

UPS 210.000

FACULTY PERSONNEL POLICY AND PROCEDURES

I. DEFINITIONS

A. SCOPE

1. This document establishes policies and procedures that govern retention, promotion, and granting of tenure (RTP) for probationary faculty, and the promotion of tenured faculty. Throughout this document, references to "Development Plan" shall apply to faculty who had a Plan approved prior to the fall 2002 semester.
2. The policies in this document apply to teaching, counselor, and library faculty. Appropriate criteria for each group of faculty are specified in Section IV below.
3. At California State University, Fullerton, all phases of the RTP process support faculty growth and development as well as serving as the formal means of evaluation. To further such growth and development, it is important both to the University and to the faculty member that each probationary faculty member establishes a clear plan to meet department and University standards for RTP.
4. The policies and procedures of this document are subject to Board of Trustees policies; the California Administrative Code, Title 5; California Education Code; the Unit 3 Collective Bargaining Agreement (CBA); and other applicable State and Federal laws.
5. Throughout this document, the word *shall* indicates mandatory action; the word *may* indicates permissive action.

B. APPOINTMENT

Faculty may be hired at CSUF as part-time lecturers, full-time lecturers (hired on an emergency basis or hired after a nationwide search on a renewable basis with the possible designation of distinguished visiting lecturer), or tenure-track (probationary) faculty. Reviews of part-time and full-time lecturers are addressed in other UPS documents. This document addresses review processes for tenure-track (probationary) faculty as well as tenured faculty seeking promotion.

Appointments of tenure-track faculty are of two kinds:

1. Probationary

Normally, a probationary faculty member is given a two-year initial appointment. Probationary faculty are subject to reviews before they are re-appointed to third, fourth, fifth or sixth probationary years or granted tenure. Appointment to probationary status implies that a faculty member will eventually be granted tenure if his or her performance meets the standards in Section IV of this document and of his or her approved Departmental Personnel Standards.

Tenure-track faculty are considered probationary faculty until they are awarded tenure or terminated. Probationary faculty may be terminated by decision of the President at the end of their first or second probationary year without further employment at the University. Faculty who receive a termination notice during their third to sixth probationary year shall have a final, additional year of employment, called a terminal year. The maximum probationary period is six years with either tenure or a final terminal year awarded before the end of the sixth year.

2. Tenured

Tenured faculty are subject to performance reviews when they apply for promotion.

C. RANKS

Probationary and tenured teaching faculty are appointed as Assistant Professor, Associate Professor, or Professor. Probationary and tenured library faculty are appointed as Senior Assistant Librarian, Associate Librarian, or Librarian, equivalent to the ranks of Assistant Professor, Associate Professor, and Professor, respectively. Probationary and tenured counselor faculty are appointed as Student Services Professional-Academically Related (SSP-AR) levels one, two, or three, equivalent to the ranks of Assistant Professor, Associate Professor, and Professor, respectively.

D. SERVICE CREDIT

1. At the time of initial appointment, the President, upon recommendation by the personnel committee of the affected department or equivalent unit, dean and Vice President Academic Affairs, may grant to a probationary faculty member up to two years of service credit for probation. Service credit shall be based on previous full-time service at a post-secondary education institution or comparable experience.
2. The initial appointment of a faculty member who is granted service credit shall specify the amount of service credit and shall indicate the effects in the RTP process of the granting of such credit.
3. When prior service credit has been granted, evaluations for retention, tenure, and promotion shall include reviews of accomplishments during those specific years for which the service credit was granted.
4. When prior service credit has been granted, the probationary faculty member shall include in his or her Portfolio data, materials and documentation for the service credit period.
5. In evaluations for retention, tenure, and promotion, accomplishments achieved during probationary years at CSUF shall be weighted more heavily than those during the service credit period. Accomplishments during service credit years shall never be sufficient in and of themselves for the granting of promotion and/or tenure.

E. SERVICE SALARY INCREASES (SSI)

Service Salary Increases (SSI) refer to upward movement on the salary schedule for the rank or classification. An SSI is awarded on the basis of eligibility (as defined in the Collective Bargaining Agreement) and satisfactory performance. For 3rd and later year probationary tenure track faculty, a decision for retention in the previous academic year's review cycle is evidence of satisfactory performance and shall result in the award of one SSI. For 2nd year probationary tenure

track faculty, completion and review (as defined in Section II.) of a Developmental Narrative is evidence of satisfactory performance and shall result in the award of one SSI. For tenured faculty, satisfactory performance in all areas of performance as specified in UPS 210.000 and approved Departmental Personnel Standards is required. SSIs are awarded by a Dean (or the Librarian) during those fiscal years in which the Collective Bargaining Agreement has specifically provided for the awarding of SSIs. The Dean (or the Librarian) must consult with the DPC and the Department Chair before a decision is made not to award an SSI. In calculating the eight-step SSI maximum, one Merit Salary Adjustment (MSA) granted under salary schedules defined in predecessor Collective Bargaining Agreements is the equivalent of two SSIs.

F. PROMOTION

1. A probationary faculty member shall not normally be promoted during probation. However, a faculty member may be considered for early promotion after completing at least one year of service in rank at CSUF. In order to be considered for early promotion, the faculty member shall apply in writing to Faculty Affairs and Records on or before September 10. A probationary faculty member shall not be promoted beyond the rank of Associate Professor and shall normally be considered for promotion at the same time that he or she is considered for tenure.
2. Promotion of a tenured faculty member shall normally be considered during his/her fifth year in rank, with promotion effective at the beginning of the sixth year. Promotion consideration prior to having completed four years in rank shall be defined as "early." This provision shall not apply if the faculty member requests in writing that he or she not be considered.

Promotion shall be accompanied by advancement of at least three steps (or 7.5%) on the applicable salary schedule.

G. TENURE

1. Tenure establishes the right to continued permanent employment except when such employment is voluntarily terminated or is terminated by the University pursuant to the CBA or law.
2. Faculty shall normally be considered for tenure during the sixth probationary year, regardless of the rank at which they were appointed.
3. Probationary faculty may be granted tenure at any time after their first year of appointment. A request for tenure that occurs in any year except the sixth probationary year shall be considered a request for early tenure. Probationary faculty who do not receive tenure may be re-appointed to probationary status for up to six years and for a seventh terminal year.
4. The President may award tenure to any individual, including one whose appointment and assignment is in an administrative position, at the time of appointment. Appointments with tenure shall be awarded only after an evaluation and positive recommendation from the appropriate department personnel committee (DPC), department chair, dean, (AVPSA for counselor faculty), Faculty Personnel Committee (FPC), and Vice President for Academic Affairs (VPAA) Vice President for Student Affairs (VPSA) for counselor faculty.

H. REVIEWS

Professional reviews are either performance reviews or periodic reviews as specified in V. L. below.

1. Probationary faculty are to be reviewed for retention and/or tenure.
2. Probationary or tenured faculty are to be reviewed for promotion.

I. DEVELOPMENT PLAN (Applies to Faculty who had a Development Plan approved prior to fall 2002) AND PORTFOLIO

1. The Development Plan (DP) is the probationary faculty member's agenda for achieving the professional growth necessary to qualify for tenure. This plan, which shall be prepared, reviewed, and approved during the faculty member's second year of probationary appointment, shall describe the activities and intended outcomes that the probationary faculty member expects to achieve during the probationary period. The Plan complements but does not replace Departmental Personnel Standards, University policy, or the Collective Bargaining Agreement, and the Plan shall be used to guide evaluation of the faculty member's performance.
2. The Portfolio is the functional equivalent of the Working Personnel Action File. It is a cumulative record that shall contain evidence of performance specified in Section IV, B-E, for all of the years under review, and various forms. The Portfolio is compiled initially by the faculty member to be evaluated. It is the responsibility of the faculty member to be sure the Portfolio is current and complete before it is submitted to the department chair or dean. Evaluations, recommendations, and rebuttals, if any, are added at the various levels of review.

J. REVIEW PROCESS

The review of the Portfolio takes place at various levels:

1. the department personnel committee (DPC),
2. the department chair,
3. the division chair [if any],
4. the dean [AVPSA for counselor faculty],
5. the Faculty Personnel Committee (FPC),
6. the Vice President for Academic Affairs (VPAA) [Vice President for Student Affairs (VPSA) for Counselor Faculty], and
7. the President or designee.

Department personnel committee members and department chairs review Portfolios in their department offices. Faculty Personnel Committee members review Portfolios in the office of Faculty Affairs and Records.

The various stages of the review process take place during specified periods, as provided for in this policy.

Colleges or divisions with programs not organized as departments, but having teaching faculty to be evaluated for retention, tenure and promotion, shall follow the procedures outlined for departments. Wherever this document calls for a department personnel committee, a division personnel committee shall act. In division structures where there are faculty chairs of programs, the faculty of the division may elect to have the faculty chairs evaluate and recommend in the same manner as prescribed for the department chair elsewhere in this document. The division chair in any case shall perform in an evaluation and recommendation role. Such action by the division chair shall take place immediately following final action by the division personnel committee. The timetable for department chair action shall apply for the final action by the division chair.

K. EVALUATIONS AND RECOMMENDATIONS

At the DPC and chair levels of review, evaluations are distinguished from recommendations. An evaluation is a written assessment of a faculty member's performance. A recommendation is a position on the personnel action for which the faculty member is being considered. The two shall be kept separate. An evaluation shall not include a recommendation for action. A recommendation shall state in writing the reasons for the recommendation. A copy of the recommendation and the evaluation shall be provided to the faculty member at each review level.

L. RESPONSIBILITIES OF FACULTY MEMBERS

Faculty Affairs and Records shall provide each probationary faculty member with a copy of this document (UPS 210.000) at the time of initial appointment to probationary status.

It is the responsibility of all faculty to familiarize themselves with this faculty personnel policy. For the probationary faculty member, this refers particularly to the Portfolio and its preparation, including an understanding of the kinds of evidence which should be presented and the criteria which are used in evaluating the evidence. The relevant basic policies are stated in this document. Approved Departmental Personnel Standards further specify types of evidence and criteria of judgment. Faculty are encouraged to seek the aid of their department chairs or the chairs of their DPCs in understanding the University's personnel policies and in preparing their Portfolio.

II. THE DEVELOPMENTAL NARRATIVE

During the first year of employment in a tenure-track position, each probationary faculty shall write prospective developmental narratives for teaching, scholarly and creative activities and service, not to exceed 500 words each. These narratives shall describe the faculty member's professional goals, areas of interest, resources required and accomplishments (s)he expects to achieve in each of the three areas evaluated in order to meet the department standards and/or UPS 210.000 for retention, tenure, and promotion. These narratives will have no formal approval process, but will be reviewed by the department/division chair and the dean who will each provide written feedback on a timetable to be determined by the colleges, but prior to May 1st. These narratives shall be included with the self-assessment narratives in the faculty member's Portfolio that is submitted for retention review during the second year in the tenure track position.

During subsequent years, the developmental narratives may be revised to reflect changes and professional growth that will normally occur during the probationary period.

III. EVIDENCE OF PERFORMANCE

A. THE PORTFOLIO

1. The Portfolio is the sole basis for RTP evaluations, recommendations, and actions. It shall be cumulative and representative of performance, covering the period from the beginning of probationary service to the first day of the fall semester of the academic year during which RTP action is to be taken. In cases where prior service credit was granted, that time interval shall also be documented in the Portfolio.
2. It is the responsibility of the probationary faculty member to ensure the completeness of his or her Portfolio.
3. The Portfolio shall include the following items:
 - a. a table of contents of the Portfolio, initialed by the faculty member and dated at the time of initialing;
 - b. a table of contents of the appendix to the Portfolio, initialed by the department chair and dated at the time of initialing;
 - c. a copy of the approved Departmental Personnel Standards, or UPS 210.000 if there are no approved Departmental Personnel Standards;
 - d. the approved Development Plan (DP) [applies to faculty who have a Development Plan approved prior to fall semester 2002];
 - e. the faculty member's current curriculum vita that covers the entire academic and professional employment history;
 - f. Narratives which shall contain (a) developmental narrative prepared in year one and (b) a concise self-assessment of accomplishments in each of the three areas of performance in relation to the applicable personnel standards (self-assessment narratives shall not exceed 1000 words for each area, and Developmental Narratives shall not exceed 500 words for each area);
 - g. documentation of performance as required by the applicable personnel standards;
 - h. a copy of the student opinion form(s) used by the department in evaluating the faculty member;
 - i. statistical summaries by class of answers to all multiple choice questions on departmental student opinion forms;
 - j. statistical summaries of grade distributions from all classes that the faculty member taught at California State University, Fullerton during the period under review for which students received University credit, as well as any material which may help interpret these statistical summaries;
 - k. for probationary faculty, all evaluations, recommendations, responses and rebuttals, if any, and decisions for all previous full performance reviews;
 - l. an appendix containing supporting materials that are directly relevant to the presentation in the Portfolio and are limited to the period since the last full performance review (except in cases where promotion or tenure are being considered, in which case materials shall be submitted for the entire period under review), and
 - m. as part of the appendix, student opinion forms for all of the courses that the faculty member taught at California State University, Fullerton, during the period under review, for which students received credit. These shall be identified clearly by course number, title, semester, and year.
4. Material may be added to the Portfolio until the date it is due to be submitted, at which time the Portfolio shall be declared complete, with respect to documentation of performance for

the purpose of evaluation, by the department chair. After the chair determines that the Portfolio is complete, material may be added only as follows:

- a. if required documents are missing from the Portfolio, they shall be provided in a timely manner and placed in the Portfolio by the office of Faculty Affairs and Records; and
 - b. if material that documents a substantial change in the status of an activity documented in the Portfolio becomes available after the Portfolio is declared complete, this material may be added with permission from the Faculty Personnel Committee.
5. Before consideration at subsequent levels of review, material added to the Portfolio shall be returned for review, evaluation, and comment to the level at which it was initially evaluated.

B. TEACHING

1. Each department shall state in its standards the appropriate indicators of contributions to student learning consistent with section IV.B-E of this document. Such standards shall address peer evaluation of pedagogical approach and methods, student response to instruction, ongoing professional development as a teacher, and other such evidence as the department deems important.
2. The evaluation of teaching performance shall include student opinion data.
3. Classroom visitations by department colleagues may provide additional information regarding teaching effectiveness and interaction with students. Written reports of such visits shall address clarity of presentation, communication with students, student interaction, effective use of classroom time, and appropriateness of presentation methods. Assessment shall be in the context of the level and objectives of the course. Assessments by external evaluators may be included.

Faculty may contribute to student learning by such activities as academic advising, development of new courses, innovative approaches to teaching and fostering student learning, organization of pedagogical workshops, supervision of student research or performance, and other similar activities.

C. SCHOLARLY AND CREATIVE ACTIVITIES

1. Each department shall state in its standards those scholarly and creative activities, consistent with Section IV.B-E, that are appropriate indicators of professional growth for its faculty.
2. Documentation of scholarly and creative work is required. This documentation shall include a complete citation, in the style customary to the faculty member's discipline, to each of his or her scholarly and creative works; a copy of each scholarly or creative work published since the faculty member's appointment; and copies of letters of acceptance for those completed works that are "in press" or otherwise in the process of publication. For works presented in a medium other than print, the copy may be in a form suitable for evaluation as appropriate to the discipline (e.g. photographs, audiotape, video tape, CD-ROM, computer disks, etc.). Work that has been accepted for publication or presentation after a peer-review or jurying process shall be distinguished from work that was not subject to a peer review or jurying process. Documentation of the peer review or jurying process may be required by any level of review.

Documentation also should be provided for scholarly and creative work in progress. This documentation may include copies of intramural and extramural grant proposals, grant

award letters, abstracts of papers presented at professional meetings, papers currently being reviewed for publication, copies of manuscripts in preparation, etc. Care should be taken to distinguish work in progress from that already completed.

3. Supporting material shall be limited to the period since the last full performance review, except in cases where promotion or tenure are considered, in which case, materials shall be submitted for the entire period under review.
4. Scholarly or creative works are considered to have been completed when they have been accepted for publication or presentation without further revision.
5. Faculty may further demonstrate their contributions with evidence of professional recognition of their contributions to the discipline. Evidence may include book or article prizes; non-refereed invited papers, exhibits, and performances; comments and replies; book reviews; and citations of the faculty member's published work (from the Social Science, Science, or Humanities and Arts Citation Index).

D. PROFESSIONAL, UNIVERSITY, AND COMMUNITY SERVICE

- 1 To maintain and improve the quality of the learning environment, the profession, University, and community are dependent upon active participation of faculty in various organizations and governance tasks. All faculty are expected to take a continuous and active role in addressing the needs of the profession, University, and community through good citizenship and through application of their professional expertise.
2. Each department shall state in its standards those professional, University, and community service activities that are appropriate indicators of service contribution for its faculty.
3. Documentation shall include lists and evidence of all activities with an assessment of their relevance and significance. Such assessment should include, when appropriate, peer and/or external evaluation.
4. All faculty shall contribute to faculty governance and participate in professional or academic organizations. Contributions may include serving as a member or leader of department, college, or University committees; organizing conference sessions; serving on organization boards or committees; being a discussant of presented papers; and participating in other related activities. Evaluation shall assess the quality and significance of service.
5. Faculty may demonstrate further service contributions by engaging in such activities as: serving on systemwide committees, serving the faculty bargaining unit, serving the community through application of knowledge in the discipline, sponsoring student organizations, participating in educational equity and outreach efforts, being interviewed by the media, and authoring publications pertinent to the University's objectives.

IV. UNIVERSITY FACULTY PERSONNEL STANDARDS

A. DEGREE REQUIREMENTS

An earned doctorate or, as appropriate to a position as specified by the department in recruitment documents, a Master of Fine Arts, Master of Music, Master of Library Science, or a masters degree plus a license in Marriage, Family, and Child Counseling or Clinical Social Work is required for appointment to a tenure track position. The doctorate shall have been awarded by a school accredited by one of the following accrediting agencies: Western Association of Schools & Colleges, Northwestern Association of Schools & Colleges, Southern Association of Colleges & Schools, Middle States Association of College & Schools, New England Association of Schools & Colleges, North Central Association of Colleges & Schools. Any other doctorate shall be judged for approval by an ad hoc committee consisting of the Associate Vice President with responsibility

for graduate and international programs, and two members appointed by the chair of the Faculty Personnel Committee.

In certain specialized cases of a highly professional nature, for example, the Daily Titan advisor, significant professional experience may be required in lieu of an advanced degree. In such cases the President may approve a search for candidates with exemplary professional experience but less than a terminal degree. Upon the President's approval of the hire, the candidate shall be eligible to achieve tenure with no additional degrees.

B. GENERAL REQUIREMENTS

Advancement of learning is central to the mission of California State University, Fullerton. We therefore seek to develop and maintain a faculty actively engaged in furthering learning. A productive faculty member engages in three complementary aspects of professional life:

- teaching, both in and out of the classroom, that advances student learning;
 - scholarly and creative activities that foster peer/discipline learning; and
 - service/professional work that supports the advancement of the learning community.
1. Each faculty member is expected to make suitable contributions in all three of the above areas to become a contributing citizen in our community of learners. Retention, tenure, and promotion (RTP) require that increasing levels of achievement be demonstrated in these three areas of performance.
 2. For all RTP actions, performance shall meet established University and Departmental Personnel Standards for a positive decision to be made.
 3. CSUF recognizes that teaching is the most important activity of its faculty. Therefore, teaching shall be the most important criterion for retention, tenure, and/or promotion. CSUF further recognizes that faculty involvement in scholarly/creative activities is also essential. Therefore, scholarly/creative activities shall be the second most important criterion for retention, tenure, and promotion.
 4. These standards state the necessary levels of performance for positive decisions. High quality performance in all three areas shall be required for retention, tenure, and/or promotion.
 5. These standards shall serve as guidelines for development and interpretation of Departmental Personnel Standards. For departments without approved Departmental Personnel Standards, the standards in this document shall be the basis to evaluate faculty performance.

C. CRITERIA FOR EVALUATION OF TEACHING FACULTY

Each level of review shall evaluate the Portfolio according to the criteria that follow:

1. Teaching

Each faculty member shall establish an environment where learning is central, contribute (where appropriate) to degree and certificate programs, and provide opportunities for students to develop the skills necessary to contribute to society.

A successful faculty member demonstrates mastery and currency in his or her discipline, teaches effectively, and helps students to learn both within and outside the classroom.

a. Pedagogical Approach and Methods

The primary objective of pedagogy is to help students to learn. Peer evaluation of teaching performance shall address those factors that contribute to effective

pedagogy including the following: the appropriateness of the breadth and depth of course content to the level of each course taught; the currency of the topics and relevancy of the assignments; and the effectiveness and fairness of testing, other assessment, and grading procedures.

b. Student Response to Instruction

Student opinions of instruction contribute significantly to the evaluation of a faculty member's teaching effectiveness. However, they shall not be used by any level of evaluation as the sole measure of teaching effectiveness. Patterns of objective responses and written comments obtained in different courses over several semesters shall be considered more informative than isolated, individual comments.

Peer evaluation of teaching performance shall address those student opinions of instruction contained in responses to objective questions on student evaluation forms and contained in written comments on these forms. The evaluation shall take into consideration factors such as the number of different courses taught, the number of new preparations assigned to the faculty member, and the characteristics of the classes taught (size, level, required or elective, experimental or traditional pedagogy, etc.). The evaluation also shall take into account the faculty member's overall level of experience and his or her efforts to improve teaching performance.

c. Expectations Regarding Student Achievement

Faculty members are expected to maintain high standards regarding student achievement in all courses taught. The peer evaluation of teaching performance shall address the evidence in the Portfolio relating to academic standards including summaries of grades awarded in each class taught.

d. Ongoing Professional Development as a Teacher

Each faculty member is expected to show evidence of an ongoing program to maintain and improve his or her teaching effectiveness. This program should include self-assessment of teaching objectives and methods and student achievement, participation in pedagogical seminars and workshops, and familiarity with the pedagogical literature in the faculty member's discipline. When specific weaknesses have been identified in prior evaluation(s), the faculty member shall include in the Portfolio specific plans to remedy these weaknesses.

e. On-going Professional Development in the Discipline

All faculty are expected to maintain currency in their disciplines by conference participation and/or other interaction with their colleagues. Scholarly and creative activities are expected to be reflected, as appropriate, in teaching methods and student participation in collaborative research and creative undertakings.

2. Scholarship and Creative Accomplishments

Each faculty member shall establish a record of scholarly/creative endeavor that generates, integrates and/or disseminates knowledge. When appropriate, these endeavors shall be integrated with teaching, actively involve students, and attract external support.

A successful faculty member has a well-defined and focused scholarly/creative agenda, is committed to continued growth and accomplishment, and has produced exhibitions, performances, peer-reviewed publications, and/or other high quality accomplishments.

a. Accomplishments

Faculty shall demonstrate continuing, regular activities that result (or are judged likely to result, in the case of second and third year probationary faculty) in high quality peer-reviewed scholarly publications, or creative performances or exhibits.

Quantity does not substitute for quality. Evaluation shall consider the importance of each achievement (e.g. the status of a journal, press or venue, whether a publication is an article or a note and whether a performance or exhibition is regional, national, or international in scope) and the faculty member's contribution in the case of co-authored or other collaborative work.

b. On-Going Activities

Evidence of on-going activities includes grant proposals to extramural funding sources; final reports to granting agencies; papers presented before peers or at professional conferences; invitations to be a discussant at professional meetings; working papers; exhibitions, performances and the like; and/or submitted manuscripts.

3. Professional, University, And Community Service

Each faculty member shall contribute to the profession, to the University, and to the community through appropriate professional and service activities. Such activities may develop mutually beneficial working partnerships, serve the needs of the profession and/or external community, enhance the campus' role as a regional center, and/or strengthen institutional effectiveness and collegial governance.

A successful faculty member is actively involved in professional, University, and/or community activities with clearly defined objectives for that involvement.

D. CRITERIA FOR EVALUATION OF LIBRARY FACULTY

1. Performance as Librarian

Evidence shall be included of achievement and competence in each of the following areas in which the library faculty member has participated:

- a. Instruction and Reference,
- b. Collection Development and Bibliographic Access, and
- c. Administration and Management.

Documentation shall include, but is not limited to, the following materials: student opinion data, statistical summaries, and other evidence of teaching quality as outlined in IV.C.1. above; assessment provided by members of the University and professional community; honors, awards, or media reporting of achievements; relevant statistical or narrative data from University records; and self-assessment of performance.

2. Professional Growth and Scholarly/Creative Activities

The faculty member is expected to engage in an appropriate program of professional development and scholarly/creative activities with the two-fold purpose of

- a. strengthening and updating professional expertise, and
- b. contributing to the advancement of knowledge and abilities within the information community.

Included in such activities are scholarly research, publications, exhibits, reviews, and presentations; activities leading to the improvement of specific skills, such as innovative applications of instructional/informational technology; grant and contract activity,

participation in professional organizations; formal post-MLS studies; attendance at professional conferences, workshops, or seminars; receipt of professional honors or awards; and other scholarly/creative activities. The department, Library, and University shall assess the rigor, academic value, and relevance of these activities to the individual's position.

3. University and Community Service

The faculty member is expected to act in a collegial manner by participating fully, productively, and collaboratively in the collective efforts and functions of the department, Library, and University.

Committee and individual activities to enhance the goals of the University, Library, and department, as well as contributions to the community are among the responsibilities of all faculty. These activities include committee participation at department, Library, and University levels; individual and group projects directed toward department, Library, and University goals; mentoring of colleagues; and contributions to the community at large such as organizational leadership and presentations, as well as other relevant participation in groups serving the public interest. Those public service contributions that relate directly to one's position shall be given greater consideration.

E. CRITERIA FOR EVALUATION OF COUNSELOR FACULTY

The criteria on which reappointment, tenure, and promotion of counselor faculty are based shall reflect the unique characteristics of counseling and the responsibilities inherent in the academic support role counselors perform. Primary emphasis will be given to assuring a high level of competence in their primary responsibility as defined in their job description. Counseling is an essential part of the University. Counselors, in providing counseling and psychological services to students, foster the learning experience inside and outside of the classroom, and these responsibilities are analogous to those of the teaching faculty. The work of counselors requires continuing acquisition and application of knowledge and abilities unique to the profession of counseling. Therefore, both the professional environment and the work of counselors differ in some important ways from those of the teaching faculty. Criteria for evaluating counselors shall emphasize the responsibilities inherent in their academic appointments while reflecting the unique characteristics and standards of the counseling profession. The criteria on which retention, tenure, and promotion shall be based require that increasing levels of achievement be demonstrated in three areas of performance: professional counseling performance and learning; professional and scholarly activities and development; and service to the department, division, University, and community.

The first criterion, "professional counseling performance," shall be the primary and essential criterion. Hence, primary emphasis will be given to assuring that, in the area of counseling related activity, counselor faculty demonstrate a high level of competence. For all personnel decisions, performance in counseling-related activity shall outweigh performance in the other two areas. It is expected that individual counselor faculty members will vary in the amount of effort invested and the quality of performance achieved within the other two areas. In the end, it is the overall contribution of each counselor faculty member in meeting the educational objectives of their respective department, division, and the University that shall be assessed.

1. Professional Counseling Performance

A successful counselor faculty member shall demonstrate mastery and continuing currency; employ a variety of counseling modes and assessment methods; and be academically involved with and communicate effectively with students, both inside and outside the office.

The counselor shall be able to counsel effectively individual clients in the full range of psychological issues that may include but not be limited to anxiety, depression, eating

disorders, substance abuse, interpersonal conflict, self-esteem, family problems, sleep disorders, stress overload, sexual problems, learning disability, crisis intervention, and suicidal threats. The counselor shall be competent in the use and/or understanding of psychological assessment and research. In addition the counselor shall be competent in small group counseling techniques that may address the personal issues listed above. The counselor shall be proficient at teaching classes as appropriate and required.

Emphasis shall be given both to student evaluations of counseling and colleagues' evaluations of case presentations as a means of assessing counseling performance. In addition to collecting student opinion forms of counseling, probationary counselor faculty are required to make annually a formal case presentation for peer review. Competent counseling includes maintaining current knowledge of counseling research and theory.

A high level of competence shall be demonstrated by favorable student opinion data, positive peer evaluations, and other supporting documentation of competent counseling. Counselors are expected to assist their departments in meeting all of their goals for providing service to students individually and in small groups or classes. Any individual may have more to contribute in one of these areas than another.

2. Professional and Scholarly Activities and Development

A successful counselor faculty member has a well-defined and focused professional/scholarly/creative agenda, is committed to continued growth and accomplishment, and has produced counseling-related accomplishments that have been judged of high quality by other members of the counseling profession.

The standards listed below shall determine those professional and/or scholarly activities and development that are appropriate indicators of professional growth for the counselor faculty.

The counselor is expected to provide a summary of evidence of continuing professional development and updating of knowledge and skills, particularly in areas of primary responsibility within the division. This development and updating may be demonstrated by evidence of such activities as formal education at the graduate or undergraduate level appropriate to areas of responsibilities; research; publishing of books or articles in professional or scholarly journals or databases; creative activities which do not lead to formal publication (e.g. intake or survey protocols); attendance at workshops and seminars for the purpose of continuing education (both formal and informal); presenting papers at professional or scholarly meetings; leadership in or organization of workshops, seminars, and professional organizations; participation in the professional development of colleagues; observation and evaluation of other counseling programs and appropriate educational institutions; membership in professional organizations or on professional committees; critiques of manuscripts, articles, and other works for journals and publishers; and other activities deemed appropriate indicators of continuing professional development and updating of knowledge and skills.

3. Service to the Department, Division, University and Community

A successful counselor faculty member shall be actively involved in professional, University, and/or community activities with clearly defined objectives for that involvement.

Each counselor faculty member shall summarize and list evidence of the following: service on University committees and offices held in such committees; other service to the University such as lectures delivered to University audiences or service in connection with other University functions and activities; department and division committee membership; service to faculty; service to the community, such as honorary or active positions in community organizations; lectures, seminars or workshops delivered to community groups; special services rendered to community groups or organizations; or

participation in special community activities. The community is not to be geographically limited to Orange County.

F. REQUIREMENTS FOR RETENTION

The goal of the RTP process is to produce faculty members who qualify for tenure after their probationary employment. To be retained during the probationary period, a faculty member is required to demonstrate progress toward tenure such that a positive tenure decision is likely. A probationary faculty member is required to show appropriate accomplishments, growth, and promise in each of the three areas of assessment. Moreover, when weaknesses have been identified in earlier review cycles, a probationary faculty member is expected to address these weaknesses explicitly and show appropriate improvement. The decision to retain (reappoint) a probationary faculty member is an affirmation that satisfactory progress is being made toward tenure; therefore, a probationary faculty member shall not be retained if the cumulative progress toward tenure is insufficient to indicate that requirements for tenure appear likely to be met.

G. REQUIREMENTS FOR TENURE

1. The granting of tenure is the most significant personnel action that the University takes, because it represents an affirmation that the probationary faculty member will be an asset to the University over his or her entire career. Therefore, a positive tenure decision requires that the probationary faculty member has displayed accomplishments, growth, and future potential that meets the expectations stated in UPS 210.000 and Departmental Personnel Standards.
2. The decision to grant tenure shall be based solely on an evaluation of the faculty member's performance as documented by the evidence contained in the Portfolio. Tenure is expected if the faculty member's accomplishments are of sufficient quality and meet expectations stated in UPS 210.000 and Departmental Personnel Standards.
3. Early tenure requires that all expectations for the entire probationary period have been met and that performance in teaching and one other area exceed the expectations stated in UPS 210.000 and the Department Personnel Standards.

H. REQUIREMENTS FOR PROMOTION

1. Promotion to Associate Professor is automatic with the granting of tenure.
2. Early Promotion to Associate Professor requires that the probationary faculty member has displayed accomplishments, growth, and future potential that strongly indicate that (s)he will, by the completion of the probationary period, meet the expectations for tenure stated in this document and Departmental Personnel Standards. In addition, performance in teaching and at least one other area as determined by the department shall have exceeded these expectations.
3. Because the professoriate entails continual growth and reassessment, the University expects that tenured faculty will continue to strive for excellence in all three areas of performance, and that successful faculty members will display accomplishments, growth, and future potential throughout their careers. Therefore, the decision to grant promotion to the rank of professor shall be based on a record that indicates sustained vitality and commitment to the standards described above.
4. A candidate for promotion may withdraw his or her promotion request without prejudice at any level of review prior to the final decision.

V. PROCEDURES FOR RTP EVALUATIONS, RECOMMENDATIONS, AND DECISIONS

A. GENERAL PRINCIPLES

1. At all levels of review, those responsible for evaluating faculty and recommending actions shall evaluate each Portfolio (which is the functional equivalent of the Working Personnel Action File) with clear and specific reference to the applicable personnel standards. The applicable personnel standards shall be the approved Departmental Personnel Standards, or, in the absence of such standards, Section IV of this document. Recommendations at each level of review, and the decision, shall be supported by written evaluations.
2. Retention, tenure, and promotion of a faculty member shall always be determined on the basis of competence and professional performance and not on the basis of beliefs, or any basis which constitutes an infringement of academic freedom. Personal matters are relevant to retention, tenure, or promotion only when they clearly affect performance as a faculty member.
3. The Faculty Personnel Committee is authorized to interpret both this document and Departmental Personnel Standards in cases of dispute.
4. The possibility that lack of funds or lack of work may make a faculty position unavailable shall never be considered in applying the procedures described in this document. Layoff is entirely separate from retention, promotion, and tenure decisions.
5. The faculty member and persons accompanying him or her shall have access to his or her Portfolio at all reasonable times except when the Portfolio is actually being reviewed at some level. Formal written request for photocopies of any material in the Portfolio or Personnel Action File (PAF) may be made at any time by the faculty member and shall be directed to Faculty Affairs and Records which shall provide the copies. Informal requests for copies may be filled by the department, but no department or division shall be required to provide an excessive number of photocopies of any material in the Portfolio to the faculty member.
6. Service in the personnel evaluation process is part of the normal and reasonable duties of tenured faculty. Lobbying or harassing of such persons in the performance of these duties constitutes unprofessional conduct.

B. PROCESS OF EVALUATION, RECOMMENDATION, AND DECISION

The levels of review shall include the department personnel committee (DPC), the department chair (except when the chair is ineligible), the dean, the Faculty Personnel Committee (FPC), the Vice President for Academic Affairs (VPAA) [the Vice President for Student Affairs (VPSA), for counselor faculty], and the President. All levels recommend to the President, who is responsible for all RTP decisions.

C. RESPONSIBILITIES OF DEPARTMENT CHAIRS

Chairs' responsibilities are as follows: (All chairs shall meet responsibilities in #1-5 below. Tenured chairs not seeking promotion shall also meet the responsibilities in #6 - 18.)

1. To communicate the standards and criteria for RTP to all department faculty members.
2. To inform each new faculty member within two weeks after his or her assumption of official duties at the University of all personnel procedures including those covered by this document.
3. To consult with each newly appointed probationary faculty member and designate one or more tenured faculty members as mentor(s). Before the end of the first two weeks of the

fall semester, the department chair shall consult with the probationary faculty member concerning appropriate faculty mentors and shall designate one or more tenured faculty members as mentors. In the event that the chair serves as a mentor, at least one additional mentor shall be designated. At any time thereafter, the probationary faculty member or mentor may request the department chair to make a change of assignment.

The primary responsibility of the mentor(s) is to provide guidance, advice, and support to the probationary faculty member during the preparation of the Developmental Narrative.

4. To provide guidance, advice, and support to assist probationary faculty in preparing their Developmental Narratives.
5. To provide the probationary faculty member with written feedback on his/her Developmental Narrative prior to May 1st.
6. To consult, during the spring semester, with each faculty member for whom a personnel recommendation will be made during the following fall semester to assure that the annual updating of the Portfolio has been initiated and that the compilation is proceeding according to the requirements of this document. Such consultation should be documented.
7. To assess whether the faculty member has included all the required elements in the Portfolio, and, where necessary, to counsel the faculty member concerning the contents of the Portfolio. To obtain a signature on the signature form that the faculty member has read the entire Portfolio.
8. To evaluate the performance of the faculty member based upon the Portfolio. This evaluation shall be typed and signed but retained by the chair until the department personnel committee has written its evaluation.
9. To add to the Portfolio a signed evaluation by the previous chair when the current department chair is newly appointed in the fall semester, and if the previous chair so desires. However, the new chair shall make the final recommendation.
10. To forward the Portfolio to the department personnel committee (DPC).
11. To forward to the DPC the chair's evaluation once the DPC evaluations are completed.
12. To receive the evaluation report and recommendation of the DPC.
13. To show both the committee's and his or her own evaluations to the faculty member and to provide the faculty member with a copy of the DPC recommendation. At this time, the chair shall ask the faculty member whether he or she wishes to add a response or rebuttal to the DPC recommendation to the Portfolio. If the faculty member does so wish, the Portfolio shall be held by the chair for seven (7) days while the faculty member does so. A copy of the response or rebuttal shall be forwarded to the chair of the DPC.

Whether or not the faculty member chooses to add a response or rebuttal to the file, the chair shall require the faculty member to signify the option chosen by signing a signature form. Such a signature in no way indicates the faculty member's approval of the evaluations or recommendations, but only that these have been read and he or she has received a copy of the DPC recommendation.

14. To make a recommendation which shall be signed by the chair and which shall include in writing the reasons for the recommendation. The chair shall provide a copy of the recommendation to the faculty member and to the chair of the DPC. The chair shall again inform the faculty member of his or her option to respond to or rebut the recommendation of the chair within seven (7) days and his or her obligation to signify the option chosen by signing the signature form. If the faculty member adds a response or rebuttal to the chair's recommendation, a copy shall be forwarded to the chair of the DPC.

15. To permit any faculty member to have access to his or her Portfolio at any time it is under the department chair's control or to arrange for such access when it is not under the chair's control.
16. To be available for consultation to the DPC, though otherwise being absent from the committee's meetings during its deliberations.
17. To ensure that the DPC completes its review and submits its recommendations to the department chair by the appropriate date each year.
18. To transmit the Portfolio and the recommendations to the college dean.

D. RESPONSIBILITIES OF THE DEPARTMENT PERSONNEL COMMITTEE

1. To review and evaluate in writing the Portfolio of each faculty member to be considered for retention, tenure, or promotion. In this evaluation, the DPC shall comment upon the candidate's qualifications under each category of the criteria listed in Section IV. The evaluation report shall incorporate a discussion of all points of view held by members of the committee.
2. To receive and review the chair's evaluation.
3. To formulate a recommendation which shall state in writing the reasons for the recommendation. The recommendation and evaluation report shall be approved by a simple majority vote of the DPC and signed by the chair and all members of the DPC. The vote tabulation shall be recorded on the recommendation form.
4. To sign the recommendation form in alphabetical order. The order of the signatures shall not indicate the way individual members voted.
5. To return the entire file, including the evaluation and recommendation, to the department chair.

E. RESPONSIBILITIES OF DEANS

1. To assume responsibilities of the department chair as listed in V.A. 6-18 when the department chair is ineligible to participate in the evaluation process. The dean, however, shall recommend only as dean and not in lieu of the department chair.
2. To make a recommendation in each case, including a written statement giving the reasons for the recommendation.
3. To provide copies of the recommendation to the faculty member and to all prior levels of review.
4. To inform the faculty member of his or her right to response or rebuttal within seven (7) days, and of his or her obligation to indicate the option chosen on the signature form. If the faculty member wishes to respond or rebut, the Portfolio shall be held by the dean for seven (7) days.
5. To provide copies of any such responses or rebuttals to all prior levels of review.
6. To forward the Portfolio to Faculty Affairs and Records.
7. To provide the probationary faculty member with written feedback on his/her Developmental Narrative prior to May 1st.

F. RESPONSIBILITIES OF THE FACULTY PERSONNEL COMMITTEE

- 1 To evaluate and make recommendations regarding RTP actions only when

- a. there is a lack of agreement among previous levels of review;
 - b. the President requests FPC evaluation and recommendation, or proposes action contrary to the college recommendation;
 - c. the VPAA (VPSA for counselor faculty) makes a recommendation contrary to the college's;
 - d. all levels of recommendation within the college are negative;
 - e. there are no approved Department Personnel Standards; or
 - f. requested by the faculty member under review or by any prior level of review.
2. To convene a conference involving all prior levels of review when necessary to clarify for the FPC interpretations of material in the Portfolio or discuss points of disagreement. Each of the prior levels of review may, within five (5) working days after the conference, submit a new recommendation, in which case the reasons for any changes shall be stated in writing.
 3. To provide copies of the FPC recommendations and all post-conference recommendations, if any, to the faculty member and to all previous levels of review.
 4. To inform the faculty member of his or her right to response or rebuttal to the recommendation within seven (7) days and his or her obligation to indicate the option chosen on the signature form.
 5. To provide copies of the response or rebuttal to all previous levels of review.
 6. To forward the Portfolio to the Vice President for Academic Affairs (VPSA for counselor faculty).
 7. To review and comment on proposed Department Personnel Standards, or revisions thereto, and recommend approval, disapproval, or amendments to the appropriate vice president.

G. RESPONSIBILITIES OF THE VICE PRESIDENT FOR ACADEMIC AFFAIRS [VPSA FOR COUNSELOR FACULTY]

1. To review each Portfolio (except for counselor faculty) and recommend action to the President.
2. To provide copies of his/her recommendation and the basis for it to the faculty member and all prior levels of review.
3. To inform the faculty member of his or her right to response or rebuttal within seven (7) days, and of his or her obligation to indicate the option chosen on the signature form. If the faculty member wishes to respond or rebut, the Portfolio shall be held by the Vice President for seven (7) days.
4. To provide copies of any such responses or rebuttals to all prior levels of review.
5. To forward the Portfolio to the President.

H. RESPONSIBILITIES OF THE PRESIDENT

1. To confer with the department chair involved and with the Faculty Personnel Committee, if the President is considering a personnel action provided for in this document in a way which is contrary to a majority vote (including a tie vote) of the FPC.
2. To notify faculty in writing, which shall in the instance of denial include the reasons, of the final decision in accordance with the following deadlines: retention (probationary faculty who have served less than two years), February 15; retention (probationary

faculty who have served more than two years), June 1; tenure, June 1; promotion, June 15. Copies of such notices shall be given to the department chair, the DPC chair, the dean and the FPC chair.

I. RESPONSIBILITY FOR THE PORTFOLIO

1. Once submitted, the Portfolio becomes by reference part of the Personnel Action File (PAF) and the property of the University and may not be removed from the University.
2. During the review process, each level of review shall be responsible for retaining the Portfolio until it is forwarded to the next level of review.
3. Should departments/divisions wish to retain copies of Portfolio materials, copies shall be made before the file is forwarded to the dean.
4. After completion of the review process, the Portfolio is retained by the office of Faculty Affairs and Records, but the appendices are returned to the faculty member.

J. CONFIDENTIALITY

1. California Law (Civil Code, Section 1798) provides that no personal records of state employees may be disclosed to others except under certain specified conditions. It is the explicit object of this legislation to protect the privacy of employees. Anyone participating knowingly in unauthorized disclosures of information from personnel records is subject to both civil and criminal penalties. The fact that an employee has himself or herself disclosed an item or information to others is not listed by the State as one of the specific conditions justifying the release of the file to others.
2. Every effort shall be made by everyone connected with this personnel process to safeguard the contents of Portfolios and access to them. The department chair or the dean when the department chair is ineligible to participate in the personnel evaluation process, is responsible for the security of the Portfolio except when it has been forwarded for review.

K. ELIGIBILITY TO PARTICIPATE IN THE PERSONNEL PROCESS

1. No faculty member shall recommend in personnel decisions on any individual case at more than one level.
2. A faculty member, including the department chair, shall not serve in the personnel evaluation process if he or she is untenured or during any period in which he or she is the subject of a personnel review involving his or her promotion.
3. A faculty member being reviewed under UPS 210.020, Review of Tenured Faculty, is eligible for service on the DPC except for review of his or her own file.
4. In promotion considerations, peer review committee members shall have a higher rank or classification than those being considered for promotion.

L. TIMING OF REVIEW CYCLES: TYPES OF RECOMMENDATIONS

In order to make workloads feasible, reviews of different classes of faculty for different possible personnel actions shall take place at different periods. The review cycles for each class shall be specified annually by the President in consultation with the Faculty Personnel Committee.

Probationary faculty are reviewed every year. Full performance reviews take place in years two, four and six, and periodic reviews in years three and five. However, when a performance review

finds that standards were not met in one or more area, performance review shall also take place in the subsequent year.

Faculty members with satisfactory evaluations in their full performance reviews during year 2 or year 4 would, in the following year (year 3 or year 5, respectively), submit a "Review File." The Review File comprises only two items: (1) an updated curriculum vitae and (2) statistical summaries of student ratings of instruction for the period since the last full performance review. When subject to a periodic review, the faculty member shall submit the Review File by October 1, review of which shall be completed by June 1. The DPC, the Department Chair, and the appropriate administrator shall provide a signed statement indicating that the Review File was received, reviewed, and evaluated. The faculty member shall receive a copy of the signed statement, and a copy shall be forwarded to Faculty Affairs and Records for placement in the faculty member's Personnel Action File. The faculty member, the Department Chair, or the appropriate administrator may request a consultation meeting to discuss the faculty member's progress.

1. First Year Probationary Faculty

During the first year of employment in a tenure-track position, each faculty member shall prepare a Developmental Narrative (each of three narratives not to exceed 500 words each), but is not otherwise reviewed, whether or not he or she has received service credit.

2. Second Year Probationary Faculty

During the second year of employment in a tenure-track position, each faculty member shall submit a Portfolio, whether or not (s)he has received service credit. These shall be submitted by September 15, and shall be subjected to a Performance Review, to be completed by February 15, at which time the faculty member shall be notified of the outcome. Possible outcomes:

- a. a third probationary year or termination at the end of the second year;
- b. a fourth probationary year or a fourth terminal year if one year of service credit was granted;
- c. A fifth probationary year or a fifth terminal year if two years of service credit were granted.

3. Third Year Probationary Faculty

Each third year probationary faculty member is subject to a periodic review by the department personnel committee, the department chair, and the appropriate administrator. A periodic review can only result in an additional probationary year.

4. Fourth Year Probationary Faculty

Each fourth year probationary faculty member shall complete a Portfolio by October 1, a performance review of which shall be completed by June 1. Possible outcomes: a fifth probationary year or a terminal year.

5. Fifth Year Probationary Faculty

Each fifth year probationary faculty member is subject to a periodic review by the department personnel committee, the department chair, and the appropriate administrator. This periodic review can only result in an additional probationary year.

6. Sixth Year Probationary Faculty

Each sixth year probationary faculty member shall complete a Portfolio by October 1, a performance review of which shall be completed by June 1. Possible outcomes: tenure effective the following year, or a terminal year.

7. Faculty Applying for Promotion

Each faculty member applying for early promotion shall submit a written request as noted in Section I.F.

A tenured faculty member applying for promotion shall submit a Portfolio by October 1, a full review of which shall be completed by June 15. A third or fifth year probationary faculty member applying for promotion shall submit a Portfolio by October 1, a performance review of which shall be completed by June 15. Second, fourth, and sixth year probationary faculty shall submit Portfolios as noted in the retention tenure review timetable.

8. Faculty on Leave

Normally, probationary faculty cannot take a leave during their first year of service and are normally limited to one year of leave without pay during the probationary period. Faculty members on professional leaves shall be considered for tenure and/or promotion if eligible. Faculty on such leaves are reviewed as they would be had they remained on the campus; Portfolios shall be submitted accordingly.

If any stage of a performance review has not been completed within the specified period of time, the performance review shall be automatically transferred to the next level of review or appropriate administrator for evaluations and recommendation, and the faculty member shall be so notified.

VI. DEPARTMENT RESPONSIBILITIES FOR PERSONNEL PROCESSES OUTSIDE THE REVIEW CYCLE

A. EACH DEPARTMENT IS RESPONSIBLE FOR:

1. Selection of a department personnel committee;
2. Development of Departmental Personnel Standards;
3. Adoption of one or more standard forms for Student Opinion of Teaching; and
4. Securing approval of the Departmental Personnel Standards and the forms for Student Opinion of Teaching, as required by this policy.

B. ELECTION OF THE DEPARTMENT PERSONNEL COMMITTEE

1. It is the responsibility of the department chair to arrange for the election of a department personnel committee and alternate(s) and to refer to it all cases for which action is appropriate. The department chair shall also ensure that all members of this committee are familiar with their responsibility for evaluating the performance of those to be considered.
2. Each department shall determine the method of selecting the members of its personnel committee. The method shall offer department members a choice. Election of the personnel committee shall be by secret ballot.
3. No later than the end of the second week of classes of the fall semester, each department shall elect a personnel committee of not fewer than three members, who shall be from within the department if possible. These members shall have been granted tenure and shall not include the chair of any department. No person shall serve on a personnel committee when that person will be on any type of leave during the year of service on said committee. (See section V.K also.) At the department's option, and if it does not have at least four tenured faculty other than the chair, it may select one or more tenured faculty for its personnel committee from related disciplines.

If a department does not have enough eligible members to provide a choice for the faculty of the department, that is, at least four tenured faculty other than the chair, it shall

select a personnel committee of only three members from a slate of at least four. This slate shall be composed of all eligible department members, except for the chair, and shall include one or more tenured faculty from related disciplines.

4. Departments shall elect, at the time of election of the regular personnel committee, at least one tenured faculty member, other than the department chair, to serve as alternate(s) for members of the department committee. Departmental Personnel Standards shall set forth the conditions under which alternate(s) may serve. In any case, if by self-disqualification the department committee is reduced to fewer than three members, alternate(s) shall serve as temporary replacement(s).
5. Names of faculty members, including alternate(s) who will be serving on department committees, shall be transmitted by the department chair to the Faculty Personnel Committee, the office of Faculty Affairs and Records, and the appropriate college deans within five working days after they are selected.

C. DEPARTMENTAL PERSONNEL STANDARDS FOR PERSONNEL ACTIONS

1. Each department shall develop standards for the evaluation of faculty members of that department. These standards shall be consistent with Section IV of this document and shall indicate the specific range of activities and levels of performance necessary to meet requirements for positive retention, promotion and tenure decisions. Methods used by the department in evaluating performance shall be clear, objective, and reasonable. Methods used for quantifying any information shall be as uncomplicated as possible.
2. Approved Departmental Personnel Standards are controlling documents in all personnel decisions. If agreement on standards has not been reached, there are no approved Departmental Personnel Standards. In such cases, personnel decisions in the department shall be controlled by the standards in Section IV of this document.
3. The process for developing and approving Departmental Personnel Standards shall be as follows:
 - a. Proposed Departmental Personnel Standards or revisions to previously approved standards shall be drafted by the department personnel committee in consultation with the department chair. Copies of the draft document shall be distributed by the department chair to all members of the department. Department members shall have the opportunity to suggest, in writing, amendments to the draft. The members of the department shall vote on this document. No later than September 20 of the academic year prior to the academic year in which they are to go into effect, these departmentally approved standards or revisions shall be forwarded by the department chair to the appropriate dean.
 - b. The primary purpose of review by the dean is to ensure that the standards conform with the standards of the college. If the dean does not approve the standards, he or she shall meet with the chair of the DPC to suggest revisions. Such revisions shall be approved by vote of the department faculty prior to forwarding to the Faculty Personnel Committee. The dean shall forward the standards to the Faculty Personnel Committee no later than November 1, with a memorandum that either indicates approval or describes the points of disagreement between the dean and the department.
 - c. The primary purpose of the Faculty Personnel Committee review of the standards is to check them for conformity to the standards and practices of the University as specified in this document and in the body of previously approved standards. The FPC shall also check standards for coherence and precision. No later than December 1, the FPC shall review the standards and recommend to the VPAA (VPSA, for counselor faculty) either (1) approval, without modification;

- (2) approval, with modifications or concerns as specified; or (3) disapproval, with reasons specified.
- d. Should the FPC recommend disapproval or should the vice president be considering disapproval of proposed standards, a conference shall be held, no later than February 10, among the DPC, the department chair, the dean, the FPC, and the VPAA (VPSA, for counselor faculty) to discuss revision of the standards. Following this conference, the department shall consider revisions, which shall be approved by vote of the department faculty. No later than March 1, the department shall submit suitably revised standards to the vice president with a memorandum indicating any modifications and rationale for them.
 - e. All Departmental Personnel Standards require the approval of the Vice President for Academic Affairs (VPSA, for counselor faculty). The vice president shall issue such approval or disapprove in writing stating the reasons for disapproval, no later than March 30. Should the vice president disapprove, the department shall have the opportunity to submit suitably revised standards no later than April 30. The vice president shall approve or disapprove such revised standards no later than May 15.
 - f. Upon approval by the vice president, Departmental Personnel Standards shall be in effect without further review until the department revises them or until the vice president withdraws approval of them. Approval shall be withdrawn after consultation with the FPC and only on the ground that the standards do not conform to University policy.
 - g. Approved Departmental Personnel Standards shall be reviewed by the department as part of each program performance review. The outcome of this discussion may be proposed revisions or reaffirmation of the existing standards. In either event a summary of the discussion shall be forwarded to the Faculty Personnel Committee via Faculty Affairs and Records.
 - h. Departmental Personnel Standards shall not conflict with law or University policy. In no case may Departmental Personnel Standards require lower substantive levels of performance than those required by law, University policy, or Section IV of this document.
 - i. Student Opinion forms must be included as an attachment to Departmental Personnel Standards.
 - j. Departments shall not change their standards without going through the approval process described herein.

D. FORMS FOR STUDENT OPINION OF TEACHING

- 1. All departments shall adopt one or more forms to ascertain student opinions of teaching. The same form shall be used in all classes of the same kind: e.g. undergraduate course sections, lab course sections, internships, seminars, etc.
- 2. All forms utilized for personnel actions shall include adequate space for written student comments. Students shall be informed at the time of evaluation that they have the right to include written comments.
- 3. The following are guidelines that departments shall follow in the administration and use of student opinion forms:
 - a. Anonymity of student responses shall be assured.
 - b. Student opinions of this nature shall be collected toward the end of the semester.

- c. Student opinion forms or summaries shall be administered in the absence of the instructor by someone other than the instructor and shown to the instructor only after the final grades have been turned in.
 - d. These forms are the property of the University.
4. Each department shall develop department guidelines for the evaluation of teaching performance so that student opinion forms (or summaries) submitted in the Portfolio can be interpreted.
5. The Faculty Personnel Committee is empowered to approve department student opinion forms and methods of data presentation. If that committee determines that forms in use or methods of data presentation do not meet the requirements of this document, it shall recommend modifications to the department.
6. Any changes in student opinion forms must be approved by the Faculty Personnel Committee.

EFFECTIVE DATE: January 25, 2007

Supersedes: UPS 210.000 dated April 8, 2004

and ASD 06-206

Source: Council of Deans and Academic Senate Executive Committee 11-28-06