

**University Policy Statement  
California State University, Fullerton**

**UPS 210.000  
FACULTY PERSONNEL POLICY AND PROCEDURES**

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## **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, library, and counselor faculty. Appropriate criteria for each group of faculty are specified in Section II below.
3. 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.
4. Throughout this document, the word *shall* indicates mandatory action; the word *may* indicates permissive action.

### **B. APPOINTMENT**

Appointments of faculty are of two kinds:

#### **1. Probationary Status**

A probationary faculty member is normally given a two-year appointment.

Tenure-track faculty members are considered probationary faculty until they are awarded tenure or terminated. Probationary faculty members may be terminated for performance by decision of the President at the end of their second probationary year without further employment at the University. Faculty members 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 members are subject to Full Performance Reviews when they apply for promotion to Professor.

### **C. PERSONNEL ACTION FILE**

The term Personnel Action File refers to the one official personnel file containing employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. The File is maintained in the Office of Faculty Affairs and Records. All information to be inserted in the Personnel Action File is subject to notification of the faculty member.

### **D. RANKS**

Probationary and tenured teaching faculty members are appointed as Assistant Professor, Associate Professor, or Professor. Probationary and tenured library faculty members 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.

### **E. 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 or equivalent, may grant to a probationary faculty member up to two years of service credit. Service credit is time counted toward the normal six year probationary period. 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. Unless specified in the appointment letter, service credit shall be for a period immediately preceding appointment.
3. When prior service credit has been granted, Full Performance Reviews for retention, tenure, and promotion shall include documentation of accomplishments during those specific years for which the service credit was granted.
4. In evaluations for retention, tenure, and promotion, accomplishments during service credit years shall be weighed in reasonable proportion to those achieved during probationary years at CSUF. However, accomplishments during service credit years shall never be sufficient in and of themselves for the granting of promotion and/or tenure.

#### **F. SERVICE SALARY INCREASES (SSI)**

A Service Salary Increase (SSI) refers 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 or CBA) and satisfactory performance in all areas of performance as specified in approved Departmental Personnel Standards and UPS 210.000. SSIs are awarded by a Dean or equivalent (Librarian for library faculty; Associate Vice President for Student Affairs for counselor faculty) during those fiscal years in which the CBA has specifically provided for the awarding of SSIs. The Dean (or equivalent) must consult with the Department Personnel Committee (DPC) and Department Chair before a decision is made not to award an SSI.

#### **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 members shall normally be considered for tenure during the sixth probationary year, regardless of the rank at which they were appointed.
3. Probationary faculty members may be granted tenure at any time after their first year of appointment.
4. A written 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 early tenure may be reappointed to probationary status.
5. 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 DPC, Department Chair, Dean or equivalent; Faculty Personnel Committee (FPC), and appropriate Vice President.

#### **H. PROMOTION**

1. A probationary faculty member shall normally be considered for promotion at the same time as the tenure decision. Under exceptional circumstances, a faculty member may be considered for early promotion after completing at least one year of service in rank at CSUF.

Promotion of a tenured faculty member to Professor shall normally be considered, upon request by the faculty member, 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."

#### **I. EARLY PROMOTION AND EARLY TENURE**

In order to be considered for early promotion or early tenure, the eligible faculty member shall apply in writing to Faculty Affairs and Records on or before September 10.

#### **J. PORTFOLIO AND APPENDICES**

Probationary faculty subject to Full Performance Review and tenured faculty applying for promotion shall prepare a Portfolio that summarizes the evidence for any RTP decision in the three areas of evaluation:

Teaching, Scholarly and Creative Accomplishments, and Service. The Appendices to the Portfolio provide the documentation for the materials referred to in the Portfolio. A detailed description of the Portfolio and Appendices is provided in Section III.B.

#### **K. TIMING OF REVIEW CYCLES AND TYPES OF RECOMMENDATIONS**

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

##### **Full Performance Reviews and Abbreviated Reviews**

Probationary faculty members are reviewed every year.

**Full Performance Reviews:** Probationary faculty members shall be subject to Full Performance Reviews during their second, fourth, and sixth years of service before they can be re-appointed to a third or fifth probationary year or granted tenure. For such Full Performance Reviews, the faculty member must prepare a Portfolio and Appendices covering the entire period of service. The outcome of any Full Performance Review for probationary faculty can be retention, promotion, tenure, or termination. For tenured faculty, the outcome can be the awarding or denial of promotion. A Full Performance Review may be requested for any probationary faculty member at any level of review for probationary years three or five when, typically, only an Abbreviated Review would be required. If the President agrees and requires a Full Performance Review for a faculty member in probationary year three or year five, then the rules governing Full Performance Reviews apply.

**Abbreviated Reviews:** 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 three items: (1) an updated curriculum vitae, (2) statistical summaries of Student Opinion Questionnaires, and (3) grade distributions for the period since the last full performance review. When subject to an abbreviated or 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 Dean (or equivalent) 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 Dean (or equivalent) 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 Prospectus (see III.A.), 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 and Appendices, whether or not service credit was received. These shall be submitted by September 15, and shall be subjected to a Full Performance Review, to be completed by February 15, at which time the faculty member shall be notified of the outcome.

Possible outcomes are:

- 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 typically subject to an Abbreviated Review by the Department Personnel Committee, the Department Chair, and the appropriate administrator. An Abbreviated Review can only result in an additional probationary year.

In cases where a third year probationary faculty member is required to complete a Full Performance Review by the terms of the reappointment letter, then the possible outcomes can be a fourth probationary year or a terminal year.

A faculty member who requests to be considered for early promotion or tenure shall submit a Portfolio and Appendices and shall be subject to a Full Performance Review.

4. **Fourth Year Probationary Faculty**

Each fourth year probationary faculty member shall complete a Portfolio and Appendices by October 1, a Full Performance Review of which shall be completed by June 1. Possible outcomes are a fifth probationary year or a terminal year. A fourth year probationary faculty member may request early promotion.

5. **Fifth Year Probationary Faculty**

Each fifth year probationary faculty member is typically subject to an Abbreviated Review by the Department Personnel Committee, the Department Chair, and the Dean (or equivalent). An Abbreviated Review can only result in an additional probationary year.

In cases where a fifth year probationary faculty member is required to complete a Full Performance Review by the terms of the reappointment letter, then the possible outcomes can be a sixth probationary year or a terminal year.

A faculty member who requests to be considered for early promotion or tenure shall submit a Portfolio and Appendices and shall be subject to a Full Performance Review.

6. **Sixth Year Probationary Faculty**

Each sixth year probationary faculty member shall submit a Portfolio and Appendices by October 1, which shall be subject to a Full Performance Review, to be completed by June 1. Possible outcomes: tenure effective the following year or a terminal year.

7. **Faculty Applying for Promotion to Professor**

After a minimum of four years of service as an Associate Professor, a tenured faculty member may apply for regular promotion to Professor and shall submit a Portfolio and Appendices by October 1, a Full Performance Review of which shall be completed by June 15.

8. **Faculty Applying for Early Promotion**

A faculty member applying for early promotion shall submit a written request as noted in Section I.I. A tenured faculty member applying for promotion to Professor shall submit a Portfolio by October 1, a Full Performance Review of which shall be completed by June 15. Second, fourth, and sixth year probationary faculty shall submit Portfolios and Appendices as noted in the retention, tenure, review timetable.

9. **Faculty on Professional Leave**

Normally, probationary faculty members may not take a professional leave during their first year of service, and they 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 and Appendices shall be submitted accordingly.

10. **Faculty on Personal or Medical Leave**

Faculty members may be granted a personal leave of absence for sick leave, parental leave, or other purposes of a personal nature. Faculty members on personal leave normally shall not accrue service credit toward probation, sabbatical, or difference-in-pay leaves, service salary increase eligibility or seniority (in effect, stopping the "tenure clock") for that review cycle. However, faculty members on such leave may remain in the review cycle if they submit Portfolio and Appendices by the due date.

#### **L. REVIEW PROCESS**

Probationary faculty shall be reviewed for retention, promotion, and/or tenure. Tenured faculty shall be reviewed for promotion.

1. Full Performance Reviews take place at the following levels:
  - a. the Department Personnel Committee (DPC),
  - b. the Department Chair,
  - c. the Division Chair [if any],
  - d. the Dean or equivalent,
  - e. the Faculty Personnel Committee (FPC)[as appropriate],
  - f. the appropriate Vice President, and
  - g. the President or designee.
2. Abbreviated Reviews take place at the level of the DPC, the Department Chair, and the Dean (or equivalent).
3. Department Personnel Committee members and Department Chairs review Portfolios and Appendices in their department offices. Faculty Personnel Committee members shall review Portfolios and Appendices in the office of Faculty Affairs and Records. The various stages of the review process take place during specified periods, as provided for in section I.K. of this policy.
4. 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.

#### **M. 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.

#### **N. RESPONSIBILITIES OF FACULTY MEMBERS**

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

Faculty members should familiarize themselves and the format for preparation of the Portfolio, including the evidence that should be present in the body of the Portfolio as well as the Appendices. They should also familiarize themselves with approved Departmental Personnel Standards, if available, and the criteria that are used in evaluating the evidence. Approved Departmental Personnel Standards further specify types of evidence and criteria of judgment. Faculty members are encouraged to seek the aid of their Department Chair or the chair of the DPC in understanding the University's and department's personnel policies and the preparation of the Portfolio and Appendices.

#### **O. FACULTY RIGHT TO REBUTTAL OR RESPONSE**

At all levels of review, before recommendations are forwarded to a subsequent level of review, faculty members shall be given a copy of the recommendation and written reasons therefore. The faculty member may submit a rebuttal statement or response in writing and/or request a meeting to discuss the

recommendation within ten (10) days following receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the portfolio and also be sent to all previous levels of review. This section shall not require that evaluation timelines be extended.

## **II. FACULTY PERSONNEL STANDARDS**

### **A. REQUIREMENTS**

#### **1. 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 master's degree plus a license in Marriage and Family Therapy, Clinical Social Work, or Licensed Educational Psychologist is required for appointment to a tenure track position. The degree 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 degree 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.

#### **2. 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.
- a. 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.
  - b. For all RTP actions, performance shall meet approved University and Departmental Personnel Standards for a positive decision to be made.
  - c. 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.
  - d. 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.
  - e. 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.

#### **3. 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 review. 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.

#### **4. Requirements for Tenure**

- a. 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 the faculty member's entire career. Therefore, a positive tenure decision requires that the probationary faculty member has displayed accomplishments, growth, and future potential that meet the expectations stated in UPS 210.000 and Departmental Personnel Standards.
- b. 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 and Appendices. 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. When concerns have been expressed in earlier review cycles, a candidate for tenure is expected to have addressed these concerns specifically in the narrative.
- c. Early tenure requires that all expectations for the entire probationary period have been met and that performance in Teaching and Scholarly and Creative Activity exceed the expectations stated in UPS 210.000 and the Department Personnel Standards. In order to be considered for early tenure, the eligible faculty member shall apply in writing to Faculty Affair and Records on or before September 10.

#### **5. Requirements for Promotion**

- a. Promotion to Associate Professor is automatic with the granting of tenure.
- b. Early Promotion to Associate Professor requires that the probationary faculty member has displayed accomplishments, growth, and potential that strongly indicate that, by the completion of the probationary period, the expectations for tenure stated in this document and Departmental Personnel Standards will be met. In addition, performance in Teaching and Scholarly and Creative Activities shall have exceeded these expectations. In order to be considered for early promotion, the eligible faculty member shall apply in writing to Faculty Affairs and Record on or before September 10.
- c. Because the professoriate entails growth and reassessment, the University expects that the tenured faculty will continue to strive for excellence in teaching, scholarly and creative activity, and service. Promotion to Professor requires that the tenured faculty member has displayed accomplishments and growth that meet the expectations for promotion stated in this document and Department Personnel Standards. 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 herein.

Accomplishments documented for the promotion to Associate Professor shall not count again for promotion to Professor.

In cases where there has been a lengthy period since promotion to Associate Professor, the most recent five years of evidence shall normally be emphasized in evaluating a record of continuing performance, but shall not exclude consideration of total productivity over the entire Associate period.

- d. Early promotion to Professor requires that the faculty member has displayed excellence and sustained vitality in teaching, scholarly and creative activity, and service that promise future potential growth. Performance in all three areas of review shall be at the level of Excellent.
- e. A candidate for promotion may withdraw his or her promotion request without prejudice at any level of review prior to the final decision.

## **B. CRITERIA FOR EVALUATION OF TEACHING FACULTY**

Each level of review shall evaluate the Portfolio and Appendices according to the criteria that follow. Rather than relying largely on a single measure, written evaluations at all levels of review shall be based on and include commentary on multiple indicators of teaching performance. These shall include qualitative and quantitative data from student opinions of instruction, academic grading standards, and at least two other specific criteria listed in section II.B.1.b. Specific Criteria for Teaching.

### **1. Teaching**

#### **a. General Criteria for Teaching**

Each faculty member shall establish a teaching environment where student learning is central, expectations for learning and student attainment are clearly reflected in the organization, content, and review of their curricula and academic degree programs, and students are provided opportunities to develop the learning abilities, competencies, and skills to contribute to society.

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

Approved Departmental Personnel 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.

All evidence shall be included in the Portfolio and Appendices (see Part III.B.).

#### **b. Specific Criteria for Teaching**

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

##### **2. Student Opinions of Instruction**

Student Opinion Questionnaires 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.

Evaluations of teaching performance shall address student opinions of instruction contained in responses to objective questions on student opinion questionnaires and contained in written comments on these forms. The evaluations may 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 any efforts to improve teaching performance.

##### **3. 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.

**4. Ongoing Professional Development as a Teacher**

Each faculty member is expected to show evidence of an ongoing program to maintain and improve 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.

**5. On-going Professional Development in the Discipline**

All faculty members 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.

**6. Classroom Visitations**

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.

**2. Scholarly and Creative Accomplishments**

**a. General Criteria**

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 peer-reviewed publications, exhibitions, performances, and/or other high quality accomplishments. Each department shall state in its standards those scholarly and creative activities, consistent with this document that are appropriate indicators of professional growth for its faculty.

**b. Specific Criteria**

**1. 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 (when appropriate) 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.

Documentation of all accomplishments shall include a complete citation, in the style customary to the faculty member's discipline, for each scholarly and creative work; 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 jury process shall be distinguished from work that was not subject to a peer review or jury process. Documentation of the peer review or jury process may be required by any level of review if it has not been included as documentation in the Appendices. Scholarly or

creative works are considered to have been completed when they have been accepted for publication or presentation without further revision.

2. On-Going Activities

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). Documentation 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.

**3. Professional, University, and Community Service**

a. **General Criteria**

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 collegial and actively involved in professional, University, and/or community activities with clearly defined objectives for that involvement.

Maintaining and improving the quality of the learning environment, the profession, the University, and the community depends upon active participation of faculty in various organizations and governance tasks. All faculty members 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.

Approved Departmental Personnel Standards shall address those professional, University, and community service activities that are appropriate indicators of service contribution for its faculty. Documentation shall be provided for all significant accomplishments.

b. **Service Activities**

All faculty members 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. Faculty may demonstrate further service contributions by engaging in such activities as serving on system-wide 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.

**C. 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 II.B.2. 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 and participate 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 members. 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.

## **D. 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 members 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 opinions 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.

### III. DOCUMENTATION SUBMITTED BY THE FACULTY MEMBER

#### A. PROSPECTUS FOR FIRST-YEAR PROBATIONARY FACULTY

During the first year of employment in a tenure-track position, each probationary faculty member shall write a **Prospectus** that includes 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 approved Departmental Personnel Standards and/or UPS 210.000 for retention, tenure, and promotion. The Prospectus shall be due in the Department Chair's office by February 28. The Prospectus will have no formal approval process, but will be reviewed by the Department/Division Chair and the Dean (or equivalent) who will each provide written feedback on a timetable to be determined by the colleges, but prior to May 1<sup>st</sup>. The Prospectus shall be included in the faculty member's Portfolio for all Full Performance Reviews.

#### B. PORTFOLIO AND APPENDICES FOR FULL PERFORMANCE REVIEWS

1. The Portfolio, including its Appendices, is the sole basis for RTP evaluations, recommendations, and actions.

*For Probationary Faculty:* The Portfolio and its Appendices 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 considered. In cases where prior service credit was granted, that time interval shall also be documented in the Portfolio and its Appendices. Faculty Affairs and Records (FAR) will provide each new probationary faculty member with a binder and enumerated tabs.

*For Tenured Faculty:* The Portfolio and its Appendices shall be cumulative and representative of performance, covering the period since the submission of the file for promotion to Associate Professor to the first day of the fall semester of the academic year during which RTP action is to be considered.

2. It is the responsibility of the probationary faculty member to ensure the completeness of the Portfolio and Appendices.
3. In the Portfolio and Appendices, faculty members shall describe and document significant accomplishments in the areas of teaching, scholarly and creative activities, and service for the period under review. Quality over quantity should be emphasized; a more limited number of appropriately documented high-quality accomplishments is generally more compelling than a compendium of all activities. Note, however, that all accomplishments should be listed in the Portfolio Vita (described in section III.B.4.e).

A clear connection between the narratives, the Table of Contents of the Appendix, the Portfolio, and the documents or artifacts in the Appendix shall be established.

The Portfolio and accompanying Appendices shall normally be prepared using one small to medium-sized binder for each section – i.e., one binder for the main Portfolio and one for each section of the Appendix – Teaching Materials, Student Opinion Questionnaire forms, Scholarly and Creativity Activity, and Services. All binders should fit into one banker's box (approximately 10x12x16) typically provided by the College. Additional space may be required to house raw Student Opinion Questionnaires forms for faculty who have taught numerous courses.

4. The Portfolio shall be organized as follows:
  - a. Table of Contents of the Portfolio (section 1.0 of the enumerated tabs provided by FAR), initialed by the faculty member and dated at the time of initialing;
  - b. Table of Contents of the Appendix to the Portfolio (section 2.0), initialed by the Department Chair and dated at the time of initialing;

- c. Approved Departmental Personnel Standards (section 3.0), or UPS 210.000 if there are no approved Departmental Personnel Standards;
  - d. Prospectus (section 3.10) prepared in year one, not to exceed 500 words for each area of the three areas of review (Teaching, Scholarly and Creative Activity, and Service);
  - e. Portfolio Vita (section 4.0) that covers the faculty member's entire academic and professional employment history and that lists accomplishments in all three areas of review (Teaching, Scholarly and Creative Activity, and Service). Peer-reviewed activities shall be listed separately from non-peer-reviewed activities. Activities should be listed in reverse chronological order;
  - f. Narrative Summary of Teaching Performance (section 5.0): a concise (1000 words maximum) self-assessment of significant accomplishments in relation to the applicable personnel standards. This narrative shall clearly indicate where in the Portfolios or Appendices supporting documentation can be found;
  - g. List of Classes Taught (section 5.10), which shows the session, course number, course title, and weighted teaching units (WTU) for all classes taught during the period under review.
  - h. A blank copy of the Student Opinion Questionnaire form(s) (section 5.20) used by the department in evaluating student responses to instruction;
  - i. Statistical summaries of Student Opinion Questionnaires (section 5.30) for each class taught for which students received credit during the period of review showing responses to all multiple choice questions on departmental Student Opinion Questionnaire forms;
  - j. Statistical summaries of grade distributions (section 5.40) for each class that the faculty member taught during the period under review for which students received University credit, as well as any material which may help interpret these statistical summaries including department grade point averages distributed each semester by the Office of Institutional Research and Analytical Studies;
  - k. Narrative Summary of Scholarly and Creative Activities (section 6.0): a concise (1000 words maximum) self-assessment of significant accomplishments in relation to the applicable personnel standards. This narrative shall clearly indicate where in the Appendices supporting documentation can be found; and
  - l. Narrative Summary of Professional, University, and Community Service Activities (section 7.0): a concise (1000 words maximum) self-assessment of significant accomplishments in relation to the applicable personnel standards. This narrative shall clearly indicate where in the Appendices supporting documentation can be found.
5. The Appendices to the Portfolio shall only include the documentation supporting the accomplishments referred to in the Narrative Summaries in the Portfolio. The Appendices shall only include documentation of significant activities, emphasizing quality over quantity.

Copies of *all* significant publications or creative activities for the period of review shall be included in the Appendices.

Documentation of Teaching and Service Activities should be limited to significant activities each year.

a. Appendix I: Teaching

1. Table of Contents of Appendix I
2. Student Opinion Questionnaire: Raw data for each course taught, arranged conveniently for reference by reviewers.
3. Sample syllabi and coursework: Ordinarily representative samples are sufficient and a maximum of 10 over a five-year review period is sufficient. It is not necessary to include every syllabus or every exam or hand-out, especially for multiple sections of the same course taught over the period of review.

4. Other relevant information for activities such as those listed in II. B. not already included.
- b. Appendix II: Scholarly and Creative Activities
1. Table of Contents of Appendix II
  2. For published, exhibited, or performed works, a copy of each significant item in the period under review shall be included.
  3. For published, exhibited, or performed works, *evidence of peer review* or lack of peer review shall be provided for each item. Works that are not peer-reviewed shall be presented separately from those that are reviewed. Additionally, evidence of the quality of the venue shall be provided, e.g., acceptance rates, impact factor, or other measures of quality.
  4. For work that has been accepted but not yet published, exhibited, or performed, a letter of acceptance, evidence of peer review, and evidence of quality of the publishing or performance venue shall be provided.
  5. For unpublished works and on-going activities, include any significant documentation that might assist reviewers in assessing quality.
  6. For co-authored activities, documentation of the unique and specific contribution of each author to the work shall be included. FAR has a co-author disclosure form that may be used.
  7. Other relevant documentation for any other activities referenced in the self-assessment narrative.
- c. Appendix III: Professional, University, and Community Service Activities
1. Table of Contents of Appendix III
  2. For each significant activity, describe (and where possible document) level of participation and responsibilities. Do not include long documents prepared by committees.
  3. Other relevant documentation for activities referenced in the self-assessment narrative.
6. Once the Portfolio and Appendices are declared complete by the Department Chair with respect to documentation of performance for the purpose of evaluation, material may be added only as follows:
- a. if required documents are missing from the Portfolio or Appendices, 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 referenced in one of the narrative summaries of the Portfolio becomes available after the Portfolio is declared complete, this material may be added with permission from the Faculty Personnel Committee. Before consideration at subsequent levels of review, material added to the Portfolio and Appendices shall be returned for review, evaluation, and comment by all previous levels.
7. The Office of Faculty Affairs and Records shall insert all evaluations, recommendations, responses, and rebuttals, if any, and decisions for all previous Full Performance Reviews of probationary faculty.
8. Evidence submitted for promotion to Associate Professor *shall not* be considered for promotion to Professor. FAR will insert the Portfolio Vitae and any “added material” requests made at the time of the Associate Professor decision into the Portfolio for faculty requesting promotion to Professor.

### **C. ABBREVIATED “REVIEW FILES” FOR THIRD- AND FIFTH-YEAR PROBATIONARY FACULTY**

Faculty members with satisfactory evaluations in their full performance review 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 three items: (1) an updated curriculum vitae, (2) statistical summaries of student opinion questionnaires, and (3) grade distributions 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.

#### **IV. PROCEDURES FOR PERSONNEL 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 II of this document. Evaluations at each level of review, and the recommendations and final decision by the President, 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 that 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 the faculty member shall have access to the 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. 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.

##### **C. 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 (or equivalent), the Faculty Personnel Committee (FPC) [as appropriate], the Vice President for Academic Affairs (Vice President for Student Affairs for counselor faculty), and the President. All levels recommend to the President, who is responsible for all RTP decisions.

#### **D. RESPONSIBILITIES OF DEPARTMENT CHAIRS**

All department chairs shall meet responsibilities in #1-5 below. Tenured chairs not seeking promotion shall also meet the responsibilities in #6 - 17.

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 the assumption of official duties at the University of all personnel procedures including those covered by this document.
3. To provide guidance, advice, and support to assist probationary faculty in preparing their Prospectus.
4. To provide the probationary faculty member with written feedback on the Prospectus prior to May 1.
5. 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 and submitted to Faculty Affairs and Records.
6. 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 indicating that the faculty member has read the entire Portfolio.
7. To evaluate the performance of the faculty member based upon the Portfolio. This evaluation shall be typed and signed before forwarding the portfolio to the DPC. Copies of this evaluation shall be sent by the Chair to Faculty Affairs and Records upon forwarding of the portfolio to the DPC.
8. To add to the Portfolio a signed evaluation by the previous chair when the current Department Chair is newly appointed, and if the previous chair so desires. However, the new chair shall make the final recommendation.
9. To forward the Portfolio to the Department Personnel Committee (DPC).
10. To forward to the DPC the chair's evaluation once the DPC evaluations are completed.
11. To receive the evaluation report and recommendation of the DPC.
12. To show both the committee's and the Chair's 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 whether the faculty member 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 ten (10) 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 a copy of the DPC recommendation has been received.
13. To make a recommendation that 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 the option to respond to or rebut the recommendation of the chair within ten (10) days and of the 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.
14. To permit any faculty member to have access to the 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.
15. To be available for consultation to the DPC, though otherwise being absent from the committee's meetings during its deliberations.
16. To ensure that the DPC completes its review and submits its recommendations to the Department Chair by the appropriate date each year.
17. To transmit the Portfolio and the recommendations to the college dean.

**E. 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 II or the approved Departmental Personnel Standards. 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.

**F. RESPONSIBILITIES OF DEANS**

1. To assume responsibilities of the Department Chair as listed in IV.D. 6-17 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 the right to response or rebuttal within ten (10) days, and of the 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 ten (10) 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 Prospectus prior to May 1.

**G. 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 Vice President for Academic Affairs (Vice President for Student Affairs 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 Departmental 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's evaluation and recommendation 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 the right to response or rebuttal to the evaluation and recommendation within ten (10) days and of the 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 (Vice President for Student Affairs for counselor faculty).
7. To review and comment on proposed Departmental Personnel Standards, or revisions thereto, and recommend approval, disapproval, or amendments to the appropriate vice president.

**H. RESPONSIBILITIES OF THE VICE PRESIDENT FOR ACADEMIC AFFAIRS [VICE PRESIDENT FOR STUDENT AFFAIRS FOR COUNSELOR FACULTY]**

1. To review each Portfolio and recommend action to the President.
2. To provide copies of the recommendation and the basis for it to the faculty member and all prior levels of review.
3. To inform the faculty member of the right to response or rebuttal within ten (10) days, and of the 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 ten (10) 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.

**I. 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 (or equivalent) and the FPC chair.

**J. 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 shall 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.

**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. An untenured faculty member, including the Department Chair, shall not serve in the personnel evaluation process.
3. Tenured faculty members being reviewed are eligible for service on the DPC except for review of their own file.

4. In promotion considerations, peer review committee members shall have a higher rank or classification than those being considered for promotion.

## **V. DEPARTMENT RESPONSIBILITIES FOR THE PERSONNEL PROCESS OUTSIDE THE REVIEW CYCLE**

### **A. GENERAL DEPARTMENT RESPONSIBILITIES**

1. Selection of a Department Personnel Committee;
2. Development of Departmental Personnel Standards;
3. Adoption of one or more standard forms for student opinions; and
4. Securing approval of the Departmental Personnel Standards and Student Opinion Questionnaire form(s), 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 IV.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 members of the department, that is, at least four tenured faculty members 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 dean within five working days after they are elected.

### **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 II 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 straightforward 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 II 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, the Dean 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 (Vice President for Student Affairs, for counselor faculty). The vice president shall issue such approval or disapproval 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 II of this document.

- i. Student Opinion Questionnaire 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. STUDENT OPINION QUESTIONNAIRES**

1. All departments shall adopt one or more forms to ascertain student opinions of instruction. 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 Questionnaires:
  - a. Anonymity of student responses shall be assured.
  - b. Student Opinion Questionnaires shall be administered toward the end of the semester.
  - c. Student Opinion Questionnaires 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 Questionnaires (or summaries) submitted in the Portfolio can be interpreted.
5. The Faculty Personnel Committee recommends approval of department Student Opinion Questionnaire 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 Questionnaire forms must be reviewed by the Faculty Personnel Committee which then advises the Vice President for Academic Affairs.

Academic Senate Approved 5-1-08  
Transmitted to the President's Office 5-27-08  
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**EFFECTIVE DATE: June 17, 2008**  
Supersedes: UPS 210.000 dated March 12, 2008  
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Source(s):  
Faculty Personnel Committee (2005-2006)  
Council of Deans and Academic Senate Executive Committee 11-28-06  
Academic Senate Executive Committee 1-22-08