WPAF by the Associate Dean or
56 appropriate administrator.
57

- 58 c. Temporary faculty must provide all candidates⁴ (university students) with the opportunity to evaluate
59 faculty performance. Official CSUSM College of Education Student Evaluations of Teaching shall be
60 administered in accordance with university and college procedures. All Clinical Practice Supervisors
61 must administer prescribed evaluations each semester in accordance with the evaluation procedure.
62
- 63 d. Temporary Faculty will follow the specific procedures defined by the appointment (Full-time, Part-
64 time, or Supervisory) as described below in 2, 3, or 4.
65
- 66 e. The evaluation process should be completed within 45 days after the receipt of the WPAF. If
67 circumstances require an extension, the Associate Dean or appropriate administrator shall notify the
68 affected temporary faculty member.
69
- 70 f. The temporary faculty member shall be provided copies of the evaluation(s), sign the evaluation
71 form(s), and is advised to retain a copy. The Associate Dean or appropriate administrator shall place
72 the original evaluation form(s) in the temporary faculty member's Personnel Action File (PAF).
73
- 74 g. Within 10 working days from the date noted on the evaluation report, the temporary faculty member
75 may request a meeting with the Associate Dean or appropriate administrator to discuss the evaluation
76 and/or may submit a written response to the evaluation for inclusion in the WPAF.
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- 78 h. In the case of a classroom evaluation, a temporary faculty member shall be given a minimum of five
79 (5) days written notice prior to a classroom visit. After the visit there shall be consultation about the
80 classroom observation between the temporary faculty member and the visitor. Written confirmation
81 that a consultation has taken place shall be provided to the associate dean within ten (10) days of the
82 classroom visit.
- 83 i. Any party to the evaluation may request an external review in accordance with the CBA.
84
- 85 2. Instructional Full-Time Temporary Faculty (including those who also engage in supervision of clinical practice)
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- 87 a. Full-time temporary faculty members must be evaluated in accordance with the university periodic
88 evaluation procedure. Evaluation of full-time temporary faculty shall include:
89 i. Candidate evaluations of teaching performance for those with instructional duties;
90 ii. Candidate evaluations of supervision performance for those who supervise clinical
91 practice;
92 iii. Field Experience Coordinator input for those who supervise clinical practice;
93 iv. Review by the College of Education Peer Review Committee (PRC); and
94 v. Evaluation by the Associate Dean or appropriate administrator.
95
- 96 b. Full-time temporary faculty members shall submit the following documentation to the Associate Dean
97 or appropriate administrator's office for evaluation by the Peer Review Committee (PRC) no later than
98 the Monday of the 15th week of the semester. When analysis of student evaluations of teaching is
99 completed for the semester, they must be placed in the file by the Associate Dean or appropriate
100 administrator:
101 i. Cover Sheet including teaching activities with courses taught and information on
102 supervision of clinical practice, if applicable, each semester since the previous
103 evaluation (Form A)
104 ii. A reflective statement (1/2 – 1 page) assessing strengths and areas for improvement on
105 instructional duties.
106 iii. Content Area or Program Coordinator/Program Faculty Evaluation (Form B) and, if
107 applicable, Clinical Practice Coordinator and/or Program Coordinator Input (Form D).

⁴ The term "candidates" refers to university students enrolled in credential or MA. For the College of Education, the term "student" refers to K-12 students. Where terms may be misleading, clarifying language will be used.

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- iv. Classroom Observation (Form C)
 - v. Student Evaluations of Teaching and evaluations of supervision of clinical practice as described in section 4 below, if applicable.
 - vi. Course materials including syllabi for each course, sample lesson plans, assessments of student learning outcomes, assignments, and examples of student work for use in completion of Form B.
 - vii. Evidence of candidates (university students) meeting program/course learning outcomes (such as TPEs⁵, TPAs⁶, or other program-based assessments)
 - viii. Evidence of scholarly/creative activity and/or service (if appropriate)
 - ix. Current vita
 - x. Optional Peer Input (See p. 2 for description)
3. Instructional Part-Time Temporary Faculty (including those who also engage in supervision of clinical practice).
- a. Evaluation of part-time temporary faculty shall include:
 - i. Candidate evaluations of teaching performance
 - ii. Candidates evaluations of supervision performance for those who supervise clinical practice
 - iii. Field Experience Coordinator Input for those who supervise clinical practice
 - iv. Evaluation by the Associate Dean or appropriate administrator
 - v. Current vita
 - b. Part-time temporary faculty members shall submit the following documentation to the Associate Dean or appropriate administrator's office no later than the Monday of the 15th week of the semester. When analysis of student evaluations of teaching is completed for the semester, they must be placed in the file by the Associate Dean or appropriate administrator:
 - i. Cover Sheet including teaching activities with courses taught each semester since the previous evaluation and information on supervision of clinical practice, if applicable (Form A).
 - ii. A reflective statement (1/2 – 1 page) assessing strengths and areas for improvement in carrying out instructional and supervision duties (if applicable).
 - iii. Content Area or Program Coordinator/Program Faculty Evaluation of Instructional Materials (Form B) and, if applicable, Clinical Practice Coordinator and/or Program Coordinator Input (Form D)
 - iv. Classroom Observation (Form C).
 - v. Student Evaluations of Teaching and, if applicable, student evaluations of clinical supervision.
 - vi. Course materials including syllabi for each course, sample lesson plans, assessments of student learning outcomes, assignments, and examples of student work for use in completion of Form B.
 - vii. Evidence of candidates meeting program/course learning outcomes (such as TPEs, TPAs, or other program-based assessments).
 - viii. Current vita
 - ix. Optional Peer Input (See p. 2 for description)
4. Supervisors of Clinical Practice
- a. Temporary faculty (part-time and full-time) who are supervisors of clinical practice shall submit their documentation to the Associate Dean's office no later than the Monday of the 15th week of the semester. When analysis of student evaluations of supervision is completed for the semester, they must be placed in the file by the Associate Dean or appropriate administrator.
 - b. The supervisor documentation shall include the following:
 - i. Cover Sheet including a list of teacher candidates with descriptions of the candidates

⁵ TPE – Teaching Performance Expectations – The TPEs are the California standards used to assessment basic credential teacher candidates.

⁶ TPA – Teaching Performance Assessment – The TPA is a state approved performance assessment for teacher candidates.

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- (university students) (e.g., beginning, advanced, shared supervision) since the previous evaluation (relevant portion of Form A)
 - ii. A reflective statement (1/2 – 1 page) assessing strengths and areas for improvement in carrying out supervision duties.
 - iii. Clinical Practice Coordinator and/or Program Coordinator Input (Form D)
 - iv. Candidate evaluations of supervisor
 - v. Examples of completed observation and evaluation forms for teacher candidate performance
 - vi. Other supporting material related to supervision (e.g., communication with candidates (university students) and site personnel, evidence of supporting candidates in meeting performance assessments, agendas and handouts for candidate support meetings.
 - vii. Optional Field Personnel Input (See p. 3 for description)
- c. Temporary faculty (part-time and full-time) supervisors of clinical practice who are asked to leave a clinical site by the site administrator, shall have the site administrator’s request for removal and any response submitted by the faculty member placed in the PAF by the Associate Dean or appropriate administrator⁷, in accordance with the procedures in the CBA.

C. Timeline

#	ACTIVITY	ASSUMPTIONS	DEADLINE	TIME OF SEMESTER
1	Hiring of Temporary Faculty	Latest date of hire is 1 st day of class	1 st day of classes	1 st day
2	Receipt of Evaluation Procedures by Temporary Faculty	Via email or print	14 working days after the start of appointment	2 nd week
3	Collection of Evaluation/WPAF Documents	Observation of teaching must occur during teaching calendar - first 8 weeks or 16 weeks	2-15 th week	2-15 th week
4	Notice of Evaluation by Associate Dean	Only for the semester when the faculty is due for evaluation – or in which an evaluation has been requested	No later than the 10 th week of the semester.	6-12 th week
5	Submit WPAF /evaluation Documents by Temporary Faculty	Required	No later than the Monday of the 15 th week of the semester	15 th week of the semester
6	Receive university student evaluations	Student evaluations of the last semester taught/supervised	Upon receipt of evaluations – must be placed in the file by the Associate Dean or appropriate administrator	
7	Evaluation Report to Temporary Faculty	Required	Within 45 days from the day WPAF was submitted	
8	Temporary Faculty Request for a meeting	Optional	Within 10 days after the date of the evaluation report	

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⁷ Please note that the appointment of a supervisor assigned to a specific site is conditional upon the site administrator’s approval. Should an administrator request a supervisor to leave a clinical site, the supervisor will not have an opportunity for another appointment until the following semester. Removal from a clinical site serves as a strong basis for non-reappointment as a university supervisor. Additionally, the CFA contract states that part-time temporary appointments are contingent upon funding, enrollment, and other considerations as allowed.

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D. Responsibilities for evaluation of temporary faculty

	Tenure-line Faculty and Lecturers, Program Coordinators	Clinical Practice Coordinator	Field Experience Personnel	Peer Review Committee	Associate Dean or Appropriate administrator
Notification of Policy					X
Oversee Policy					X
Peer Input (Optional)	X				
Content Area/ Program Coordinator Input – Form B	X				
Classroom Observation – Form C	X				
Clinical Practice Coordinator and/or Program Coordinator Input – Form D	X	X			
Field Experience personnel Input (optional)			X		
Peer Review (F/T only)				X	
Associate Dean Evaluation Form for Temporary Instructional Faculty – Form E1					X
Associate Dean Evaluation Form for Temporary Supervisor Faculty – Form E2					X
Decision to Rehire					X
Maintenance of Files					X

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E. Forms to be used for evaluation of temporary faculty

- 193 Form A Cover Sheet: Summary Information
- 194 Form B Content Area Faculty/Program Coordinator Input
- 195 Form C Classroom Observation for Instructors
- 196 Form D Clinical Practice Coordinator and/or Program Coordinator Input
- 197 Form E1 Associate Dean Evaluation Form for Temporary Instructional Faculty
- 198 Form E2 Associate Dean Evaluation Form for Temporary Supervisor Faculty

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FORM A

COVER SHEET

(To be completed by temporary faculty member)

Temporary Faculty Member: _____

Date of Evaluation: _____

Status (check one):

Part-time instructional

Full-time supervision

Part-time supervision

Full-time instructional

Part-time instructional and supervision

Full-time instructional and supervision

Date of prior temporary faculty evaluation: _____

Instructional faculty: List of courses taught since last evaluation:

Semester	Course number/title	No. of students

Insert additional rows as needed

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Supervision faculty: List of candidates (university students) supervised since last evaluation:

Semester	Candidate Name	Placement Site (school & district)	Program Level (Beg/Adv)

Attach additional rows and sheets as needed.

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FORM B
(For instructional faculty)

CONTENT AREA FACULTY OR PROGRAM COORDINATOR INPUT

Temporary Faculty Member _____

Content Area Faculty or Program Coordinator _____

Date _____

Documentation is attached describing the temporary faculty member's performance in the following areas (Please check all that apply):

- _____ Syllabi for each course taught
- _____ Sample lesson plans
- _____ Assignments
- _____ Assessments
- _____ Classroom Visits (attach form C – Classroom Observation)
- _____ Other

Overall Assessment (areas of strength, suggestions for improvement):

Signature of Evaluator

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FORM C
(For instructional faculty)

OBSERVATION OF CLASSROOM INSTRUCTION

Temporary Faculty Member _____

Content Area or Program Faculty Member _____

Course Observed (prefix, number and title) _____

Date of Observation _____

Observation notes on subject matter coverage, organization, pedagogy, and instructional delivery:

Overall assessment:

Signature of Evaluator

Date _____

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FORM D
(For clinical supervisors)

CLINICAL PRACTICE COORDINATOR and/or PROGRAM COORDINATOR INPUT

Temporary Faculty Member _____

Clinical Practice Coordinator/Program Coordinator _____

Date _____

Documentation is attached describing the temporary faculty member's performance in the following areas:

- _____ Completed observation forms of candidate performance.
- _____ Completed evaluation forms of candidate performance.
- _____ Communication with candidates (university students).
- _____ Communications with site personnel.
- _____ Candidate evaluations of supervisor.
- _____ Other.

Overall Assessment (areas of strength, suggestions for improvement):

Signature of Evaluator

Date _____

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FORM E1

**EVALUATION OF TEMPORARY INSTRUCTIONAL FACULTY
(Including those who may also be engaged in supervision of clinical practice)**

By Associate Dean or Appropriate Administrator

Temporary Faculty Member _____

Documentation is attached describing the temporary faculty member's performance in the following areas:

- _____ Syllabi
- _____ Lesson Plans
- _____ Assignments
- _____ Examinations/Assessment Instruments
- _____ Classroom Visits (attach form C1 – Classroom Observation)
- _____ Student Evaluations
- _____ Other Elements

Overall Assessment (areas of strength, suggestions for improvement):

Overall Recommendation:

Signature of Associate Dean Date _____

I have been provided a copy and have read the evaluation.

Signature of Temporary Faculty Member _____ Date _____

Faculty members have ten working days from the date noted on the Associate Dean's evaluation to respond if they wish to do so.

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FORM E2

**EVALUATION OF TEMPORARY INSTRUCTIONAL FACULTY -
SUPERVISORS OF CLINICAL PRACTICE
(Not engaged in instruction of program courses)**

By Associate Dean or Appropriate Administrator

Temporary Faculty Member _____

Evaluative documentation is attached describing the temporary faculty member's performance in the following areas:

- _____ Completed observation forms of candidate performance.
- _____ Completed evaluation forms of candidate performance.
- _____ Communication with candidates (university students).
- _____ Communications with site personnel.
- _____ Agendas and handouts for candidate support meetings.
- _____ Candidate evaluations of supervisor.
- _____ Other elements: _____

Overall Assessment (areas of strength, suggestions for improvement):

Overall Recommendation:

Signature of Associate Dean or appropriate administrator

Date _____

I have been provided a copy and have read the evaluation.

Temporary Faculty Member Signature _____ Date _____
Faculty members have ten days from the date noted on the Associate Dean's evaluation letter to respond if they wish to do so.