

AGENDA
 Executive Committee Meeting
 CSUSM Academic Senate
 Wednesday ~ March 30, 2011 ~ 12 – 2 p.m. ~ Kellogg 5207

[Send an email to the voting EC members' listserv.](#)

- I. **Approval of Agenda**
- II. **Approval of Minutes of 03/16/2011**
- III. **Chair's Report, [Rika Yoshii](#)**
 - Referral: BLP Formalize procedure for initiation of programs and migration of courses and programs to and from self support
 - GEC Consider impact of multiple majors to upper division GE credit
- IV. **Secretary's Report, [Mohammad Oskoorouchi](#)** *The following Senate item has been forwarded to the administration for review:*
 - APC Undergraduate and Graduate Dual-Listed Courses
- V. **Old Business**
 - FAC Sabbatical Leave policy
- VI. **New Business**
 - A. FAC CoE RTP policy
 - B. SAC Student Grade Appeals policy
- VII. **Discussion Item** Space issues -- Aitken/Yoshii
- VIII. **Provost's Report, Emily Cutrer**
- IX. **[ASCSU Report, Brodowsky/Montanari](#)**
- X. **[CFA Report, Don Barrett](#)**
- XI. **Brief Oral [Committee Reports](#)** As needed.
- XII. **EC Members' Concerns & Announcements**
 - Online instruction / evaluations -- Yoshii

Hot Topics For more information, visit the [Senate website](#)

Restructuring proposal	Early Start program
Diversity	SB 1440
Next Steps Workload Committee	Graduation Initiative
Temecula campus / Self support	

Next meeting: 4/6/11 ~ 12-12:50 pm ~ Commons 206

FAC: SABBATICAL LEAVE

Rationale: The primary purpose for this revision is in response to PLC concerns that language regarding proposals and categories be clarified because existing language in the sabbatical policy was not specific enough with regard to proposals that are funded and those that are not. For example, page 4, line 154 through 163, has been changed to reflect **recommended** proposals or unusually good or timely opportunities. There would be an expectation that all of the recommended proposals would be funded. The second category is **conditionally recommended** with proposals indicating a high quality faculty project with funding based on availability of resources. Finally the last category: **not recommended** reflecting proposals that do not indicate a high-quality sabbatical leave project. Recent history indicates these changes originating from individuals whose recommended proposals were not funded. The clarification in 3 b. or line 158 where we specify conditionally recommended contingent upon the availability of resources will better indicate to individuals the possibility that their sabbatical projects may not be funded. In a few other places in the document specifically lines 105, 174, and line 178 add faculty recommended or conditionally recommended to the language for consistency throughout the rest of the document. You can find these changes also in lines 208 and line 214. Finally, in reviewing the documents, the faculty affairs committee noted language that can be updated to better reflect the CSUSM mission in regard to 21st century higher education and recommends making gender neutrality adjustments in our documents as they are reviewed. For example the use of the "word" s/he can be considered antiquated and so in the cases where the word shows up we have changed the word to 'the individual.' And in places where his/her appears, we have adjusted the sentence to be more inclusive and gender-neutral.

Definition: A policy governing the application for and award of sabbatical leaves.
Authority: The collective bargaining agreement between the California State University and the California Faculty Association.
Scope: Eligible faculty unit employees of CSU San Marcos.

I. AUTHORIZATION

Sabbatical leaves are authorized under Article 27 of the Collective Bargaining Agreement.

II. OBJECTIVE

Sabbatical leaves shall be for purposes that provide a benefit to CSUSM through scholarly research, ~~scholarly and or~~ creative activity, instructional improvement and or faculty retraining. Such activities provide a crucial benefit to the instructional needs of CSUSM by improving the competency and enthusiasm of the faculty, by keeping the faculty up-to-date in their fields, and by bringing new ideas and concepts to the campus which will be shared with students and other faculty in and out of the classroom. Sabbatical activities also benefit society and promote the reputation of the university by giving CSUSM faculty a chance to refine ideas developed at CSUSM and spread them to the national and international creative, scholarly and educational communities.

III. ELIGIBILITY

A full-time faculty unit employee shall be eligible for sabbatical leave if:

- 1. ~~S/he~~The individual has served full-time for six (6) years at CSU, San Marcos in the preceding seven (7) year period prior to the leave; and
- 2. ~~S/he~~The individual has served full-time at least six (6) years after any previous sabbatical leave or difference in pay leave¹.

Note:

¹Difference in Pay Leaves. Academic employees who have completed at least six consecutive academic years of service may be granted a leave of absence for one or more semesters not exceeding one year, with compensation equal to the difference in salary between that received by the person on leave and minimum salary of the instructor rank.

- 47 A. Credit granted towards completion of the probationary period for service elsewhere shall also apply towards
48 fulfilling the eligibility requirements for sabbatical.
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50 B. A leave of absence without pay or service on an academic administrative appointment excluded from the
51 bargaining unit shall not constitute a break in service for eligibility requirements.
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53 C. For tenure track faculty, final approval of a sabbatical leave is contingent upon having earned tenure.
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55 IV. SALARY

56 The salary of a faculty employee on a sabbatical leave shall be in accordance with the following:
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59 1. One (1) semester at full salary; or
60 2. Two (2) semesters at one-half (1/2) the full salary.
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62 V. SSP-ARs

63 All full time SSP-ARs are eligible to apply for sabbaticals.
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65 The process for SSP-ARs will be the same as it is for instructional faculty with the following exceptions:
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67 The Professional Leave Committee will evaluate the applications separately from the instructional faculty and assign
68 them to one of the categories identified in Section VII. C.
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70 The Professional Leave Committee will submit their report to the Vice President for Student Affairs instead of the Vice
71 President for Academic Affairs.
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74 VI. APPLICATION PROCESS

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76 A. Sabbatical leaves are awarded the year prior to the sabbatical leave itself. Each spring semester, faculty who
77 are eligible to apply for a sabbatical leave shall be notified of their eligibility and the application submission
78 date for the Fall semester. A copy of the notification shall be sent to the Dean and the Department Chair or
79 equivalent². In order to facilitate resource planning, faculty are asked to notify the Dean and Department
80 Chair (or equivalent) as soon as they make the decision to apply for a sabbatical leave.
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82 B. An application for a sabbatical leave shall include the following:
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84 1. A 3 to 5 page narrative which states the purpose of the sabbatical leave and gives a detailed
85 description of the applicant's plan of scholarly research or creative activity, instructional
86 improvement and/or faculty retraining~~study, research, travel, and/or service~~. This narrative shall
87 include the following:
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89 a. A full description of the proposed activities including a timeline, and, ~~if appropriate,~~ a
90 description of the methodology, and/or course of study (or other types of activities). The
91 activities proposed should be of a nature to clearly make full use of the applicant's working
92 time for the duration of the sabbatical leave.
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94 b. An explanation of how the project positively impacts the applicant's professional
95 development (including the ability to carry out responsibilities at CSUSM). The applicant
96 should put the professional development into context. For example, if the proposed activity
97 involves a course of research, the applicant should explain whether it represents a
continuation of ongoing research or a change in direction; likewise, if the proposed activities

² A faculty member not belonging to a "department" has an appropriate administrator, for example a Center Director or a Program Director, who functions as the equivalent of the Department Chair for the purposes of this document.

are directed at instructional improvement, the applicant should describe the courses which will benefit and how they will benefit from the proposed activities.

2. A statement specifying the CSU resources (e.g., the need to use one's faculty office/lab, the need to secure an internal grant, or the need for travel funds), if any, necessary to carry it out;
 3. A statement of the time requested, which shall not exceed one (1) year;
Note: A sabbatical leave of two (2) semesters may be implemented within a two (2) consecutive year period.
 4. A copy of the applicant's curriculum vitae and a copy of original reports for previous sabbatical leaves (see Section IX, Paragraph D VIII, Paragraph 4 below).
 5. Applicants who have been recommended or conditionally recommended for a sabbatical but not funded in any of the previous two years may also include copies of previous recommendations from the Professional Leave Committee for one or both of the previous two years.
- C. The application (9 copies) shall be submitted to the Professional Leave Committee via the Office of the Academic Senate. The Office of the Academic Senate shall distribute seven copies to the Professional Leave Committee, one copy to the Associate Vice President for Academic Affairs - Academic Resources office and one copy to the applicant's department (or equivalent unit).
- D. A difference in pay leave may be filed simultaneously with a request for a sabbatical leave according to academic unit policy and procedures but only one type of leave may be granted.

VII. EVALUATION PROCESS

- A. A Professional Leave Committee shall review sabbatical applications, considering questions related to the quality of the proposed sabbatical leave project.
1. The Professional Leave Committee shall be constituted as follows:
 - a. The Professional Leave Committee shall be elected on an annual basis by probationary and tenured faculty unit employees.
 - b. The Professional Leave Committee shall be an all university committee composed of full-time tenured professors.
 - c. ~~One NEAC will determine the number of members from each unit as appropriate. At least one member shall be elected from the faculty by the eligible faculty in each of the following areas: Education, Business, Science and Mathematics, Humanities and Fine Arts, the Social Sciences, college and the Library by the eligible faculty.~~ The distribution of areas shall parallel the University Retention, Tenure, and Promotion committee. One at-large representative shall be elected from the faculty as a whole.³
 - d. Faculty unit employees applying for a sabbatical leave shall not be eligible for election to the Professional Leave Committee.
 2. The Professional Leave Committee shall use the following criteria listed in order of importance in evaluating the merit of applications proposals:
 - a. The quality of the professional development of the applicant through scholarly research or creative activity, instructional improvement and/or faculty retraining research, scholarly and creative activity, instructional improvement or faculty renewal with no implied priority among these (including the impact on the faculty member's ability to carry out his/her responsibilities to CSUSM).
 - b. The quality of the application proposal in terms of clarity, purpose, methods, and objectives.

³The distribution of areas was chosen to parallel the University Retention, Tenure, and Promotion committee.

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3. The Professional Leave Committee shall group applications proposals into the following categories:
 - a. ~~Highly Recommended: Applications~~ Exceptionally Proposals that indicate exceptionally high quality projects. Additional consideration will be given to projects that are or projects which represent an unusually good or timely opportunity/opportunities. The expectation is that all Recommended applications proposals will be funded.
 - b. Conditionally Recommended: Applications Projects Proposals that indicate a high quality sabbatical leave projects. The expectation is that ~~funding of these~~ Conditionally Recommended applications proposals is will be based on the availability of resources.
 - c. ~~Not Recommended Against: Applications Projects Proposals~~ that do not indicate a high quality sabbatical leave projects.

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The Professional Leave Committee shall recommend against all applications proposals whose proposed activities are not of a nature to account for all of the applicant's working time for the duration of the sabbatical leave.

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The ~~Highly Recommended~~ category should be a small, select group. In no case should more than 25% of the proposals be assigned to this category.

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4. The Professional Leave Committee shall rank order all applications in the Conditionally Recommended Category (this information will not be included in the letter sent to the applicant).
 5. The Professional Leave Committee shall submit a letter for each application to the Vice President for Academic Affairs giving the following information (a) the category of recommendation (~~Highly Recommended, Conditionally Recommended, or Not Recommended Against~~), (b) the reasons for the recommendation, and (c) suggestions for improvement ~~_(if needed)_~~ Not Recommended. The Professional Leave Committee shall also submit to the Vice President for Academic Affairs the rank order of applications in the category.

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A copy of this letter shall be ~~given~~ provided to the applicant. The applicant shall be informed ~~that a positive that~~ a recommendation by the Professional Leave Committee does not guarantee that the ~~Sabbatical Leave~~ will be approved by the President.

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Applicants may respond in writing to the VPAA regarding the committee's recommendation within two weeks of receipt of the recommendation.

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- B. The Senate Office shall send a copy of the application to the faculty unit employee's department (or equivalent unit). The department (or equivalent unit) shall provide a statement to the Vice President for Academic Affairs (with a copy to the Dean) regarding the possible effect on the curriculum and the operation of the department (or equivalent unit) should the employee be granted a sabbatical.
 - C. The Vice President for Academic Affairs shall make a recommendation to the President regarding each sabbatical leave application.
 1. After reviewing the recommendations of the Professional Leave Committee, the Vice President for Academic Affairs may meet and confer with the Professional Leave Committee for clarification.
 2. The Vice President for Academic Affairs, in consultation with the appropriate deans, shall consider other campus program needs and campus budget implications. In particular, the distribution of sabbatical leaves among different academic units may be considered (taking into account such factors as the FTES, FTEF, number of eligible faculty, number of faculty applying, and the number of faculty recommended or conditionally recommended by the Professional Leave Committee in each unit).
 3. When resources do not allow funding of all sabbatical leaves of a given category or subcategory of recommendation, the Vice President for Academic Affairs shall also take into account the number of years (since the applicant's previous sabbatical leave, if any) an applicant has been eligible for

sabbatical leave as well as the number of years the applicant has been recommended or conditionally recommended for a sabbatical leave by the Professional Leave Committee, but not awarded.

4. Arrangements may be developed by the department and approved by the President to accommodate granting sabbatical leaves for faculty unit employees whose leaves have been approved. Such arrangements may include rearranging workload within the department, and other university funding. No faculty unit employee will be involuntarily required to work in an overload situation by such arrangements.
5. The recommendation of the Vice President for Academic Affairs shall be forwarded to the President with copies to the applicant, the Dean, the department (or equivalent), and the Professional Leave Committee. The letter should contain reasons for the recommendation.

VIII. APPROVAL

- A. The President or the President's designee shall respond in writing to the applicant and shall include the reasons for approval or denial. If a sabbatical leave is granted, the response shall include any conditions of such a leave. A copy of this response shall be provided to the affected department (or equivalent unit), the Dean, the Vice President for Academic Affairs and the Academic Senate Office for the Professional Leave Committee.
- B. Final approval of a sabbatical leave shall not be granted until the applicant has filed with the President a suitable bond or an accepted statement of assets (not including PERS holdings) and/or a promissory note that is at least equal to the amount of salary paid during the leave.
- C. The guarantee posted shall indemnify the State of California against loss in the event the employee fails to render the required service in the CSU following return of the employee from the sabbatical leave.
- D. The guarantee posted shall immediately be canceled in full upon completion of required service or upon waiver of that service by mutual agreement of the faculty member and the CSU.
- E. A faculty unit employee whose leave requested has been approved shall normally be granted that leave. A leave may be deferred up to one year in circumstances when the President or the President's designee determines that granting the sabbatical leave in the succeeding academic year would cause an undue hardship on the department's ability to offer its program.

IX. FACULTY RESPONSIBILITIES

- A. A faculty unit employee on a sabbatical leave shall not accept additional and/or outside employment without prior approval of the president or the President's designee.
- B. A faculty unit employee granted a sabbatical leave may be required by the president to provide verification that conditions of leave were met. The statement of verification shall be provided to the president and the Academic Senate office for the Professional Leave Committee.
- C. A faculty unit employee shall render service to the CSU upon return from a sabbatical leave at the rate of one (1) term of service for each term of leave.
- D. A faculty member, upon return from sabbatical, shall submit a written report of approximately one page to the department (or equivalent unit) and Dean describing accomplishments during the period of leave.

X. FACULTY RIGHTS

- A. It is the intent of this policy that faculty unit employees eligible for sabbatical leave who meet the conditions of this policy receive their sabbatical leave.

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- B. Faculty on a sabbatical leave may not serve on university-wide committees. However, faculty on a sabbatical leave may vote in university-wide elections and run for university-wide offices for which they are eligible. The voting rights and committee service restrictions of an individual on sabbatical, within their college, department, or program, should be decided by the college/department/program and included in pertinent governance documents.
- C. A faculty unit employee on a sabbatical leave shall be considered in work status and shall receive health, dental, and appropriate fringe benefits provided by the CSU in the same manner as if ~~she~~the individual were not on a sabbatical leave.
- D. A faculty unit employee on a sabbatical leave shall be entitled to accrue sick leave, vacation, and service credit toward merit salary adjustment, eligibility toward promotion, if applicable, and seniority credit.
- E. If approved leaves are deferred, in succeeding years first preference for leave shall be given to faculty whose leave applications were approved in the earliest prior year.

XI. TIMELINE

May of year before request process begins

- Associate Vice President for Academic Affairs - Academic Resources notifies eligible faculty
- NEAC constitutes the Professional Leave Committee.

Last business day of September

- 9 copies of application due in Office of the Academic Senate. (Senate provides 1 copy to Associate Vice President for Academic Affairs and 1 copy to the department (or equivalent unit))

First business day of October

- Associate Vice President for Academic Affairs - Academic Resources requests impact statement from the department (or equivalent unit)

Last business day of October

- Professional Leave Committee forwards recommendations to Vice President for Academic Affairs with a copy to applicant
- Impact statements due to Vice President for Academic Affairs with a copy to applicant

Last business day of November

- ~~Vice President for Academic Affairs forwards recommendation to President with copies to the department (or equivalent unit), the Dean, the Office of the Academic Senate for the Professional Leave Committee and the applicant.~~

Last day of Fall semester

- President or designee notifies candidates of sabbatical decisions with copies to the department (or equivalent unit), the Dean and the Office of the Academic Senate for the Professional Leave Committee

Rating Sheet for Sabbatical Applications

Applicant's Name: _____

Is the application complete? Yes No

a. Narrative including timeline

b. Statement of resource needs

d. Statement of time requested

e. CV

f. Copies of original reports on previous sabbaticals

g. Recommendations from previous recommended but unfunded sabbaticals in previous two years (Optional)

Type of professional development (check all that apply)

Research, scholarly, or creative activity

Continuation of ongoing research

Change in direction

Faculty retraining

Instructional improvement

Which courses will benefit

How courses will benefit

For items 1-4 below, rate each criterion using the following scale:

1	2	3	4	5
Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree

1.	The project will enhance the applicant's professional growth and/or positively impact the applicant's ability to carry out responsibilities at CSUSM. <i>Comments:</i>	1	2	3	4	5
2.	The project provides a crucial benefit to the instructional needs of CSUSM (e.g., by keeping faculty up to date in their field, new ideas in the classroom, faculty competency). <i>Comments:</i>	1	2	3	4	5
3.	The project is an unusually good or timely opportunity. <i>Comments:</i>	1	2	3	4	5
4.	The application clearly presents the purpose, methods and objectives of the proposed project. <i>Comments:</i>	1	2	3	4	5

Overall Comments on the proposal:

Proposal ranking _____

Recommended (Exceptionally high quality projects ; no more than 25% of the proposals)

Conditionally Recommended (high quality)

Not Recommended (not high quality)

Suggestions for improvement of the application:

1 | **RETENTION, TENURE, AND PROMOTION (RTP) STANDARDS¹ FOR THE COLLEGE OF EDUCATION**

2 | **Rationale:** *The governing body of the California State University San Marcos (CSUSM) College of Education (CoE) has revised the retention, tenure, and promotion (RTP) document to reflect standards pursuant to the current Academic Senate approved RTP standards (May, 2010). This document is additionally informed by the process suggested by Guidelines for Department RTP Standards approved by Academic Senate May, 2009. These standards are specific to the retention, tenure, and promotion of tenure line faculty in the College of Education.*

3 | **Definition** *Standards governing RTP process for faculty in the CoE.*

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

Scope *Eligible CoE faculty at California State University San Marcos.*

4 | **I. COE RTP STANDARDS**

5 | **A. Preamble**

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- 9 | 1. This document sets forth general standards and criteria for retention, tenure, and promotion of full-time faculty in
- 10 | the College of Education.
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- 12 | 2. The provisions of this document are to be implemented in conformity with University RTP Policies and
- 13 | Procedures; the CSU Collective Bargaining Agreement (CBA), Articles 13, 14, 15; and the University Policy on
- 14 | Ethical Conduct.
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- 16 | 3. The College is guided also by the standards of the National Council for Accreditation of Teacher Education
- 17 | (NCATE), American Speech Language Hearing Association (AASHA), and the national accrediting agency for
- 18 | colleges and departments of education and California Commission on Teacher Credentialing (CCTC).
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20 | **B. Definitions of Terms and Abbreviations**

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- 22 | 1. The College of Education (CoE) uses the same definitions, terms, and abbreviations as defined in the University
- 23 | RTP document. For clarity, the use of "is" is informative, "shall" is mandatory, "may" is permissive, "should" is
- 24 | conditional, and "will" is intentional.
- 25 |
- 26 | 2. A "standard" is a reference point or formalized expectation against which progress can be measured for retention,
- 27 | tenure, and promotion.
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- 29 | 3. Faculty have a right to clearly articulated performance expectations. Departmental and College RTP Standards
- 30 | provide consistency in guiding tenure-track faculty in the preparation of their working personnel action files
- 31 | (WPAFs).

¹ All new Tenure Track (TT) faculty members with hire dates after May 2011 will be governed by the 2011 document.

For current TT faculty members in the COE as of Spring 2011:

Assistant Professors: By August 30, 2011, each assistant professor will indicate which document, 1991 or 2011, they wish to have govern their promotion and tenure to associate professor. After promotion to associate professor and conferral of tenure, these professors will be governed by the 2011 document for future personnel decisions.

Associate Professors: By August 30, 2011, each associate professor will submit a letter indicating their choice of the 1991 or 2011 document for their request for promotion to full professor, given that such request occurs no later than the 2015-16 academic year.

Everyone: In any event, no one will use the 1991 document after the 2015–2016 academic year unless given permission by the president or the president's designee.

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4. Department and College RTP Standards educate others outside of the discipline, including deans, university committees, and the provost, with respect to the practice and standards of a particular department/discipline/field.
 5. Departments and Colleges must respect the intellectual freedom of their faculty by avoiding standards that are too prescriptive. Department and College standards should be as brief as possible with emphasis on the unique nature of the department.
 6. All Department and College RTP Standards shall conform to the CBA and University and College RTP documents. The CoE RTP Standards document shall contain the elements of College RTP standards described below and shall not repeat the CBA, or College RTP documents, or include college-specific advice.
 7. All Department or College RTP Standards must be approved by a simple majority of all tenure-track faculty within a department or college and then be approved by college/school/library and the Academic Senate before any use in RTP decisions.

49 **II. ELEMENTS OF THE CoE RTP DOCUMENT**

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51 A. Introduction and Guiding Principles

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1. All standards and criteria reflect the University and College Mission and Vision Statements and advance the goals embodied in those statements.
 2. The performance areas that shall be evaluated include scholarly teaching, scholarly research/creative activities, and scholarly service. While there will be diversity in the contributions of faculty members to the University, the College affirms the university requirement of sustained high quality performance and encourages flexibility in the relative emphasis placed on each performance area. Candidates must submit a curriculum vita (CV) and narrative statements describing the summary of teaching, research/ creative activity, and service for the review period. The faculty member must meet the minimum standards in each of the three areas.
 3. Items assessed in one area of performance shall not be duplicated in any other area of performance evaluation. Items shall be cross-referenced in the CV, narrative statements, and WPAF to demonstrate connections across all three documents. Candidates who integrate their teaching, research/creative activities, and/or service may explain how their work meets given standards/criteria for each area.
 4. The College recognizes innovative and unusual contributions (e.g., supervising research, using particularly innovative or challenging types of pedagogy, writing or rewriting programs, curriculum development, assessment development, accreditation or other required report generation).
 5. Retention, tenure, and promotion decisions are made on the basis of the evaluation of individual performance. Ultimate responsibility for understanding the standards, meeting the standards, and effectively communicating how they have met the standards rests with the candidate. In addition to this document, the candidate should refer to and follow the University RTP Policies and Procedures. Candidates should also note available opportunities university procedures that provide guidance on the WPAF and describe the responsibilities of the candidate in the review process (e.g., Provost's RTP meetings; Faculty Center Professional Development, and advice and counsel by tenured faculty). Sound advice and counsel by tenured faculty can significantly contribute to the achievement of the highest level of individual performance and should be available and sought out. Candidates may choose whether are encouraged to avail themselves of such opportunities advice and counsel.
 6. Candidates for retention will show effectiveness in each area of performance and demonstrate progress toward meeting the tenure requirements in the areas of scholarly teaching, scholarly research/creative activities, and scholarly service.
 7. Candidates for the rank of associate professor require an established record of effectiveness in scholarly teaching, scholarly research/creative activities, and scholarly service to the College and University.

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8. Candidates for the rank of professor require, in addition to continued effectiveness, an established record of initiative and leadership in scholarly teaching, scholarly research/creative activities, and scholarly service to the College, University, community, and profession. Promotion to the rank of professor will be based on the record of the individual since promotion to the rank of associate professor.
 9. The granting of tenure at any rank recognizes accomplishments and services performed by the candidate during the individual's career. The record must show sustained and continuous activities and accomplishments. The granting of tenure is an expression of confidence that the faculty member has both the commitment to and the potential for continued development and accomplishment throughout the individual's career. Tenure will be granted only to individuals whose record meets the standards required to earn promotion to the rank at which the tenure will be granted.

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101 **III. GENERAL STANDARDS**
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- A. **Retention:** A positive recommendation for retention requires that the candidate's record clearly meets the articulated standards for the granting of a retention decision in each of the three areas: scholarly teaching, scholarly research/creative activities, and scholarly service.
 - B. **Tenure and/or Promotion:** A positive recommendation for tenure or promotion requires that the candidate's record clearly meets the articulated standards for the granting of a tenure/promotion decision in each of the three areas: scholarly teaching, scholarly research/creative activities, and scholarly service.
 - C. **Early Tenure (prior to the 6th year in rank):** *This option for assistant professors* is considered an exception. A positive recommendation for early tenure requires that the candidate's record clearly meets the articulated standards for the granting of a tenure/promotion decision in ALL areas. To be eligible for early tenure, a candidate must show a sustained record of successful experience at a university, and that experience must include at least one full year at California State University San Marcos prior to the year of review for tenure.
 - D. **Early Promotion (prior to the 6th year in rank):** *This option for associate professors* is considered an exception. A positive recommendation for early promotion requires that the candidate's record clearly ~~exceeds~~ meets the articulated standards for the granting of a tenure/promotion decision in ALL areas. To be eligible for early promotion a candidate must show a record of successful experience at a university, and that experience must include at least one full year at California State University San Marcos prior to the year of review for promotion.
 - E. Faculty who are hired at an *advanced rank without tenure* may apply for tenure after two years of service at CSUSM (i.e., in fall of their third year at CSUSM). A positive recommendation requires that the candidate's record at CSUSM clearly demonstrates a continued level of accomplishment in all areas and, together with the candidate's previous record, is consistent with the articulated standards for the granting of tenure at the faculty member's rank.

128 **IV. STANDARDS AND CRITERIA FOR SCHOLARLY TEACHING**
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- A. College Priorities and Values in Teaching and Learning
 1. In the College of Education, "effective Scholarly Teaching" is defined as activity that promotes student learning, reflection, and professional growth in support of the College Mission and is demonstrated by information in the teaching portfolio section of the WPAF. Scholarly teaching in the CoE should explicitly support the Mission Statement. Scholarly teaching is multifaceted and may include instructional activity that takes place at off-site locations.
 2. The most important teaching activities include, but are not limited to:
 - Classroom modality, face-to-face, blended, online, on-campus, off-site, distance learning teaching
 - Supervision of teacher candidates
 - Supervision of masters theses or projects and doctoral dissertations and research
 - Supervision of student independent study
 - Training and/or supervision of lecturers, colleagues, and Distinguished Teachers in Residence (DTiR)

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- Student advising and counseling
- Laboratory teaching
- Clinical teaching/ practice
- Seminar courses
- Undergraduate and graduate courses
- Supervision of field work and independent research
- Supervision of teaching and graduate assistants

3. As a college that primarily focuses on preparing students to become effective educators, it is expected that the faculty in the College of Education will consistently model effective instructional practices and continue to improve as an educator. Effective faculty members set clear student learning outcomes for their students, employ a range of instructional strategies, and teach in ways that effectively engage all students in the learning process.
4. CoE approaches to support excellent teaching include collaboration, team teaching, lesson study groups, and co-teaching.
5. Evaluations of scholarly teaching will focus on determining a profile of the candidate's teaching effectiveness. To determine such a profile, scholarly teaching will be assessed by holistic evaluation of evidence, including candidates' reflective statement on teaching, student evaluations, reflective practice, and selected items that the candidates believe best represent their teaching, as described in the University RTP document and further illustrated below in section B.

B. The Following Evidence of Scholarly Teaching is **required**:

1. Scholarly Teaching Reflective Statement

A reflective narrative including any selected items from section IV. A .2. (p. 4 above) and all scholarly teaching evidence discussed in the file should reflect continued success and/ or improvement in teaching. In this statement, candidates shall provide a clear and concise reflective self-assessment of their teaching philosophy, experience, and performance. The reflective statement may include the candidates' philosophy of teaching and learning, pedagogical connections between the techniques they employ when teaching and their philosophy of teaching and learning, impact of any notable teaching accomplishments or awards, improvements made as a result of lessons learned from their teaching and/or student evaluations, impact of course innovation or development, and/or their approach to supervision of student teachers. As part of the reflective statement, candidates shall provide a brief summary of student evaluation ratings exemplifying scholarly teaching supported by a brief discussion of these evaluations. Evaluation ratings and narrative shall specify rationale for categories chosen (e.g., quality of course, instructor preparedness, active learning encouraged) and particular teaching context (e.g., new prep, co-taught, curriculum modifications, extenuating circumstances). Course evaluations and narrative should reflect evidence of improvement in evaluations.

2. Teaching and/or Supervision Assignments

Evidence: If not already a part of the curriculum vita, candidates will list all courses and/or all student teaching supervision assignments for the period under review, as illustrated below.

Semester & Year	Course Number	Course Title	Section	Units	Number of Students Enrolled	Comments	Evaluation Ratings (specify categories/items referenced)

3. Student Evaluations from Teaching and/or Supervision Assignments

- 193 **Evidence:** Provide complete sets of (60% [percentage as specified by CBA]) university-prepared student
194 evaluation reports, from courses taught and/or student teacher supervision assignments since the last promotion.
195
- 196 4. Representative Syllabi from Courses Taught
197
198 **Evidence:** Provide a representative sample of syllabi from core courses taught since last promotion that illustrate
199 course objectives, student learning outcomes, sample assignments, and current practice in the field and
200 instructional practices.
201
- 202 C. The Following Evidence of Scholarly Teaching is *Optional*:
203
- 204 1. Use of Exemplary Teaching Practices in Coursework and/or Clinical Practice
205
206 **Evidence:** Provide evidence that illustrates the use of exemplary teaching practices. Candidates might provide
207 evidence that demonstrates the effective use of such things as technology, teaching strategies for diverse
208 learners, student projects, student learning outcomes, portfolios, etc.
209
- 210 2. Curriculum, Program, and/or Course Development and/or Revision
211
212 **Evidence:** Provide evidence that illustrates any new developments or improvements in curriculum, programs,
213 and/or courses. Evidence might include a brief description of improvements, curriculum forms, syllabi changes,
214 links to online materials, etc.
215
- 216 3. Academic Advising
217
218 **Evidence:** Provide evidence of effective academic advisement of students and the impact of this work. Academic
219 advisement includes the many ways the candidate supported students in their academic pursuit, such as on a
220 thesis or dissertation committee, mentorship on a research or graduate project, or as an academic advisor to a
221 student in a program. Evidence might include the names of the students, the role(s) the candidate played, the
222 dates of this work, and any evidence related to the impact.
223
- 224 4. Other Selected Items that Best Represent Candidate's Teaching
225
226 **Evidence:** Additional evidence of scholarly teaching activities not listed above, including but are not limited to:
227
 - 228 • Assessment of student learning outcomes
 - 229 • Letters from former students (identified as solicited or unsolicited)
 - 230 • Teaching awards
 - 231 • Other activities to promote teaching excellence (e.g., self evaluation, peer evaluation, in-service education of
232 incumbent educators in the field)
- 233 D. Assessment of Scholarly Teaching
234
- 235 1. General Standards
236
237 Candidates will be assessed on the quality of the evidence provided on the set of indicators they select, rather
238 than on the quantity of indicators selected. In all cases, candidates will be assessed on the quality and the totality
239 of the evidence provided. When judged as a group, no one indicator may be used to determine the overall rating
240 of teaching effectiveness.
241
- 242 2. Tenure and/or Promotion from Assistant Professor to Associate Professor
243
244 At the Assistant Professor level, scholarly teaching that *meets standards* is expected to demonstrate classroom
245 effectiveness for the types of courses taught. Evidence of classroom effectiveness may include, but is not limited
246 to student evaluations, syllabi that clearly articulate course objectives and requirements, effective instructional
247 practices, engaging assignments directed at meeting the course objectives, documentation that illustrates clear

248 connections throughout an entire teaching event, and assessments that effectively measure and align with
249 student learning outcomes.

250
251 3. Tenure and/or Promotion from Associate Professor to Professor
252

253 As more experienced faculty, Associate Professors being considered for promotion to Professor are held to a
254 higher standard. Accordingly, to be rated *meets standards*, a candidate at the Associate Professor level is
255 expected to demonstrate “leadership” (i.e., ~~having influence~~) and initiative in teaching and curriculum related
256 activities. This is in addition to documentation of continued teaching effectiveness (*Section IV*).
257

258 4. Retention
259

260 Candidates for retention shall include the required items for courses taught and additional optional materials in
261 their teaching portfolio to show evidence of efforts and effectiveness in teaching. Because this is an evaluation
262 intended to provide guidance, candidates will be assessed on their current teaching performance as well as on
263 efforts that have been made to address prior performance feedback.
264

265 **V. STANDARDS AND CRITERIA FOR SCHOLARLY RESEARCH AND CREATIVE ACTIVITIES**
266

267 A. College Priorities and Values in Research and Creative Activity
268

269 In the College of Education, scholarly research/creative activities is defined as creating, synthesizing, and
270 disseminating knowledge of teaching, learning and schooling in ways that fulfill the Mission and core values of the
271 College. The College of Education encourages scholarship that contributes to and transforms many communities from
272 young to the elderly (e.g., PreK-12 education, higher education; local and regional centers/ agencies), indicating
273 collaboration with multiple groups. Research involving reflective practice is valued. Sustained scholarly activity that
274 demonstrates support of the CoE Mission is expected.
275

276 B. College’s Research/ Creative Activity Standards within Context of Discipline
277

278 Scholarly research/creative activities take many forms in the CoE. These may include, but are not limited to,
279 qualitative, quantitative, and applied scholarly research conducted both individually and collaboratively. Applied
280 scholarly research in PreK-12 schools is defined as creative activity that relates directly to the faculty member’s
281 intellectual work. This type of scholarship is carried out through such activities as program development, program or
282 curriculum evaluation, policy analysis, action research, collaborative research with educators and community
283 members, etc. These activities are tied directly to the professor's special field of knowledge and are aimed at
284 substantive change in educational practices. Applied scholarly research requires rigor and accountability.
285

286 C. Faculty Description of Contributions when Multiple Authors are Present
287

288 When multiple authors are present on scholarly research and creative activities, candidates shall specify their specific
289 role on item -(e.g., role: first author; second author; equal authorship; etc.).
290

291 D. Major Challenges facing faculty in the CoE in terms of limitations
292

293 Faculty members in the College of Education may experience challenges based on the perceptions of outside
294 disciplines in terms of scholarly research and creative activity, when applied research or action research is mostly
295 qualitative in nature. They may also experience limitations when colleagues from other disciplines do not understand
296 that CoE scholarly activity includes evaluation of new programs, participation in accreditation activities, or
297 participation in large-scale research efforts. Finally, when budgetary constraints prohibit CoE faculty from traveling to
298 disseminate research findings at national or international conferences, scholarly presentations may more often be
299 local.
300

301 E. Evidence of Scholarly Research and Creative Activities
302

303 Evaluations of scholarly research/creative activities will focus on developing a profile of the candidate's scholarly
304 research/creative activities as well as an understanding of the impact and benefit their work has had on the field,
305 including the PreK-12 community. To determine such a profile, the candidate's scholarly research/creative activities
306 will be assessed by *holistic* evaluation of the candidates' reflective statement, scholarly work, and selected items that
307 the candidates believe best reflects their progress, as described in the University RTP document and further illustrated
308 below.

309
310 1. Scholarly Research/Creative Activities Reflective Statement

311
312 Candidates shall provide a clear reflective assessment of scholarly research/ creative activities as well as the
313 impact of this work. The reflective statement may also include short-term and long-term goals for research/
314 creative activities, connections between research/ creative activities and the courses taught, and the impact of
315 research/ creative activities.

316
317 a. **Category A Evidence** must include external peer review process:

- 318 1) Papers published or accepted for publication in peer reviewed/ refereed journals recognized as reputable
319 and of high quality
- 320 2) Peer or editor reviewed published book chapters of original material and original monographs
- 321 3) Peer or editor reviewed books, manuscripts, electronic or other media published or accepted for
322 publication as works that contribute new knowledge and/or to practice as demonstrated by professional
323 and academic reviewers
- 324 4) Peer reviewed /refereed presentations at national or international conferences
- 325 5) Significant program development including applied scholarship, curriculum writing, or accreditation
326 work, which requires outside agency approval and/or peer review.
- 327 6) Funded peer reviewed external grants for scholarly research/creative activity work, in progress or
328 completed

329
330 b. **Category B Evidence** may include, but is not limited to:

- 331 1) Papers published in refereed proceedings
- 332 2) Refereed presentations at professional meetings
- 333 3) Invited presentations at professional meetings
- 334 4) Editor reviewed articles published in journals, newspapers, magazines, and other media
- 335 5) Published case studies
- 336 6) Applied scholarly research/creative activity that is published, presented at a conference or meeting, or
337 applied in an educational setting
- 338 7) Published review of books, articles, programs, and conferences
- 339 8) Session discussant at a professional meeting
- 340 9) Invited keynote or speaker
- 341 10) Special recognition and awards for research/creative activities
- 342 11) Funded regional or internal grants for scholarly research/creative activity work (e.g., local organizations,
343 University Professional Development, Distinguished Teacher in Residence, etc.)
- 344 12) Self published books
- 345 13) Workshops
- 346 14) Unfunded peer reviewed external grants for scholarly research/creative activity work
- 347 15) Working papers
- 348 16) Submitted papers
- 349 17) Sponsored or contract research
- 350 18) Technical reports
- 351 19) Unfunded grants

352
353 F. Assessment of Scholarly Research/ Creative Activities

354
355 1. General Standards

356
357 Candidates will be assessed on the quality of the evidence provided, the evidence of sustained scholarship, and
358 the totality of their work. *A variety of types of work must be provided including peer reviewed publication.* When

359 judged as a group, no one indicator of scholarly research/ creative activities may be used to determine the overall
360 rating of quality of scholarly research/ creative activities. In all cases, the scholarly reputation of the publication
361 and/or meeting will be considered when evaluating the contribution.
362

363 2. Tenure and/or Promotion from Assistant Professor to Associate Professor

- 364
365 | a. At least two items by year 4 and one additional item by year 6 from Category A
366 | b. At least one item per University retention review (years 2, 4, and 6) from Category B
367

368 3. Tenure and/or Promotion from Associate Professor to Professor*

- 369
370 | a. At least three items from Category A
371 | 1) At least two items must be peer reviewed or refereed publications
372 | b. At least three items from Category B
373

374 *Only items not considered in the last promotion may be considered.
375

376 4. Retention
377

378 Candidates for retention shall include documentation that may include more items in Category B than A to
379 demonstrate effectiveness in performance and demonstrate progress toward meeting the tenure requirements in
380 the area of scholarship.
381

382 **VI. STANDARDS AND CRITERIA FOR SCHOLARY SERVICE**
383

384 A. College Priorities and Values regarding Service Contributions
385

386 Consistent with our Mission Statement, the College of Education places a high value on scholarly service as an
387 essential component of faculty work. The College views activities that enhance the institution and advance the
388 profession at the local, state, national and international levels as integral components of faculty service. In the
389 College, Scholarly Service is defined as activities that contribute to the life of the university, college, department or
390 school districts and/or activities that contribute to professional agencies and organizations. Service activities are
391 expected to advance the college and university mission statements.
392

393 B. Most Important College Priorities regarding Service
394

395 Evaluations of scholarly service will focus on determining a profile of the candidate's scholarly service activity. To
396 determine such a profile, service will be assessed by *holistic* evaluation of the candidates' reflective statement,
397 scholarly service work, and selected items that the candidates believe best reflects their progress, as described in the
398 University RTP document and further illustrated below. Particular consideration should be given to the service
399 necessary to develop courses/programs/majors and a campus structure of a growing campus.
400

401 1. Scholarly Service Reflective Statement
402

403 Candidates are to provide a clear and concise reflective self-assessment of their scholarly service activities and the
404 impact of this work. Candidates may include statements regarding any short-term and long-term goals for
405 scholarly service activities, connection to the University's and/or College's Mission, reasons for their involvement,
406 and the impact of their service activities.
407

408 2. Internal Scholarly Service Activities
409

- 410 a. **Evidence of Scholarly Service to the College and/or Program** may include, but is not limited to:
411 | 1) Leadership/membership in college governance and/or groups that carry on the business of the college
412 | (e.g., committees [elected or appointed], ad hoc committees, task forces, etc.)
413 | 2) Leadership/membership in college accreditation efforts
414 | 3) Development of new courses or programs for the college

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- 4) Program coordination and/or service (e.g., student interviews, development of student learning outcomes, administration, etc.)
 - 5) Mentoring of students, tenure-line faculty, lecturers and/or Distinguished Teachers in Residence
 - 6) Collaboration with colleagues within the college and across colleges
- b. **Evidence of Scholarly Service to the CSU System and/or University** may include, but is not limited to:
- 1) Innovative leadership initiatives at the university or CSU system level
 - 2) Leadership/membership in groups that carry on the business of the university (e.g., committees [elected or appointed], ad hoc committees, task forces, etc.)
 - 3) University professional activities, (e.g, service toward university accreditation, etc.)
 - 4) Act as an advisor for a student organization
 - 5) Commencement marshal
 - 6) Mentoring of students, tenure-line faculty, lecturers and/or Distinguished Teachers in Residence
3. External Scholarly Service Activities
- a. **Evidence of Scholarly Service to the Profession** may include, but is not limited to:
- 1) Peer reviewer for journal or conference proposals
 - 2) Membership on Editorial Board for peer reviewed/ refereed journal or publication
 - 3) Leadership in professional organizations as an officer, on a committee or task force, etc.
 - 4) Consultation and expert services
 - 5) Providing continuing education fro community
- b. **Evidence of Scholarly Service to the PreK-12 and Greater Community** may include, but is not limited to:
- 1) Assist schools, districts, or community organizations/ agencies in occasional tasks, (e.g., interview committee for a school principal, academic competition judge, grant or award application, textbook adoption committee, etc.)
 - 2) Consulting (paid or unpaid) with schools, (e.g, presenting professional development sessions, conducting research for the school or district, etc.)
4. Service Awards and Special Recognition
- C. Assessment of Scholarly Service
1. General Standards

Candidates will be assessed on the evidence of the quality of evidence provided, the evidence of sustained service, and the totality of their work. When judged as a group, no one indicator may be used to determine the overall rating of scholarly service activity. **Note:** *Submitting letters from committee chairs about attendance is not considered best practice.*
 2. Tenure and/or Promotion from Assistant Professor to Associate Professor

Candidates for promotion from Assistant to Associate Professor must provide evidence of effective sustained internal and external service contributions.
 3. Tenure and/or Promotion from Associate Professor to Professor

Candidates for promotion from Associate Professor to Professor must provide evidence of leadership in one or more service activities in addition to demonstrating sustained active participation in both internal and external service activities.
 4. Retention

Candidates for retention must provide appropriate and effective evidence of significant internal service. While not required, external service contribution will be considered in the evaluation.

SAC: Student Course Grade Appeals

Rationale: This policy is updated to:

- [1] bring it in line with EO1037 implemented 8/1/2009 that replaced EO792 (main change relates to the addition of campus procedures for dealing with allegations of improper procedure, in addition to minor typographical changes);
- [2] clarify of the authority of the Grade Appeals Committee when it finds in favor of the appealing student; and clarify that grade can only stay or be increased as a result of the appeal;
- [3] allow (secure) electronic notifications, and specify procedures for keeping electronic records;
- [4] allow SGAC chair to facilitate the informal appeal;
- [5] allow a replacement of no more than two member of a consulting panel (see item VI.C.6.b)
- [6] add specific deadlines for completion of various tasks;
- [7] allow SAC (in addition to SGAC) to initiate revision to this policy and procedures;
- [8] general "clean-up" (removal of references to non-existent policies, guidelines, offices, and/or positions and replacing these with the appropriate ones; clarification of terms and language).

Definition: Provides a means for students to seek redress of complaints regarding grades.

Authority: California State University San Marcos Academic Freedom Statement, Faculty Ethics Policy, the Cal State San Marcos Interim Student Rights and Responsibilities Policy, and Executive Order ~~1037.792~~

Scope: The purpose of the Student Course Grade Appeals Policy and Procedures shall be to enable students to seek redress of complaints about course grades (hereafter referred to as "grade appeals"). A grade appeal arises when circumstances prevent assignment of an earned course grade or cause an assigned course grade to be questioned by a student. This procedure shall also be available for the resolution of grade appeals alleging inappropriate application to the student of any other rules or policies of California State University CSU-San Marcos. The burden of proof shall rest on the student.

2 Procedure

3 I. Preamble

4 The California State University San Marcos Student Course Grade Appeal Policy acknowledges the rights of students and
5 faculty as expressed in "Joint Statement of Rights and Freedoms of Students" drafted by the American Association of
6 University Professors, the United States National Student Association, the Association of American Colleges, the National
7 Association of Student Personnel Administrators, and National Association of Women Deans and Counselors in 1967, and the
8 rights of all members of the campus as outlined in the California State University San Marcos Academic Freedom
9 Statement, Faculty Ethics policy, the Cal State San Marcos Interim Student Rights and Responsibilities Policy and of faculty as
10 expressed in Executive Order ~~792~~. Executive Order ~~792~~1037 states that "faculty have the sole right and responsibility to provide
11 careful evaluation and timely assignment of appropriate grades" and that, "in the absence of compelling reasons, such as
12 instructor or clerical error, prejudice or capriciousness, the grade assigned by the instructor of record is to be considered final."
13 (p. 25).

15 II. Purpose

16 The purpose of the Student Course Grade Appeal Policy and Procedures shall be to enable students to seek redress of
17 complaints about a course grades (hereafter referred to as "grade appeals"). A grade appeal arises when circumstances prevent
18 assignment of an earned grade or cause an assigned grade to be questioned by a student. This procedure shall also be available
19 for the resolution of grade appeals alleging inappropriate application to the student of any other rules or policies of California
20 State University CSU-San Marcos.

22 III. Terms and Definitions

23 Throughout this document, the words, "shall," "will," and "must" refer to mandatory (required) actions. The words, "may" and
24 "should" refer to discretionary actions (i.e., recommended or voluntary, but not required). The word "dean" refers to the dean
25 or his/her designee. The word "principals" refers to the student appellant and the instructor respondent.

27 IV. Jurisdiction

28 This policy applies solely to students' appeals of assigned course grades. Separate grievance policies and procedures have been
29 established for discrimination and harassment grievances. Students wishing to initiate a grievance against an administrator,
30 faculty or staff member because of discrimination on the basis of sex, race, color, national origin, age, disability, veteran status,
31 religion, or sexual orientation are advised to obtain written instructions on the filing of such grievances from the Office of
32 Human Resources and Equal Opportunity or the Office of the Dean of Students.

33 Separate policies and guidelines also exist for complaints involving Greek social service organizations or individual members of
34 a Greek Organization. These policies and guidelines may be found in the Greek Handbook available in the Office of Student
35 and Residential Life

36 37 **V. Membership**

38 39 **V.A. Committee Structure**

40 Membership of the Student Grade Appeals Committee (SGAC) shall consist of:

- 41 • Three students (two undergraduate, one graduate) to be named under procedures established by the Associated Students
42 Incorporated (ASI). Student members serving on this committee must be regular students in good standing, as determined
43 under the same regulations imposed for ASI Board members. Student alternates will be named as needed; see section IV.E.
- 44 • Four faculty members and four faculty member alternates selected by the Academic Senate. All faculty members of the
45 committee and all faculty alternates must hold tenured appointments.

46 | The Chair shall be elected yearly from the faculty membership of the committee.

47 48 **V.B. Chair's Duties**

49 The Chair is non-voting except in cases of a tied vote. The Chair shall be the administrative officer of the committee. The duties
50 of the office shall include arranging for appropriate times and places of committee meetings and hearings; informing
51 committee members of the committee's standing meeting time and place, and the time and place of any hearings; informing in
52 writing all interested parties of the times and places of committee meetings or hearings which they are requested to attend
53 | and supplying them with a statement of alleged grievances, the grade appeal; informing all other interested parties that an
54 appeal is pending; securing and distributing to the committee written material appropriate for its consideration; arranging for
55 the recording of committee proceedings; maintaining committee records; and informing in writing all interested parties of the
56 recommendations of the committee.

57 58 **V.C. Service of Alternates**

59 Alternates shall be called upon as necessary to fill permanent or temporary vacancies (see section IV.E., "Vacancies.").
60 Alternates shall serve on the committee as full voting members for grade appeal grievances.

61 62 **V.D. Terms of Service and Continuation**

63 | The term of service on the ~~Student Grade Appeals Committee~~SGAC shall run from June 1 to May 31. All committee members/
64 alternates shall serve two-year staggered terms, from June to May. All student members shall serve one year terms.

65 Committee members may serve consecutive terms of service.

66 The members who begin hearing an appeal shall continue as a panel for that appeal until it reaches resolution, unless a
67 member is unable to continue or is no longer eligible to serve. In the event that a particular grade appeal extends beyond May
68 31, the members hearing that particular grade appeal shall continue with that appeal until the committee's decision is
69 rendered.

70 71 **V.E. Vacancies**

72 1. Permanent vacancies - When a permanent vacancy on the committee occurs mid-term, the Chair of the committee shall
73 request a replacement by one of the faculty alternates or, in the case of students, through an appointment made by ASI. The
74 replacement shall have full voting rights for the remaining term of office of the original committee member.

75 2. Temporary vacancies - If a member of the committee is from the same immediate department or program or has a close
76 personal relationship with the student making the appeal, that member shall not participate in the appeal process for that
77 | specific grievance/grade appeal. When, for good cause, a committee member cannot consider a particular grade appeal, or if
78 the committee identifies a conflict of interest, an alternate, with full voting rights, shall be appointed to serve in his/her place
79 for the specific grievance. In addition, a student appellant shall have the right to have one member of the committee replaced
80 with an alternate member for any reason within two academic days prior to the committee's first review of the appeal. An
81 alternate faculty member shall be selected by the Chair of the committee. An alternate student member shall be appointed by
82 ASI.

83 84 **V.F. Quorum and Voting**

85 The quorum (which must include at least one student member) for holding meetings and making grade appeal
86 | recommendations shall be a majority of the seated members of the ~~Student Grade Appeals Committee~~SGAC. A majority of
87 members in attendance, including at least two faculty members, is required to make a grade appeal recommendation. Only

88 members of the committee who have reviewed the documents submitted and heard all testimony elicited during the hearing
89 on a grade appeal may vote on the grade appeal.

91 **V.G. Confidentiality**

92 To protect all parties involved, all participants shall maintain confidentiality to the maximum extent possible at every level of
93 the appeal process. A breach of confidentiality is a breach of ethics, code of conduct, and FERPA.

94 No member of the committee shall discuss personal and/or pertinent information relating to a specific grade appeal with any
95 persons who are non-committee members except at the request of the committee as part of the hearing processes defined in
96 this document. This shall not preclude notification of proper authorities by the Student Grade Appeal Committee in the event
97 that the committee perceives the safety of any person or property to be in jeopardy.

98 No member of the committee shall discuss personal and/or pertinent information relating to a specific grievance with any of
99 the principals throughout the course of the investigation and following the recommendation of the committee except at the
100 request of the committee and/or at a hearing.

101 Communication Guidelines: All ~~written~~ documentation and recommendations relating to individual grade appeals shall be
102 marked and handled "confidential," and are only for the use of those directly involved in the grade appeal (interested parties).
103 All ~~documents, tapes, etc., records~~ relevant to an individual grade appeal shall be appropriately maintained for three years in
104 locked file drawers located in the Academic Senate Office and then shredded (for physical records), or in a secure electronic
105 location and then destroyed (for electronic records). Members of the committee shall not discuss the facts of any grade appeal
106 through electronic mail, such discussion must occur when the SGAC convenes. - Notifications and other procedural
107 correspondence may be conducted electronically.

109 **VI. Grade Appeal Process**

110 Information and assistance for students who wish to avail themselves of the grade appeal process may obtain information and
111 assistance from the Office of the Dean of Students, ~~or from the Associated Inc., or their faculty advisor (as applicable).~~ ~~Students~~
112 ~~Peer Advisor Program [14].~~ Consultants may assist with:

- 113 1) defining the basis of the appeal using the criteria specified in this procedure;
- 114 2) explaining the options available to the student for resolving the grade dispute;
- 115 3) suggesting steps toward informal resolution;
- 116 4) completing the grade appeal form (advice and critique) and compiling supporting documentation.

117 Consultants are expressly prohibited from writing students' grade appeals or supporting documentation.

119 **VI.A. Informal Process Deadlines**

120 The deadlines for completing the informal appeal process shall be as follows:

121 For courses taken during: Deadline for completion:

122 Previous fall semester March 15

123 Previous spring and summer semester October 15

124 A good faith effort to settle a dispute must be made before filing a formal grade appeal. Even after an appeal is filed, efforts to
125 resolve the dispute by informal means should continue. SGAC Chair may assist in facilitating the resumption of the informal
126 appeal.

127 In order to seek resolution before the formal grade appeal filing deadline, students should begin the informal resolution
128 process as soon as possible. Any grade appeal policy and procedure of a college or department is considered part of the
129 informal process, and falls within the time restrictions as discussed in Step 1 through Step 3, below.

131 **VI.B. Informal Resolution Process**

132 The informal process consists of three steps. In order to file a formal appeal, the student shall be required to submit a log of
133 contacts, appointments (both requested and granted), and outcomes documenting his or her attempts to achieve informal
134 resolution at each step.

- 135 1. Step 1: The student must consult with the faculty member(s) involved to try to reach an agreement. If the faculty member
136 does not respond or if the student is unable to reach agreement in a reasonable length of time, keeping in mind the filing
137 deadline, then the student shall proceed to step 2.
- 138 2. Step 2: The student shall consult with the person at the next level of supervision if Step 1 does not result in a satisfactory
139 agreement. If the parties do not respond or reach agreement in a reasonable length of time, the student shall proceed to step
140 3.
- 141 3. Step 3: The process shall continue at the level of dean, or the administrative director of equivalent rank. If the dean does not
142 respond or an agreement is not reached and the student wishes to pursue the appeal process, the student shall file a formal
143 grade appeal.

144 NOTE: Grade appeals involving administrators who have served as the instructor for the course should be directed to the
145 Student Grade Appeals Committee SGAC after Step 1.

146
147 **VI.C. Formal Process**

148 If a student decides to file a formal grade appeal, the grade appeal must be postmarked or stamped as received by the
149 University's Academic Senate Office no later than March 15 (for courses taken during the previous Fall semester) or October 15
150 (for Spring and Summer semesters). In the event of extenuating circumstances, the Provost or designee shall be able to waive
151 the deadline.

152 **VI.C.1. Basic Guidelines for Grade Appeals**

153 a. The SGAC presumes that the grades assigned is are correct. It is the responsibility of the student appealing an assigned grade
154 to demonstrate otherwise. (See CSU Exec Order ~~7921037~~, p.95)

155 b. Students may only appeal grade assignments on the following bases:

- 156 1) an instructor refuses to (or cannot) assign a grade;
157 2) the instructor is not available to review possible computational error;
158 3) the student believes the grade assigned is inequitable or capricious, unreflective of course performance, or inconsistent with
159 other grade assignments in the course.

160 c. The SGAC shall only recommend grade changes when a preponderance of the evidence supports the student's claim that the
161 grade was improperly assigned, based on appeal grounds listed in paragraph (b), above.

162 d. The burden of proof shall lie with the student.

163
164 **VI.C.2. How to File**

165 Where informal resolution fails, the student may file a formal grade appeal in writing to the Student Grade Appeals Committee
166 (SGAC), stating the specific allegations and the desired remedy, accompanied by available documentary evidence. The grade
167 appeal must be submitted by completing the Formal Notice of Student Grade Appeal form (Appendix A). Students may obtain
168 a formal grade appeal form at the following locations:

169 Office of Associated Students Incorporated

170 Office of the Dean of Students

171
172 **VI.C.3. Filing Deadline**

173 The written grade appeal must be postmarked or stamped as received no later than March 15 for the prior fall session or
174 October 15 for the prior Spring/Summer session. In the event of extenuating circumstances, the Provost or designee shall be
175 able to waive the deadline.

176
177 **VI.C.4. Withdrawal and Termination of Formal Process**

178 A student has the right to withdraw his/her grade appeal at any stage of the proceedings, in which case the proceedings shall
179 terminate immediately. Efforts to resolve the dispute by informal means may continue throughout the formal process. Written
180 notification by the complainant to the Student Grade Appeals Committee is required to terminate the proceedings. The
181 Student Grade Appeals Committee address is:

182 Student Grade Appeals Committee

183 c/o Academic Senate Office

184 California State University San Marcos

185 San Marcos, CA 92096-0001

186
187 **VI.C.5. Preliminary Screening**

188 Upon receipt of the written grade appeal, the Chair of the Student Grade Appeal Committee will review the grade appeal to
189 determine if:

- 190 1) the Student Grade Appeals Committee has jurisdiction (See section "Purpose" and "Jurisdiction" page 1.); and
191 2) the filing deadline has been met; and
192 3) the informal process, steps 1 through 3 has been completed.

193 If any the three above conditions have not been met, the Chair of the Student Grade Appeals Committee shall respond in
194 writing, within seven (7) calendar days to the complainant stating which condition(s) has not been met and terminating the
195 appeal.

196 If the above conditions have been met, the Chair shall send written notice of receipt of a grade appeal within seven (7) calendar
197 days to all parties involved in the informal process. The Chair shall also provide the instructor (the person responsible for
198 assigning the student's grade) with a complete copy of documents submitted by the student, and request that the instructor

199 provide a written response and relevant documentation, including the course syllabus and grade roster, to the committee
200 within ten (10) calendar days.
201 If the instructor identified in the appeal cannot be contacted through reasonable efforts because he/she is no longer in
202 residence or is on leave or vacation, the committee shall provide an additional notification period not exceeding one semester.
203 If the instructor cannot be contacted by the end of one semester it is the responsibility of other qualified faculty to review the
204 grade (CSU Executive Order ~~7921037~~, p.5). Executive Order 1037 specifies that "Qualified faculty" means one or more persons
205 with academic training comparable to the instructor of record who are presently on the faculty at California State University
206 San Marcos. Typically, this is the department or program chair.

207 208 **VI.C.6. Consideration of Grade Appeals**

209 Upon review of documentation from the instructor and the student, the committee Chair shall establish and distribute to the
210 principals a timeline for resolution of the appeal. If additional information is needed, the committee shall use appropriate
211 means to collect relevant data. Any party within the University community who is contacted by the Student Grade Appeals
212 Committee Chair for information relevant to a specific appeal shall cooperate and provide full disclosure of information. This
213 may include, but is not limited to, requesting that the instructor(s) provide academic records such as grade roster, graded
214 materials in his/her possession and other documents such as syllabi and assignments that may be pertinent to the appeal.
215 The SGAC may establish and consult with a panel of 2-3 faculty members knowledgeable about grading practices, teaching
216 strategies, or classroom management. This panel of experts shall include at least one individual from the general academic
217 discipline or area of the course in which the disputed grade(s) occurred.

- 218 a. The SGAC shall select the panel from a pool of faculty willing to serve as consultants, submitted by the chairs, program
219 directors, or center directors of appropriate academic units.
220 b. The panel shall not include a faculty member objected to by either the student or faculty member involved in the dispute.
221 Either the student or faculty member may ask for the replacement of no more than two members of the panel. Such a request
222 must be made in writing and within no more than seven (7) calendar days of the notification by SGAC.
223 ~~€-~~The SGAC shall make its recommendation in the grade appeal based on information received during its fact-finding,
224 including information provided by the panel of faculty.

225 226 **VI.C.7. Hearing Process**

227 The committee shall attempt to make its recommendation on the basis of the documentation provided by the student, the
228 instructor, and any other parties from whom it has requested information. If, by a majority vote, the committee determines a
229 need for a hearing, the hearing process will proceed as follows:

- 230 The committee shall determine who will be involved in the hearing process.
231 The committee may seek advice from a "panel of experts" from the appropriate area as noted above.
232 The committee may invite persons having information related to the grade appeal to testify in the hearing.
233 The committee Chair shall reserve the appropriate facility and notify all parties involved of the hearing date(s) and location.
234 The hearing shall be conducted according to the following standards:
235 The hearing is a fact-finding/information gathering proceeding, not a judicial process.
236 There shall be no confrontation or cross-examination of witnesses by instructor and the student.
237 Only the committee and those currently providing information shall be present during that portion of the hearing.
238 The Chair shall preside at the hearing.
239 Only the committee members, including the Chair, shall ask questions.
240 • All hearings will be ~~tape~~audio- or audio and video-recorded. ~~Tape R~~ecordings will be available for review by the student, the
241 instructor, and committee members in a specially supervised place. Recordings of hearings shall only be copied for Student
242 Grade Appeal Committee record-keeping purposes.
243 Once all information has been received, including information obtained through hearings, the committee will issue a
244 recommendation.

245 246 **VI.C.8. Recommendation**

- 247 The SGAC shall recommend one of two courses of action: that
248 (a) the original grade was properly assigned and should therefore remain on the student's record or
249 (b) the original grade was improperly assigned and the student's work should therefore be reevaluated, and the assigned grade
250 should be increased. The committee shall not evaluate the student's performance nor shall it recommend a new grade.
251 The SGAC recommendation shall go to the instructor of record, the student, the instructor's Department Chair or Program
252 Director, the Dean of the college offering the course, the Provost, and the Office of Enrollment Services if a grade change is
253 recommended. The recommendation will be transmitted within ~~twenty-one~~ten (10) calendar days of the completion of the
254 committee's information gathering procedures and deliberations.

255 | ~~The recommendation shall not be subject to appeal.~~
256 | If a grade change is recommended the instructor of record shall promptly notify the Student Grade Appeals Committee of the
257 | course of action taken within fourteen (14) calendar days.
258 | CSU Executive Order ~~7921037~~, p. 85 specifies that:
259 | "If the instructor of record does not assign a grade, or if he/she does not change an assigned grade when the necessity to do so
260 | has been established by appropriate campus procedure.." (i.e. SGAC recommendation), "it is the responsibility of other
261 | qualified faculty to do so."
262 | Executive Order ~~7921037~~ further specifies that "Qualified faculty" means one or more persons with academic training
263 | comparable to the instructor of record who are presently on the faculty at ~~Cal State San Marcos~~California State University San
264 | Marcos. The qualified faculty (typically the department or program chair) shall notify the SGAC of the course of action taken
265 | within fourteen (14) calendar days after receiving the SGAC's request.
266 |

VI.C.9. Appeal of Violations of Procedure[OM5]

268 | The only possible further action after the SGAC reached its recommendations is allegation of violation of procedure. Either the
269 | student or the instructor may appeal the procedure by which decision of the SGAC was reached.
270 | The sole basis for such an appeal shall be that the SGAC so substantially departed from the guidelines and procedures set forth
271 | herein as to have seriously prejudiced the outcome of the case. It is recognized that a procedurally perfect process is impossible
272 | to achieve and therefore not required to satisfy due process. It must be shown that the violation has had an actual and not
273 | merely a speculative adverse effect on the final decision of the grade appeal.
274 | Such an appeal should be submitted to the Provost or the Provost's designee within fourteen (14) days of the SGAC's official
275 | recommendations. The Provost or the Provost's designee shall reply within fourteen (14) days of the appeal.
276 | The Provost or the Provost's designee may:
277 | (a) Reject the appeal, in this case, the decision of the SGAC shall be final; or
278 | (b) Direct the SGAC to reconsider the case, correcting the prior error, and submit a report.

VII. Annual Reports

281 | The SGAC Chair shall report to the President of ~~Cal State San Marcos~~California State University San Marcos and Academic
282 | Senate by September 1 the number and disposition of cases heard the previous academic year. (See CSU Exec Order ~~7921037~~,
283 | p.97).
284 |

VIII. Revisions to the Student Grade Appeal Policy and Procedure

286 | The Student Grade Appeals Committee or the Student Affairs Committee, through a recommendation to the Executive
287 | Committee of the Academic Senate, may initiate revisions to the Student Grade Appeals Policy and Procedures.
288 |

Appendix A[16]

292 | California State University, San Marcos
293 | Formal Notice of Student Grade Appeal
294 | Instructions
295 | Before completing this form, please take the time to carefully read the Student Grade Appeal Policy and Procedure, paying
296 | particular attention to the basic guidelines for grade appeals (Section V.B.1.b). After reading the policy and procedures,
297 | complete this form as thoroughly as possible. You may request assistance to complete this form from the Office of the Dean of
298 | Students.
299 | Confidentiality will be maintained in accordance with Student Grade Appeals Policy and Procedures, "Confidentiality," Section
300 | IV.G.
301 | Once you have completed this form, place in a sealed envelope and send it to:
302 | Student Grade Appeals Committee
303 | C/O Office of the Academic Senate
304 | California State University, San Marcos
305 | San Marcos, CA 92096-0001
306 | Please type or print clearly
307 | Date:
308 | STUDENT INFORMATION

309 Name: Student
310 ID Number:
311 Current Address:
312 Street
313 City
314 State ZIP
315 Home Phone: Message Phone:
316 Expected Graduation: E-Mail Address:
317 CLASS INFORMATION
318 Class: Semester:
319 Title:
320 Instructor(s):
321 BASIS FOR GRADE APPEAL
322 Check all that apply and provide evidence and documentation for each basis checked.
323 o The instructor refuses to (or cannot) assign a grade
324 o The instructor is not available to review possible computational error.
325 o The grade assigned is:
326 | o A result of an instructor or a clerical error
327 o Inequitable or capricious
328 o Unreflective of course performance
329 o Inconsistent with other grade assignments in the course
330 NARRATIVE
331 Please provide a brief chronological description of the events and actions leading to the assignment of your grade. Please be
332 sure to include the names of any individuals who may have relevant information. If the space provided here is insufficient,
333 please append the entire narrative on separate, typed pages.
334
335 EXPLANATION OF THE APPEAL
336 For each box checked under "Basis for Appeal" please provide a brief explanation showing how the events and actions cited in
337 your narrative compel a change in your grade. Explain each basis separately, even if this requires citing the same events more
338 than once. If the space provided here is insufficient, please append the entire explanation on separate, typed pages.
339
340 DOCUMENTARY EVIDENCE
341 Please append any documents that support your appeal (e.g., copies of your work, copies of correspondence with your
342 instructor or other individuals involved with your appeal). In the space below, please list the documents you have appended.
343 DOC. NO. DATE DOCUMENT TITLE AND DESCRIPTION
344 1.
345 2.
346 3.
347 4., etc.
348
349 REMEDY SOUGHT
350 ACKNOWLEDGEMENT AND RELEASE
351 I have received and read the Student Grade Appeals Policy and Procedures and understand what I am required to do in the
352 Formal Grade Appeals Procedures.
353 Initials_____

354
355 I hereby release to the Student Grade Appeals Committee all documents, including my academic records, that may be
356 pertinent to the Committee's investigation.
357 Initials_____

358 I certify that, to the best of my knowledge, the information I have provided is accurate and the circumstances surrounding the
359 problem are as I have described them.
360 _____

361 Signature Date
362 INFORMAL RESOLUTION LOG
363 DATE PERSON(S) CONTACTED ACTIONS AND OUTCOMES
364