

1 **Proposal for New Master of Arts in Education Option in Communicative Sciences and**
2 **Disorders, and Clinical-Rehabilitative Credential in Language and Speech**
3

4 **Proposed catalog description.**
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6 **Option in Communicative Sciences and Disorders with Clinical-Rehabilitative Services Credential in**
7 **Language and Speech (75 units)**
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9 This Master’s level program will prepare candidates for the professional practice of Speech-Language Pathology.
10 The coursework and practicum experiences that comprise this option enable candidates to simultaneously obtain
11 the Master of Arts in Education degree, fulfill the academic requirements for the American-Speech Language
12 Hearing Association’s membership and certification, and meet the California Commission on Teacher
13 Credentialing requirements for obtaining the Clinical-Rehabilitative Services Credential in Language and Speech.
14 Although Cross-Cultural, Language, and Academic Development (CLAD) competence is not a credential
15 requirement, it is a program emphasis.
16

17 *To be admitted to this Master’s Option, a candidate does not have to satisfy California subject matter competence*
18 *(i.e., passage of the CSET or PRAXIS). Instead, a candidate must evidence completion of foundational*
19 *coursework. Specifically, a candidate must evidence successful completion of a CCTC-approved baccalaureate-*
20 *level cluster of courses in Speech and Language Sciences or Communicative Disorders. This course of study must*
21 *include 27 units of upper division undergraduate subject matter in basic sciences plus an introductory course on*
22 *speech-language services that includes a minimum of 25 observation hours.*
23

24 After earning this Master of Arts degree, to be licensed as a Speech-Language Pathologist in California and to
25 obtain the Certificate of Clinical Competence (CCC) through the American Speech-Language Hearing
26 Association, candidates must a) take and pass with a minimum score of 600 the National Examination in Speech-
27 Language Pathology administered by the Educational Testing Service and b) complete either thirty-six (36) weeks
28 of full-time supervised experience or seventy-two (72) weeks of part-time supervised experience. This Master’s
29 Option in Communication Sciences and Disorders prepares candidates to pass the national exam and allows
30 candidates to complete their 36 weeks of supervised experience in partner school districts in the Cal State San
31 Marcos service area of San Diego, Riverside, Orange, and Imperial counties. Additionally, in order to maintain
32 state licensure and national certification, professionals must demonstrate continued professional development by
33 accumulating professional development contact hours (these differ between states and national level and can be
34 obtained by contacting the appropriate governing bodies).
35

36 **Additional Admission Requirements**
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38 Because this Master of Arts option leads to an initial credential and, therefore, does not require applicants to hold
39 a valid California credential for consideration for admission, the following additional admission requirements also
40 apply.
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- 42 1. *College of Education Application Fee.* A \$25 credential application fee is due upon application to a
43 credential program.
- 44 2. *Bachelor’s Degree.* A Bachelor’s degree or all undergraduate academic subjects must be satisfied toward
45 a bachelor’s degree before entering this program option.
- 46 3. *Undergraduate Subject Matter in Basic Sciences.* Evidence of successful completion of a CCTC-
47 approved baccalaureate-level cluster of courses in Speech and Language Sciences or Communicative
48 Disorders. This course of study must include 27 units of upper division undergraduate subject matter in
49 basic science/mathematics as outlined by CTC, plus an introductory course on speech-language services
50 that includes a minimum of 25 observation hours.
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4. *CBEST Examination.* Students must take the California basic Educational Skills Test (CBEST) prior to admission to the program. Students are urged to take this examination at the earliest possible time after deciding to pursue this Communication Sciences and Disorders Master's degree and Clinical-Rehabilitative Services Credential in Language and Speech. CBEST must be passed before engaging in any practicum experiences.
 5. *Certificate of Clearance.* Candidates must obtain a Certificate of Clearance from the Commission that verifies the candidate's personal identification prior to assuming field experience responsibilities. (Statutory basis: Education Code Section 44320(d) from the CCTC).
 6. *Prerequisite Courses.* Candidates must complete a minimum of 30 unit hours of a CCTC-approved baccalaureate-level sequence in Speech and Language Sciences or Communicative Disorders coursework, that includes EDSL 350 or its equivalent and 27 additional subject matter unit hours. Prior to or concurrent with program admission, candidates also must complete EDUC 422. Prerequisite courses must be completed within five (5) years prior to beginning the Master's program, whether taken at Cal State San Marcos or taken as an equivalent course at another college or university.
 - a) EDSL 350 – This course is an orientation to speech and language pathology as a career. Students participate in at least 25 observation hours that must be evidenced through a letter of verification through this course. Applicants from other institutions of higher education must evidence completion of an equivalent course and verify 25 observation hours through a letter of verification or an equivalent mechanism from their previous institution. Those who cannot evidence these 25 hours will be required to make up and verify the hours before engaging in any clinical practicum experiences.
 - b) EDUC 422 – Before or concurrent with admission to the program, students must obtain competency in using a set of education-specific electronic tools by completing EDUC 422 or wavier request, and must have begun an electronic professional portfolio.

83	Required Master's-Level Courses	
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85	Foundation courses:	
86	EDEX 602 (School Communities in a Pluralistic Society)	3 units
87	EDMX 631 (Foundations of Law, Ethics & Proc. in Special Education)	3 units
88	EDMX 632 (Technology and Communication for Special Populations)	3 units
89	EDUC 622 (Research Methods in Education)	3 units
90	EDUC 698 (Master's Thesis/Project Seminar)	<u>3 units</u>
91		15 units
92	Practicum/Professional courses:	
93	EDSL 641 (Clinical practice in SLP I): 2 nd semester	2 units
94	EDSL 641 (Clinical practice in SLP I): 4 th semester	2 units
95	EDSL 642 (Clinical practice in SLP II): 3 rd semester	4 units
96	EDSL 643 (Practicum in Audiology) : 4 th semester	2 units
97	EDSL 644 (Clinical Externship I): 5 th semester	4 units
98	EDSL 645 (Clinical Externship II: Student Teaching): 5 th	6 units
99	EDSL 651 (Professional Seminar I): semester 1	2 units
100	EDSL 652 (Professional Seminar II): semesters 2, 3, 4 (1 unit each)	<u>3 units</u>
101		
102		25 units
103	Core content courses:	
104	EDSL 661(Disorders of Articulation and Phonology)	3 units
105	EDSL 662 (Fluency Disorders)	2 units
106	EDSL 663 (Voice Disorders)	2 units
107	EDSL 664 (Motor Speech Disorders)	3 units
108	EDSL 671 (Language Disorders in Infants and Preschool Children)	3 units
109	EDSL 672 (Language Disorders in School-Age Children and Adolescents)	3 units
110	EDSL 673 (Language and Cognitive Disorders in Adults)	4 units
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112	EDSL 681 (Hearing Disorders)	3 units
113	EDSL 682 (Aural Rehabilitation)	3 units
114		
115	EDSL 691 (Neuroscience)	3 units
116	EDSL 692 (Dysphagia)	2 units
117	EDSL 693 (Seminar in Counseling in Communicative Disorders)	<u>4 units</u>
118		35 units
119		
120	Program Total	75 units

121 **University Curriculum Committee Report to the Senate**

122
123 **Review of the proposed new option for the Master of Arts in Education: Option in**
124 **Communicative Sciences and Disorders.**

125 UCC has reviewed the new option for the Master of Arts in Education: Option in
126 Communicative Sciences and Disorders (75 units).

127 The option will fulfill the

- 128 • California Commission on Teacher Credentialing (CCTC) requirements for **Clinical-**
- 129 **Rehabilitative Service Credential**
- 130 • American Speech-Language Hearing Association (ASHA) requirements for
- 131 **accreditation in Speech Language Pathology.**

132 These credentials are requirements for employment in public schools as a Speech Language
133 Pathologist. In order to fulfill the CCTC & ASHA requirements extensive new curriculum had to
134 be developed and the UCC came to the conclusion that the originator has successfully
135 incorporated all requirements into the new option.

136
137 **Conclusion:** The UCC has reviewed the sequence of classes for the new option and the proposed
138 curriculum for each of the new courses. UCC came to the conclusion that the new option is an
139 important contribution to the curriculum of the California State University San Marcos. The
140 ability to educate speech language pathologists is important to satisfy the needs of local schools.
141 We thank the originator for the development of a large number of new courses and a promising
142 curriculum for the new option. The UCC has approved the curriculum and we support the
143 proposal.

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146 **BUDGET & LONG RANGE PLANNING COMMITTEE REPORT TO SENATE**

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148 Review of Proposed Masters of Arts in Education Option in Communicative Sciences and
149 Disorders.

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151 The Budget and Long Range Planning Committee (BLP) has investigated and discussed the P-
152 Form for a Masters of Arts in Education Option in Communicative Sciences and Disorders. BLP
153 has reviewed the immediate and long range prospects for this proposed degree program option
154 and has considered the resource implications of initiating the option. BLP submits the following
155 analysis of the impact of this program to the Academic Senate to guide Senators in their
156 consideration of this proposal.

157
158 **Program Demand:** The demand for an Education Option in Communicative Sciences and
159 Disorders appears to be significant. Student placement can be in school or hospital settings and
160 this program expects to place most students in the school setting which has a very high demand
161 level. The program will run two cohorts of approximately 20-25 students each, with a five
162 semester sequence of courses. A new cohort will begin in the fourth semester of the previous
163 cohort.

164
165 **Resource Implications:** BLP's major concerns were the faculty workload with only two tenure-
166 track faculty projected for the program start-up, student ability to take a 14-unit load in a 10-
167 week summer session, and the cost of delivering the program in summer.

169 The option is a 75-unit program of study. The proposers clarified the ability to deliver the
 170 program based on the sequencing of courses, and timing of the entrance of new cohorts into the
 171 program. The overlap of cohorts [with units required in a semester] would be:
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Cohort 1	F [17]	Sp [16]	Su [14]	F [15]	Sp [13]		
Cohort 2				F [17]	Sp [16]	Su [14]	F [15] ...

173
 174 The 5th semester in Spring would be covered by clinical faculty, as 10 units are professional
 175 practice with oversight by Speech-Language Pathologists in school and medical settings. There
 176 is no cost associated with this supervisory task as the clinicians like the opportunity to train
 177 students and have their assistance in managing caseload. The placement function would be
 178 handled by present staff in COE, primarily for school sites at which the CoE already has existing
 179 contracts. Only the Fall semester would have a heavy course delivery demand, facilitated by
 180 adjunct coverage. A sufficient number of Ph.D. and MA level practitioners with expertise in core
 181 content courses are available in the local area so the students will have exposure to multiple
 182 instructors with a variety of perspectives.

183
 184 The program is designed to meet the accreditation standards of the American Speech-Language
 185 Hearing Association (ASHA). The accreditation standards are vague regarding the ratio of
 186 tenure-track faculty, which depends on the design of the program. This would be determined
 187 after the program submitted its application for accreditation.

188
 189 The heavy student workload in a 10-week summer session [14 units—9 units coursework, 5 units
 190 professional practice] are typical of comparison programs. CoE is committed to the cost of
 191 summer delivery, facilitated by the anticipated phasing out of Special Ed, level 2 which has
 192 summer sessions. The phasing out of another program also makes available faculty and staff.

193
 194 Library Resources: Reference books for the initial start-up of library resources have already
 195 been funded with a \$5,600 allocation. Because it is an interdisciplinary program, library journals
 196 from other fields (e.g., cognitive science) are presently available. The CoE has committed to
 197 support projected on-going program costs that can assist in library needs.

198
 199 The BLP committee would like to express our appreciation to the originators of the proposal for
 200 their collegiality and their quick responses to our many questions throughout the review process.

EXTENDED STUDIES ROLES AND RESPONSIBILITIES

I. INTRODUCTION

The Extended Studies program at California State University San Marcos provides increased access to undergraduate, graduate, and continuing education and thereby contributes to the lifelong learning opportunity of students and community members, and to the continued health and economy of the communities served by the university.

As an educational unit of the university, Extended Studies is subject to the regulations of the State of California, the California State University, and CSU San Marcos. This document provides guidance for implementation of the applicable regulations and covers the following types of instruction.

- A. Courses that may be used to satisfy requirements for a degree awarded by the university ("university credit courses") – these include:
- 1) Special session courses: Courses listed in the university's catalog and offered in special sessions utilizing alternative times, locations, or modes of delivery. ~~(Special Sessions);~~
 - 2) Contract credit/Special session courses: Courses carrying university credit, approved/established by an academic department and approved by the Academic Senate, but not listed in the university's catalog, which are designed primarily to address the needs of a specified client group or audience. ~~(Contract Credit/Special Session);~~
 - 3) Open University courses: Courses offered to non-matriculated students on a space-available basis. ~~(Open University).~~
- B. Courses that may not be used to satisfy requirements for a degree awarded by the university (noncredit courses) – these include, but are not limited to:
- 1) Courses which lead to certification of particular skills.;
 - 2) Courses intended for professional development that award continuing education units.;
 - 3) Courses which serve the intellectual and avocational interests of members of the community.
- C. Courses that award university credit that may not be used to satisfy requirements for a degree awarded by the university (extension credit).

II. UNIVERSITY CREDIT COURSES

- A. Extended Studies courses and programs offered for university credit must have been approved by the CSUSM Academic Senate or the CSU statewide Academic Senate, the dean of Extended Studies, ~~and~~ the president or designee, and the appropriate college/library. These courses are part of the university's current curriculum, and can also be courses designated "Special Topics." The appropriate Form E or Form ET must be used to obtain the necessary approvals.

- 48 B. Instructors who teach Extended Studies courses offered for university credit must be
49 approved in advance and in writing by the department chair or program director of the
50 appropriate discipline and the appropriate college/library dean each time a course is taught.
51
52 C. Extended Studies will obtain student evaluations of each Extended Studies course offered
53 for university credit and will provide copies to the instructor, the appropriate department
54 chair or program director, and the appropriate college/library dean.
55
56 D. Only non-matriculated students may enroll in courses available through the Extended
57 Studies Open University program. Students who have been disenrolled from the university
58 may enroll in Open University courses only with the prior permission of Enrollment
59 Services and course instructor.~~Both matriculated and non-matriculated students, except~~
60 ~~those who are disenrolled from the university, may enroll in courses available through the~~
61 ~~Extended Studies Open University program.~~

62
63 III. COURSES OFFERED WITH NON-DEGREE UNIVERSITY CREDIT

- 64
65 A. Extension credit provides non-degree units and allows CSUSM to offer a wider array of
66 credit courses to a larger audience and have these units appear on a CSU transcript. These
67 are typically professional advancement courses that are credit worthy, but not applicable to a
68 degree or part of the standard CSUSM curriculum. These courses are developed to meet
69 special needs of particular groups or communities, e.g. K-12 teachers; the extension credit
70 that they confer denotes an investment of time and accomplishment comparable to that
71 required in established university courses.
72
73 B. Courses that ~~would~~ carry extension credit ~~would be~~ are numbered in a series ~~outside of the~~
74 ~~current other than those used for university~~ degree courses, ~~perhaps an 800/900/1000 series,~~
75 and carry the prefix of the corresponding CSUSM department. Extension credit courses
76 ~~would be~~ are not ~~be~~ listed in the academic catalog.
77
78 C. All such courses and instructors ~~would~~ require the review and approval of the corresponding
79 college/department, in a manner similar to ~~what that which~~ special session and/or special
80 topics courses require.

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82 IV. COURSES OFFERED WITHOUT UNIVERSITY DEGREE CREDIT

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84 A. Extended Studies courses offered without CSU San Marcos degree credit may award
85 continuing education units, certification of particular skills, or certificates of completion.
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87 ~~1. ———~~ Documents attesting these awards must clearly specify the nature of the award in
88 order to avoid confusion with award of a degree.
89
90 B. Extended Studies courses offered without CSU San Marcos degree credit are subject to the
91 approval of the dean of Extended Studies and the president or designee but are not subject to
92 approval by the CSUSM Academic Senate.
93
94 1. When planning a course or program without CSU San Marcos degree credit,
95 Extended Studies shall inform the deans of the appropriate colleges/library, who

96 shall notify the faculty of the appropriate disciplines. The communication shall
97 specify the course or program's:
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- 99 ~~a1)~~ purpose;
- 100 ~~b2)~~ intended audience;
- 101 ~~c3)~~ content;
- 102 ~~d4)~~ instructor qualifications; and
- 103 ~~e5)~~ sites and facilities.

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105 2. Each time it offers a course without CSU San Marcos degree credit, Extended
106 Studies shall consider:
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- 108 ~~a1)~~ the appropriateness of intended sites and facilities;
- 109 ~~b2)~~ the qualifications, teaching interests, and availability of CSU San Marcos
110 faculty members in the appropriate disciplines; and
- 111 ~~c3)~~ the qualifications, teaching interests, and availability of lecturers for the
112 course.

113
114 3. Extended Studies will contract directly with instructors of courses offered without
115 CSU San Marcos degree credit.
116

117 4. Extended Studies will obtain student evaluations of each Extended Studies course
118 offered without CSU San Marcos degree credit and will provide copies to the
119 instructor. Evaluations will be retained for three years and will be available for
120 inspection by the dean of Extended Studies and other university personnel in
121 accordance with applicable campus policies.
122

123 V. REVIEW AND EVALUATION

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125 A. The dean of Extended Studies will provide by September of each year to the Provost
126 and Chair of the Academic Senate a report of the progress of Extended Studies,
127 including an overview of the types of courses and programs offered, enrollment data,
128 their collaboration with academic departments, locations of where the courses or
129 programs were held, and an assessment of the success of these programs in
130 meeting the unit's goals and objectives. This report will provide an assessment of the
131 prior fiscal year's activities and a self-evaluation which addresses
132 1. the quality of the Extended Studies programs and courses;
133 2. the adequacy of the curriculum in meeting the needs of students and the
134 community; and
135 3. the adequacy of the sites and facilities used.
136

137 B. As a way to seek the active collaboration and consultation of the Academic Senate in course
138 and program planning and evaluation, Extended Studies will include at least one Senate-
139 appointed faculty member from each college and one from the Library to serve on its
140 Advisory Council. The dean of Extended Studies will provide a report of courses and
141 programs to the CSUSM Academic Senate's Academic Policy Committee (APC) and the
142 provost and vice president for Academic Affairs annually by the end of the first week of
143 March. The report will include information on:
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- 145 ~~1) programs offered and their location;~~
- 146 ~~2) enrollment data;~~

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- ~~3) new programs and/or initiatives being planned for the next year;~~
- ~~4) programs being deleted from offerings;~~
- ~~5) a summary assessment of Extended Studies' attainment of its objectives in support of its mission; and~~
- ~~6) other information as requested.~~

~~B. The Academic Policy Committee of the Academic Senate (APC) shall review the report of the dean of Extended Studies and prepare an evaluation of the Extended Studies program with recommendations which will be provided to the provost and vice president for Academic Affairs and to the Academic Senate as an information item at its first April meeting. The evaluation may consider such questions as:~~

- ~~1) the quality of the Extended Studies programs and courses;~~
- ~~2) the adequacy of the curriculum in meeting the needs of students and the community;~~
~~and~~
- ~~3) the adequacy of the sites and facilities used.~~

1 **Minor in Visual Arts**

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3 The Visual Arts Minor is designed for students with a special interest in the visual arts who are not able to
4 make the full commitment to the major (see the Visual Arts Option in the Visual and Performing Arts
5 Major). The minor will provide students with a strong background in visual arts including theory, history
6 and studio practice. Students will complete a select series of courses that will offer them an overview of
7 historical and current practices in art, intermediate skills in studio art, and basic skills in new
8 technologies.

9
10 **Requirements**

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12 Note: Courses used to satisfy requirements of the Minor may also be used to fulfill GE requirements.
13 Students may apply up to nine units of transfer credit toward the Minor. Students must earn a grade of C
14 or better in each course for the Minor.

15		
16	Required courses:	Units
17	VSAR 120	3
18	VSAR 130	3
19	VSAR 302	3
20	VSAR 131	3
21	VSAR 110	3

22
23
24 **Critical/Theoretical Study** **3**

25 *Select one:*

- 26 VSAR 307
- 27 VSAR 320
- 28 VSAR 322
- 29 VSAR 323
- 30 VSAR 324
- 31 VSAR 326
- 32 VSAR 327
- 33 VSAR 405
- 34 VSAR 420
- 35 VSAR 423

36
37 **Upper-Division Studio** **3**

38 *Select one:*

- 39 VSAR 301
- 40 VSAR 303
- 41 VSAR 305
- 42 VSAR 306
- 43 VSAR 309
- 44 VSAR 310
- 45 VSAR 311
- 46 VSAR 312
- 47 VSAR 393
- 48 VSAR 404
- 49 VSAR 406

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51 *Total Units* **21**

52 **University Curriculum Committee Report to the Senate**

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54 **Voting Members:** Robert Aboolian, Annette Daoud, Jule Gomez de Garcia, Gabriela
55 Sonntag, Kara Witzke, Olaf Hansen

56 **Ex-officio Members:** David Barsky, Virginia Mann

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58 **Review of the proposed Minor in Visual Arts**

59 The University Curriculum Committee (UCC) has reviewed the P-Form for the proposed Minor
60 in Visual Arts. The proposed minor requires 21 units and combines existing courses of the
61 Department of Visual and Performing Arts into a new minor. It will give students an option to
62 concentrate their studies in this field without the necessity to pursue a major in the field of Visual
63 and Performing Arts.

64

65 **Conclusion:** UCC has reviewed the proposed curriculum for the new minor and approved the
66 proposed combination of courses. The UCC has the opinion the new minor is a valuable addition
67 to the existing programs offered by the Department of Visual and Performing Arts.

STUDENT GRADE APPEALS POLICY

I. Preamble

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

II. Purpose

The purpose of the Student Grade Appeal Policy and Procedures shall be to enable students to seek redress of complaints about grades (hereafter referred to as "grade appeals). A grade appeal arises when circumstances prevent assignment of an earned grade or cause an assigned grade to be questioned by a student based on the criteria in Section VI C 1. (b) herein. ~~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 CSU San Marcos.~~[†]

III. Terms and Definitions

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

IV. Jurisdiction

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

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

~~IV.V.~~ Membership

A. Committee Structure

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

[†] Moved to Section V.B. ("Formal Process")

- Three students (two undergraduate, one graduate) and three student alternates to be named under procedures established by the Associated Students Incorporated. Students serving on this committee must be regular students in good standing, as determined under the same regulations imposed for Associated Student council members.
- Four faculty members and four faculty member alternates selected by the Academic Senate. All faculty members of the committee and all of the faculty alternates must hold tenured appointments.
- The Chair shall be elected yearly from the faculty membership of the committee.

B. Chair's Duties

The Chair is non-voting except in cases of a tied vote. The Chair shall be the administrative officer of the committee. The duties of the office shall include arranging for appropriate times and places of committee meetings and hearings; informing committee members of the times and places of committee meetings and hearings; informing in writing all interested parties of the times and places of committee meetings or hearings which they are requested to attend and supplying them with a statement of alleged grievances; informing all other interested parties that an appeal is pending; securing and distributing to the committee written material appropriate for its consideration; arranging for the recording of committee proceedings; maintaining committee records; and informing in writing all interested parties of the recommendations of the committee.

C. Service of Alternates

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

D. Terms of Service and Continuation

The term of service on the Student Grade Appeals Committee shall run from June 1 to May 31. All committee members/ alternates shall serve two year staggered terms, from June to May, except for students who shall serve one year terms. Committee members may serve consecutive terms of service.

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

E. Vacancies

1. Permanent vacancies - When a permanent vacancy on the committee occurs mid-term, the Chair of the committee shall request a replacement by one of the alternates from the same constituency (students or faculty) as the original member. The replacement shall have full voting rights for the remaining term of office of the original committee member.
2. Temporary vacancies - If a member of the committee is from the same immediate department or program or has a close personal relationship with the student making the appeal, that member shall not participate in the appeal process for that specific grievance. When, for good cause, a committee member cannot consider a particular grade appeal, or if the committee identifies a conflict of interest, an alternate, with full voting rights, shall be appointed to serve in his/her place for the specific grievance. The Chair of the

106 committee shall request a temporary replacement by one of the alternates of the same
107 constituency (students or faculty) as the original member. In addition, a student shall
108 have the right to have one member of the committee replaced with an alternate member
109 for any reason within two calendar days prior to the committee's first review of the
110 appeal. The alternate member shall be selected by the Chair of the committee.

111
112 F. Quorum and Voting

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114 The quorum for policy matters and organization meetings of the grade appeals committee shall be
115 two-thirds of the number of filled seats on the committee. The SGAC majority for grade appeals
116 shall require at least two faculty members voting in the majority employing distinct ballot forms
117 for faculty and student members. Only members of the committee who have reviewed the
118 documents submitted and heard all testimony elicited during the hearing on a grade appeal may
119 vote on the grade appeal. Alternates do not vote on grade appeals unless taking the place of the
120 primary member ~~representing their decision~~.

121
122 G. Confidentiality

123
124 To protect all parties involved, all participants shall maintain confidentiality to the maximum
125 extent possible at every level of the appeal process. A breach of confidentiality is a breach of
126 ethics, code of conduct, and FERPA.

127
128 No member of the committee shall discuss personal and/or pertinent information relating to a
129 specific grade appeal with any persons who are non-committee members except at the request of
130 the committee as part of the hearing processes defined in this document. This shall not preclude
131 notification of proper authorities by the Student Grade Appeal Committee in the event that the
132 committee perceives the safety of any person or property to be in jeopardy.

133
134 No member of the committee shall discuss personal and/or pertinent information relating to a
135 specific grievance with any of the principals throughout the course of the investigation and
136 following the recommendation of the committee except at the request of the committee and/or at a
137 hearing.

138
139 Communication Guidelines: All written documentation and recommendations relating to
140 individual grade appeals shall be marked and handled "confidential," and are only for the use of
141 those directly involved in the grade appeal (interested parties). All documents, tapes, etc.,
142 relevant to an individual grade appeal shall be appropriately maintained for three years in locked
143 file drawers located in the Academic Senate Office and then shredded. Members of the
144 committee shall not discuss the facts of any grade appeal through electronic mail.

145
146 V. VI. Grade Appeal Process

147
148 Information and assistance for students who wish to avail themselves of the grade appeal process may
149 obtain information and assistance from the Office of the Dean of Students or from the Associated Students
150 Peer Advisor Program. Consultants may assist with:

- 151
152 1) defining the basis of the appeal using the criteria specified in this procedure;
153 2) explaining the options available to the student for resolving the grade dispute;
154 3) suggesting steps toward informal resolution;
155 4) completing the grade appeal form (advice and critique) and compiling supporting documentation.

156
157 Consultants are expressly prohibited from writing students' grade appeals or supporting documentation.

158
159 A. Informal Process Deadlines

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

For courses taken during:	Deadline for completion:
Previous fall semester	March 15
Previous spring and summer semester	October 15

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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 resolve the dispute by informal means should continue.

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

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B. Informal Resolution Process

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

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

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

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C. Formal Process

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

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1. Basic Guidelines for Grade Appeals
 - a. The SGAC presumes that grades assigned are correct. It is the responsibility of the student appealing an assigned grade to demonstrate otherwise. (See CSU Exec Order 792, p.5)
 - b. Students may only appeal grade assignments on at least one of the following bases:
 - 1) an instructor refuses to (or cannot) assign a grade; or

- 211 2) the instructor is not available to review possible computational error; or
212 3) the student believes the grade assigned is inequitable or capricious,
213 unreflective of course performance, or inconsistent with other grade
214 assignments in the course.

215
216 c. The SGAC shall decide that a ~~only recommend~~ grade reevaluation is necessary
217 only changes when a preponderance of the evidence supports the student's claim
218 that the grade was improperly assigned, based on appeal grounds listed in
219 paragraph (b), above.

220
221 d. The burden of proof shall lie with the student.

222
223 2. How to File
224

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

231
232 Office of Associated Students Incorporated
233 Office of the Dean of Students
234

235 3. Filing Deadline
236

237 The written grade appeal must be postmarked or stamped as received no later than March
238 15 for the prior fall session or October 15 for the prior Spring/Summer session. In the
239 event of extenuating circumstances, the Provost or designee shall be able to waive the
240 deadline.

241
242 4. Withdrawal and Termination of Formal Process
243

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

249
250 Student Grade Appeals Committee
251 c/o Academic Senate Office
252 Cal State San Marcos
253 San Marcos, CA 92096-0001
254

255 5. Preliminary Screening
256

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

- 259
260 1) the Student Grade Appeals Committee has jurisdiction (See Sections II
261 "Purpose" and IV "Jurisdiction" page 1.); and
262 2) the filing deadline has been met; and
263 3) the informal process, steps 1 through 3, has been completed.
264

265 If the above conditions have not been met, the Chair of the Student Grade Appeals
266 Committee shall respond in writing to the complainant stating which condition(s) has not
267 been met and terminating the appeal.

268
269 If the above conditions have been met, the Chair shall send written notice of receipt of a
270 grade appeal within seven (7) calendar days to all parties involved in the informal
271 process. The Chair shall also provide the instructor (the person responsible for assigning
272 the student's grade) with a complete copy of documents submitted by the student, and
273 request that the instructor provide a written response and relevant documentation,
274 including the course syllabus and grade roster, to the committee within ten (10) calendar
275 days.

276
277 If the instructor identified in the appeal cannot be contacted through reasonable efforts
278 because he/she is no longer in residence or is on leave or vacation, the committee shall
279 provide an additional notification period not exceeding one semester. If the instructor
280 cannot be contacted by the end of one semester it is the responsibility of other qualified
281 faculty to review the grade (CSU Executive Order 792, p.5).

282
283 6. Consideration of Grade Appeals

284
285 Upon review of documentation from the instructor and the student, the committee Chair
286 shall establish and distribute to the principals a timeline for resolution of the appeal. If
287 additional information is needed, the committee shall use appropriate means to collect
288 relevant data. Any party within the University community who is contacted by the
289 Student Grade Appeals Committee Chair for information relevant to a specific appeal
290 shall cooperate and provide full disclosure of information. This may include, but is not
291 limited to, requesting that the instructor(s) provide academic records such as grade roster,
292 graded materials in his/her possession and other documents such as syllabi and
293 assignments that may be pertinent to the appeal.

294
295 The SGAC may establish and consult with a panel of 2-3 faculty members
296 knowledgeable about grading practices, teaching strategies, or classroom management.
297 This panel of experts shall include at least one individual from the general academic
298 discipline or area of the course in which the disputed grade(s) occurred.

- 299
300 a. The SGAC shall select the panel from a pool of faculty willing to serve as
301 consultants, submitted by the chairs, program directors, or center directors of
302 appropriate academic units.
303
304 b. The panel shall not include a faculty member objected to by either the student or
305 faculty member involved in the dispute.
306
307 c. The SGAC shall make its recommendation in the grade appeal based on
308 information received during its fact-finding, including information provided by
309 the panel of faculty.

310
311 7. Hearing Process

312
313 The committee shall attempt to make its recommendation on the basis of the
314 documentation provided by the student, the instructor, and any other parties from whom
315 it has requested information. If, by a majority vote, the committee determines a need for
316 a hearing, the hearing process will proceed as follows:

- 317
318 • The committee shall determine who will be involved in the hearing process.

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- The committee may seek advice from a "panel of experts" from the appropriate area as noted above.
- The committee may invite persons having information related to the grade appeal to testify in the hearing.

The committee Chair shall reserve the appropriate facility and notify all parties involved of the hearing date(s) and location.

The hearing shall be conducted according to the following standards:

- The hearing is a fact-finding/information gathering proceeding, not a judicial process.
- There shall be no confrontation or cross-examination of witnesses by instructor and the student.
- Only the committee and those currently providing information shall be present during that portion of the hearing.
- The Chair shall preside at the hearing.
- Only the committee members, including the Chair, shall ask questions.
- All hearings will be tape-recorded. Tape recordings will be available for review by the student, the instructor, and committee members in a specially supervised place. Recordings of hearings shall only be copied for Student Grade Appeal Committee record-keeping purposes.

Once all information has been received, including information obtained through hearings, the committee will issue a recommendation.

8. Recommendation

The SGAC shall ~~recommend~~ arrive at one of the following two ~~recommendation conclusions~~ (a) or (b): courses of action: that

(a) the student did not prove compelling reasons, that either (1) an instructor refuses to (or cannot) assign a grade, or (2) the instructor is not available to review possible computational error, or (3) the grade assigned is inequitable or capricious, unreflective of course performance, or inconsistent with other grade assignments in the course, such as instructor or clerical error, prejudice or capriciousness; consequently, the original grade assigned was appropriate, the original grade assigned by the instructor of record is to be considered final ~~the original grade was properly assigned~~ and should therefore remain on the student's record, or

(b) the evidence of the case indicates that the original grade was improperly assigned and the student's work should therefore be reevaluated. ~~The committee shall not evaluate the student's performance nor shall it recommend a new grade.~~

~~The SGAC recommendation shall go to the instructor of record, the student, the instructor's Department Chair or Program Director, the Dean of the college offering the course, the Provost and the Office of Enrollment Services if a grade change is recommended. The recommendation will be transmitted within twenty-one calendar days of the completion of the committee's information gathering procedures.~~

If a reevaluation of the grade change is ~~recommended~~ the recommendation decision, the SGAC shall communicate the decision to the instructor of record and the Dean of the corresponding College within seven days after arriving at the decision.

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The instructor of record shall promptly notify the Student Grade Appeals Committee of the course of action taken and a justification. This notification shall be received by the SGAC in writing within fourteen calendar days from the date on the letter from the SGAC that informed the instructor of record of the SGAC decision.

If there is no report from the instructor within the stipulated timeframe or if the SGAC, upon reviewing the instructor's report, learns that the instructor of record has not reevaluated the student's work appropriately, then the SGAC will refer to CSU Executive Order 792, p. 5 ~~that specifies that:~~
"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 has been established by appropriate campus procedure, ." (i.e. ~~SGAC recommendation~~, " it is the responsibility of other qualified faculty to do so."

Executive Order 792 further specifies that " *“Qualified faculty” means one or more persons with academic training comparable to the instructor of record who are presently on the faculty at*” Cal State San Marcos. The Dean of the corresponding College shall appoint the qualified faculty to do so.

~~Once the process is completed the SGAC recommendation and subsequent action, if any, shall be communicated to the instructor of record, the student, the instructor's Department Chair or Program Director, the Dean of the college offering the course, and the Provost. and In addition, the SGAC decision and subsequent action, if any, shall be communicated to the Office of Enrollment Services if a grade change results. is recommended. The recommendation This information will be transmitted within twenty-one~~ fourteen calendar days of the ~~completion of the committee's information gathering procedures. end of the process.~~

The final decision at the end of this process shall not be subject to appeal.

∇. VII. Annual Reports

The SGAC Chair shall report to the President of Cal State San Marcos and Academic Senate by September 1 the number and disposition of cases heard the previous academic year. (See CSU Exec Order 792, p.7).

∇. VIII. Revisions to the Student Grade Appeal Policy and Procedure

The Student Grade Appeals Committee, through a recommendation to the Executive Committee of the Academic Senate, may initiate revisions to the Student Grade Appeals Policy and Procedures.

GRANT PROPOSAL SEED MONEY POLICY

Definition

Grant Proposal Seed Money (GPSM) Funds have been earmarked by the Provost to provide support for faculty to develop proposals for external funding. Currently GPSM funds are provided through the annual indirect cost allocations from Foundation. The funds are designed to assist faculty in such activities as:

- Refining ideas
- Creating plans and designs
- Trying out methodologies
- Collecting preliminary data
- Conducting pilot or preliminary activities

Reworking “near miss” grant proposals that received encouraging review but weren’t funded

Proposal areas may include research, scholarly activities, and/or pedagogy. Normally, up to a total of \$1,000 may be requested. This may be used for supplies, equipment, travel, stipends, student assistants, grant writing assistance, or other needs associated with proposal development.

Authority

The president of the university.

Scope

GPSM funds are designed to assist faculty in such activities as:

- Refining ideas
- Creating plans and designs
- Trying out methodologies
- Collecting preliminary data
- Conducting pilot or preliminary activities
- Reworking “near miss” grant proposals that received encouraging review but were not funded
- Seeking fellowships
- Promoting collaboration

Proposal areas may include research, scholarly activities, and/or pedagogy. Normally, up to a total of \$1,000 may be requested. The funds may be used for supplies, equipment, travel, stipends, student assistants, grant writing assistance, or other needs associated with proposal development.

All CSUSM tenure-track Unit 3 employees may apply.

I. ELIGIBILITY:

All CSUSM temporary and tenure-track (probationary and tenured) Unit 3 employees may apply.

II. PURPOSE:

45 ~~These GPSM~~ funds have been earmarked by the Provost to provide support for faculty to develop
46 proposals for external funding. ~~Currently GPSM funds are provided through the annual indirect cost~~
47 ~~allocations from Foundation. The funds are designed to assist faculty in such activities as:~~

- 48 ~~•refining ideas~~
- 49 ~~•creating plans and designs~~
- 50 ~~•trying out methodologies~~
- 51 ~~•collecting preliminary data~~
- 52 ~~•conducting pilot or preliminary activities~~
- 53 ~~•reworking “near miss” grant proposals that received encouraging review but weren’t funded.~~

54 ~~Proposal areas may include research, scholarly activities, creative activities, and/or pedagogy.~~
55 ~~Normally, up to a total of \$1,000 may be requested. This may be used for supplies, equipment,~~
56 ~~travel, stipends, student assistants, grant writing assistance, or other needs associated with proposal~~
57 ~~development.~~

60 III. PROCESS:

61
62 Applications will be reviewed ~~throughout the~~ year. ~~round on a monthly cycle.~~ The Associate Vice
63 President for Research (~~AVPR~~) will invite ~~at least~~ three faculty from different disciplines each
64 semester who are among CSUSM’s most active grant writers to evaluate the applications. This group
65 will evaluate the seed fund requests based on ~~the estimated judged~~ probability that the project will
66 ~~lead to a submitted proposal be successful in obtaining external funding.~~ The recommended
67 proposals will be forwarded to the ~~Associate Vice President for Research~~ ~~AVPR~~. Requests may be
68 fully or partially funded in order to seed a variety of projects.

69
70 The proposal process is administered by ~~the the Associate Vice President for Research~~ ~~AVPR~~; the
71 awards process is administered jointly by the Office of ~~Graduate Studies & Research and Sponsored~~
72 ~~Projects, in Academic Affairs,~~ and the CSUSM Foundation. ~~Expenditures should be made in~~
73 ~~accordance with the proposal budget and observe Foundation and University policies and~~
74 ~~procedures.~~ Funds should be spent within one year of the award announcement. Extensions may be
75 granted at the discretion of the AVPR. A final report to the AVPR will document how GPSM
76 awards were spent. ~~In the case where an external grant application was submitted, a notification of~~
77 ~~submission shall be received as the report, and will include a copy of the proposal for external~~
78 ~~funding on which the GPSM request was based~~

79 IV. APPLICATION REQUIREMENTS

80 ~~How to apply:~~

81 ~~An electronic copy~~ ~~The initial announcement of the GPSM program is distributed via hard copy~~
82 ~~memo (including application form) to all faculty mailboxes at the beginning of each semester.~~
83 ~~Copies~~ of the application may ~~also~~ be found on the web at www.csusm.edu/research/.

84
85 ~~The application must include the following information:~~

86
87 ~~1. Describe~~ ~~A description of the specific activity/ies for which you are the applicant is requesting~~
88 ~~GPSM funds.~~

- 89 2. Provide A budget showing how the GPSM funds will be spent.
- 90 3. Provide A proposal development timeline for the externally funded project
- 91 4. A description of the anticipated externally funded project and possible funding sources:
- 92 a. A brief (1 page max) description of the project for which ~~you~~the applicant plans to request
93 external funds, and how this seed money will enhance ~~your~~the applicant's ability to attain
94 external funds.
- 95 b. A list of the agency/ies) to which ~~you~~ the applicant plans to submit proposal(s). Attach A
96 copy of the RFP or prospectus **should be attached.**
- 97 c. ~~Describe~~A description of the length of proposed project and approximate amount of funds
98 ~~you~~ the applicant anticipates requesting and their use.
- 99 d. ~~Briefly describe~~ A brief description of ~~your~~ the applicant's prior experience in submitting
100 proposals for external funding and funding successes and/or consultation that ~~you~~ the
101 applicant will seek in development of the grant proposal.

102 Additional guidelines:

103 1. Application page limit (4 pages or less).

104 2. Proposals will normally be reviewed within two weeks of receipt.

105 Submit Applications **should be submitted** electronically to the Office of Graduate Studies and
106 Research. For any questions, the applicant can call extension 4066.

107
108 **GRANT PROPOSAL SEED MONEY (GPSM) APPLICATION FORM**
109

110 Proposal title _____
111

112 Submitted by _____ Date _____
113

114 Total seed money requested \$ _____
115

116
117 Grant proposal activities to be supported with the seed money:
118

- 119 1. Describe the activity/ies for which you are requesting seed money. Normally up to a total of \$1,000 may
120 be requested, to be used for supplies, equipment, travel, stipends, student assistants, grant writing
121 assistance, or other needs associated with proposal development.
122
- 123 2. Provide a budget showing how the funds will be spent
124 a. Note that stipends are taxable income
125 b. Student assistant requests must include payroll taxes
126 c. Grant writer funds must normally request temporary employee salary plus benefits and tax
127
- 128 3. Provide a proposal development timeline for the externally funded project
129

130 Externally funded project description:
131

- 132 1. Please provide a brief (1 page max) description of the project for which you plan to request external
133 funds, and how this seed money will enhance your ability to attain external funds.
134
- 135 2. List the agency/ies to which you plan to submit proposal(s). Attach a copy of the RFP or prospectus.
136
- 137 3. Describe the length of project you'll propose and approximate amount of funds you anticipate
138 requesting and their use.
139
- 140 4. Briefly describe your prior experience in submitting proposals for external funding and funding
141 successes and/or consultation that you will seek in development of the grant proposal.
142

143 Additional guidelines:
144

- 145 1. Application page limit (4 pages or less).
146 2. Proposals received by the first day of each month will normally be reviewed within two weeks of
147 receipt.
148

149 An electronic application can be found at: www.esusm.edu/research/
150

151 Submit applications to Pat Worden, Office of Research and Sponsored Projects, CRA 5215. If you have any
152 questions, call X4066 or e-mail pworden@esusm.edu.

1 **COURSE AND PROGRAM PROPOSING, CHANGING, AND APPROVAL**
2 **FORMS: PROCEDURES OF APPROVAL FOR CHANGES**
3

4 Definition: This policy defines which office maintains curriculum forms, which
5 Academic Senate committee has oversight of which forms, and
6 specifies how existing forms can be changed and new forms created.
7

8 Authority: Title 5, §40100 Authorization to Establish Curricula
9 Title 5, §40100.3 Authorization to Establish Teacher Education
10 Programs
11 Title 5, §40101 Authorization to Recommend for Teaching
12 Credentials
13 Title 5, §40300 Extension Courses. Establishment and
14 Maintenance
15 Title 5, §40400 Procedure for Granting Diplomas, Certificates
16 and Degrees
17 Executive Order 602 Delegation of Authority - Authority to Approve
18 Option, Concentrations Special Emphases, &
19 Minors in Designated Academic Subject
20 Categories
21 Executive Order 806 Certificates and Certificate Programs
22

23 Scope: All forms required by Academic Senate committees and Academic
24 Affairs in order to approve curricula.
25
26

27 Curriculum forms are created by Academic Senate committees and maintained by the
28 Curriculum and Scheduling Office. A list of curriculum forms in use at the time that this
29 policy is being updated, and the committee responsible for changing these forms is included
30 below.
31

32 **Academic Policy Committee (APC) Forms:**

- 33 ▪ Extended Studies [regular] Course Form (E Form)
- 34 ▪ Extended Studies [regular] Topics Form (E-T Form)
- 35 ▪ Extended Studies [non-degree credit] Course Form (X Form)

36
37 **Budget and Long-range Planning (BLP) Committee Form:**

- 38 • Abstract Form (A Form)

39
40 **General Education Committee (GEC) Forms:**

- 41 • Lower Division General Education Area A Form (Form LDGE – A)
- 42 • Lower Division General Education Area B Form (Form LDGE – B)
- 43 • Lower Division General Education Area C Form (Form LDGE – C)
- 44 • Lower Division General Education Area D Form (Form LDGE – D)
- 45 • Lower Division General Education Area E Form (Form LDGE – E)
- 46 • Upper Division General Education Area B Form (Form UDGE – BB)

- 47 • Upper Division General Education Area C Form (Form UDGE – CC)
48 • Upper Division General Education Area D Form (Form UDGE – DD)
49

50 **University Curriculum Committee (UCC) Forms:**

- 51 • Course Creation Form (C Form)
52 • Course Creation Form (C-2 Form)
53 • Course Deletion Form (D Form)
54 • Special Topics Form (T Form)
55 • New Program Form (P Form)
56 • New Program Template*
57 • Table I for New Program Template
58 • Table II for New Program Template
59 • New Minor-Option-Concentration-Credential Template
60 • New Certificate Template
61 • Program Change Form (P-2 Form)
62

63 * Template must retain all items (with the original wording) on the template
64 received from the Chancellor's Office, but clarification and additional
65 requirements may be added.
66

67 The Curriculum and Scheduling Office may make non-substantive changes to curriculum
68 forms (e.g., correction of typographical errors, renumbering of questions, adding check-
69 boxes, etc.). Any such changes are to be reported to the Academic Senate committee that has
70 jurisdiction over the form.
71

72 The Academic Senate committee that has jurisdiction over the form is responsible for any
73 substantive changes (requests for additional information, signature lines, etc.). These changes
74 will be reported to the Executive Committee of the Academic Senate, which will determine
75 whether the changes are significant enough to warrant presenting the new forms to the
76 Academic Senate as an action item, or whether they can simply be reported to the Senate.
77

78 Any new curriculum form must be approved by the Academic Senate. The form will be
79 maintained by the Curriculum and Scheduling Office, and oversight will be assigned to the
80 Academic Senate committee which created it – unless the Academic Senate directs that it be
81 overseen by a different committee.

GRADUATE AND POST BACCALAUREATE STUDENT COURSE REPEAT POLICY AND PROCEDURE

Definition Graduate and post baccalaureate students may repeat up to two (2) courses in order to meet graduation requirements. Repeating a course does not expunge the earlier attempt from the student's record, but it may improve the student's grade point average (GPA). ~~The This following policy, is~~ applicable only to non-thesis courses taken at CSU San Marcos, ~~will be followed when allowing graduate and post-baccalaureate students to repeat courses:.~~

Authority President of CSU San Marcos.

Scope Graduate and post baccalaureate students.

1. A course taken at CSU San Marcos in which a grade of B- (2.7 ~~grade points~~) or less is received, may be repeated once for purposes of omitting ~~a prior~~ the original grade from the GPA calculation and satisfying GPA requirements. A course taken at CSU San Marcos in which a grade of NC is received may also be repeated. All course repeats should ~~be done in~~ involve consultation with the graduate program advisor.
2. When a course is repeated, both the original grade and the grade earned in the repetition will appear on the transcript.
3. If a course previously taken for ~~a point grade a letter grade (including plus/minus grading)~~ is repeated for a grade of CR/NC, the original grade(s) will ~~continue to be~~ calculated in the GPA.
4. Unless ~~the a~~ student submits a Graduate Student Course Repeat Request Form to ~~the Enrollment Services Information Center~~ Cougar Central, both grades will be used to calculate the student's GPA.
5. If a student submits a Graduate Student Course Repeat Request Form to ~~the Enrollment Services Information Center~~ Cougar Central, ~~then~~ the original grade earned ~~in the first course is~~ will be ignored omitted from the GPA calculation for the purpose of calculating the GPA. Since CR/NC grades do not enter into the GPA calculation, it is not necessary to submit this form when repeating a course in which a grade of NC was earned.
6. A Graduate Student Course Repeat Request Form cannot be filed until the student has completed the repeat. ~~—A Graduate Student Course Repeat Request Form cannot be filed if the student received a grade of CR, NC, F, I, RD, SP, or U, when the course was repeated.~~ WU, RP, W, or IC when the course was repeated.
7. A maximum of two (2) different courses may be repeated within an approved graduate plan of study at CSU San Marcos. The graduate program offering the degree is authorized to may approve substitute graduate-level courses that may be taken in lieu of a graduate-level course that the student wishes to repeat, when the original course is not

**GRADUATE AND POST BACCALAUREATE STUDENT
COURSE REPEAT POLICY AND PROCEDURE**

34 scheduled to be offered again within the term of the student's expected time to degree.
35 The substitute course must be taken after completion of the original course.

36
37 | 8. ~~Transfer courses are not counted in the repetition limits subject to this policy?. If a student~~
38 | ~~has taken courses at other institutions, the policies of those institutions will be used in~~
39 | ~~computing the overall GPA.~~

40
41 | 9. ~~A course repeated at another institution will may not replace the a course taken earlier at~~
42 | ~~CSU San Marcos in the institutional GPA computation. Both the original course and the~~
43 | ~~repeated course must be taken at CSU San Marcos.~~

44

CREDIT BY CHALLENGE EXAMINATION POLICY

Definition A policy concerning the use of challenge examinations to earn academic credit.

Authority Title V, CSU, and the President of the University.

Scope All CSUSM students.

I. A student may elect to receive credit ~~for a course~~ by challenge examination for any course ~~approved-designated~~ by the academic discipline as ~~a course~~ eligible for challenge. The following restrictions apply:

1. Successful challenge of a course will result in a grade of *Credit*. Successfully challenged courses do not count against the limit on the number of courses that may be taken for a grade of *Credit/No Credit* and can be applied to major requirements with the approval of the major department.
2. Credit is recorded on the student transcript as awarded in the semester following the successful challenge of a course. Students challenging courses in the ~~S~~spring ~~s~~Semester have the option of having the credit reported in either the ~~S~~summer ~~s~~Session or the ~~f~~Fall ~~S~~semester. Students must pay all applicable ~~U~~niversity fees for the term in which the credit is reported on the transcript.
3. Credit by examination may not be used to fulfill the residency requirement. (Title 5, §40403)
4. A student must demonstrate competency in writing skills as part of the challenge examination.
5. Students may not challenge courses under the following circumstances:
 - a. Students may not challenge courses in which they are currently enrolled.
 - b. A student may not elect to challenge a course for which any grade (including “U”, “F”, “WU”, “IC”, “NC”, or “AU”) was received in a previous semester, for which academic renewal has been granted, or for which a prior challenge has been unsuccessful.
 - c. A student may not challenge a course that is listed in the catalog as a prerequisite for a course in which academic credit has already been granted.
6. Students who successfully complete the challenge exam for a course for which the challenge was prohibited (as detailed above) will not receive credit.
7. Courses cannot be challenged to fulfill upper-division General Education requirements.

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CREDIT BY CHALLENGE EXAMINATION PROCEDURE

1. Students may only challenge courses as described in the Credit by Challenge Examination policy.
2. Students must register for a Credit-by-Challenge Examination by printing a form available on the Registration and Records website and taking this to the department office of the department offering the course (or to CoBA advisors for Business Administration courses) by the end of the fifth day of classes in the semester. Students challenging courses in the spring semester must specify on the form whether they want to have the credit recorded during the summer session or the fall semester.
3. The department chair or equivalent will assign responsibility for conducting the examination to a faculty member. The assigned time code for conducting examinations is 17, and may be used to report this faculty activity
4. Examinations will be scheduled sufficiently early in the semester so that students and Registration and Records will receive the results prior to the beginning of the priority registration period for the next term.
5. The Registration & Records and Curriculum & Scheduling offices will create a course section in the next term that bears a notation indicating that the course was successfully challenged and register the students who have successfully challenged the course in this section. Students are automatically enrolled in that next term, and pay all relevant fees in accordance with established fee payment schedules for that term, and earn a grade of CR Enrollment in this course section is included in determining the State University Fee.
6. [To add a new course to the list of challengeable courses, department/program coordinator will notify the Office of Academic Programs, and the Office of Academic Programs will post it on the Academic Programs Credit by Challenge Examination webpage, and notify Registration and Records which will update the credit by challenge form.](#)

POLICY ON FAIR USE OF COPYRIGHTED WORKS FOR EDUCATION AND RESEARCH

1 | Definition: This document explains the principles underlying all decisions regarding
2 | copyright to be made on the CSUSM campus.
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5 | Authority: President of the university.
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8 | Scope: The fair use policy applies to all CSUSM teaching faculty, and staff, and
9 | ~~library faculty to resolve fair use questions in good faith and well informed~~
10 | ~~manner.~~
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~~California State University San Marcos~~

~~Policy on Fair Use of Copyrighted Works for Education and Research~~

~~Statement of Supporting Principles~~

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21 | ~~Prepared by the LAC Subcommittee on Copyright Issues~~
22 | ~~Chuck Allen, Bonnie Biggs, Renée R. Curry, and Dawn Schmid~~
23 |

24 | ~~March 7, 1999~~
25 |
26 |

PREAMBLE

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29 | This document explains the principles underlying all decisions regarding copyright to be made on
30 | this campus. Please note, however, that this document is not intended to be a tutorial about copyright
31 | and fair use. It should accompany the C.E.T.U.S. document, *Fair Use of Copyrighted Works* (1995),
32 | and a comprehensive education program must follow adoption of these principles.
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35 | **Principle 1: I.** An appropriate exercise of fair use depends on a case-by-case application and
36 | balancing of four factors as set forth in a statute enacted by Congress. A proper determination of fair
37 | use in daily practice and in the courts requires applying these four factors to the specific
38 | circumstances of the use:

- 39 | • The purpose or character of the use;
- 40 | • The nature of the copyrighted work being used;
- 41 | • The amount and substantiality of the work being used; and
- 42 | • The effect of the use on the market for or value of the original.

43 |
44 | These factors must be evaluated to determine whether most of them weigh in favor of or against fair
45 | use.
46 |

POLICY ON FAIR USE OF COPYRIGHTED WORKS FOR EDUCATION AND RESEARCH

1 | **Principle 2: II.** Nonprofit educational purposes are generally favored in the application of the
2 | four factors, and a robust concept of fair use is crucial for advancing education and research. The
3 | educational purpose will usually weigh the first factor strongly in favor of fair use. Keep in mind,
4 | however, that a nonprofit educational purpose does not by itself make the use “fair.” One must
5 | always consider and weigh all four factors together.

6 |
7 | **Principle 3: III.** Responsible decision making means that individuals within the university
8 | must know the fundamentals of fair use and understand how to apply them in typical situations. To
9 | that end, an individual designated by the University (~~LAC’s designation as of the 1999-2000~~
10 | ~~academic calendar~~) and the Copyright Guidance Council will provide information, answer questions,
11 | and conduct training in an effort to prepare ~~teaching faculty and~~ staff, ~~and library faculty~~ to resolve
12 | fair-use questions in a good faith and well-informed manner.

13 |
14 | **Principle 4: IV.** The university is confident that its ~~teaching faculty, and~~ staff, ~~and library~~
15 | ~~faculty~~ are able to make good faith decisions about fair use and that their decisions will best reflect
16 | the particular circumstances relevant to the decisions. Fair use depends on the facts and
17 | circumstances of the given situation. Therefore, the person closest to those facts is likely best suited
18 | to determine the law’s application. Thus, we do not mandate a particular decision, but instead we
19 | call on each member of the university to be responsible for the fair-use determinations with respect
20 | to the projects within their authority. The Copyright Guidance Council will be available to assist
21 | with decisions.

22 |
23 | **Principle 5: V.** Reasonable people—even those with significant legal expertise—can and will
24 | differ in their understanding of fair use. Copyright law rarely offers a definitive meaning of fair use
25 | for any specific application. Thus, the real meaning of fair use depends on a reasonable and
26 | responsible application of the four factors. One person’s judgment and situation may not match the
27 | next, and the differences may be based on variations in facts and circumstances. The Copyright
28 | Guidance Council will help individuals to determine, based on precedence at our university, the
29 | unique qualities of particular cases.

30 |
31 | **Principle 6: VI.** Because of the flexible and interpretive nature of fair use, Congress provided
32 | significant protection for educators. Not only does the law apply particularly to educational
33 | purposes, but it also limits the monetary liability that educators may potentially face, as long as they
34 | hold a reasonable and good faith belief that their activities are fair use in light of the four factors.

35 |
36 | **Principle 7: VII.** Through educational efforts, the university should move over time toward
37 | common understandings of fair use for local needs, but such detailed interpretations ought not be a
38 | part of a formal policy statement. By keeping the policy itself concise, the university preserves the
39 | flexibility inherent in fair use law and preserves the opportunity to respond to a changing law and the
40 | changing demands of education and research.

41 |
42 | **Principle 8: VIII.** Fair use is not determined by “guidelines” that purport to quantify the
43 | boundaries of fair use. In an attempt to clarify the meaning of fair use for common situations,
44 | various private parties have negotiated “guidelines,” but those externally developed guidelines are
45 | often inappropriate for the realistic application of fair use to higher education. Such guidelines are

POLICY ON FAIR USE OF COPYRIGHTED WORKS FOR EDUCATION AND RESEARCH

1 too often an unduly narrow or rigid definition of fair use, and they usually impose additional
2 restrictions and conditions that are not part of the law. No such guideline has been read into the law
3 by Congress or the courts, and the guidelines are not binding. Fair use must be determined
4 according to the circumstances of each situation.

5
6 | **Principle 9-IX.** If a member of the CSUSM community acts in good faith and consistent with
7 his or her university duties, protection may be offered by the CSU Risk Management Authority in
8 the event of an infringement allegation. Good faith increases the likelihood that activities are in fact
9 fair use. Good faith reduces the risks of liability in the event of infringement. Good faith is also
10 | important for securing the benefit of university assistance and support in the event that its ~~teaching~~
11 | faculty, ~~library faculty,~~ and staff may face infringement allegations, in accordance with the Errors
12 and Omissions Liability Insurance, dated 1998-1999. Ultimately, good faith is best manifested
13 through knowledge of, and reasonable application of, the four factors. In order to be certain that all
14 members of the CSUSM community act with the knowledge that best facilitates good faith,
15 | attendance at education sessions will be mandated by the ~~CSUSM Provost and~~ Vice President for
16 Academic Affairs. Signatures of attendance will be kept on file should the need to protect
17 | individuals against charges of infringement arise.

RETENTION, TENURE, AND PROMOTION STANDARDS FOR THE SCHOOL OF NURSING

I. DEFINITIONS OF TERMS AND ABBREVIATIONS

- A. In the standards and procedures described by this document, “is” is informative, “shall” is mandatory, “may” is permissive, “should” is conditional, and “will” is intentional.
- B. The following terms, important to understanding faculty policies and procedures for retention, tenure, and promotion are herein defined.
1. Candidate - a faculty unit employee being evaluated for retention, tenure, or promotion.
 2. Evaluation – a written assessment of a faculty member’s performance.
 3. 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.
 4. 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.
 5. 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.
 6. 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.
 7. Retention – authorization to continue in probationary status.
 8. RTP – retention, tenure, and/or promotion
 9. Tenure – the right to continued employment at the campus as a faculty unit employee except when such employment is voluntarily terminated or is terminated by the CSU pursuant to the CBA or law.

II. PREAMBLE

This document sets forth general standards and criteria for retention, tenure, and promotion of full-time faculty in the School of Nursing. The provisions of this document are intended to be implemented in conformity with University-wide Faculty Personnel Policy for Promotion, Tenure, and Promotion.

III. GUIDING PRINCIPLES

- A. General Guiding Principles

RETENTION, TENURE, AND PROMOTION STANDARDS FOR THE SCHOOL OF NURSING

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1. All standards and criteria should reflect the University Mission Statement and advance the goals embodied in that statement, including the following:
As specified in the University Mission Statement:
 - CSUSM focuses on the student as an active participant in the learning process.
 - Students work closely with a faculty of active scholars and artists whose commitment to sustained excellence in teaching, research, and community partnership enhances student learning.
 - The university offers rigorous undergraduate and graduate programs distinguished by exemplary teaching, innovative curricula, and the application of new technology.
 - CSUSM provides a range of services that responds to the needs of a student body with diverse backgrounds, expanding student access to an excellent and affordable education.
 - As a public university, CSUSM grounds its mission in the public trust, alignment with regional needs, and sustained enrichment of the intellectual, civic, economic, and cultural life of our region and state.
 2. The three performance areas that shall be evaluated, teaching, research, and service, are integral faculty activities. While recognizing instruction as a central institutional mission, the School and disciplinary standards and criteria should recognize the diversity of each faculty member's contribution to the University. While the School affirms the University-wide requirement of sustained high quality performance in all areas, it encourages flexibility in the relative emphasis placed on each of the three performance areas.
 3. Methods of performance assessment for research, teaching, and service shall be clearly specified and uniformly applied to all faculty. Activities assessed in one area of performance shall not be duplicated in any other area of performance evaluation.
 4. At all levels and stages of the RTP process, faculty have the right to clearly articulated performance expectations. The RTP process should be simultaneously evaluative and developmental and be carried out in a cooperative, collaborative environment.
 5. Retention, tenure, and promotion decisions are made on the basis of the evaluation of individual performance. Ultimate responsibility for meeting all standards and criteria rests with the candidate.
- B. Standards Applied in Different Types of Decisions
1. It is expected that candidates for retention at the rank of assistant professor will show effectiveness in each area of performance and demonstrate progress

RETENTION, TENURE, AND PROMOTION STANDARDS FOR THE SCHOOL OF NURSING

- 76 toward meeting the tenure requirements in the areas of teaching, research, and
77 service.
- 78 2. Promotion to the rank of associate professor requires an established record of
79 effectiveness in teaching, research, and involvement in service activities that
80 enhance the University and the profession.
- 81 3. Promotion to the rank of professor requires evidence of continued
82 commitment to and effectiveness in instruction, evidence of substantial
83 achievement in scholarly/creative activities, and service to the University
84 and/or the profession.
- 85 4. The granting of tenure at any rank recognizes accomplishments and services
86 performed during the probationary years. Further, the granting of tenure is an
87 expression of confidence that the faculty member has both the commitment to
88 and the potential for continued development and accomplishment throughout
89 his/her career. Tenure will not be granted to an individual whose record does
90 not meet the standards required to earn promotion to the rank at which the
91 tenure will be granted.

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IV. STANDARDS AND CRITERIA

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A. Teaching

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- 95 1. A central mission of the faculty is to enable students to comprehend and to
96 utilize knowledge through scholarly intellectual activity. Toward that end
97 faculty are expected to continually learn about pedagogy and to carefully
98 consider how to teach as well as what to teach. They are expected to set clear
99 expectations of success and to instruct with the assumption that all students
100 can learn. Faculty should involve students actively in the learning process and
101 employ various instructional techniques. Faculty should adapt their
102 instructional methods to reach and to encourage all segments of the student
103 body.
- 104 2. Probationary and tenured faculty members are expected to continually
105 strengthen their teaching skills and to demonstrate overall effectiveness in
106 scholarly instruction at the undergraduate level as well as the graduate level in
107 departments with graduate programs. Toward this end, faculty are encouraged
108 in every way to cultivate and maintain useful, innovative, and stimulating
109 instructional techniques.
- 110
- 111 3. Instructional activities include, but are not limited to:
- 112 ▪ Classroom teaching;
- 113 ▪ Clinical Laboratory teaching;
- 114 ▪ Seminars;
- 115 ▪ Curriculum development;

RETENTION, TENURE, AND PROMOTION STANDARDS FOR THE SCHOOL OF NURSING

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- Program development;
 - Supervision of fieldwork, independent research, and library research;
 - Training and supervision of teaching and graduate assistants;
 - Individual consultation with students concerning course related matters.
4. While the elements of instruction may vary among disciplines and candidates, the evaluations of instructional performance should consider the scholarly content and currency of courses, classroom performance, the incorporation of writing and critical thinking, efforts undertaken to improve instruction, the quality of advising, availability during office hours, interdisciplinary and multidisciplinary activities, participation in course or curriculum development, and pedagogical innovations.
5. Evidence of instructional performance should include, but is not limited to, the following: peer evaluations; student evaluations; a list of courses taught; samples of instructional materials such as syllabi, examinations, and other assessment tools, handouts; descriptions of new courses developed, and certificates of recognition for instruction.
6. Student evaluation of instructional performance is required for all didactic courses taught in the academic year and at least one clinical course if taught.

B. Research

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1. It is essential to the University's Mission that each faculty member demonstrate continued commitment, dedication, and growth as a scholar. In all cases, scholarship results in an original contribution to knowledge or understanding in the field through research and includes the dissemination of that knowledge beyond the classroom.
 2. Scholarship and evidence of scholarly activities include, but are not limited to:
 - Papers published or accepted for publication in peer refereed journals
 - Books or original monographs
 - Published book chapters of original material
 - Papers published in high quality practitioner journals
 - Papers published in refereed proceedings
 - Refereed paper presentations at professional meetings including abstracts published in proceedings
 - Invited papers presented at professional meetings
 - Working papers/works in progress
 - Grant or contract research
 - Clinical simulation scenario development
 - Case studies
 - Maintaining clinical experience in an area of nursing specialization

RETENTION, TENURE, AND PROMOTION STANDARDS FOR THE SCHOOL OF NURSING

157 3. Measurement of scholarly achievements should always include evaluation by
158 professional persons in a position to assess the quality of the contribution to
159 the field. Professional evaluation includes, but is not limited to, acceptance of
160 a scholarly work by a jury of peers or editorial board. In all cases, quality of
161 scholarly achievements shall be evaluated.

162 C. Service

163 1. The School views activities that enhance the institution and the profession,
164 both locally and nationally, as integral components of faculty service. While
165 the magnitude of service rendered may vary, in each instance the evaluation of
166 service must be guided by the quality of that service and its relevance to the
167 University's Mission.

168 2. Service activities may include, but are not limited to, the following:

- 169 ▪ Membership and offices held on committees, governing bodies, and
170 task forces at the unit, college, and university level.
- 171 ▪ Membership and offices held on committees, editorial boards,
172 professional advisory boards, external review teams, governing bodies,
173 and task forces at the local, national, and international level.
- 174 ▪ Organizing regional or national conferences, workshops, or seminars.
- 175 ▪ Service as faculty advisor to student organizations
- 176 ▪ Mentoring of faculty.
- 177 ▪ Administrative activities such as scheduling, program coordination, or
178 other special assignments.
- 179 ▪ Lectures, presentations, or programs given gratis to community groups
180 or schools.
- 181 ▪ Gratis professional consultantships of service to the community.

182 3. Evaluation of service shall include: peer evaluation of the quality of service
183 rendered, the extent to which the service rendered contributed to the
184 University's Mission, and the appropriateness of the service to the faculty
185 member's rank.
186

187 4. Documentation of service may include, but shall not be limited to, the
188 following: a list & description of university, community, professional service;
189 individual contributions to the committee, evaluation by fellow committee
190 members regarding quality of service provided; documents, reports, or other
191 materials produced; letters of invitation; programs; and newspaper clippings.

APC Academic Calendar Assumptions

- The Fall semester begins on a Monday and contains fifteen weeks of instruction, but we lose four weekdays: Labor Day, Veteran's Day, Thanksgiving Day, Friday after Thanksgiving Day. There are thus 71 instructional days in the Fall.
- The Spring semester begins on a Monday (or the Tuesday after Martin Luther King, Jr. Day) and contains fifteen weeks of instruction and a Spring Break week (the same week as Cesar Chavez Day). We lose one weekday (for Martin Luther King, Jr. Day) which leaves 74 instructional days in the Spring.
- Summer session runs for either 12 or 11 weeks. Twelve weeks allows for two 6-week sessions; in the case of the 11-week Summer, the sixth week would be cut in half (different cuts depending on which day Independence Day falls on). In the 11-week session, the first day of instruction is sometimes a Saturday if the first half-session would otherwise have two fewer Saturdays than the second half-session; this is an "Independence Day effect."
- All grading is completed before Winter Break.
- There is an entire week set aside for final exams. It runs Monday through Saturday.
- There is a four day (Tuesday through Friday) faculty preparation period the week before class start in the Fall; Convocation is held during this period. There is a three-day (Wednesday through Friday) faculty preparation period for the Spring semester.
- There is a four day (Monday through Thursday, after Commencement weekend) grading period at the end of the Spring semester.
- There is no instruction in the week before the faculty preparation period, and Summer session grades are due the Thursday of that week (this allows working days for grading, as Summer session classes end the preceding week.
- There is one full week of "processing time" between the end of the Spring semester and the start of Summer session. APC has heard from Advising and Registration & Records that at least this much time is necessary for them to act on Spring grades for disqualification, etc.

		Fall 2008		Spring 2009			Summer 2009	
Code #	Summer Length (weeks)	Faculty Report Date Tuesday	Grades Due Thursday	Faculty Report Date Wednesday	Commence-ment Saturday	Grades Due Thursday	Start of Summer Classes	Grades Due Thursday
1	12	8/19/2007	12/18/2008	1/7/2009	5/9/2009	5/14/2009	T 5/26/09	8/20/09
2	11	8/19/2007	12/18/2008	1/14/2009	5/16/2009	5/21/2009	Sa 5/31/09	8/20/09

		Fall 2009		Spring 2010			Summer 2010	
Code #	Summer Length (weeks)	Faculty Report Date Tuesday	Grades Due Wednesday	Faculty Report Date Wednesday	Commence-ment Saturday	Grades Due Thursday	Start of Summer Classes	Grades Due Thursday
1	12	8/25/2008	12/23/2009	1/6/10	5/8/10	5/13/10	M 5/24/10	8/19/10
2	11	8/25/2008	12/23/2009	1/13/10	5/15/10	5/20/10	T 6/1/10	8/19/10

		Fall 2010		Spring 2011			Summer 2011	
Code #	Summer Length (weeks)	Faculty Report Date Tuesday	Grades Due Wed	Faculty Report Date Wednesday	Commence-ment Saturday	Grades Due Thursday	Start of Summer Classes	Grades Due Thursday
1	12	8/24/10	12/22/2010	1/5/11	5/7/11	5/12/11	M 5/23/11	8/18/11
2	11	8/24/10	12/22/2010	1/12/11	5/14/11	5/19/11	T 5/31/11	8/18/11

		Fall 2011	
Code #	Summer Length (weeks)	Faculty Report Date Tuesday	Grades Due Thursday
1	12	8/23/11	12/22/11
2	11	8/23/11	12/22/11

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

1. DEFINITION OF TERMS AND ABBREVIATIONS

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- A. In the policies and procedures prescribed by this document, “is” is informative, “shall” is mandatory, “may” is permissive, “should” is conditional, and “will” is intentional.
- B. The numbers in parentheses refer to sections of the Collective Bargaining Agreement (in effect at the time of the adoption of this document) between the Board of Trustees of The California State University and the California Faculty Association.
- C. The following terms, important to understanding faculty policies and procedures for retention, tenure, and promotion, are herein defined:
1. Administrator – an employee serving in a position designated as management or supervisory in accordance with the Higher Education Employer-Employee Relations Act. (2.1)
 2. Candidate – a faculty unit employee being evaluated for retention, tenure, or promotion. (15.1)
 3. CBA—Collective Bargaining Agreement between the California Faculty Association and the Board of Trustees of the California State University for Unit 3 (Faculty).
 4. CFA – The California Faculty Association or the exclusive representative of the Union. (2.7)
 5. College/Library/School/SSP, AR - College of Arts and Sciences, College of Business Administration, College of Education, Library. School of Nursing, and Student Services Professional, Academic Related.
 6. Confidentiality – confidential matter is private, secret information whose unauthorized disclosure could be prejudicial. Given the RTP Procedure, confidentiality applies to the circle of those reviewing a file in a given year.
 7. CSU – The California State University.
 8. CSUSM – California State University San Marcos
 9. Custodian of the File (COF) –the administrator designated by the President who strives to maintain accurate and relevant Personnel Action Files and to ensure that the CSUSM RTP Timetable is followed. (11.1, 15.4)
 10. Day – a calendar day. (2.11)
 11. Dean/Director – the administrator responsible for the college/unit.
 12. Department – the faculty unit employees within an academic department or other equivalent academic unit. (2.12)
 13. Department Chair – the person selected by the president or designee, based on faculty recommendation, to serve as the director /coordinator of the faculty unit employees within an academic department or other equivalent academic unit. (20.32).
 14. Equivalent Academic Unit – any unit that is equivalent to an academic department or library unit for purposes of this document, but not recognized under the CBA.
 15. Evaluation – a written assessment of a faculty member’s performance. An evaluation shall not include a recommendation for action.
 16. Faculty Unit Employee – a member of bargaining Unit 3 who is subject to retention, tenure, or promotion. (2.13) See also Candidate.

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

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17. Librarian – those individuals who have achieved the rank of full Librarian.
 18. Merit awards – in various CBAs, the CSU and CFA have agreed upon different terms and different names for merit awards, such as Merit Salary Adjustments, Performance Step Salary Increases and Faculty Merit Increases. If they are in effect during a review, merit awards are separate from the Retention, Tenure, and Promotion process, and thus have no bearing on the set of policies and procedures that follows.
 19. Peer Review Committee (PRC) – the committee of full-time, tenured faculty unit employees whose purpose is to review and recommend faculty unit employees who are being considered for retention, tenure, and promotion. (15.35)
 20. Performance Review – the evaluative process pursuant to retention, tenure, and/or promotion. (15.32)
 21. Personnel Action File (PAF) – the one official personnel file containing employment information and information relevant to personnel recommendations or personnel actions regarding a faculty unit employee. (2.17)
 22. President – the chief executive officer of the university or her/his designee. (2.18)
 23. Probation, Normal Period of – the normal period of probation shall be a total of six (6) years of full-time probationary service and credited service, if any. Any deviation from the normal six (6) year probationary period, other than credited service given at the time of initial appointment, shall be the decision of the President following her/his consideration of recommendations from the department 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 II AR or SSP III AR 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, ~~an SSP III AR~~ 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. ~~(14.4)~~ (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

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

- 117 reasons for the recommendation. A copy of the recommendation and the written reasons
118 for it is provided to the faculty member at each level of review. (15.40, 15.12c, 15.5)
119
- 120 31. Retention – authorization to continue in probationary status.
121
- 122 32. RTP – retention, tenure, and/or promotion.
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- 124 33. RTP Timetable – A timetable that lists the order of review and establishes dates for the
125 review process at each level for a particular year. This calendar is based on the approved
126 academic year calendar. The President, after consideration of recommendations of the
127 appropriate faculty committee, shall announce the RTP Timetable for each year. (13.5)
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- 129 34. Service Credit – the President, upon recommendation of the Dean/Director after
130 consulting with the relevant department or equivalent unit, may grant to a faculty unit
131 employee up to two (2) years service credit for probation based on previous service at a
132 post-secondary education institution, previous full-time CSU employment, or comparable
133 experience. (13.4)
134
- 135 35. Tenure – the right to continued permanent employment at the campus as a faculty unit
136 employee except when such employment is voluntarily terminated or is terminated by the
137 CSU pursuant to the CBA or law. (13.13)
138
- 139 36. Working Personnel Action File (WPAF) – that portion of the Personnel Action File
140 specifically generated for use in a given evaluation cycle. The WPAF shall include all
141 forms and documents, all information specifically provided by the candidate, and
142 information provided by faculty unit employees, students, and academic administrators.
143 It also shall include all faculty and administrative level evaluations, recommendations
144 from the current cycle, and all rebuttal statements and responses submitted. (15.8)
145

II. PERSONNEL FILES

A. Personnel Action File (PAF): Definition

- 147
- 148
- 149
- 150 1. Each faculty member shall have a Personnel Action File (PAF). This is a confidential file with
151 exclusive access of the faculty member and designated ~~administrators and administrative staff~~
152 individuals. (11)
153
- 154 2. The President of the University designates where such files will be kept and who will act as
155 custodian of the file (COF). The COF will keep a log of all requests to see each file. The COF
156 shall monitor the progress of all evaluations ensuring that she/he gives proper notification of each
157 step of the evaluation to the Candidate, each committee and administrator as specified in these
158 procedures. (11)
159
- 160 3. The PAF is the one official personnel file for employment information relevant to personnel
161 recommendation or personnel actions regarding a Candidate. Faculty members may review all
162 material in their PAF, including pre-employment materials. Faculty members may submit
163 rebuttals to any item in the file, except for pre-employment materials. Faculty may request the
164 removal of any letters of reprimand that are more than three years old. (18) Material submitted to
165 the PAF must be identified by the source generating the information. No anonymously authored
166 documents shall be included in the file. (11)
167

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

168

169

170 The PAF contains the following materials:

- 171
- 172 1. All recommendations and decision letters that have been part of the RTP process.
173
- 174 2. All indices of all WPAFs.
175

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

- 176 3. The file concerning initial appointment.
177
178 4. A curriculum vitae from each review.
179
180 5. The Candidate's summaries for each RTP-related review.
181
182 6. All rebuttals and responses.
183
184 7. Letters of commendation.
185
186 8. Letters of reprimand, until removed under 18.7.
187
188 9. All fifth year post-tenure reviews.
189
190 10. Documentation of any merit awards or salary adjustments.¹
191
192 C. Working Personnel Action File (WPAF): Definition
193
194 1. During periods of evaluation, the Candidate shall create a WPAF specifically for the purpose of
195 evaluation. This material amplifies the PAF. It shall contain all required forms and documents
196 and all additional information provided by the Candidate. The WPAF is deemed to be part of the
197 Personnel Action File (PAF) during the period of evaluation. (11) Material submitted to the
198 WPAF must be identified by the source generating the information. No anonymously authored
199 documents shall be included in the file.
200
201 2. The WPAF is part of the review process. All parties to the review shall maintain confidentiality
202 regarding this file. (15)
203
204 3. The Candidate, appropriate administrators, the President, Peer Review Committee members,
205 Department Chair (only if she/he completes a separate Department Chair review), and Promotion
206 and Tenure Committee members, Custodian of the File and designated individuals shall have
207 access to the file. (15)
208
209 4. The WPAF shall be complete by the deadline announced in the RTP Timetable. Any material
210 added after that date must have the approval of the Peer Review Committee and must be material
211 that becomes available only after the closure date. New materials must be reviewed, evaluated,
212 and commented upon by the Peer Review Committee and the Department Chair (if applicable)
213 before consideration at subsequent levels of review. (15)
214
215 D. Guidance on the WPAF:
216
217 1. An item in the WPAF may be included in whichever category the Candidate sees as the best fit.
218 However, a single item may not be inserted in two different categories.
219
220 2. The emphasis of the WPAF will be on the accomplishments of the Candidate since her/his last
221 university-level review. For retention review, the emphasis will be on the time period since the
222 last retention review. For promotion or tenure to Associate Professor /Associate Librarian/SSP II
223 AR, the emphasis will be on the time period since hiring. For promotion or tenure to
224 Professor/Librarian/SSP III AR, the emphasis will be on the time period since the review for the
225 Candidate's last promotion.
226
227 3. If service credit was awarded, the Candidate should include evidence of accomplishments from the
228 other institution(s) for the most recent years of employment.

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

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4. This procedures document does not specify standards. Each Department may develop its own standards, including guidance on criteria in that unit. It is the responsibility of the Candidate to seek out and understand these standards. See V.A.1. and V. B. 4. below.
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5. There are many creative ways to document scholarly performance in the WPAF, but the potential for a lack of selectivity and coherence is great. Assembling the WPAF (the Candidate's responsibility) and giving due consideration to the WPAF (the reviewing parties' responsibility) is made more time-consuming and difficult when the file is disorganized and/or too large. In presenting the WPAF, the Candidate should be selective, choosing documents, texts, or artifacts that are most significant and representative of their work. The WPAF should be focused and manageable. Statements such as "Documentation available on request" are encouraged.
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6. The evidence of success in Teaching, Research/Creative Activity and Service shall consist of up to 30 items total in the WPAF. The types of items included may vary. The candidate will determine how to distribute the items among the three categories; however, each category will contain evidence.
- 240
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243
7. The reflective statements included in the WPAF shall not exceed 15 pages in combined length. The Candidate will determine how many pages to devote to each statement. The statements will describe the Candidate's contributions in the areas of Teaching, Research/Creative Activity, and Service.
- 244
245
8. Electronic documentation is also acceptable, although the same principle of selectivity applies in this case.
- 246
247
248
9. The Candidate shall be notified of the placement of any material in her/his WPAF, and shall be provided with a copy of any material to be placed in the WPAF at least five days prior to such placement.
- 249
250
- a. Material inserted into the WPAF by reviewing parties is subject to rebuttal or request for removal by the faculty member undergoing review.
- 251
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253
- b. Required or additional material relevant to the review may be added during the initial period of "review for completeness" by the faculty member undergoing review or other parties to the review.
- 254
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256
257
- E. The WPAF, when submitted by the Candidate, shall contain:
- 258
259
1. A current curriculum vitae.
2. A reflective statement for each section: Teaching, Research/Creative Activity, and Service. (See II.D.7. above.)
- 260
261
3. Evidence of teaching success (for all faculty unit members who teach) and equivalent professional performance based on primary duties assigned in the job description (for non-teaching faculty).²
- 262
- a. The reflective statement on teaching.
- 263
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267
- b. Student evaluations from courses taught, in compliance with the CBA. ~~University-prepared numerical summaries and all comment sheets of course evaluations shall be included for each course submitted.~~ The complete university-prepared report (containing numerical summaries and student comments) shall be included for each course submitted.
- 268
- b. Selected items representing teaching, such as:

² Non-teaching faculty include librarians and SSP, ARs.
AS 1st Reading 04/18/2007

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- Peer evaluation
 - Self-evaluation
 - Videotape of class session
 - Instructional materials (e.g., syllabi, lesson plans, lecture notes, multimedia presentations, course assignments)
 - Product of your teaching/Evidence of student learning (e.g., completed student assignment, paper, thesis, exam, project, performance)
 - Teaching award, fellowship or honor
 - Other relevant items chosen by the faculty member
- 278
- 279
4. Evidence of success in research and creative activity (for teaching faculty and librarians) and continuing education/professional development (for SSP, ARs).
- 280
- a. The reflective statement on research and creative activity.
- 281
- b. Selected items representing research and creative activity, such as:
- 282
- Publications
 - Publications in press or under review (with documentation)
 - Creative performances (dance, music performance art, theatre), exhibits, videos, slides, recordings, CD-ROMS, multimedia, performance texts, installations, photographs, musical scores, directing or choreography, curating, producing
 - Presentations at professional meetings
 - Funded grants
 - Research/creative activity in progress
 - Instructional material development
 - Applied research/scholarship
 - Invited address
 - Research/creative activity award, fellowship or honor
 - Editing of a journal, book, or monograph
 - Unpublished research
 - Unpresented/unperformed creative activity
 - Unfunded grant proposal
 - Refereeing of a book, journal article, monograph, conference paper
 - Other relevant items chosen by the faculty member
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5. Evidence of success in service.
- 302
- a. The reflective statement on service.
- 303
- b. Selected items representing service to the campus, system, community, discipline, and/or profession, such as:
- 304
- Committee activity
 - Consultantship to community organizations
 - Advising a student group
 - Mentoring of faculty and/or students
 - Office held and participation in professional organizations
 - Service award, fellowship or honor
 - Editing of a journal, book, or monograph
 - Refereeing of a book, journal article, monograph, conference paper
 - Other relevant items chosen by the faculty member
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6. 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 tenure (or tenure and promotion) review. Personnel reviews (including recommendations, rebuttals and responses) are defined as periodic reviews; retention, tenure and promotion reviews; and five-year post-tenure reviews.

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

- 319 7. Department/Unit/College/Library/School/SSP,AR standards for retention, tenure and promotion.
- 320 8. A complete index of the material contained in the WPAF.

321 III. REVIEW PROCESS SCHEDULE

- 322
- 323 A. Tenure and Promotion to the Rank of Associate Professor/Associate Librarian/SSP II AR.
- 324
- 325 1. All probationary (nontenured) faculty members shall undergo annual review. The normal review
- 326 process schedule depends on the probationary status of the Candidate. If the Candidate's initial
- 327 appointment is on the tenure track at the rank of Assistant Professor, Senior Assistant Librarian
- 328 (which normally requires a doctorate or other appropriate terminal degree), or SSP I AR without
- 329 credit for prior years of service, the review process schedule is as follows:
- 330
- 331 First, third, and fifth years: PRC level and Dean/Director review
- 332 Second and fourth years: PRC, Dean/Director and President review
- 333 Sixth year: Mandatory review for promotion and tenure by Department Chair³, Peer
- 334 Review Committee, Dean, and Promotion and Tenure Committee with a recommendation
- 335 to the President
- 336
- 337 2. Tenure-track probationary faculty may be given credit for a maximum of two years of service at
- 338 another institution. The amount of credit allowed shall be stipulated at the time of employment
- 339 and documented in a letter to the faculty member. This letter should be included in the file. If one
- 340 or two years of credit are given, the review process begins with the first year level review. The
- 341 mandatory promotion and tenure decision is shortened by the number of service credit years given.
- 342 (13.4)
- 343
- 344 3. If a probationary faculty member without a doctorate or appropriate terminal degree is hired at the
- 345 rank of Instructor, Assistant Librarian, or SSP I AR, the Candidate may choose not to count the
- 346 time as Instructor/ Assistant Librarian/SSP I AR toward the mandatory sixth year tenure and
- 347 promotion review. The Candidate must stipulate her/his choice at the time of initial appointment
- 348 to a tenure track position.
- 349
- 350 4. Normally, a probationary faculty member shall not be promoted during the probationary period of
- 351 six years of full-time service. (13.3, 14.2) At the request of the Candidate or on the initiative of
- 352 the Department, a Candidate may be considered for Promotion and Tenure prior to the sixth year
- 353 of service. In that event, the sixth-year-level review substitutes for the annual review. Candidates
- 354 for promotion before the mandatory sixth-year review may withdraw from consideration without
- 355 prejudice at any level of review. (14.7)
- 356
- 357 5. Mandatory sixth-year consideration entails recommendations to the President for the Candidate's
- 358 tenure and promotion. Normally, award of tenure to probationary faculty members also entails
- 359 promotion. (14.2) Probationary faculty members shall not be promoted beyond the rank of
- 360 Associate. (14.2)
- 361
- 362 B. Tenure for Probationary Faculty Hired at the Ranks of Associate Professor/Associate Librarian/SSP II
- 363 AR and Professor/Librarian/SSP III AR.
- 364
- 365 1. Nontenured Associate Professors/Professors, Associate Librarians /Librarians, and SSP II AR/SSP
- 366 II ARs shall be reviewed annually according to the following schedule:
- 367
- 368 First, third, and fifth years: PRC level and Dean/Director review
- 369 Second and fourth years: PRC, Dean/Director and President review

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

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

- 370 Sixth year: Mandatory review for tenure by the Department Chair,⁴ Peer Review Committee,
371 Dean, and Promotion and Tenure Committee recommendation to the President.
372
- 373 2. Tenure-track probationary faculty may be given credit for a maximum of two years of service at
374 another institution. The amount of credit allowed shall be stipulated at the time of employment.
375 The letter shall be included in the file. (13.4)
- 376 3. Normally, a probationary faculty member shall not be promoted during the probationary period of
377 six years of full-time service. (13.3, 14.2) At the request of the Candidate or on the initiative of
378 the Department, a Candidate may be considered for Promotion and Tenure prior to the sixth year
379 of service. In that event, the sixth-year-level review substitutes for the annual review. The
380 President may award tenure to a faculty unit employee before the normal six year probationary
381 period. (13.18) Candidates for promotion before the mandatory sixth-year review may withdraw
382 from consideration without prejudice at any level of review. (14.7)
383
- 384 4. Tenure review for probationary Associate Professor /Associate Librarian/SSP II AR is separate
385 and distinct from review for promotion to the rank of Professor /Librarian/SSP III AR.
386 Probationary faculty shall not be promoted beyond the rank of Associate. (14.2) In other words,
387 Associate Professors/Associate Librarians/SSP II ARs must be awarded tenure before they are
388 eligible to apply for promotion to full Professor/Librarian/SSP III AR.
389
- 390 C. The President may extend a faculty member's probationary period for an additional year when a
391 faculty member is on Workers' Compensation, Industrial Disability Leave, Nonindustrial Disability
392 Leave, leave without pay, or paid sick leave for more than one semester or two consecutive terms.
393 (13.7)
394
- 395 D. Review of Tenured Faculty at Rank other than Professor/Librarian/SSP III AR ranks.
396
- 397 1. Except for early promotion considerations, review for promotion to the rank of Professor,
398 Librarian, or SSP III AR follows the standard sequence of review for tenure: Department Chair
399 (at Department Chair's discretion) and Peer Review Committee, Dean/Director, Promotion and
400 Tenure Committee making recommendations to the President.
401
- 402 2. Only tenured faculty unit employees with rank of Professor /Librarian/SSP III AR can make
403 recommendations regarding promotion to these ranks. (Professors/Librarians/SSP III ARs may
404 make recommendations for promotion across these positions.)
405
- 406 3. The promotion of a tenured faculty unit employee normally shall be effective the beginning of the
407 sixth year after appointment to her/his current academic rank/classification. In such cases, the
408 performance review for promotion shall take place during the year preceding the effective date of
409 the promotion. This provision shall not apply if the faculty unit employee requests in writing that
410 she/he not be considered. (14.3)
411
- 412 4. The promotion of a faculty unit member to the rank of Professor, Librarian, or SSP III AR that
413 will be effective prior to the start of the sixth year after appointment to his/her current academic
414 rank/classification is considered an 'early promotion.' An early promotion decision requires that
415 the applicant receive a positive recommendation from his/her department or equivalent unit. In
416 cases where the department or equivalent unit does not make a positive recommendation, no
417 further levels of review take place and the promotion is not considered (14.3, 14.4).
418
- 419 E. Except for denial of tenure in the mandatory sixth-year review, denial of tenure and/or promotion does
420 not preclude subsequent review. Probationary faculty denied tenure prior to the sixth year may be
421 considered in any subsequent year through the mandatory sixth-year review. Tenured
422 Assistant/Associate Professors, Senior Assistant/Associate Librarians, and SSP I/II ARs denied
423 promotion may be reviewed in any subsequent year.

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

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

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IV. RESPONSIBILITIES OF THOSE INVOLVED IN THE REVIEW CYCLE

A. Responsibilities of the Candidate

1. Preparation of the WPAF

- a. Prior to the beginning of the review process, the Candidate shall be responsible for reviewing the Department/Unit/College/Library/School/SSP,AR evaluation criteria and review procedures that have been made available, including the CSUSM RTP timetable.
- b. Prior to the beginning of the review process, the Candidate shall be responsible for consulting campus resources relevant to the review process (e.g., the CBA, Academic Affairs, Faculty Center resources and workshops, and colleagues).
- c. Prior to the beginning of the review process, the Candidate shall be responsible for the identification of materials she/he wishes to be considered and for the submission of such materials as may be accessible to her/him (15.12.a).
- d. The Candidate shall be responsible for the organization and comprehensiveness of the WPAF.

2. Submission of the WPAF

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

B. Responsibilities of Department Chairs and Faculty Governance Units

1. In academic units with a Department Chair, the Chair shall ensure that there is an election of a PRC. This entails: identifying eligible members of the Department or equivalent academic unit, College/Library/School, or the entire University faculty, when necessary, who are willing to serve; consulting with faculty in the Department about names to place on the ballot; sending out the ballot one week before the election date; ~~specified in the RTP Timetable~~; ensuring that ballots are counted by a neutral party; and announcing the results to the Department and to the Candidates. The Department Chair shall convene the first meeting of the PRC and ensure that a chair is elected.
2. In academic units with no Department Chair, the appropriate faculty governance group shall ensure that there is an election of a PRC. This entails: identifying eligible members of the Department or equivalent academic unit, College/Library/School, or the entire University faculty, when necessary, who are willing to serve; consulting with faculty in the Department about names to place on the ballot; sending out the ballot one week before the election date; ~~specified in the RTP Timetable~~; ensuring that ballots are counted by a neutral party; and announcing the results to the Department and to the Candidates. The appropriate faculty governance group shall convene the first meeting of the PRC and ensure that a chair is elected.

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

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3. The Department Chair may submit a separate recommendation concerning retention, tenure, and/or promotion under the following conditions: The Department Chair must be tenured and the Department Chair must be of equal or higher rank than the level of promotion requested by the Candidate.⁵ The Department Chair's review runs concurrently with the PRC review. When a Department Chair chooses to make a separate recommendation in a given year, she/he must do so for all Candidates in the Department in that year for which she/he is eligible to submit a recommendation. In this case, Department Chairs shall have the additional responsibilities indicated below. If the Department Chair is a member of the PRC, she/he may not make a separate recommendation.
 - a. During the time specified for this activity, the Department Chair shall review the file for completeness. Within seven days of the submission deadline the Department Chair shall:
 - 1) Submit a letter to the Custodian of the File outlining material that is lacking. The custodian notifies the faculty member.
 - 2) Add any existing material missing from the file that the faculty member did not add. The Department Chair must add the required evidence, but may choose not to add the non-mandatory additional evidence requested.
 - b. The Department Chair may determine whether to request external review of the file. In the case of external review request, see Appendix C for responsibilities and timetable.
 - c. Consistent with the CBA, the Department/Unit/College/Library/School/ SSP, AR RTP documents and the RTP Timetable, the Department Chair shall review and evaluate the WPAF of each candidate for retention, tenure, and promotion.
 - d. The Department Chair may write a recommendation with supporting arguments to "The file of [the faculty member under review]." The Department Chair's recommendation is a separate and independent report from that of the PRC.
 - 1) The recommendation shall be based on the contents of the WPAF (15.12.c).
 - 2) The recommendation clearly shall endorse or disapprove of the Candidate's retention, tenure, and/or promotion.
 - e. The Department Chair shall submit the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
 - f. The Candidate may request a meeting with the Department Chair within seven days of receipt of the Department Chair's recommendation (15.5). If a meeting is requested, the Department Chair shall attend the meeting. No formal, written response is required subsequent to this meeting.
 - g. The Department Chair may respond to a Candidate's written rebuttal or response within seven days of receipt ~~of rebuttal~~. No formal, written response to a candidate rebuttal or response is required.
 - h. Should the P&T Committee call a meeting of all previous levels of review, the Department Chair shall attend and revise or reaffirm her/his recommendation. The Department Chair shall then submit in writing her/his recommendation to the Custodian of the File consistent with the RTP Timetable.

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.

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

- 533 i. The Department Chair shall maintain confidentiality of the file, of deliberations and
534 recommendations. (15.10 and 15.11)
535
- 536 j. When Department Chairs submit a separate recommendation for Candidates in their
537 Departments, they are ineligible to serve on Peer Review Committees in their respective
538 Departments, but may serve on PRC's in other Departments. Department Chairs, like
539 other parties to the review, may not serve at more than one level of review.
540
- 541 4. If a Department Chair chooses not to make a separate recommendation, then she/he may serve on
542 any Peer Review Committees within her or his academic unit.
543
- 544 5. If any stage of a Performance Review has not been completed according to the RTP Timetable,
545 the WPAF shall be automatically transferred to the next level of review or appropriate
546 administrator and the Candidate shall be so notified. (15.41)
547
- 548 C. Election and Composition of the Peer Review Committee (PRC)
549
- 550 1. The Department or appropriate academic unit is responsible for determining the size and election
551 conditions of the PRC. The Department Chair shall ensure that there is an election of a PRC.
552 Where no Department Chair exists, the department or appropriate faculty governance unit will
553 ensure that there is an election of a PRC. (See IV.B.1. and 2. above.)
554
- 555 2. The PRC shall be composed of at least three full-time tenured faculty elected by tenure-track
556 faculty in the Candidate's department (or equivalent), with the chair elected by the committee.
557 That is, if there are enough eligible faculty members in a department or program, members of the
558 Peer Review Committee are elected from these areas. If not, the department or program shall
559 elect Peer Review Committee members from eligible university faculty in related academic
560 disciplines (15.35). ~~The PRC shall elect its own chair.~~
561
- 562 3. In the case of a faculty member with a joint appointment, the Peer Review Committee shall
563 include when possible representatives from both areas with a majority of members on the
564 committee elected from the Department or program holding the majority of the faculty member's
565 appointment. If a faculty member holds a 50/50 joint appointment, the committee will have
566 representatives from both departments.
567
- 568 4. Peer Review Committee members must have higher rank/classification than those being
569 considered for promotion.
570
- 571 5. Candidates for promotion are ineligible for service on promotion or tenure Peer Review
572 Committees.
573
- 574 6. Each College/Library/School/SSP, AR shall adopt procedures for electing a Peer Review
575 Committee from the eligible faculty. These procedures must follow the guidelines of the CBA.
576 (15.35).
577
- 578 D. Responsibilities of the Peer Review Committee (PRC)
579
- 580 1. The PRC shall review the WPAF for completeness. Within seven days of the submission deadline
581 the PRC shall:
582
- 583 a. Submit a letter to the Custodian of the File outlining material that is lacking. If no WPAF has
584 been submitted, the PRC shall submit a letter to the Custodian of the File within the same
585 deadline indicating that the WPAF is lacking.
586
- 587 b. Add any existing material, required or additional, missing from the WPAF that the Candidate
588 has not added via the COF (15.12).
589
- 590 2. The PRC shall determine whether to request external review of the WPAF. In the case of an
591 external review request, see Appendix C for responsibilities and timeline.

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

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3. Consistent with the CBA, the Department/College/Library/School/SSP,AR RTP standards/documents and the RTP Timetable:
 - 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 receive, early in the fall semester from the Custodian of the File, the currently approved Department/Unit/College/Library/SSP, AR and University RTP documents. The Dean/Director immediately shall distribute these documents to Department Chairs and to all members of the PRC committee. Each new faculty unit employee also shall be provided no later than fourteen days after the start of the semester written notification of the evaluation criteria and procedures in effect at the time of her/his initial appointment. In addition, pursuant to CBA~~

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- 650 ~~provision 15.3, the faculty unit employee shall be advised of any changes to those criteria and~~
651 ~~procedures prior to the commencement of the evaluation process. (12.2)~~
652
653 2. The Dean/Director shall review the file for completeness. Within seven days of the submission
654 deadline, the Dean/Director shall:
- 655 a. Submit a letter to the Custodian of the File outlining material that is lacking.
- 656 b. If the requested missing material is not added, the Dean/Director shall have the COF insert
657 that material (15.12).
- 658 c. The Custodian of the File shall notify the faculty member of any material added to the file.
- 659 3. The Dean/Director shall determine whether to request external review of the file. In the case of an
660 external review request, see Appendix C for responsibilities and timeline.
- 661 4. The Dean/Director shall review and evaluate the WPAF of each candidate for retention, tenure,
662 and/or promotion, consistent with the CBA, Department/Unit/College/Library/School/SSP, AR
663 RTP document and the RTP Timetable.
- 664 5. The Dean/Director shall write a recommendation with supporting arguments addressed “To the
665 file of [the name of the Candidate]”.
- 666 a. The recommendation shall be based on the contents of the WPAF (15.12 c).
- 667 b. The recommendation shall clearly endorse or disapprove retention, tenure and/or
668 promotion.
- 669 6. The Dean/Director shall submit the recommendation to the Custodian of the File by the deadline
670 specified in the RTP Timetable.
- 671 7. Should the candidate call a meeting within seven days of receipt of the Dean/Director’s
672 recommendation (15.5), the Dean/Director shall attend the meeting. No response is required.
- 673 8. Should the candidate submit a rebuttal or response, the Dean/Director may respond to the rebuttal
674 in writing within seven days of receipt. No formal, written response to the candidate’s rebuttal or
675 response is required.
- 676 9. Should the Promotion and Tenure Committee call a meeting of all the previous levels of review,
677 the Dean/Director shall attend and revise or reaffirm her/his recommendation. The Dean/Director
678 shall then submit, in writing, her/his recommendation to the Custodian of the File.
- 679 10. The Dean/Director shall maintain the confidentiality of deliberations and recommendations
680 pursuant to articles 15.10 and 15.11 of the CBA.
- 681 11. If any stage of a Performance Review has not been completed according to the RTP Timetable, the
682 WPAF shall be automatically transferred to the next level of review or appropriate administrator
683 and the faculty unit employee shall be so notified. (15.41)
- 684 F. Composition of the Promotion and Tenure (P&T) Committee
- 685 1. The University Promotion and Tenure Committee shall be composed of seven members: six full-
686 time tenured Professors and one full-time tenured Librarian elected in accordance with the rules
687 and procedures of the Academic Senate. Candidates for election to the Committee shall be voting
688 members of the Faculty as defined in the by-laws of the CSUSM Academic Senate.
- 689 2. The six Professors shall be elected as follows: One from the College of Education; one from the
690 College of Business Administration; three from the College of Arts and Sciences (these three must
691 come from at least three of the four Divisions within the College: Humanities, Social Sciences,
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703 Sciences and Interdisciplinary Studies); and one university-wide at-large member. The faculty
704 members of the Library shall elect the Librarian member. When School of Nursing faculty or SSP,
705 ARs are under review, ~~an SSP III AR~~ faculty member from the School of Nursing or SSP, AR III
706 will be added to the P&T Committee for the School of Nursing or SSP, AR review only.

707 3. For various reasons of ineligibility, the Promotion and Tenure Committee may lack the full set of
708 seven members. If Committee membership falls below five, the Senate shall hold a replacement
709 election or an at-large election as appropriate to ensure a minimum of five members for the
710 Committee. Faculty with specified roles in assessing, directing, or counseling faculty in relation
711 to their professional responsibilities are ineligible for service (e.g., ~~Coordinator~~ Director of
712 General Education, Director of the Faculty Center).

713 4. Each year, the members of the Committee shall elect the Chair. They will hold this election
714 during the spring semester preceding the year of service on the Committee.

715 5. Members of the Promotion and Tenure Committee are ineligible to serve at any other level of
716 review. That is, they cannot make recommendations as Department Chairs or members of Peer
717 Review Committees for any candidates during their term as members of the Promotion and Tenure
718 Committee.
719

720 G. Responsibilities of the Promotion and Tenure Committee

721 1. The P & T Committee shall review for completeness each file from all candidates for promotion
722 and/or tenure. In order to complete this review within seven days of the submission deadline, the
723 Chair shall assign two members of the Committee to each file. These members will report their
724 findings to the Chair within the specified deadline.
725

726 2. The P & T Committee shall identify, request and provide existing materials related to evaluation
727 which do not appear in the file. In cases where the Committee members request that the candidate
728 add material to the file, this request shall be made in writing to the Custodian of the File within the
729 specified deadline. In cases where the Committee members add material to the file via the COF,
730 they shall do so within the specified deadline. The Custodian of the File shall inform the
731 candidate of this addition.
732

733 3. The P & T Committee shall determine whether to request external review. The members assigned
734 to review each file for completion shall arrive at an independent assessment of the need for
735 external review. The full Committee shall meet at the end of this initial review period to
736 determine the need for external review. The Committee shall conduct a simple majority vote to
737 determine whether or not an external review shall be requested. In the case of external review, see
738 Appendix C for External Review.
739

740 4. The P & T Committee shall review and evaluate the WPAF of each candidate for tenure and/or
741 promotion. Each committee member shall make an individual assessment prior to the discussion
742 of any specific case.
743

744 5. The P & T Committee shall meet as an entire committee face-to-face concerning each of the
745 WPAFs. In these meetings, each member shall comment upon the candidate's qualifications
746 under each category of evaluation.
747

748 6. The P & T Committee shall write a clear recommendation, addressed "To the file of [the
749 candidate]" with supporting arguments [Appendix E]. Each recommendation shall be approved by
750 a simple majority of the committee. The Chair shall vote. Because the CBA states that "[t]he end
751 product of each level of a Performance Review shall be a written recommendation," (15.40) a
752 report of a tie vote does not constitute an acceptable action of the Committee. The P&T
753 Committee must recommend for or against promotion and/or tenure.
754

755 7. The report of the vote shall be anonymous. Committee members may not abstain in the final vote.
756 The vote tally shall not be included in the letter. Dissenting opinions shall be incorporated into the
757
758

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- 759 text of the final recommendation. When the vote is unanimous, the report shall so indicate. All
760 members of the committee shall sign the letter.
761
- 762 8. The P & T Committee shall provide a copy of the recommendation to the Custodian of the File by
763 the deadline specified in the RTP Timetable.
764
- 765 9. Should the candidate call a meeting within seven days of receipt of the P & T Committee's
766 recommendation, the P&T Committee shall attend the meeting (15.5). No formal written response
767 is required subsequent to this meeting.
- 768 10. Should the candidate submit a rebuttal or response, the P&T Committee may respond to the
769 rebuttal or response in writing within seven days of receipt. No formal written response to the
770 candidate's rebuttal or response is required.
- 771 11. When there is disagreement in the recommendations at any level of review, the P & T Committee
772 shall call a conference involving all levels of the review, i.e., the Department Chair, the Peer
773 Review Committee, the Dean, and the Promotion and Tenure Committee itself. The P & T
774 Committee shall schedule this meeting within seven days after the designated deadline for the
775 candidate to respond to the Promotion and Tenure Committee's recommendation. All members of
776 the P & T Committee shall attend this meeting.
777
- 778 12. Subsequent to such a meeting, the P & T Committee shall revise or reaffirm their
779 recommendations. The P & T Committee shall then submit in writing their recommendation to
780 the Custodian of the File consistent with the RTP Timetable.
781
- 782 13. The P & T Committee shall maintain confidentiality of the file, of deliberations and
783 recommendations, pursuant to articles 15.10 and 15.11 of the CBA.
784
- 785 14. If the P & T Review has not been completed according to the RTP Timetable, the WPAF shall be
786 automatically transferred to the next level of review and the faculty unit employee shall be so
787 notified. (15.41)
788
- 789 H. Responsibilities of the President or Designee⁶
790
- 791 1. The President shall ~~establish~~ announce the RTP Timetable after recommendations, if any, by the
792 appropriate faculty committee. (14.4, 15.4)
793
- 794 2. The President shall follow the specific deadlines outlined for various personnel actions in
795 provisions 13.11, 13.12, 13.17, and 14.9 of the CBA.
796
- 797 3. The President shall consider a decision in relation to external review. Both the President and the
798 faculty member undergoing review must agree to external review.
799
- 800 4. The President shall review and consider the Performance Review recommendations and relevant
801 material and make a final decision on retention, tenure, or promotion. For probationary employees
802 holding a joint appointment in more than one Department, the President shall make a single
803 decision regarding retention, tenure, or promotion. (13.10, 13.15, 14.8, 15.42)
804
- 805 5. The President shall review and consider the Performance Review recommendations, relevant
806 material and information, and the availability of funds for promotion. (14.8)
807
- 808 6. Should the President make a personnel decision on any basis not directly related to the
809 professional qualifications, work performance, or personal attributes of the individual faculty

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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810 member in question, those reasons shall be reduced to writing and entered into the Personnel
811 Action File and shall be immediately provided the faculty member. (11.9)
812

813 7. The President shall provide a written copy of the decision with reasons to the Custodian of the
814 File, who will provide it to the faculty member undergoing review and to all levels of review.
815

816 8. The President shall maintain confidentiality of the file, of deliberations and recommendations,
817 pursuant to articles 15.10 and 15.11 of the CBA.
818

819 I. Responsibilities of the Custodian of the File 820

821 1. The Custodian of the File shall notify all Candidates, Department Chairs, and Deans one semester
822 in advance of the scheduled required reviews for retention, reappointment, tenure and/or
823 promotion. In May, the COF shall notify all faculty members and the Deans/Director of the
824 CSUSM RTP Timetable for the following academic year. The COF shall notify all Candidates
825 that the Faculty Center, the Deans, Department Chairs or equivalents and other appropriate
826 resources are available to provide advice, guidance, and direction in constructing their WPAF.
827

828 2. ~~AT the first of the fall semester, the COF shall provide all Deans involved in the process with~~
829 ~~copies of the approved University and Department/Unit/College/Library/SSP, AR RTP documents~~
830 ~~and the RTP timetable. The Deans/Director will forward the documents immediately to the~~
831 ~~reviewing parties within the college. The COF shall provide each new faculty unit employee also~~
832 ~~shall be provided~~ no later than fourteen days after the start of the fall semester written notification
833 of the evaluation criteria and procedures in effect at the time of her/his initial appointment. In
834 addition, pursuant to CBA provision 15.3, the faculty unit employee shall be advised of any
835 changes to those criteria and procedures prior to the commencement of the evaluation process.
836 (12.2)
837

838 3. The COF shall receive the initial file, and date and stamp the initial page of the file. ~~And each~~
839 ~~subsequent incoming piece of documentation.~~
840

841 4. The COF shall maintain confidentiality of the files.
842

843 5. Only when dire circumstances exist may a WPAF be turned in late. The COF will determine what
844 constitutes dire circumstances.
845

846 6. Within two working days of the end of the review for completeness, the COF shall notify the
847 Candidate that she/he needs to add required and additional documentation requested by the
848 Department Chair, review committee chairs, or administrators. If the Candidate fails to submit the
849 required materials and a reviewing party submits the materials, the COF will notify the Candidate
850 of materials that others add to the file.
851

852 7. In cases where the Department Chair wishes to submit a separate recommendation, but is
853 ineligible to make recommendations for all Candidates, the Custodian of the File will place a form
854 letter into the WPAF of the Candidates not receiving a separate recommendation that explains the
855 reason that no Department Chair letter was submitted to the file.
856

857 8. The COF shall notify the Candidate of any other additional items to be added to the file along with
858 the Candidate's right to rebut or request deletion.
859

860 9. If a Candidate scheduled for review submits no WPAF, the COF shall place a letter in a file folder
861 stating that no file was submitted. A copy of the letter will be sent to the appropriate Dean and the
862 Candidate.
863

864 10. The COF shall ensure that all who review a file sign in each time they review the file. The COF
865 shall maintain a log of action for each file.
866

867 11. If any party of the review process, including the Candidate, indicates that they want an external
868 review, the COF shall administer the process as outlined in the CBA (Article 15) and the

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

869 University Retention, Tenure, and Promotion (RTP) documents. That is, the COF shall advise the
870 President of the request and obtain the consent of the Candidate. If both are in agreement to have
871 an external review, the Custodian of the File shall administer the process.

872
873 12. The COF shall receive, process, and hold all recommendations and responses and/or rebuttals
874 during each step of the process.

875
876 13. The COF shall monitor the progress of all evaluations ensuring that proper notification is given to
877 the Candidate, each committee, and the appropriate administrators as specified in these
878 procedures. The COF shall provide copies of the evaluations and recommendations to the
879 candidates and the reviewing parties. The COF shall document each notification.

880

881 V. PRINCIPLES FOR THE REVIEW PROCESS

882

883 A. General principles

884

885 1. Faculty shall be evaluated in accordance with the Unit 3 CBA as well as standards approved for their
886 Departments or equivalent units (when such standards exist), standards approved by their
887 College/Library/School/SSP, AR, and in accordance with this policy. In case of conflict between the
888 Department and College/Library/School/SSP, AR standards, the College/Library/School/SSP, AR
889 standards shall prevail. The policies and procedures in this document are subject to Board of Trustees
890 policies, Title 5 of the California Administrative Code, California Education Code, the Unit 3 CBA, and
891 other applicable State and Federal laws.

892

893 2. Faculty members will present the relevant evidence in each category of performance. Each level of
894 review is responsible for evaluating the quality and significance of all evidence presented.

895

896 3. Everyone, at all levels of review, shall read the Candidate's file.

897

898 4. Committee members shall work together to come to consensus.

899

900 5. Retention, tenure, and promotion of a faculty member always shall be determined on the basis of
901 professional performance as defined by the CBA (20) and the University and Department/Unit/College/
902 Library/School/SSP, AR documents, demonstrated by the evidence in the WPAF. In the evaluation of
903 teaching performance, student evaluation forms shall not constitute the sole evidence of teaching quality.
904 No recommendation shall be based on a Candidate's beliefs, nor on any other basis that would constitute
905 an infringement of academic freedom.

906

907 6. The Candidate shall have access to her/his WPAF at all reasonable times except when the WPAF is
908 actually being reviewed at some level.

909

910 7. Prior to the final decision, candidates for promotion may withdraw, without prejudice, from
911 consideration at any level of review.

912

913 8. Maintaining confidentiality is an extremely serious obligation on the part of committee reviewers and
914 administrators. All parties to the review need to be able to discuss a Candidate's file openly, knowing
915 that this discussion will remain confidential. All parties to the review shall maintain confidentiality,
916 respecting their colleagues, who, by virtue of election to a personnel committee, have placed their trust
917 in each other. Deliberations and recommendations pursuant to evaluation shall be confidential (CBA,
918 15). There may be a need for the parties to the review to discuss the Candidate's file with other levels of
919 review when all levels do not agree. Also, the Candidate may request a meeting with parties to the
920 review at any level. These particular discussions fall within the circle of confidentiality and comply with
921 this policy. Otherwise, reviewing parties shall not discuss the file with anyone. Candidates who believe
922 that confidentiality has been broken may pursue relief under the CBA. (10)

923

924 9. Service in the personnel evaluation process is part of the normal and reasonable duties of tenured
925 faculty, Department Chairs, and administrative levels of review. Lobbying or harassment of parties to
926 the review in the performance of these duties constitutes unprofessional conduct. Other University

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927 policies cover harassment as well. The statement here is not intended to restrict the University in any
928 way from fulfilling the terms of other policies that cover harassment.
929

- 930 10. When a probationary faculty member does not receive tenure following the mandatory sixth year review,
931 the University's contract with the individual shall conclude at the end of the seventh year of service,
932 unless the faculty member is granted a subsequent probationary appointment by the President. (13.17)
933

934 B. Standards Applied in Different Types of Decisions 935

936 1. Review for Retention of Probationary Faculty 937

- 938 a. Whenever a probationary faculty member receives reappointment, CSUSM shall provide to the
939 Candidate a review that identifies any areas of weakness.
940
941 b. To the extent possible and appropriate, the University should provide opportunities to improve
942 performance in the identified area(s).
943

944 2. Review for Granting of Tenure 945

- 946 a. The granting of tenure requires a more rigorous application of the criteria than reappointment.
947
948 b. A Candidate for tenure at CSUSM shall show sustained high quality achievement in support of the
949 Mission of the University in the areas of teaching, research and creative activity, and service (for
950 teaching faculty and librarians) or in the primary duties as assigned in the job description,
951 continuing education/professional development, and service (for SSP,ARs).
952
953 c. Normally, tenure review will occur in the sixth year of service at CSUSM or one or two years
954 earlier in cases where the Candidate has been granted service credit. Tenure review prior to the
955 normal year of consideration requires clear evidence that the Candidate has a sustained record of
956 achievement that fulfills all criteria for tenure as specified in University, College/Library/School,
957 and Department standards.
958
959 d. An earned doctorate or an appropriate terminal or professional degree that best reflects the standard
960 practices in an individual field of study is required for tenure. In exceptional cases, individuals with
961 a truly distinguished record of achievement at the national and/or international level will qualify for
962 consideration for purposes of granting tenure. An ad hoc committee consisting of three members
963 jointly appointed by the Chair of the Promotion and Tenure Committee and the Department Chair
964 shall judge all exceptions. This ad hoc committee shall make a recommendation to the President for
965 or against awarding tenure.
966

967 3. Review for Promotion 968

- 969 a. Promotion to Associate Professor, Associate Librarian or SSP II AR requires a more rigorous
970 application of the criteria than reappointment.
971
972 b. Promotion to the rank of Professor, Librarian or SSP III AR shall require evidence of substantial
973 and sustained professional growth at the Associate rank as defined by University,
974 College/Library/School/SSP, AR, and Department standards.
975
976 c. In promotion decisions, reviewing parties shall give primary consideration to performance during
977 time in the present rank. Promotion prior to the normal year of consideration requires clear evidence
978 that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as
979 specified in University, College/Library/School, and Department standards.
980

981 4. College/Library/School/SSP,AR Standards

- 982 a. A College or equivalent unit shall develop standards for the evaluation of faculty members of that
983 College or equivalent unit.

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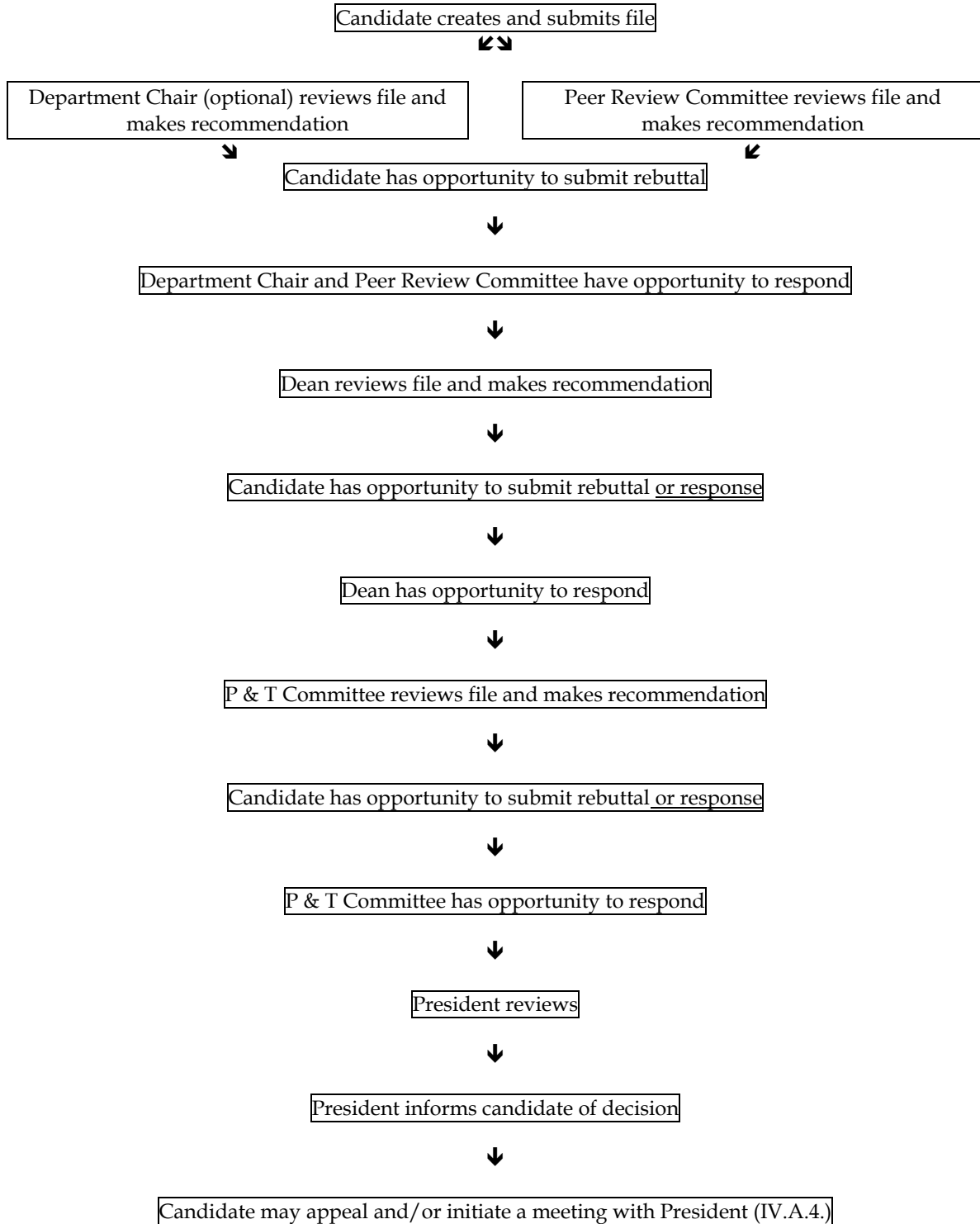
- 984
985
986
- b. College or equivalent unit standards shall not conflict with law or University policy. In no case shall College standards require lower levels of performance than those required by law or University policy.
- 987
988
- c. Written College or equivalent unit standards shall address:
- 989 1) Those activities which fall under the categories of Teaching Performance, Scholarly and
 - 990 Creative Activity, and Service;
 - 991 2) A description of standards used to judge the quality of performance;
 - 992 3) The criteria employed in making recommendations for retention, tenure, and promotion.
- 993
994
- d. These standards shall be reviewed by the Faculty Affairs Committee for compliance with
- 995 university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been verified, the
- 996 College/Library/School/SSP, AR standards will be recommended to the Academic Senate for
- 997 approval.
- 998
- 999
5. Departmental Standards
- 1000
- a. A Department or equivalent unit may develop standards for the evaluation of faculty members of
- 1001 that Department or equivalent unit.
- 1002
- b. Department or equivalent unit standards shall not conflict with law or University policy. In no
- 1003 case shall Department standards require lower levels of performance than those required by law or
- 1004 University policy.
- 1005
- c. Written Department or equivalent unit standards shall address:
- 1006 1) Those activities which fall under the categories of Teaching Performance, Scholarly and
 - 1007 Creative Activity, and Service;
 - 1008 2) A description of standards used to judge the quality of performance;
 - 1009 3) The criteria employed in making recommendations for retention, tenure, and promotion.
- 1010
1011
- d. The Dean/Director of the College/Library/School/SSP, AR shall review the Department standards
- 1012 for conformity to College/Library/School/SSP, AR standards. If the Dean finds it in conformance,
- 1013 she/he will forward the Department standards to the Faculty Affairs Committee. The Faculty
- 1014 Affairs Committee has the responsibility to verify and ensure compliance with university, CSU,
- 1015 and Unit 3 CBA policies and procedures. Once compliance has been verified, the Department
- 1016 standards will be forwarded to the Provost for review. The Provost will provide the Faculty
- 1017 Affairs Committee with a recommendation (with explanation) regarding approval of the
- 1018 Department standards. The Faculty Affairs committee will base its approval of the standards on its
- 1019 own review and the recommendation of the Provost. Once approved, Department standards will
- 1020 be forwarded to Academic Senate as an information item. Departments or equivalent units shall
- 1021 follow this approval process each time they wish to change their standards.
- 1022

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APPENDIX A

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

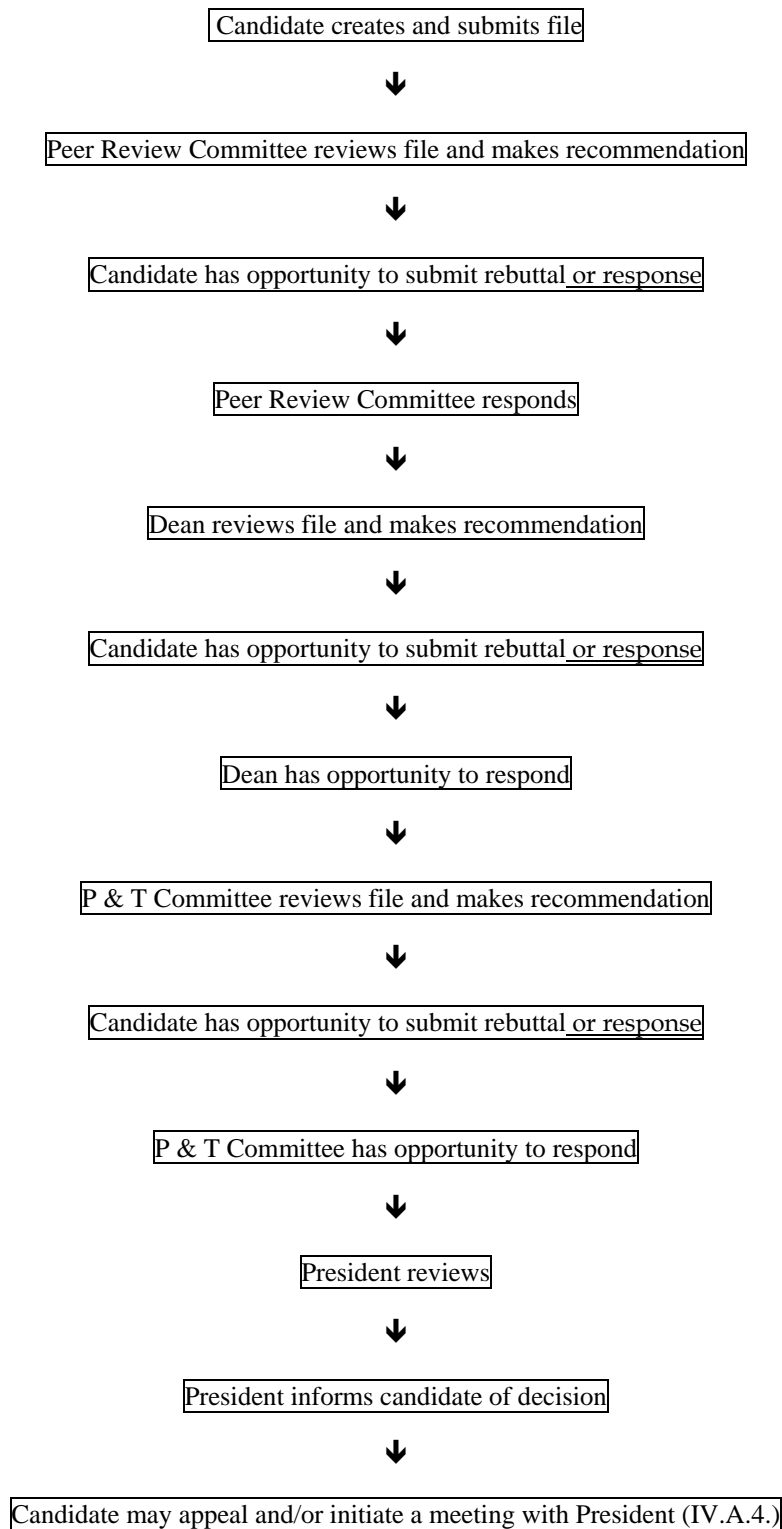
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APPENDIX B

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



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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 reviewer, 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
- A. 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.
 - B. 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 ~~the chair and~~ 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.
 - C. It is the responsibility of the Peer Review Committee to determine that criteria for selection of external reviewers have been satisfied.
 - D. 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. ~~Time for the PRC review of the WPAF.~~ 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.

FACULTY PERSONNEL PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

APPENDIX D: SAMPLE BALLOT FOR THE PRC

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

Please vote below on the appropriate action.

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

Promotion to Professor/Librarian /SSP III AR _____ 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.

MEMORANDUM

DATE: April 3, 2007

TO: Gilbert Valadez
Chair, Academic Senate

FROM: Marisol Clark-Ibáñez *MCI*
Chair, IRB

SUBJECT: Submission of Revision to Policy

On behalf of the Institutional Review Board (IRB) at CSUSM, I submit a revised draft, "Institutional Review Board for the Protection of Human Subjects Research Policy." The IRB deemed it necessary to revise our IRB in order to reflect current Federal regulations on the Protection of Human Subjects.

Our role as the IRB is to facilitate the ethical research practices for CSUSM faculty, administrators, staff, and students when they are supervising or conducting research involving human subjects. The Federal government requires our university to maintain a campus policy that accurately reflects the current Code of Federal Regulations. To this end, we have worked closely with the Federal Guidelines on the Protection of Human Subjects. The document is cited through out this policy as Code of Federal Regulations Title 45, Part 46 (CFR 46).

Gerardo González (Associate Vice President of Research), Linda Collins (Administrative Coordinator for the Office of Graduate Studies and Research), and I began to revise the policy in summer 2006. Through out the academic year, we worked on several drafts and received valuable feedback from IRB members. In addition, we have sought and received feedback from Dr. Joan Sieber, the editor of the Journal of Empirical Research on Human Research Ethics and Camille Nebeker, Director of the Division of Research Affairs at SDSU.

The revised policy meets Federal requirements and provides a general guideline for CSUSM researchers. In addition, this revised policy will provide a framework for the development of separate IRB Procedures that will adapt to the growing volume of IRB activities and applications.

I look forward to approval of the revised policy.

The California State University

HUMAN SUBJECTS PROTECTION IN RESEARCH

1 Definition: The California State University, San Marcos (CSUSM) Institutional Review
2 Board (IRB) implements a review process established within the Code of
3 Federal Regulations (CFR) to ensure that human subject research complies
4 with federal regulations, institutional policies, and ethical standards. The IRB
5 serves to protect the rights and ensure the safety of people involved as
6 participants in research. To this end, the IRB reviews research when
7 procedures are proposed to obtain information from a living individual, for
8 example, through the use of survey, interview, observation, ethnography,
9 experimentation, or the analysis of human tissue, etc. Research involving
10 human subjects must be reviewed and approved by the IRB prior to initiating
11 the study.

12 Authority: **A.** Executive Order 890 Administration of Grants & Contracts in Support of
13 Sponsored Programs; Code of Federal Regulations (CFR), Title 45, Public
14 Welfare, Part 46, Protection of Human Subjects and related documents; Office
15 of Human Research Protections, Federal-wide Assurance 00002662.

16 **B.** All relevant application forms and sample documents are available online
17 at www.csusm.edu/irb .

18 **C.** For guidance, concerned parties should consult (1) the Nuremburg Code,
19 (2) the Belmont Report, and or 3) the Office for Human Research Protections
20 (OHRP). Links to these documents are provided on the CSUSM IRB website.
21 In addition, many professional organizations have their own policies on the
22 protection of human subjects.

23 **D.** Where discrepancies occur, this policy shall be bound by the Code of
24 Federal Regulations' Protection of Human Subjects, 45 CFR Part 46
25 (<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>)

26 Scope: The purpose of this policy is to provide a comprehensive human subjects
27 policy that reflects current federal mandates for the protection of human
28 subjects and ensures ethical research practices. This policy applies to all
29 CSUSM faculty, administrators, staff, and students whenever they are
30 supervising or conducting research involving human subjects, regardless of
31 whether the subjects are members of the CSUSM community. This policy
32 applies to human subjects research conducted at other institutions by CSUSM
33 faculty, staff, and students, even if that institution has its own review process.
34 Researchers not affiliated with CSUSM, but conducting research with a
35 CSUSM population, must also be approved by this IRB.

36 All research involving human subjects or personal data must be in compliance
37 with this policy, including research classified as exempt. CSUSM accepts the
38 responsibilities of sections below only if appropriate University policies are
39 followed, including approval by the designated administrator and the IRB.
40 CSUSM cannot accept responsibility for research conducted in violation of
41 University policy and without required review and approval.

HUMAN SUBJECTS PROTECTION IN RESEARCH

42 I. DEFINITIONS (CFR 46.102)

43 A. General Definitions

- 44 1. **IRB** in this document means the California State University, San Marcos
45 Institutional Review Board established in accord with and for the purposes
46 expressed in this policy.
- 47 2. **IRB Application** refers to the Review and Consent forms that the researcher must
48 submit for approval before the research begins.
- 49 3. **IRB approval** means the determination of the IRB that the research has been
50 reviewed and may be conducted at an institution within the constraints set forth by
51 the IRB and by other institutional and federal requirements.
- 52 4. For the purposes of this IRB policy, **Research** means a systematic investigation,
53 including research development, testing and evaluation, designed to develop or
54 contribute to generalizable knowledge. Activities that meet this definition constitute
55 research for purposes of this policy, whether or not they are conducted or supported
56 under a program that is considered research for other purposes (e.g., pilot projects
57 and service programs may include research activities).
- 58 5. **Research subject to regulation**, and similar terms are intended to encompass those
59 research activities for which a federal department or agency has specific
60 responsibility for regulating as a research activity (e.g., Investigational New Drug
61 requirements administered by the Food and Drug Administration). It does not
62 include research activities which are incidentally regulated by a federal department
63 or agency solely as part of the department's or agency's broader responsibility to
64 regulate certain types of activities whether research or non-research in nature (e.g.,
65 Wage and Hour requirements administered by the Department of Labor).
- 66 6. **Human subject** means a living individual about whom an investigator (whether
67 professional or student) conducting research obtains either:
- 68 a. Data through intervention or interaction with the individual, or
69 b. Identifiable private information.
- 70 7. **Intervention** includes both physical procedures by which data are gathered (e.g.,
71 venipuncture) and manipulations of the subject or the subject's environment that are
72 performed for research purposes. **Interaction** includes communication or
73 interpersonal contact between investigator and subject.
- 74 8. **Private information** includes information about behavior that occurs in a context in
75 which an individual can reasonably expect that no observation or recording is
76 taking place, and information which has been provided for specific purposes by an
77 individual and which the individual can reasonably expect will not be made public
78 (for example, a medical record). Private information must be individually
79 identifiable (i.e., the identity of the subject is or may readily be ascertained by the

HUMAN SUBJECTS PROTECTION IN RESEARCH

- 80 investigator or associated with the information) in order for obtaining the
81 information to constitute research involving human subjects.
- 82 9. **Risk** means any physical, psychological, social, and/or economic effects that may
83 arise as a result of the specified research.
- 84 10. **Minimal risk** means that the probability and magnitude of harm or discomfort
85 anticipated in the research are not greater in and of themselves than those ordinarily
86 encountered in daily life or during the performance of routine physical or
87 psychological examinations or tests.
- 88 11. **Legally authorized representative** means an individual or judicial or other body
89 authorized under applicable law to consent on behalf of a prospective subject to the
90 subject's participation in the procedure(s) involved in the research.
- 91 12. **Certification** means the official notification by the institution to the supporting
92 federal department or other funding agency, in accordance with the requirements of
93 this policy, that a research project or activity involving human subjects has been
94 reviewed and approved by the IRB in accordance with an approved assurance.
- 95 13. **Code of Federal Regulations (CFR)** is the guiding federal document for
96 institutional policy and ethical standards related to research involving the use of
97 human subjects.
- 98 14. **University** means California State University, San Marcos (CSUSM).
- 99 15. The **CSUSM Foundation** is a self-supporting auxiliary organization, recognized by
100 the California State University and incorporated as a 501(c)(3) non-profit
101 corporation, which generates and manages additional resources and assets in
102 support of the University's existing and emerging programs.
- 103 16. **Federal Department or Agency Head** means the head of any federal department or
104 agency and any other officer or employee of any department or agency to whom
105 authority has been delegated.

B. Additional definitions related to Children

- 107 1. **Children** are persons who have not attained the legal age for consent to treatments or
108 procedures involved in the research, under the applicable law of the jurisdiction in
109 which the research will be conducted.
- 110 2. **Assent** means a child's affirmative agreement to participate in research. Failure to
111 object should not, absent affirmative agreement, be construed as assent.
- 112 3. **Permission** means the agreement of parent(s) or guardian to the participation of their
113 child or ward in research.
- 114 4. **Parent** means a child's biological or adoptive parent.

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115 5. *Guardian* means an individual who is authorized under applicable state or local law
116 to consent on behalf of a child to general medical care.

117 II. RESPONSIBILITIES AND COMPLIANCE

118 A. CSUSM acknowledges and accepts its responsibilities for protecting the rights and
119 welfare of human subjects of research covered by this policy statement. The institutional
120 official specifically charged with this responsibility is the **Associate Vice President for**
121 **Research** (AVPR). It is the responsibility of the AVPR, that office, and its staff:

122 1. To disseminate this policy and foster an atmosphere of respect for human subjects
123 across the campus community.

124 2. To maintain the CSUSM Federal-wide Assurance (FWA) and comply with the
125 requirements for documentation, reporting, and record maintenance.

126 3. To immediately report research-related problems to the appropriate funding agencies,
127 and to work with the CSUSM Foundation in communicating with funding agencies
128 with respect to necessary assurances and policies.

129 4. To provide administrative support to the IRB such as maintaining copies of all
130 protocols, recording the minutes of IRB meetings, documenting IRB decisions,
131 maintaining the IRB database, and other recordkeeping as specified in CFR 46.115.
132 Said records shall be kept for a minimum of three years.

133 5. To work with the CSUSM Foundation and the IRB Chair to monitor changes in
134 regulatory guidelines and to revise this policy accordingly.

135 B. It is the responsibility of the **IRB Chair** to convene meetings of the IRB, provide training
136 for IRB members, oversee the reviewing of protocols, monitor changes in regulatory
137 guidelines from federal departments and funding agencies, communicate IRB decisions
138 to investigators, and provide opportunities for the campus community to be educated on
139 the ethical treatment of human subjects.

140 C. It is the responsibility of **IRB members** to attend regularly convened meetings of the
141 IRB, to review protocols as assigned in a timely manner, to know the federal guidelines
142 on the protection of human subjects, to complete OHRP training before voting on or
143 reviewing protocols, to participate in any other training necessary, and to act as a
144 resource on issues pertaining to the protection of human subjects for members of the
145 campus community.

146 D. It is the responsibility of **heads of departments**, colleges, programs, units, etc. to bring
147 the existence of this policy to the attention of their faculty, staff, and students.

148 E. Responsibility for the establishment and maintenance of acceptable ethical practice in
149 research always remains with **the individual investigator**. The investigator is also
150 responsible for obtaining training in the protection of human subjects as required by the
151 CSUSM IRB and by any funding agency.

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- 152 F. It is the responsibility of **Supervising Faculty** to help student investigators create a
153 viable and sound IRB application. Supervising Faculty must provide continued support to
154 the student to ensure that the student's research is carried out in an ethical manner. The
155 supervising faculty is responsible for assuring that human subjects are fully protected.
- 156 G. All research conducted by **Student Investigators** must have a faculty supervisor.
- 157 H. Additional Compliance Responsibilities
- 158 1. Compliance with this policy requires compliance with pertinent federal laws or
159 regulations that provide additional protections for human subjects. (CFR 46.101e)
 - 160 2. This policy does not affect any state or local laws or regulations which may otherwise
161 be applicable and which provide additional protections for human subjects. (CFR
162 46.101f)
 - 163 3. This policy does not affect any foreign laws or regulations which may otherwise be
164 applicable and which provide additional protections to human subjects of research.
165 (CFR 46.101g)
 - 166 4. When research covered by this policy takes place in foreign countries, procedures
167 normally followed in the foreign countries to protect human subjects may differ from
168 those set forth in this policy. In these circumstances, the more protective procedures
169 (university or foreign institution or agency) must be followed. (CFR 46.101h)
 - 170 5. Federal funds administered by a federal department or agency may not be expended
171 for research involving human subjects unless the requirements of this policy and the
172 granting agency have been satisfied. (CFR 46.122)

173 III. IRB COMPOSITION (CFR 46.107)

- 174 A. The IRB shall be composed as follows:
- 175 1. The IRB shall have at least five faculty members with varying backgrounds to
176 promote complete and adequate review of research activities commonly conducted by
177 the institution as specified below in Sections III.B through III.G. Members shall be
178 recommended by the Nominations, Elections, Appointments, and Constitution
179 Committee (NEAC) of the Academic Senate or, when needed to maintain compliance
180 with federal regulations, appointed by the AVPR.
 - 181 2. In addition there shall be:
 - 182 a. one student representative recommended by Associated Students, Inc. (ASI);
 - 183 b. one representative of the CSUSM Foundation,
 - 184 c. at least one member who is not otherwise affiliated with the institution and who is
185 not part of the immediate family of a person who is affiliated with the institution

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186 (CFR 45.107.8) recommended by the Chair of the IRB and approved by majority
187 vote of the committee.

188 3. The AVPR or designate shall act as the Institutional Official and the Human
189 Protections Administrator. The AVPR is the only non-voting member.

190 **B.** The IRB shall be sufficiently qualified through the experience and expertise of its
191 members, and the diversity of the members (including consideration of race, gender, and
192 cultural backgrounds and sensitivity to such issues as community attitudes) to promote
193 respect for its advice and counsel in safeguarding the rights and welfare of human
194 subjects.

195 **C.** In addition to possessing the professional competence necessary to review specific
196 research activities, the IRB shall be able to ascertain the acceptability of proposed
197 research in terms of institutional commitments and regulations, applicable law, and
198 standards of professional conduct and practice. The IRB shall therefore include persons
199 knowledgeable in these areas.

200 **D.** If the IRB regularly reviews research that involves a vulnerable category of subjects, such
201 as children, prisoners, pregnant women, or persons with disabilities, consideration shall
202 be given to the inclusion of one or more individuals who are knowledgeable about and
203 experienced in working with these subjects.

204 **E.** The IRB shall make every effort to have a gender-balanced committee. Every
205 nondiscriminatory effort will be made to ensure that no IRB consists entirely of men or
206 entirely of women, including the institution's consideration of qualified persons of both
207 sexes, so long as no selection is made to the IRB on the basis of gender. (CFR 46.107b)

208 **F.** The IRB may not consist entirely of members of one profession.

209 **G.** The IRB shall include at least one member whose primary concerns are in scientific areas
210 and at least one member whose primary concerns are in nonscientific areas. (CFR
211 45.107)

212 **H.** An IRB member may not participate in the IRB's initial or continuing review of any
213 project in which the member has a conflicting interest, except to provide information
214 requested by the IRB.

215 **I.** The IRB may, using discretion, invite individuals with competence in special areas to
216 assist in the review of issues that require expertise beyond or in addition to that available
217 on the IRB. These individuals shall not vote with the IRB.

218 **IV. FUNCTIONS AND OPERATIONS OF THE IRB**

219 In order to fulfill the requirements of this policy the IRB shall:

220 **A.** Conduct "Full Reviews" at convened meetings at which a quorum of the voting members
221 of the IRB are present, including at least one member whose primary concerns are in

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222 nonscientific areas. In order for the research to be approved, it shall receive the approval
223 of a majority the quorum. (CFR 46.108b)

224 **B.** Review and have authority to approve, require modifications in (to secure approval), or
225 disapprove all research activities covered by this policy. (CFR 46.109a)

226 **C.** Require that information given to subjects as part of informed consent is in accordance
227 with the Informed Consent section of this document (Section VII). The IRB may require
228 that information, in addition to that specifically mentioned in the Informed Consent
229 section, be given to the subjects when in the IRB's judgment the information would
230 meaningfully add to the protection of the rights and welfare of subjects. (CFR 46.109b)

231 **D.** Require documentation of informed consent or waive documentation in accordance with
232 Sections VII.D and VII.E. (CFR 46.109c)

233 **E.** Notify investigators and the institution in writing of its decision to approve or disapprove
234 the proposed research activity or of modifications required to secure IRB approval of the
235 research activity. If the IRB decides to disapprove a research activity, it shall include in
236 its written notification a statement of the reasons for its decision and give the investigator
237 an opportunity to respond in person or in writing. (CFR 46.109d)

238 **F.** Conduct continuing review of research covered by this policy at intervals appropriate to
239 the degree of risk, but not less than once per year, and shall have authority to observe or
240 have a third party observe the consent process and the research.

241 **G.** Under an expedited review procedure, have the review carried out by the IRB
242 chairperson or by one or more experienced reviewers designated by the chairperson from
243 among members of the IRB. In reviewing the research, the reviewers may exercise all of
244 the authorities of the IRB except that the reviewers may not disapprove the research. A
245 research activity may be disapproved only after review and majority vote at a convened
246 meeting of the IRB.

247 **H.** Keeping members advised of research proposals which have been approved under the
248 expedited procedure.

249 **I.** Have Exempt Applications reviewed administratively and approved by the IRB Chair.

250 **J.** Conduct reviews of submissions on Minor Modifications of Approved Research
251 according to the same methodology used for the original review. Reviews of Minor
252 Modifications will not extend the approval period.

253 **K.** Forward any appeals to the IRB Chair for resolution. The IRB Chair may consult with
254 the AVPR in responding to such appeals.

255 **L.** The IRB does not have the authority to approve research retrospectively.

256 **V. IRB APPROVAL OF RESEARCH**

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257 A. Criteria For Approval (CFR 46.111)

258 In order to approve research covered by this policy the IRB shall determine that **all** of the
259 following federal requirements are satisfied:

260 1. Risks to subjects are minimized:

261 a. By using procedures which are consistent with sound research design and which
262 do not unnecessarily expose subjects to risk, and

263 b. whenever appropriate, by using procedures already being performed on the
264 subjects for diagnostic or treatment purposes.

265 2. Risks to subjects are reasonable in relation to anticipated benefits, if any, to subjects,
266 and the importance of the knowledge that may reasonably be expected to result. In
267 evaluating risks and benefits, the IRB should consider only those risks and benefits
268 that may result from the research (as distinguished from risks and benefits of
269 therapies subjects would receive even if not participating in the research). The IRB
270 should not consider possible long-range effects of applying knowledge gained in the
271 research (e.g., the possible effects of the research on public policy) as among those
272 research risks that fall within the purview of its responsibility.

273 3. Selection of subjects is equitable. In making this assessment the IRB should take into
274 account the purposes of the research and the setting in which the research will be
275 conducted and should be particularly cognizant of the special problems of research
276 involving vulnerable populations, such as children, prisoners, pregnant women,
277 mentally disabled persons, or economically or educationally disadvantaged persons.

278 4. Informed consent will be sought from each prospective subject or the subject's legally
279 authorized representative, in accordance with, and to the extent required. (See
280 Informed Consent, Section VII).

281 5. Informed consent will be appropriately documented, in accordance with, and to the
282 extent required. (See Documentation of Informed Consent, Section VII.D).

283 6. When appropriate, the research plan makes adequate provision for monitoring the
284 data collected to ensure the safety of subjects.

285 7. When needed, there are adequate provisions to protect the privacy of subjects and to
286 maintain the confidentiality of data.

287 8. When subjects are minors, adequate provisions are made to secure child assent and
288 parental consent as required in Section VII.I.C.

289 When some or all of the subjects are likely to be vulnerable to coercion or undue
290 influence, such as students, employees, children, prisoners, pregnant women, persons
291 with disabilities, or persons who are economically or educationally disadvantaged,
292 additional safeguards must be included in the study to protect the rights and welfare of

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293 these subjects. See Additional Protections (Section VII.I) for requirement on research
294 involving certain populations.

295 **B. Review by Institution (CFR 46.113)**

296 Research covered by this policy that has been approved by the IRB may be subject to
297 further appropriate review and approval or disapproval by officials of the institution.
298 However, those officials may not approve the research if it has not been approved by the
299 IRB.

300 **C. Suspension or Termination of IRB Approval of Research (CFR 46.113)**

301 The IRB shall have authority to develop and implement a written procedure for
302 suspending or terminating approval of research that is not being conducted in accordance
303 with the IRB's requirements or that has been associated with unexpected serious harm to
304 subjects. Any suspension or termination of approval shall include a statement of the
305 reasons for the IRB's action and shall be reported promptly to the investigator,
306 appropriate institutional officials, and the funding department or agency as appropriate.

307 **D. Cooperative Research (CFR 46.114)**

308 Cooperative research projects are those projects covered by this policy which involve
309 more than one institution. In the conduct of cooperative research projects, each
310 institution is responsible for safeguarding the rights and welfare of human subjects and
311 for complying with this policy. With approval, as appropriate, of the funding agency, an
312 institution participating in a cooperative project may enter into a joint review
313 arrangement, rely upon the review of another qualified IRB, or make similar
314 arrangements for avoiding duplication of effort.

315 **VI. RESEARCH NOT REQUIRING IRB REVIEW**

316 **A. Research Conducted as a Normal Part of a CSUSM Course**

317 Research Training courses and classroom curricula projects in which students conduct
318 research involving human subjects do not usually require review. This includes student
319 feedback (evaluation) surveys, most classroom assessment techniques, and most exercises
320 under the direct supervision of the instructor. Research training courses and classroom
321 curriculum projects in which students conduct research involving human subjects need not be
322 reviewed by the IRB if all four of the following conditions are satisfied:

- 323 1. the project(s) involves no more than minimal risk to subjects; and
- 324 2. the project(s) do not involve vulnerable populations; and
- 325 3. the results will not be presented, published or distributed outside the classroom and/or
326 institutional setting; and
- 327 4. where subjects remain anonymous.

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328 Activities that are part of coursework but do not meet these conditions require a CSUSM
329 Course, Exempt, or Expedited Review, as appropriate.

330 **B. Program Evaluation, Needs Assessment and Quality Control**

331 Studies conducted for the purposes of program assessment, needs assessment, or quality
332 control in which findings are solely intended for use in internal program planning and
333 development and are not designed to contribute to generalized knowledge or for publication
334 and presentation are not subject to IRB review.

335 **VII. CATEGORIES OF REVIEW CONDUCTED BY THE IRB**

336 The following sections describe the categories of review, as stipulated by federal
337 guidelines. Special considerations are required for prisoners, pregnant women and
338 fetuses, children and wards of state (see Section VII.I.)

339 **A. Exempt Review (CFR 46.101b)**

340 Unless otherwise required by federal department or agency heads, research activities in
341 which the only involvement of human subjects will be in one or more of the following
342 categories are exempt from this policy. A "Request for Exempt Status" must be
343 submitted for review by the IRB Administrator and approved by the IRB Chair.

344 The following are categories of Exempt research:

345 1. Research conducted in established or commonly accepted educational settings,
346 involving normal educational practices, such as (i) research on regular and special
347 education instructional strategies, or (ii) research on the effectiveness of or the
348 comparison among instructional techniques, curricula, or classroom management
349 methods.

350 2. Research involving the use of educational tests (cognitive, diagnostic, aptitude,
351 achievement), survey procedures, interview procedures, or observation of public
352 behavior only if:

353 a. research is completely anonymous (no links or identifiers to subjects) AND

354 b. there is NO risk of disclosure of the human subjects' responses outside the
355 research which could reasonably place the subjects at risk of criminal or civil
356 liability or be damaging to the subjects' financial standing, employability, or
357 reputation

358 OR

359 c. the human subjects are appointed public officials or candidates for public office

360 OR

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361 d. federal statute(s) require(s) without exception that the confidentiality of the
362 personally identifiable information will be maintained throughout the research
363 and thereafter.

364 3. Research training courses and classroom curriculum projects in which students
365 conduct research involving human subjects:

366 a. That involve no more than minimal risk to subjects,

367 b. where subjects remain anonymous,

368 c. and where results may be published, presented, and/or distributed outside the
369 classroom or institutional setting.

370 A CSUSM class form may be used in lieu of individual exempt forms for each
371 student as long as any presentations are specifically labeled as class projects.

372 4. Research and demonstration projects which are conducted by or subject to the
373 approval of the federal department or agency heads, and which are designed to study,
374 evaluate, or otherwise examine public benefit or service programs, procedures for
375 obtaining benefits or services under those programs, possible changes in or
376 alternatives to those programs or procedures, or possible changes in methods or levels
377 of payment for benefits or services under those programs.

378 5. Research involving the collection or study of existing data, documents, records,
379 pathological specimens, or diagnostic specimens, if these sources are publicly
380 available or if the information is recorded by the investigator in such a manner that
381 subjects cannot be identified, directly or through identifiers linked to the subjects.

382 6. Taste and food quality evaluation and consumer acceptance studies if:

383 a. wholesome foods without additives are consumed,

384 b. if a food is consumed that contains a food ingredient at or below the level and for
385 a use found to be safe, or

386 b. agricultural chemical or environmental contaminant at or below the level found to
387 be safe, by the Food and Drug Administration or approved by the Environmental
388 Protection Agency or the Food Safety and Inspection Service of the U.S.
389 Department of Agriculture.

390 There are several exceptions to the above policy on exemption.

391 1. Prisoners: The above exemptions do not apply to research involving prisoners.

392 2. Children: The exemption in Section VIII.A.2 does not apply to research with children
393 where the researcher either a) participates in activities being observed, or b) conducts
394 surveys, interviews or otherwise engages in direct interaction with children except for
395 educational tests and normal educational practices which remain exempt.

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396 **B. Expedited Review (CFR 46.110)**

397 Expedited review procedures for certain kinds of research involving no more than
398 minimal risk, and for minor changes in approved research.

399 Use the following criteria to determine an expedited review:

- 400 1. Research appearing on the list of specific criteria below and found by the reviewer(s)
401 to involve no more than minimal risk.
 - 402 2. Minor changes in previously approved research during the period (of one year or less)
403 for which approval is authorized.
 - 404 3. Continuing Reviews of research if:
 - 405 a. previously approved under the expedited method and no adverse affects have been
406 identified.
 - 407 b. previously approved by the full (convened) committee only where items 8 or 9 in
408 the specific list of categories below apply.
 - 409 4. Research training courses and classroom curriculum projects in which students
410 conduct research involving human subjects:
 - 411 a. That involve no more than minimal risk to subjects,
 - 412 b. where subject may not be anonymous but where confidentiality can be assured,
413 and
 - 414 c. where results may be published, presented, and/or distributed outside the
415 classroom or institutional setting.
- 416 A CSUSM Course & Instructional IRB Review form may be used in lieu of
417 individual exempt forms for each student as long as any presentations are specifically
418 labeled as class projects.

419 Specific Categories for Expedited Reviews, (63FR60364-60367, Nov. 9, 1998):

- 420 1. Research, if not exempt, on individual or group characteristics or behavior (including, but
421 not limited to, research on perception, cognition, motivation, identity, language,
422 communication, cultural beliefs or practices, and social behavior) or research employing
423 survey, interview, oral history, focus group, program evaluation, human factors
424 evaluation, or quality assurance methodologies.
- 425 2. Collection of data from voice, video, digital, or image recordings made for research
426 purposes.
- 427 3. Collection of blood samples by finger stick, heel stick, ear stick, or venipuncture as
428 follows:

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- 429 a. from healthy, non-pregnant adults who weigh at least 110 pounds. For these
430 subjects, the amounts drawn may not exceed 550 ml in an 8 week period and
431 collection may not occur more frequently than 2 times per week; or
- 432 b. from other adults and children, considering the age, weight, and health of the
433 subjects, the collection procedure, the amount of blood to be collected, and the
434 frequency with which it will be collected. For these subjects, the amount drawn may
435 not exceed the lesser of 50 ml or 3 ml per kg in an 8 week period and collection
436 may not occur more frequently than 2 times per week.
- 437 4. Prospective collection of biological specimens for research purposes by noninvasive
438 means.
- 439 5. Collection of data through noninvasive procedures (not involving general anesthesia or
440 sedation) routinely employed in clinical practice, excluding procedures involving x-rays
441 or microwaves. Where medical devices are employed, they must be cleared/approved for
442 marketing. (Studies intended to evaluate the safety and effectiveness of the medical
443 device are not generally eligible for expedited review, including studies of cleared
444 medical devices for new indications.)
- 445 6. Research involving materials (data, documents, records, or specimens) that have been
446 collected, or will be collected solely for nonresearch purposes (such as medical treatment
447 or diagnosis). (NOTE: Some research in this category may be exempt from the HHS
448 regulations for the protection of human subjects. (45 CFR 46.101(b)(4)). This listing
449 refers only to research that is not exempt.)
- 450 7. Clinical studies of drugs and medical devices only when condition (a) or (b) is met.
- 451 a. Research on drugs for which an investigational new drug application (21 CFR Part
452 312) is not required. (Note: Research on marketed drugs that significantly increases
453 the risks or decreases the acceptability of the risks associated with the use of the
454 product is not eligible for expedited review.)
- 455 b. Research on medical devices for which (i) an investigational device exemption
456 application (21 CFR Part 812) is not required; or (ii) the medical device is
457 cleared/approved for marketing and the medical device is being used in accordance
458 with its cleared/approved labeling.
- 459 8. Continuing review of research previously approved by the convened IRB as follows:
- 460 a. where the research is permanently closed to the enrollment of new subjects; all
461 subjects have completed all research-related interventions; and the research remains
462 active only for long-term follow-up of subjects; or
- 463 b. where no subjects have been enrolled and no additional risks have been identified; or
- 464 c. where the remaining research activities are limited to data analysis.

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465 9. Continuing review of research, not conducted under an investigational new drug
466 application or investigational device exemption where categories two (2) through eight
467 (8) do not apply but the IRB has determined and documented at a convened meeting that
468 the research involves no greater than minimal risk and no additional risks have been
469 identified.

470 C. Full Review

471 If the research is not eligible for an exempt or expedited review, the protocol must be
472 reviewed by the convened IRB meeting as a full review.

473 Any of the following criteria may determine a full review:

- 474 1. Research subjects at more than minimal risk.
- 475 2. Research involves subjects who are vulnerable to coercion or undue influence.
- 476 3. Confidentiality of a subject's responses cannot be assured.
- 477 4. Research involves the collection or recording of behavior which, if known outside the
478 research, could reasonably place the subjects at risk of criminal or civil liability, be
479 stigmatizing, or be damaging to the subjects' financial standing, employability,
480 insurability, or reputation.
- 481 5. Research involves the collection of information regarding sensitive aspects of the
482 subjects' behavior (e.g., drug or alcohol use, illegal conduct, sexual behavior) and the
483 confidentiality of a participant's responses cannot be assured (e.g., audio or videotaped
484 interviews, or a "key" which would allow someone to match a set of responses with a
485 particular participant.)
- 486 6. Research involves prisoners, fetuses, pregnant women, the seriously ill, or adults who are
487 mentally or cognitively compromised as subjects.
- 488 7. Research with children where research activity is outside of normal daily activities.
- 489 8. Research training courses or student research that may involve more than minimal risk to
490 subjects or involve vulnerable populations.

491 D. Additional Considerations for Research Under Review

- 492 1. Applications and Proposals for Grants or Contracts Lacking Definite Plans for
493 Involvement of Human Subjects (CFR 46.118).

494 Certain types of applications for grants, cooperative agreements, or contracts are
495 submitted to funding agencies with the knowledge that subjects may be involved within
496 the period of support, but definite plans would not normally be set forth in the application
497 or proposal. However, except for research exempted or waived under CFR 46.101, no
498 human subjects may be involved in any project supported by these awards until the

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499 project has been reviewed and approved by the IRB, as provided in this policy, and
500 certification submitted when required, by the institution, to the funding agency.

501 2. Research is Undertaken Without the Intention of Involving Human Subjects (CFR
502 46.119).

503 In the event research is undertaken without the intention of involving human subjects, but
504 it is later proposed to involve human subjects in the research, the research shall first be
505 reviewed and approved by the IRB, as provided in this policy. As appropriate, a
506 certification will be submitted, by the institution, to the funding agency, and final
507 approval given to the proposed change by the funding agency.

508 3. Consultants

509 The IRB is required to review all research conducted by or under the direction of an agent
510 of the institution unless the investigator is hired on his/her own time, does not utilize the
511 institution's resources, and will not reference the institution in documents and
512 publications associated with any reported outcomes. Projects are not subject to IRB
513 review when a CSUSM employee consults on research but does not receive or possess
514 identifiable or private information about the persons participating in the study.

515 4. Foreign Country

516 Research conducted in a foreign country by or under the direction of an investigator
517 affiliated with CSUSM must be approved by the IRB and adhere to the university,
518 federal, and state guidelines.

519 5. Pilot Studies

520 Pilot studies that meet the definition of research that involves human subjects must
521 receive IRB review and approval prior to initiation. Pilot or feasibility studies may
522 include as little as one person must adhere to the same federal, state, and institutional
523 requirements to protect human subjects in research regardless of the number of subjects
524 involved.

525 6. Classroom Assignments & Student Projects

526 When classroom assignments and student projects are for the purposes of training and not
527 for published research or generalized knowledge, IRB may not be necessary. The course
528 instructor is responsible for including information about the ethical research practices and
529 providing direct supervision of each project. Projects conducted for this purpose should
530 not exceed minimal risk, target special populations, and/or include sensitive subject
531 matter.

532 a. If a classroom project is presented at a conference, it must clearly indicate that it is a
533 classroom project.

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- 534 b. If the goal is publication and additional data will be gathered beyond the classroom
535 project/time period, the student must file an appropriate IRB application.

536 VII. INFORMED CONSENT

537 Regardless of research category, as presented above, every investigator involving a
538 human being as a subject in research covered by this policy must obtain the legally
539 effective informed consent of the subject or the subject's legally authorized
540 representative. Exceptions to informed consent are when investigators apply for informed
541 consent waivers or this requirement is modified by the IRB on a case-by-case basis.

542 A. General Requirements for Informed Consent

543 An investigator shall seek consent only under circumstances that:

- 544 1. Provide the prospective subject or the representative sufficient opportunity to
545 consider whether or not to participate and that minimize the possibility of coercion or
546 undue influence.
- 547 2. Provide information given to the subject or the representative at a language level
548 understandable to the subject or the representative and/or provide appropriate native
549 language translation, should the subjects be non-English speakers and/or prefer to
550 communicate in non-English language or dialect.
- 551 3. May not include any exculpatory language whether written or oral through which the
552 subject or the representative is made to waive or appear to waive any of the subject's
553 legal rights, or releases or appears to release the investigator, the sponsor, the
554 institution or its agents from liability for negligence.

555 The informed consent requirements in this policy are not intended to preempt any
556 applicable federal, state, or local laws which require additional information to be
557 disclosed in order for informed consent to be legally effective.

558 Nothing in this policy is intended to limit the authority of a physician to provide
559 emergency medical care, to the extent the physician is permitted to do so under
560 applicable federal, state, or local law.

561

562 B. Basic elements of informed consent (CFR 46.16)

563 Except when waived or modified by the IRB, informed consent must provide the
564 following information to each subject:

- 565 1. A statement that the study involves research, an explanation of the purposes of the
566 research and the expected duration of the subject's participation, a description of the
567 procedures to be followed, and identification of any procedures which are
568 experimental;

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- 569 2. A description of any reasonably foreseeable risks or discomforts to the subject;
- 570 3. A description of any benefits to the subject or to others which may reasonably be
571 expected from the research;
- 572 4. A disclosure of appropriate alternative procedures or courses of treatment, if any, that
573 might be advantageous to the subject;
- 574 5. A statement describing the extent, if any, to which confidentiality of records
575 identifying the subject will be maintained;
- 576 6. For research involving more than minimal risk, an explanation as to whether any
577 compensation and an explanation as to whether any medical treatments are available
578 if injury occurs and, if so, what they consist of, or where further information may be
579 obtained;
- 580 7. An explanation of whom to contact for answers to pertinent questions about the
581 research and research subjects' rights, and whom to contact in the event of a research-
582 related injury to the subject; and
- 583 8. A statement that participation is voluntary, refusal to participate will involve no
584 penalty or loss of benefits to which the subject is otherwise entitled, and the subject
585 may discontinue participation at any time without penalty or loss of benefits to which
586 the subject is otherwise entitled.

587 **C. Additional elements of informed consent**

588 When appropriate, one or more of the following elements of information shall also be
589 provided to each subject:

- 590 1. A statement that the particular treatment or procedure may involve risks to the subject
591 (or to the embryo or fetus, if the subject is or may become pregnant) which are
592 currently unforeseeable.
- 593 2. Anticipated circumstances under which the subject's participation may be terminated
594 by the investigator without regard to the subject's consent.
- 595 3. Any additional costs to the subject that may result from participation in the research.
- 596 4. The consequences of a subject's decision to withdraw from the research and
597 procedures for orderly termination of participation by the subject.
- 598 5. A statement that significant new findings developed during the course of the research
599 which may relate to the subject's willingness to continue participation will be
600 provided to the subject.
- 601 6. The approximate number of subjects involved in the study.

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602 7. If involving voice recordings or images, subject should be informed about how the
603 voice recording or images may be used within the consent document. If the
604 investigator would like permission to present the recordings for the purpose other
605 than the specific research for which the subject is consenting, an addendum to the
606 consent is used to obtain this permission.

607 **D. Modification or Waiver of Informed Consent**

608 1. The IRB may approve a consent procedure which does not include, or which alters,
609 some or all of the elements of informed consent set forth above, or waive the
610 requirement to obtain informed consent provided the IRB finds and documents that:

611 a. The research or demonstration project is to be conducted by or subject to the
612 approval of state or local government officials and is designed to study, evaluate,
613 or otherwise examine:

614 (i) public benefit or service programs;

615 (ii) procedures for obtaining benefits or services under those programs;

616 (iii) possible changes in or alternatives to those programs or procedures; or

617 (iv) possible changes in methods or levels of payment for benefits or services
618 under those programs.

619 b. The research could not practicably be carried out without the waiver or alteration.

620 2. The IRB may approve a consent procedure which does not include, or which alters,
621 some or all of the elements of informed consent set forth in this section, or waive the
622 requirements to obtain informed consent provided the IRB finds and documents that
623 all conditions below are satisfied:

624 a. The research involves no more than minimal risk to the subjects;

625 b. The waiver or alteration will not adversely affect the rights and welfare of the
626 subjects;

627 c. The research could not practicably be carried out without the waiver or alteration;
628 and,

629 d. Whenever appropriate, the subjects will be provided with additional pertinent
630 information after participation.

631 **E. Documentation of Informed Consent**

632 1. Except when waived or modified, informed consent shall be documented by the use
633 of a written consent form approved by the IRB and signed by the subject or the
634 subject's legally authorized representative. A copy shall be given to the person
635 signing the form. The consent form may be either of the following:

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636 a. A written consent document that embodies the elements of informed consent
637 required by CFR 46.116. This form may be read to the subject or the subject's
638 legally authorized representative, but in any event, the investigator shall give
639 either the subject or the representative adequate opportunity to read it before it is
640 signed;

641 OR

642 b. A short form written consent document stating that the elements of informed
643 consent required by CFR 46.116 have been presented orally to the subject or the
644 subject's legally authorized representative. When this method is used, there shall
645 be a witness to the oral presentation. Also, the IRB shall approve a written
646 summary of what is to be said to the subject or the representative. Only the short
647 form itself is to be signed by the subject or the representative. However, the
648 witness shall sign both the short form and a copy of the summary, and the person
649 actually obtaining consent shall sign a copy of the summary. A copy of the
650 summary shall be given to the subject or the representative, in addition to a copy
651 of the short form.

652

653 2. The IRB may waive the requirement for the investigator to obtain a signed consent
654 form for some or all subjects if it finds either:

655 a. That the only record linking the subject and the research would be the consent
656 document and the principal risk would be potential harm resulting from a breach
657 of confidentiality. Each subject will be asked whether the subject wants
658 documentation linking the subject with the research, and the subject's wishes will
659 govern; or

660 b. That the research presents no more than minimal risk of harm to subjects and
661 involves no procedures for which written consent is normally required outside of
662 the research context.

663 In cases in which the documentation requirement is waived, the IRB may require the
664 investigator to provide subjects with a written statement regarding the research.

665 IX. ADDITIONAL PROTECTIONS FOR RESEARCH SUBJECTS

666 A. Pregnant women, human fetuses and neonates involved in research

667 All researchers using this population must comply with the additional protections for this
668 population specified in 45 CFR 46 Subpart B (66FR56788, Nov. 13, 2001) unless
669 otherwise noted.

670 B. Biomedical and behavioral research involving prisoners as subjects

HUMAN SUBJECTS PROTECTION IN RESEARCH

671 All researchers using this population must comply with the additional protections for this
672 population as specified in 45 CFR 46 Subpart C. (43 FR 53655, Nov. 16, 1978) unless
673 otherwise noted.

674 **C. Additional protections for children involved as subject in research**

675 This subpart applies to all research involving children as subjects, conducted or supported
676 by the Department of Health and Human Services, as specified in 45 CFR 46.401 Subpart
677 D (48 FR 9818, March 8, 1983) unless otherwise noted.

678 Unless exempt, this section clarifies and expands protections for children in research
679 involving survey, interview procedures, or participant-observations. Note: This does not
680 apply to exempt research -- when research involves observation of children's public
681 behavior and/or when the investigator(s) do(es) not participate in the activities being
682 observed.

683 **1. IRB duties regarding research with children**

684 In addition to other responsibilities assigned to IRB, the IRB shall review and approve
685 research that satisfies the conditions of **all** applicable sections:

686 a. **No Greater than Minimal Risk.** The IRB will approve research in which no greater
687 than minimal risk to children is presented, only if the IRB finds that adequate
688 provisions are made for soliciting the assent of the children and the permission of
689 their parents or guardians as specified in Informed Consent (Section VII.). (CFR
690 46.404)

691 b. **Research involving greater than minimal risk but presenting the prospect of direct**
692 **benefit to the individual subjects.** The IRB will approve research in which it finds
693 that more than minimal risk to children is presented by an intervention or procedure
694 that holds out the prospect of direct benefit for the individual subject, or by a
695 monitoring procedure that is likely to contribute to the subject's well-being, only if
696 the IRB finds that: (CFR 46.405)

697 (i) The risk is justified by the anticipated benefit to the subjects;

698 (ii) The relation of the anticipated benefit to the risk is at least as favorable to the
699 subjects as that presented by available alternative approaches; and

700 (iii) Adequate provisions are made for soliciting the assent of the children and
701 permission of their parents or guardians, as set forth in the requirements for
702 Informed Consent (Section VII).

703 c. **Research involving greater than minimal risk and no prospect of direct benefit to**
704 **individual subjects, but likely to yield generalizable knowledge about the subject's**
705 **disorder or condition.** The IRB will approve research in which it finds that more than
706 minimal risk to children is presented by an intervention or procedure that does not
707 hold out the prospect of direct benefit for the individual subject, or by a monitoring

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708 procedure which is not likely to contribute to the well-being of the subject, only if the
709 IRB finds that: (CFR 46.406)

710 (i) The risk represents a minor increase over minimal risk;

711 (ii) The intervention or procedure presents experiences to subjects that are
712 reasonably commensurate with those inherent in their actual or expected medical,
713 dental, psychological, social, or educational situations;

714 (iii) The intervention or procedure is likely to yield generalizable knowledge
715 about the subjects' disorder or condition which is of vital importance for the
716 understanding or amelioration of the subjects' disorder or condition; and

717 (iv) Adequate provisions are made for soliciting assent of the children and
718 permission of their parents or guardians, as set forth in the requirements for
719 Informed Consent (Section VII).

720 2. Requirements for permission by parents or guardians and for assent by children.

721 a. In addition to the determinations required under other applicable sections of this
722 subpart, the IRB shall determine that adequate provisions are made for soliciting the
723 assent of the children, when in the judgment of the IRB the children are capable of
724 providing assent. In determining whether children are capable of assenting, the IRB
725 shall take into account the ages, maturity, and psychological state of the children
726 involved. This judgment may be made for all children to be involved in research
727 under a particular protocol, or for each child, as the IRB deems appropriate. If the
728 IRB determines that the capability of some or all of the children is so limited that they
729 cannot reasonably be consulted or that the intervention or procedure involved in the
730 research holds out a prospect of direct benefit that is important to the health or well-
731 being of the children and is available only in the context of the research, the assent of
732 the children is not a necessary condition for proceeding with the research. Even where
733 the IRB determines that the subjects are capable of assenting, the IRB may still waive
734 the assent requirement under circumstances in which consent may be waived in
735 accord with the requirements for Informed Consent (Section VII).

736 b. In addition to the determinations required under other applicable sections of this
737 subpart, the IRB shall determine, in accordance with and to the extent that consent is
738 required by the requirements for Informed Consent, that adequate provisions are
739 made for soliciting the permission of each child's parents or guardian. Where parental
740 permission is to be obtained, the IRB may find that the permission of one parent is to
741 be deemed sufficient for research to be conducted under Section VII.C.1.a or
742 VII.C.1.b above. Where research is covered by VII.C.1.c and permission is to be
743 obtained from parents, both parents must give their permission unless one parent is
744 deceased, unknown, legally incompetent, or not reasonably available, or when only
745 one parent has legal responsibility for the care and custody of the child.

746 c. In addition to the provisions for waiver contained in Waiver of Consent (Section VII.
747 E), if the IRB determines that a research protocol is designed for conditions or for a

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748 subject population for which parental or guardian permission is not a reasonable
749 requirement to protect the subjects (e.g., neglected or abused children), it may waive
750 the consent requirements in this section provided:

751 (i) an appropriate mechanism for protecting the children who will participate as
752 subjects in the research is substituted and

753 (ii) that the waiver is not inconsistent with federal, state, or local law.

754 The choice of an appropriate mechanism would depend upon the nature and
755 purpose of the activities described in the protocol, the risk and anticipated benefit
756 to the research subjects, and their age, maturity, status, and condition.

757 d. Permission by parents or guardians shall be documented in accordance with the
758 requirements for Informed Consent (Section VII.A, B, and C).

759 e. When the IRB determines that assent is required, it shall also determine whether and
760 how assent must be documented.

761 3. Wards

762 Children who are wards of the state or any other agency, institution, or entity can be
763 included in research approved under CFR 46.406 or CFR 46.407 only if such research is:

764 a. Related to their status as wards; or

765 b. Conducted in schools, camps, hospitals, institutions, or similar settings in which the
766 majority of children involved as subjects are not wards.

767 If the research is approved under this section, the IRB shall require appointment of an
768 advocate for each child who is a ward, in addition to any other individual acting on behalf
769 of the child as guardian or in *loco parentis*. One individual may serve as advocate for
770 more than one child. The advocate shall be an individual who has the background and
771 experience to act in, and agrees to act in, the best interests of the child for the duration of
772 the child's participation in the research and who is not associated in any way (except in
773 the role as advocate or member of the IRB) with the research, the investigator(s), or the
774 guardian organization.



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MEMORANDUM

DATE: March 21, 2007

TO: Gilbert Valadez, Chair, Academic Senate

FROM: Gerardo M. González, Interim Dean of Graduate Studies and Associate Vice President for Research

RE: Revised Proposal for the Institute for Social Justice & Equity (ISJE)

I reviewed the revised Institute for Social Justice & Equity (ISJE) proposal and supporting documentation submitted by Dr. Annette Daoud.

I applaud the ISJE faculty and staff contributors for their efforts. I believe that the revised proposal clarifies the role, goals, activities, and budget for the proposed ISJE.

The ISJE has potential to enhance our university's scholarly prestige and recognition for community engagement. Moreover, the ISJE is a faculty and staff collaboration that embodies our campus priorities including Academic Excellence and Educational Equity. Thus, I recommend approval of a charter for the ISJE as well as appropriate support to initiate the ISJE.

Attached are copies of the revised ISJE proposal, executive summary, budget narrative, and revised budget. Please contact me regarding any questions.

cc: Annette Daoud, ISJE Lead Initiator
Emily Cutrer, Provost and Vice President for Academic Affairs
Pat Worden, Vice President for Student Affairs
Mark Baldwin, COE Dean
Vicki Golich, COAS Dean
Dennis Guseman, COBA Dean
Marion Reid, Library Dean
Garry Rolison, University Diversity and Equity Coordinator

1 Proposal for the
2 **Institute for Social Justice and Equity**
3 *Advancing social justice and equity*
4

5 ***Purpose***

6 The Institute for Social Justice and Equity (ISJE) will promote academic excellence by
7 advancing social justice and equity through mutually beneficial collaboration among university
8 and community constituencies. The Institute will be organized around three overlapping areas:
9 1) Academic Programs, Research, and Knowledge Diffusion; 2) Student Life and Engagement;
10 and 3) Community Connections. Striving to surmount boundaries that sometimes act to separate
11 parts of the university into silos, we envision the Institute as an innovative and dynamic center
12 that would support collaboration so that activities in one area reinforce activities of other areas,
13 creating synergistic effects and outcomes.
14

15 The Institute is unique because (a) it specifically focuses on social justice and equity and (b) its
16 basic function is to support collaboration among faculty, staff, students, administrators across the
17 university and with community members. This collaboration would be a value-added component
18 to the University.
19

20 ***Definition of Social Justice and Equity***

21 The ISJE intends to support the efforts of faculty and staff who develop curriculum, research,
22 and extracurricular programs and who will define social justice and equity through various
23 disciplinary, interdisciplinary, and/or professional perspectives.
24

25 As the originators of this proposal, and in collaboration with numerous colleagues who helped
26 prepare this proposal, we believe (a) that social justice requires the elimination of discrimination
27 and racism; (b) that diversity is an asset; (c) that this university must support teaching, learning,
28 research and co-curricular activities that analyze historic and current struggles to overcome
29 inequities of race, gender, sexuality, ability, age, and class using rigorous critical methods and
30 valid evidence and data; and (d) that based on such analyses, this university can promote equity
31 on this campus and also serve as a positive example for the larger community.
32

33 ***Mission***

34 The ISJE advances social justice and equity at CSUSM and in the region we serve through active
35 student, faculty, staff and community collaboration and engagement in rigorous and relevant
36 research, teaching, learning, and co-curricular activities.
37

38 ***Vision***

39 The ISJE will foster activities at CSUSM that are fundamental to implementing the university's
40 mission and vision, which link academic excellence and educational equity The Institute would
41 provide the university with a structure that connects activities across academe, student life, and
42 community partnerships to the advancement of social justice and equity.
43

44 ***Goals / Timeline***

45 The Institute planners recommend that the proposed organizational structure be phased in over
46 five (5) years. During the first year, the Institute's goals are to:

- 47 • work collaboratively across campus constituencies to sponsor key events on social justice
- 48 and equity;
- 49 • identify funding opportunities;
- 50 • develop a strategic plan;
- 51 • create internal and external partnerships to support the advancement of the Institute and
- 52 to ensure its work will be cross-divisional, interdisciplinary and intercultural; and
- 53 • conduct a first-year needs assessment

54

55 **First-year needs assessment**

56 Over the last three years as approximately 35-40 faculty, and staff have met to discuss this
57 proposed institute, we have gathered informal data about the needs expressed by individuals and
58 units on campus as well as information about resources they could bring to collaborative
59 projects. During the first year, we would need to collect more formal data to inform our plan for
60 development of Institute activities. These efforts would include:

- 61 • Review of existing institutional data about needs among students, staff, faculty,
62 administrators, alumni, and community members.
- 63 • Survey of key groups about needs, interests, existing efforts/activities that would
64 potentially contribute to future collaborative efforts through the ISJE.
- 65 • Carry out careful evaluation of each ISJE activity.
- 66 • Create an office system to collect and manage data collected.

67

68 ***Background***

69 Faculty and staff began developing this proposal in Fall 2004. They presented their vision to the
70 then-combined Academic and Student Affairs Provost's Council in May 2005 and at the
71 Academic Roundtable in Fall 2005. Since then the collaborative has grown to include faculty
72 and staff throughout the campus (see Appendix A for a list of the current ISJE Planning Group).

I. Rationale

A. Why is the new center or institute needed?

The proposed Institute will serve as a research and educational resource by providing points of connection for those working on social justice and equity in three broad areas:

- 1) Academic Programs, Research and Knowledge Diffusion;
- 2) Student Life and Engagement; and
- 3) Internal and External Community Connections.

Institute work will incorporate two of the five campus strategic priorities – Academic Excellence and Educational Equity. Currently, no center directly and holistically engages the collaborative efforts of faculty, staff, students, administrators, and community members in activities that address these priorities and advance our understanding and realization of social justice and equity. The Institute will link individual efforts and community partnerships focused on curricular, co-curricular, and scholarly and creative activities related to issues and practices of social justice based on equity.

Academic Programs, Research and Knowledge Diffusion

The work of the Institute will be research driven, focused on its primary mission of promoting social justice and equity. Research lies at the very core of faculty work as CSU teacher-scholars; it informs their work in the classroom and is critical to their responsibilities to discover and construct knowledge. Research empowers staff by giving them access to needed data so they can make informed decisions when they advise, design, and implement programs. There are few opportunities for staff and students to engage in collaborative research; the ISJE focus on collaborative research and community partnerships will enhance this aspect of instruction while providing an educational experience built on the traditions of practice/application and service. The twin focus on knowledge diffusion will provide experience in representing knowledge and working collectively toward solutions.

Student Life and Engagement

ISJE will work with Student Life & Leadership's Multicultural Programs, Associated Students Inc., etc. to coordinate learning experiences and build upon activities that will promote student development and the creation of a dynamic campus community that can effectively participate in a diverse global community. Additionally, the ISJE will promote collaborations among faculty to foster a holistic education that integrates in-class instruction with co-curricular opportunities.

Internal and External Community Connections

ISJE will consult carefully and broadly with other University Centers and Institutes as it seeks to coordinate, prioritize, and pursue external funding for external campus-community partnerships and internal community connections with a focus on issues of social justice and equity.

External Community Connections: Anticipated activities related to campus-community connections include the following: (1) enhancing the range and quality of social justice and equity campus-community partnerships, such as those related to the Tribal Liaison and the Hispanic Serving Institution initiatives; (2) working with local P-16 schools to develop curriculum; (3) collaborating with diverse communities to further their involvement and

representation on campus; and (4) working to ensure new programs model equity and access including an expansion of Extended Studies offerings to improve accessibility to and breadth of community education. Finally, the Institute will develop partnerships with existing community agencies to facilitate communication related to social justice and equity concerns.

Internal Community Connections: ISJE will support the alignment of campus goals related to the strategic priority of educational equity, in part by (1) serving as a data and archive repository, (2) sponsoring and/or hosting conferences, symposia, and workshops; (3) offering educational opportunities related to equity, grant writing, conducting research, and peer educator training/development; (4) developing research teams of faculty, staff, students, and community partners; (5) disseminating research on social justice and equity topics; and (6) providing multicultural competence training for administrators, faculty, and staff. Finally, the Institute will help ensure that current recruitment, hiring, and retention policies and procedures follow best practices by contributing to knowledge and understanding of such practices.

B. Why is the present organizational structure not able to accommodate these needs?

Despite wide-spread commitment to these ideals, examination of our current campus programs and units reveals diffuse and fragmented social justice and equity programming efforts on campus. The proposed Institute will act as the central hub and a primary resource that would bring diverse parties together to coordinate their related work both on and off campus.

Strategic prioritization and support of efforts to enhance social justice and equity through institutionalization, continuity, and the development of communication mechanisms are central to this proposal. ISJE will require some initial institutional support for the coordination and promotion of proposed activities. We anticipate this support would cease once the Institute becomes self-sufficient through grants, donations, and income producing activities.

II. Mission

The ISJE advances social justice and equity at CSUSM and in the region we serve through active student, faculty, staff and community collaboration and engagement in rigorous and relevant research, teaching, learning, and co-curricular activities.

A. What activities will the center or institute promote?

The Institute will bring together various campus and community constituents engaged in activities related to social justice and equity. Initially, it will build on activities and collaborations already in place. One ISJE goal is to increase the impact of these activities on campus and in the local communities by serving as a central site for coordination, concentration and publication of these activities, leading to the increased effectiveness and efficiency that result from a coordinated organizational structure.

Academic Programs, Research, and Knowledge Diffusion

The Institute will link students, faculty, staff, and community through research and creative activities that is dynamic and innovative. To meet this goal, the Institute will disseminate information and research on social justice and equity through symposia, student research competitions, seminars, regional conferences, and a working paper series. The Institute will develop an instructional component related to data collection and analysis around the

understanding and study of social justice and equity. The interdisciplinary nature of ISJE shall expose its participants to an environment rich with diverse research methods and modes of re/presentations of findings and their implications.

Student Life and Engagement

ISJE will support campus constituents (e.g., SLL Multicultural Programs and ASI) as they establish and support programs that affirm the diversity of the campus community. Activities of the ISJE will center on support for student development and co-curricular programs by engaging in research to evaluate the impact of these programs on advancing social justice and equity, and will serve as a resource by partnering with campus departments to promote cultural competence. To achieve this goal, ISJE will provide opportunities for cross-cultural student dialogues and interactions; assess the student community climate with regard to awareness and inclusion of diverse perspectives and identities; support and draw upon culturally based campus traditions to build and strengthen community; create an environment where students feel supported and develop a sense of belonging on campus; provide training and leadership opportunities for students to develop and practice competency in addressing issues of social justice and equity.

Internal and External Community Partnerships

The Institute will seek resources to support the expansion of community partnerships that center on issues of social justice and equity. These partnerships are central to linking research and practice, students and staff, faculty and community members. Another Institute goal will be to make oppressions that affect educational achievement and learning – such as racism, classism, sexism, ableism, heterosexism, and cultural and linguistic discrimination – transparent to the campus and larger community. This will lay a foundation for improvements in the tangible presence of faculty, staff, and administration that reflect surrounding community demographics, and create a campus climate that is made richer through the increased diversity of perspective, experience, and culture that accompanies such changes.

Additional outcomes include an increased number of employee training sessions to further personal multicultural competence, greater support for multicultural organizational development efforts, and a measurable increase in community outreach programs related to social justice and equity coupled with continuous assessment of their effectiveness. To accomplish these goals the Institute will collaborate with relevant partners to catalogue best practices with respect to recruiting and retaining a diverse campus community.

B. How does the center's/institute's mission support the mission of the university?

As envisioned, the ISJE supports the mission of the University, as well as those of its many constituencies. CSUSM's Mission Statement states that the University "focuses on the student as an active participant in the learning process." It also articulates the university's commitment to responding to "the needs of a student body with diverse backgrounds, expanding student access to an excellent and affordable education." The activities and focus of the Institute speak directly to these themes of the university that define its character. Indeed, the University's Vision Statement expands on this theme, noting that "CSUSM will celebrate and capitalize on its diversity to form a learning community committed to this shared vision." These ideals define the character of the IJSE as it pushes the campus to realize this vision of itself. Finally, the University's Values Statement clearly communicates its dedication to "**Inclusiveness:** individual

and cultural diversity, and multiple perspectives.” These principles will eventually serve as benchmarks of success both for the ISJE and the campus community.

The ISJE also aligns well with College Mission Statements, the Student Affairs and ASI Mission Statements, and the campus Human Resources and Equal Opportunity department.

III. Structure & Personnel

A. What is the proposed organizational structure of the center or institute?

The Institute planners recommend that the proposed organizational structure be phased in over five (5) years.

Phase I: Years 1 and 2

During the first phase, the Institute will focus on

- work collaboratively across campus constituencies to sponsor key events on social justice and equity;
- identify funding opportunities;
- develop a strategic plan;
- create internal and external partnerships to support the advancement of the Institute and to ensure its work will be cross-divisional, interdisciplinary and intercultural; and
- conduct a first-year needs assessment

Phase I Staffing:

- a) Director (0.5 faculty reassignment + 1 month of summer salary)
- b) Graduate Intern
- c) Grant Writer (subcontracted)
- d) Steering Committee

A steering committee will be established comprised of no more than seven (7) representatives: one (1) from Academic Programs, Research, and Knowledge Diffusion; one (1) from Student Life and Engagement; one (1) from Internal/External Community Connections; one (1) student; one (1) community member; the projected Faculty Equity/Diversity Coordinator; and the Director. Among other duties and responsibilities, the Steering Committee will sponsor at least two (2) public forums annually to solicit input and to report on the work of the Institute.

Phase II: Years 3, 4, and 5

During the second phase, the Institute will build upon the foundational work completed in Phase I to implement its programs, activities, and vision. In close collaboration with the Institute Director, the Associate Director will oversee day-to-day operations and assist the Director in fulfilling his or her responsibilities. (The Director responsibilities are listed in the following section.) To ensure that the Institute is maximizing the synergy of its three core University areas, graduate internships will be established to support the three areas of the institute. Graduate interns will be responsible for communicating with the different university departments and programs that are involved in their respective areas, for reporting feedback to the Associate Director, and for other duties and tasks as assigned by the Director or Associate Director.

Phase II Staffing:

- a) Director (0.5 faculty reassignment + 1 month of summer salary)
- b) Associate Director (1.0 staff)
- c) Support Staff (1.0)
- d) Grant Writer
- e) Graduate Interns
- f) Steering Committee

The ISJE will, like other CSUSM Centers and Institutes report to the Associate Vice President for Research & International Programs in the Provost's Office.

B. What will be the responsibilities of the center or institute director? Who will be the founding director?

Once funds are secure, a founding director will be selected. Phase I Responsibilities include:

- Collaborate with the Steering Committee to ensure that the activities reflect a balance of the three areas of the Institute and to establish a vision and strategic plan for the Institute in accordance to its mission and that of the University;
- Collaborate with college constituencies to sponsor key events on social justice and equity;
- Ensure fiscal solvency and responsible financial management of the Institute and assure that the Institute operates in accordance with all current university and Foundation policies;
- Prepare an annual report and self-study of the Institute's periodic evaluation;
- Collaborate with the grant writer to meet financial goals of the Institute by identifying funding opportunities and developing proposals for major research and programming grants;
- Cultivate and implement working partnerships with faculty, staff, and students to promote the Institute's mission; and
- Represent and promote the Institute through community-based outreach as well as nationally

Phase II Responsibilities:

- Continue to fulfill all Phase I responsibilities;
- Coordinate, prioritize, and lead research activities and research-based services. This may include serving as Principal Investigator or Co-Investigator on Institute projects;
- Present research findings at conferences and through publications;
- Provide guidance and/or active oversight of database development, data analysis and reporting, and ensure high standards of quality in Institute studies;
- Oversee recruitment, supervision, and evaluation of Institute staff; budget management ; and cultivate and support a collaborative team environment.

C. Who are the unit's founding members and how does their expertise relate to its purpose?

Current members of the Planning Steering Committee are drawn from across the university. Their expertise includes critical pedagogy, global studies, extracurricular innovation, multicultural education, critical race studies, and extensive service leadership on campus and in the community: **Annette Daoud** (Multicultural / Multilingual Education, CoE), **Sharon Elise** (SOC, EthSt, CoAS), **Vicki Golich** (Dean, CoAS), **Dilcie Perez** (Interim Director, SLL) and **Bridget Blanshan** (Interim AVP Student Affairs and Dean of Students). Their efforts have been supported by a university-wide planning group with broad-based expertise related to social

justice and equity issues , including research, pedagogical innovation, campus programming, and community partnerships. Appendix A has a complete list of current Planning Group members.

D. What are the rights, responsibilities, and benefits of membership in the center or institute?

Rights: The rights of members will include input on identifying, developing, and implementing potential center activities, projects and strategic goals.

Responsibilities: The responsibilities of members will include participation in identifying potential partners, developing activities and programs, facilitating the collaboration of internal and external constituencies, and advancing center and university strategic goals.

Benefits: Benefits will include learning the needs of internal and external constituencies, promoting activities for the benefit of all constituencies, linking activities to center and campus strategic priorities, and advancing the mission of the university. The Institute will support members in sharing data, disseminating research, creating and implementing programs, writing grants, and attending and planning conferences aimed at increasing the awareness and need for social justice related activities.

E. Will the center or institute have an advisory board? For what purpose? How will members be selected?

The Institute will have a Steering Committee that will be responsible for working closely with ISJE staff to determine which activities to pursue, *and* for helping to implement selected activities. Steering Committee members will be appointed according to interest, expertise, and ability to devote time and energy to providing support to the Institute and its staff.

In addition to the Steering Committee, a broader Advisory Board will be convened at least once a semester comprised of representatives from existing programs and on- and off-campus connections. The Board will provide broad directions for activities, programs, and/or projects, and will help identify mutually beneficial community partners and relevant funding opportunities and agencies. Board Members will be selected by the Director and Steering Committee in consultation with the AVP for Research.

IV. Relationship of the center or institute to other university entities

A. Which programs, administrative units, colleges or library, other centers or institutes will be involved in the proposed new center or institute?

The ISJE would seek collaboration with colleagues from all university programs, units, colleges, library, centers and institutes on all of its activities. The ISJE will work collaboratively with programs, administrative and academic units, and other centers or institutes to achieve its goals. Specifically, the Institute would connect and collaborate around addressing regional concerns such as healthcare service delivery, P-16 education, housing, public relations, and industrial globalization. ISJE will also collaborate with the Faculty Center, Arts and Lectures Series, Kellogg Library, Research Centers (e.g., National Latino Research Center, Center ARTES, Center for the Study of Border Pedagogy), Office of Biomedical Research and Training, Office of Community Service Learning, CoAS, CoBA, CoE, School of Nursing, SLL Multicultural

Programs, ASI, Student Affairs, Community Organizations, Ethnic Studies Program, Women's Studies Program, and with faculty and staff who have expertise in social justice and equity.

B. What effect will the center or institute have on the faculty's department(s) academically, operationally, and financially?

The academic component of the Institute will facilitate services and support to current programs for faculty and student development (e.g., support for research dissemination). The ISJE would seek opportunities for collaboration across colleges, departments, and disciplines. The Institute will also seek external funds to research and implement support for faculty to gain expertise in social justice and equity. Building on research conducted on campus and across the country, the ISJE would advocate strategies to address structural inequalities at CSUSM – in its practices and in the university culture. Since the ISJE will support and encourage interdisciplinary research and cross-boundary collaborations, it should enhance collegiality throughout the campus, inform curriculum development, and strengthen academic programs and student services.

A specific goal of the Institute is to seek external funds to support its operation as well as its many activities and projects. Therefore, it should benefit the entire campus by bringing additional funds to campus.

C. What is its relationship to teaching, coursework, and the instructional program of the faculty's home department(s)?

The ISJE will support coursework and instruction by identifying best practices in curriculum development and pedagogy for use on campus, thereby permitting the easy infusion of social justice and equity content into coursework, curriculum, collections, pedagogy, and methodology. This will be facilitated by the offering of annual symposia and workshops that examine themes of social justice and equity in concert with areas of curricular development on campus.

V. Operating expenses, facilities, and equipment

A. What support for the center or institute will be derived from non-university sources?

The Institute expects to generate non-university funds from a variety of activities, including grants writing and collaboration with University Advancement to achieve the goal of endowing its basic operations, including salaries, no later than AY 2015-2016.

B. What operating support from the university is required for this center or institute to be functional on an ongoing basis?

Initial seed money to support staff salaries and operations of the Institute will be needed. Ongoing institutional support will be limited to space, normal operations and equipment funds, and base line staffing.

C. What space and facilities will be needed?

Since the Institute anticipates a full portfolio of activities, the ISJE would need an office suite to support basic operations, including approximately 1200-1300 square feet of space for the Director, Associate Director, Staff Support, and some work space – for printer, copier, fax, bookshelves, work table, and so forth. The Institute would also need access to schedulable large spaces through normal campus venues to sponsor the various events and activities it anticipates.

Since many of these will involve collaboration with other campus units, we anticipate substantial campus participation, as well as increasing participation from the community as the Institute gains a reputation for quality work.

D. What other equipment will be needed?

Standard office complements for Institute staff.

E. Describe the computer and telecommunications needs.

Standard computer and telephone complements for Institute staff.

F. Describe any needs for library collections and/or services.

For print and electronic collections, both start-up and continuing funds would be needed. Materials supporting the ISJE would be interdisciplinary – from Ethnic and Gender to Bilingual and Ability Studies – and primarily composed of journal subscriptions integrated into the existing collection. Based on information provided by CSUSM’s Outreach/Multicultural Librarian and Coordinator for Collection Development & Acquisitions, ISJE would require \$5,000 in start-up and continuing funds at an inflationary rate of ~10% a year. Funds for additional library staffing, equipment and technology support are not included at this time, but will be considered as the ISJE establishes itself as a center for research and knowledge diffusion.

VI. Financial Support

A. How will the center or institute be financed for the first three years and for at least five years thereafter? Specifically address the anticipated personnel, operating, space, equipment, and other costs and how they will be supported.

The ISJE will be a university-wide center that engages and serves students, faculty, staff, and the external community. The collaboration among the various partners, particularly our campus Academic Affairs and Student Affairs divisions, on scholarly, academic, and co-curricular activities places the ISJE in a significant position for seeking institutional support.

We propose a hybrid model of institutional support for the ISJE. That is, the university is requested to provide partial funding to support the ISJE core staff. However, the ISJE will also seek external resources to support major ISJE activities.

The proposed funding model parallels institutional support for important campus initiatives, such as the Faculty Center in Academic Affairs, the Multicultural Programs unit in Student Affairs, and a developing Diversity and Educational Equity Office. CSUSM has committed resources for these initiatives because they encompass our campus Vision, Mission, and Values. In addition to representing these core issues, the ISJE embodies our university strategic priorities – Academic Excellence, Student Life, Campus Climate, Community Partnerships, and Educational Equity. Ongoing institutional support for the ISJE will insure that there is a place for our students, faculty, staff, and external community to collaborate successfully on academic programs, curriculum and student affairs co-curricular activities related to social justice and educational equity issues. Thus, we believe ISJE institutionalization will be a significant step toward achieving our campus strategic priorities and help us serve our core vision, mission, and values.

B. What will happen if outside sources of funding are no longer available after the center or institute is formed?

We request a commitment from the university to support the core ISJE staff, and will seek external funding and support as needed.

VII. Evaluation

A. All centers and institutes will undergo periodic evaluation. What are the critical elements that will go into an assessment of the center or institute's degree of success?

The Steering Committee will collaborate with the Working Groups to provide a public annual report. The report will identify measurable goals, what tasks have been achieved and the impact these have had on campus and in the community. All activities will be evaluated separately, including measures of participation, quality, and frequency. Recognizing that good evaluation involves the use of multiple measuring instruments over time, the ISJE staff will conduct surveys and focus groups to gather feedback for the annual assessment as well.

Appendix A: Planning Group and Proposed Organizational Structure of the Institute

College of Arts & Sciences

Shana Bass
 Staci Beavers
 Margaret Crowdes
 Sharon Elise
 Maribel Garcia
 Vicki Golich
 Scott Greenwood
 Kimberly Knowles-Yáñez
 Jodi Lawston
 Dreama Moon
 Carmen Nava
 Angela Oberbauer
 Linda Pershing
 Mary Jo Poole
 Garry Rolison
 Sonia Ruiz
 Al Schwartz
 Fernando Soriano
 Pamela Stricker

Jill Weigt
 Robert Yamashita

College of Education

John Bowman
 Annette Daoud
 Rosario Diaz-Greenberg
 Anne Rene Elsbree
 Robert Erichsen
 Beverly Mahdavi
 Lorri Santamaria
 Pat Stall

College of Business

Administration

Keith Butler
 Regina Eisenbach

Library

Melanie Chu
 Hua Yi

Extended Studies

Suzanne Lingold

Student Affairs/ASI

Bridget Blanshan
 Alexis Montevirgen (06-07)
 Dilcie Perez
 Lura Poggi
 Jessie Sell
 Carlene Smith

Finance & Administrative Services

Tanis Brown
 Joanne Shydian

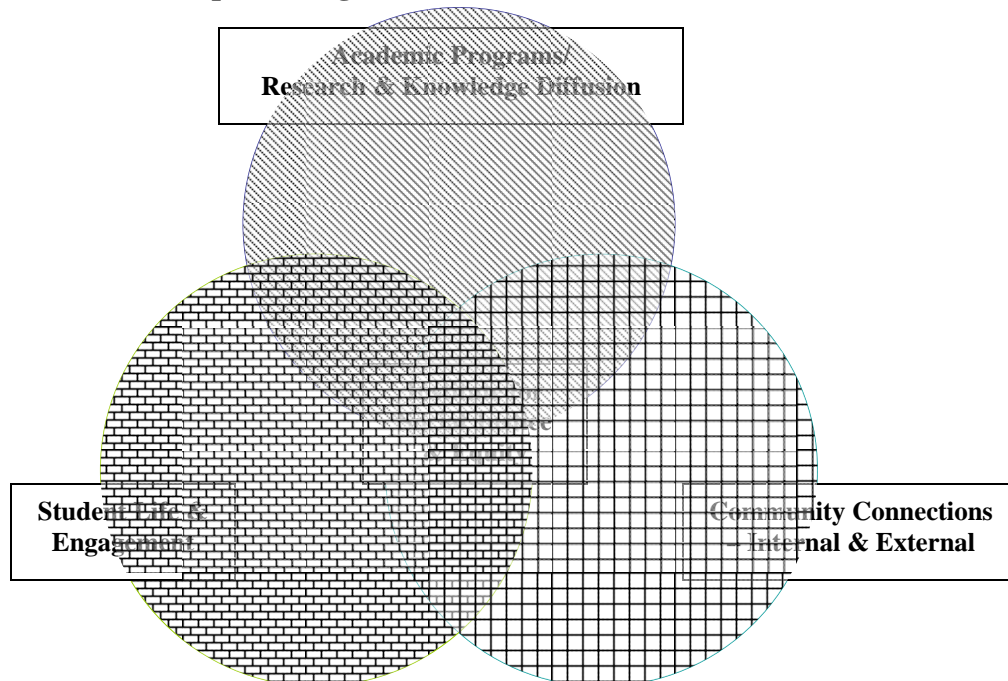
NLRC

Arcela Núñez-Álvarez

Academic Affairs

Gerardo Gonzalez

Proposed Organizational Structure of the Institute



Budget Narrative Institute for Social Justice and Equity

The Institute for Social Justice and Equity proposal includes a budget with both permanent and fiscal funds for a total of **\$46,720**.

Permanent Funding Request of \$22,220

Staffing

The proposal for the first phase of the Institute requires a staff comprised of a Director and a Graduate Intern. The combined costs are less than half of the entire budget request, totaling \$22,220.

The Director will work with the Steering Committee to set up operations, identify initiatives/projects for the coming year, coordinate campus wide events, assess the institute's efforts and prepare an annual report. The Director will be paid (assigned time) at 0.5 position time, \$20,000. The budget proposal requests half with matching funds (\$10,000) from the Dean's of the five Academic Units (CoAS, CoE, CoBA, Library, and Graduate Studies). Each unit will be asked to contribute a total of \$2,000 per academic year to support the collaborative Institution. In addition the director will receive a summer stipend including benefits (\$8,220).

The Graduate Intern will assist in daily operations and preparation for campus wide events. The Graduate Intern will be paid at a 0.2 position time for a total of \$4,000.

Operational Equipment

Less than 15 percent (\$7,000) will be dedicated to the set-up of office space with basic supplies, communication, and workstations (OE&E and Computer/phone).

Fiscal Funding Request of \$17,500

Campus Events

In the first year, the campus events with substantial associated costs will include:

- a planning retreat,
- opening reception, and
- a first annual symposium.

The planning retreat will be a collaborative, day-long activity for students, staff, faculty, administration and community members to plan for the year's events (\$500). The opening reception will be a public event to announce the establishment of the Institute and showcase the events planned for the upcoming year (\$500). One of the events will include the establishment of a yearly Spring symposium to focus on a social justice and equity theme as well as showcase collaborative work across campus and with the local community partnerships (\$2,500).

Tangible Support

The tangible support request of \$14,000 for the first year will include funds for Library Collection, Subcontracted Grants writer, and External Communications. We will purchase materials to begin a collection for the library focused on Social Justice and Equity (\$5,000). We will subcontract with a grants writer to assist the Institute in securing funds for subsequent years (\$5,000). The External Communications request will be used to hire a consultant to develop a web page and a public service announcement to communicate to the community about the Institute (\$4,000).

Cal State San Marcos
FY 2007-08 Budget Call/Strategic Funding Request
Division Detail Worksheet

Division:	Academic Affairs	Division Priority:	
Department/Program:	Graduate Studies & Research	Univ Strategic Priority:	
Funding Request Title:	Institute for Social Justice & Equity (ISJE)	University Objective:	

How will this request support and promote one or more of the campus strategic priorities/objectives?
 Academic excellence and educational equity will be served through Institute sponsored and co-sponsored activities (e.g., research, symposia, workshops) in three areas (academic, student life, community connections) based on collaborative models that empower participants to engage innovative approaches that address social justice.

What evidence (e.g., survey data, complaints, etc.) do you have to suggest this request is a significant issue for our campus in need of resources? *Note: The stronger the evidence you provide, the stronger the case for receiving resources.

ISJE planning partners have grown to over 45 since Fall 04, with others clamoring to join in, including faculty recruits, indicating staff and admin who feel ISJE will help coordinate our efforts and lead to greater achievements in equity and justice.

What measures will be used to determine the performance of this request?
 Constant evaluation will include measures of widespread campus involvement, inclusion of community partners, response to first annual symposium presenting innovative collaborations linked to critical engagements with equity, justice issues.

This request will be accommodated in current allocated space?

	x
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This request will require new space to be allocated?

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If new space, provide a brief narrative on space requirements: office space for interns

PERMANENT FUNDING REQUESTS	Position Time Base	Salaries	Operating Expenses	Organization Sub-total	Benefits 37.00%	Total Permanent Funding Requests
Item						
Director	0.50	\$10,000		\$10,000		\$10,000
Graduate Interns (1)	0.20	\$4,000		\$4,000	\$0	\$4,000
OE&E			\$5,000	\$5,000	\$0	\$5,000
Computer/phone			\$2,000	\$2,000	\$0	\$2,000
Dtr. Summer support		\$6,000		\$6,000	\$2,220	\$8,220
				\$0	\$0	\$0
				\$0	\$0	\$0
				\$0	\$0	\$0
Total	0.70	\$20,000	\$7,000	\$27,000	\$2,220	\$29,220

ONE-TIME FUNDING REQUESTS 2007-08 Fiscal Year Costs	Position Time Base	Salaries	Operating Expenses	New position Furniture/Equipment	Do not use	Total One-Time Funding Requests
Item						
Opening reception						\$500
First Annual Symposium						\$2,500
Library Collections						\$5,000
Planning Retreat						\$500
Subcontract Grantswriter		\$5,000				\$5,000
External Communications		\$2,000	\$2,000			\$4,000
						\$0
						\$0
						\$0
Total	0.00	\$7,000	\$2,000	\$0		\$17,500

Total Permanent and Fiscal Fund Request	0.70	\$27,000	\$9,000	\$0	\$2,220	\$46,720
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University Strategic Priorities:

- 1) Academic Excellence
- 2) Student Life
- 3) Campus Climate
- 4) Community Partnerships
- 5) Educational Equity