

CALIFORNIA STATE UNIVERSITY, CHICO

CHICO, CALIFORNIA

FACULTY PERSONNEL POLICIES AND
PROCEDURES

(F P P P)

ACADEMIC YEAR 2014/2015

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CALIFORNIA STATE UNIVERSITY, CHICO FACULTY PERSONNEL POLICIES AND
PROCEDURES 2014-2015

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CALIFORNIA STATE UNIVERSITY, CHICO

Chico, California

FACULTY PERSONNEL POLICIES AND PROCEDURES

INTRODUCTION

The purpose for personnel actions at California State University, Chico is the furtherance of the University's educational mission. The University can provide an education of high quality only with faculty of high quality, who themselves are committed to continual professional growth and development and have the capacity for contributing to the achievement of the goals of the University.

The policies and procedures described in the following pages are intended to provide processes for the effective and fair hiring, development, evaluation, and preservation of a high quality faculty, capable and willing to help the university achieve its goals.

The FPPP is intended to be used in conjunction with the collective bargaining agreement (CBA) for faculty personnel policies and procedures. The reader is urged to consult both this document and the CBA. Further, personnel decisions may be affected by federal, state, CSU System regulations, or other University policies.

If there should be any conflict between the provisions of this document and CSU policy or state or federal law, the higher level regulations shall apply. The FPPP should be considered on par with campus Executive Memoranda (EMs).

For current information regarding documents and policies that may have personnel decision implications, contact the Associate Vice President for Faculty Affairs.

FPPP/CBA CROSS REFERENCE TABLE

**(At press time, the September 18, 2012 – June 30, 2014
CBA was still in effect)**

FPPP Section #	Title	CBA Corresponding Article
	Definitions	Article 2 - Definitions
1	Instructional Faculty – Responsibilities And Ethical Requirements	Article 20 - Workload
2	Affirmative Action	Article 16 – Non-Discrimination
3	Personnel Action File	Article 11 - Personnel Files
4	Student Evaluation Of Teaching	Article 15 - Evaluation
5	Personnel Committees	Article 15 - Evaluation
6	Hiring	Article 12 - Appointment
7	Assignment of Courses	Article 20 – Workload
8	Evaluation Of Faculty	Article 15 - Evaluation
	8.1 Evidence	Article 15 - Evaluation
	8.2 Temporary Faculty	Article 15 - Evaluation
	8.3 Full-Time Temporary Faculty	Article 15 - Evaluation
	8.4 Lecturers – Range Elevation	Article 15 - Evaluation
	8.5 Tenure Track (Probationary) Faculty	Article 15 – Evaluation Article 13 – Probation and Tenure
	8.6 Tenured Faculty	Article 15 - Evaluation Article 14 - Promotion
9	Leaving From And Returning To The University	Article 22 - Leaves of Absence Without Pay Article 23 – Leaves of Absence With Pay Article 24 – Sick Leaves Article 27 – Sabbatical Leaves Article 28 – Difference In Pay Leaves
	9.1.b. Sabbatical Leaves	Article 27 – Sabbatical Leaves
	9.1.c. Difference in Pay Leaves	Article 28 – Difference In Pay Leaves
	9.1.d. Leaves Without Pay	Article 22 - Leaves of Absence Without Pay
	9.2 Resignations	None
	9.3 Retirement Benefits	Article 32 - Benefits
	9.4 Emeritus Status	None
	9.5 Reinstatement Rights and Rehiring	None
10	Misbehavior	Article 17 – Temporary Suspension Article 18 – Reprimands Article 19 – Disciplinary Action Procedure
11	Library Faculty	Article 20 - Workload
12	Appointment To An Endowed Chair	None

Unit 3 CBA Article	CBA Article Title	FPPP Corresponding Section
1	Recognition	None
2	Definitions	Definitions
3	Effect of Agreement	None
4	Savings Clause	None
5	Management Rights	None
6	CFA's Rights	None
7	CFA Security	None
8	Faculty Participation	None
9	Concerted Activities	None
10	Grievance Procedures	Section 10 - Misbehavior
11	Personnel Files	Section 3 – Personnel Action File Section 8.1 – Evidence (including dossiers)
12	Appointment	Section 6 - Hiring
13	Probation and Tenure	Section 8.5 – Tenure Track (Probationary) Faculty
14	Promotion	Section 8.6 – Tenured Faculty
15	Evaluation	Section 8 – Evaluation of Faculty
16	Non-Discrimination	Section 2 – Affirmative Action
17	Temporary Suspension	Section 10.2 – University Responses to Faculty Misbehavior
18	Reprimands	Section 10.2 – University Responses to Faculty Misbehavior
19	Disciplinary Action Procedure	Section 10.2 – University Responses to Faculty Misbehavior
20	Workload	Section 1 – Instructional Faculty, Responsibilities and Ethical Requirements
21	Summer Term Employment	None
22	Leaves of Absence Without Pay	Section 9.1 – Faculty Leaves
23	Leaves of Absence With Pay	Section 9.1 – Faculty Leaves
24	Sick Leave	None
25	Professional Development	Section 9.1 – Faculty Leaves
26	Fee Waiver	None
27	Sabbatical Leaves	Section 9.1 – Faculty Leaves
28	Difference In Pay Leaves	Section 9.1 – Faculty Leaves
29	Faculty Early Retirement Program	None
30	Pre-Retirement Reduction in Time Base	None
31	Salary	None
32	Benefits	None
33	Holidays	None
34	Vacation	None

35	Outside Employment	None
36	Additional Employment	None
37	Safety	None
38	Layoff	None
39	Intellectual Property Rights	None
40	Extension For-Credit Employment	None
41	Duration and Implementation	None

DEFINITIONS

Note: Terms defined here often appear in the text in all caps, e.g., RANGE.

APPOINTING AUTHORITY

The President of the University or the designee empowered to make appointments to positions on the faculty or staff. For faculty it is the DEAN of a COLLEGE or his/her equivalent in other academic units.

APPROPRIATE ADMINISTRATOR

An employee serving in a position designated as managerial or supervisory by the Public Employer-Employee Relations Board (PERB) and designated by the President for a particular purpose. Administrative responsibilities, however, may be delegated to department chairs or other employees in bargaining units.

CBA

Collective Bargaining Agreement, also known as MOU, Contract or Agreement. It is an agreement between the Trustees of the California State University and an exclusive representative of a unit of employees' union.

COLLEGE

For the purposes of this document, College also refers to School for Schools that function like Colleges.

CURRICULUM VITAE

The curriculum vitae is a comprehensive summary of the faculty member's academic and professional history.

DEAN

For the purposes of this document, "Dean" also refers to a "Director" of a School for Schools that function like Colleges.

DEPARTMENT/UNIT

The Department/Unit is the basic administrative entity to which faculty are assigned.

DISCIPLINE

Also known as "disciplinary action." The imposition of suspension without pay, demotion, or dismissal for cause. Written reprimand and suspension with pay are not disciplinary.

DOSSIER

The professional file kept by each faculty member. It contains data in the possession of the faculty member that provide evidence of professional activity, which are indexed and submitted to the WORKING PERSONNEL ACTION FILE in those cycles in which the member is being formally evaluated or reviewed. After the review period is complete, the index will be placed in the PAF with the evaluative reports, maintaining the link between the DOSSIER and the personnel file.

EMERITUS STATUS

An honor bestowed on a retired faculty member by the President upon recommendation of the appropriate DEPARTMENT/UNIT. It confers rights and privileges specified in the Emeritus Status section of this document.

EQUIVALENCY

Attainment judged by the faculty of a discipline to be equivalent to possession of the terminal degree normally required for tenure and/or promotion in that discipline.

GRIEVANCE, CONTRACT

An officially filed allegation by a faculty member or the exclusive representative of the faculty that there has been a violation, misapplication, or misinterpretation of a specific term or specific terms of a collective bargaining agreement that has resulted in a direct wrong to the grievant.

GRIEVANCE, FACULTY STATUS

A filed appeal of a negative decision on retention, award of tenure, or promotion. Also known as Faculty Status Dispute.

INDEX

A list of those materials prepared by the faculty unit employee for periodic evaluation or performance review that is placed in the WORKING PERSONNEL ACTION FILE (WPAF). That index is permanently placed in the PERSONNEL ACTION FILE (PAF) which results in materials for evaluation submitted by a faculty unit employee to be incorporated by reference to the Personnel Action File (the only official personnel file containing employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee).

LAYOFF

A separation of an employee from service where there exists, on a particular campus, a lack of work or lack of funds, or a programmatic change (see also CBA 38.1).

LAYOFF, UNIT OF

An academic DEPARTMENT or equivalent unit.

LEAVE, DIFFERENCE-IN-PAY

A paid leave for which the compensation is equal to the difference between the faculty member's salary and the minimum salary of the instructor rank. For a librarian, the compensation is the difference between the librarian's salary and the minimum salary of the assistant librarian rank at the comparable timebase. The salary for a difference-in-pay leave for a counselor is the difference between the counselor's salary and the minimum salary of the instructor rank at the comparable timebase.

LEAVE, SABBATICAL

A paid leave for which the compensation is full salary for one term or half-salary for an academic year.

LECTURER

The class to which temporary faculty appointments are made, in contrast with the rank designations to which probationary and tenured faculty are appointed, such as Assistant Professor, Associate Professor, and Professor. The Lecturer class is subdivided into RANGES.

LEVEL OF REVIEW

A stage in a PERIODIC EVALUATION or PERFORMANCE REVIEW logically corresponding to the existing hierarchical organizational structure of California State University, Chico. Three levels of review exist: (1) Department, (2) College, and (3) University. Written REPORTS and/or RECOMMENDATIONS requiring the examination of the WORKING PERSONNEL ACTION FILE may originate within each level of review. For the purposes of this document, the Department level of review shall consist of the Department/Unit Personnel Committee and the Department/Unit Chair; the College level of review shall consist of the College Personnel Committee and/or the College Dean; the University level of review shall consist of the President and/or the President's designee.

PART-TIME FACULTY

Faculty who have appointments of less than a whole position.

PARTICIPATORY RIGHTS

The right to be notified of, attend, and discuss and make motions at, and otherwise engage in, faculty meetings. Does not include the right to vote, which is covered elsewhere in this document and the Constitution of the Faculty of CSU, Chico.

PERFORMANCE REVIEW

The process of evaluating faculty for retention, tenure, or promotion that leads to formal REPORTS, RECOMMENDATIONS, and notices of results.

PERIODIC EVALUATION

The process of evaluating faculty on the basis of temporary service, probationary service in a year when retention is not an issue, and service as a tenured faculty member. Periodic evaluations stress developmental issues and focus on plans for improving a faculty member's effectiveness. The written REPORT does not contain formal RECOMMENDATIONS regarding retention, tenure, or promotion.

PERSONNEL COMMITTEE

Committee which makes recommendations on appointment, retention, tenure, promotion, leaves of absence, or other actions which may result in a change of employment status for an individual faculty member.

PERSONNEL ACTION FILE (PAF)

The Personnel Action File shall be defined as the one (1) official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. For each faculty unit employee, the President shall designate an office in which the Personnel Action File shall be maintained and shall designate a custodian for the Personnel Action File. It is the intent of the CSU to maintain accurate and relevant Personnel Action Files. There may be copies of materials contained in the official file in other working files for the convenience of the Employer. Only the official Personnel File may be used as the basis of personnel actions. (CBA 11.1, 06/30/05) The DEAN is the custodian of the PAFs of faculty in his/her COLLEGE and the PAFs are maintained in the office of the College Dean. (See also WORKING PERSONNEL ACTION FILE.)

PERSONNEL PLAN

The portion of each academic unit strategic planning document that details the personnel needs of the unit in relationship to its program.

PROBATIONARY FACULTY

Also known as "tenure track faculty." Faculty earning credit toward the award of tenure within the criteria, standards, policies, and procedures of the University.

PROFESSIONAL ACTIVITY

A technical term employed to describe any activity or participation that contributes to an instructor's development of currency in the subject matter taught and in instructional technology

appropriate to the assignment of a temporary faculty member as defined by academic department standards and criteria. It is to be distinguished from "professional growth and achievement," which must also encompass research and scholarship that contributes to the knowledge base of the instructor's discipline or to the effective operation of professional organizations of scholars.

RANK ORDER

A numerical listing of candidates for an academic award on the basis of relative merit, e.g., 1 through 8 with 1 representing the highest relative merit in the group rank ordered and 8 the lowest.

RANGE

The term used to designate subdivisions of the LECTURER class that denote placement of TEMPORARY faculty on the salary schedule. Ranges correspond to the academic ranks of probationary and tenured faculty as follows:

- L Range (also designated as 1) corresponds to Assistant Rank
- A Range (also designated as 2) corresponds to Instructor Rank
- B Range (also designated as 3) corresponds to Assistant Professor Rank
- C Range (also designated as 4) corresponds to Associate Professor Rank
- D Range (also designated as 5) corresponds to Professor Rank

RATING

A process by which candidates for promotion are graded at all LEVELS OF REVIEW in the categories of Instruction, Professional Growth and Achievement, and Other Contributions to the University. Recognized ratings are "inadequate," "adequate," "effective," and "superior." The use of hyphenated ratings (e.g., "effective-to-superior") is NOT permissible.

RECOMMENDATION

The expression of the wish of a reviewer of any level as to the action being considered; an explicit indication of an action said to be justified on the basis of relevant criteria and evidence.

REPORT

A written discussion of evidence submitted as a basis for a personnel transaction, including description and judgmental conclusions arising from such evidence.

RETENTION

The decision or action to retain a probationary faculty unit employee, normally for one or two years during their probationary period following a performance review.

REVIEW CYCLE

The sequence of events involved in an evaluation or review conducted within a particular academic year. (See RTP Deadline Calendar.)

SENIORITY POINTS

An accumulation of credits based on service at the University from the beginning of continuous service. The rate of accumulation is 12 credits or points for a full year of full-time service or an appropriate proration for part-time service. These would be applied in the event of LAYOFF of tenured faculty.

SUBSEQUENT APPOINTMENT; SUBSEQUENT EMPLOYMENT

A specialized term to be used for the hiring of TEMPORARY FACULTY for additional periods of employment.

TEMPORARY FACULTY

Faculty with appointments with a specified termination date, whether full-time or part-time.

TERMINAL YEAR (TERMINAL NOTICE YEAR)

A final year granted to a faculty member who has been denied retention or award of tenure after serving three or more full probationary years.

UNIVERSITY EMPLOYMENT STATUS FILE SUBDIVISION

A file maintained in the University Personnel Office that contains records of such matters as payroll status, deductions, dependents for tax purposes, health and dental insurance, retirement benefits, etc.

WORKING PERSONNEL ACTION FILE (WPAF)

The Working Personnel Action File shall be defined as that file specifically generated for use in a given evaluation cycle. That file shall include all required forms and documents, all information specifically provided by the employee (DOSSIER) being evaluated, and information provided by faculty unit employees, students, academic administrators. It shall also include all faculty and administrative level evaluation recommendations from the current cycle, and all rebuttal statements and responses submitted. (CBA 15.8 06/30/05) The PAF and DOSSIER are combined during the time of review to create the WPAF. Because the WPAF is part of the PAF, all regulations regarding the PAF also pertain to the WPAF. (See also PERSONNEL ACTION FILE.)

1.0 INSTRUCTIONAL FACULTY – RESPONSIBILITIES AND ETHICAL REQUIREMENTS

1.1 Assignments

- 1.1.a The assignments of a faculty member may include instruction, instruction-related responsibilities, and other activity assignments and duties.
- 1.1.b Instruction and instruction-related responsibilities may include, but shall not be limited to, instruction; office hours; student advising, including registration and student orientation; service on systemwide and campus committees or task forces; field work; activities that foster relevant professional growth, such as research and creative activity; sponsorship of student groups; curriculum development; and community service relevant to the mission of the campus.
- 1.1.c Attendance at DEPARTMENT, COLLEGE, and campuswide meetings may be required of full-time faculty members. The Department shall select members of the Department to attend commencement as representatives of the Department.
- 1.1.d Part-time faculty have participatory rights in departmental meetings, except that voting rights will be subject to Department/Unit regulations.
- 1.1.e A full-time faculty member with a 12-unit (or more) teaching load shall be available for consultation in his/her office for an aggregate time of five hours per week. Such office hours shall be scheduled at times and on days when affected students are normally in attendance. This provision shall be applied pro rata for faculty with less than a 12-unit teaching load.
- 1.1.f A faculty member shall provide information on his/her instruction-related responsibilities when requested by an APPROPRIATE ADMINISTRATOR.
- 1.1.g A faculty member may be assigned by an APPROPRIATE ADMINISTRATOR instruction, instruction-related responsibilities, activities, and duties to be performed at an off-campus location. Normally, the Department/Unit Chair is delegated the responsibility for making workload and teaching assignments. The DEAN, however, is the “Appropriate Administrator” and retains responsibility for all faculty assignments. Prior to making such an assignment, the Unit Chair/administrator shall consult with the faculty member
- 1.1.h A faculty member shall be reimbursed for approved expenses incurred by such assignments at off-campus locations. Assignments/schedules shall be adjusted when such assignment to an off-campus location requires travel time greater than the travel time from the employee's home to the main

campus. Reimbursement shall be consistent with CSU, Chico campus travel policies.

- 1.1.i See Article 20 of the CBA for additional information on faculty responsibilities and assignments.
- 1.1.j Flexible assignments and schedules may be considered as a means of compensating for graduate course assignments.
- 1.1.k At the request of the faculty member, the APPROPRIATE ADMINISTRATOR (normally the Department/Unit Chair acting as the DEAN's designee) shall discuss current and projected assignments with the faculty member. Assignments pursuant to this document shall be made by that administrator and may be scheduled on workdays or, with the faculty member's consent, on non-workdays.
- 1.1.l The affected DEPARTMENT faculty may make RECOMMENDATIONS concerning the schedule of Departmental faculty. All schedules including office hours shall be subject to approval by the Department/Unit Chair.
- 1.1.m A faculty member shall be required to be on campus on workdays or days in lieu thereof when he/she has scheduled or required assignments.
- 1.1.n A faculty member must report to his/her Department/Unit Chair any absence from a scheduled responsibility (e.g., a class, an office hour, or a meeting of a campus committee of which he/she is a member). This notice must precede the absence if at all possible. The notice will include the reason for the absence and efforts that are planned to mitigate the effect of the absence (e.g., substitutes, make-ups). If the reason for the absence includes external income- or compensation-producing activities, a potential conflict of interest occurs.
- 1.1.o Faculty members shall maintain a complete record (i.e., grade book or equivalent) of the scores and marks used to determine student grades. When a faculty member separates from the University, either a complete record (i.e., either grade book or equivalent) of the scores and marks used to determine student grades for the last five years shall be given to the Department Chair or the faculty member shall make arrangements so that the Department Chair can contact him/her during the five years following separation. When going on a leave of absence, the faculty member shall either make arrangements so that the Department Chair can contact him/her during the leave or give the Chair the aforementioned grade record (or a copy).
- 1.1.p Outside employment shall not interfere with normal work assignments or satisfactory performance of all duties of the faculty unit employee. All full

time faculty unit members shall be required to provide a written statement to the DEAN of all outside employment, where such outside employment is expected to amount to more than 160 hours per semester for faculty holding academic year or ten (10) month appointments. (See CBA Article 35, Outside Employment for addition information.)

1.2 Academic Freedom

- 1.2.a Faculty members are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic studies; but research for pecuniary return should be based upon explicit agreement with the appropriate authorities of the University.
- 1.2.b Faculty members are entitled to freedom in the classroom in discussing their subjects, but they should be careful not to introduce into their teaching controversial matter that has no relation to the subject.
- 1.2.c College or university faculty members are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or DISCIPLINE, but their special position in the community imposes special obligations. As persons of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that they are not institutional spokespersons.

1.3 Conflicts of Interest

No faculty member shall make, participate in making, or in any way attempt to use his/her position as a University member to influence a University decision in which he/she knows or has reason to know he/she has a financial interest. If a faculty member believes the decision could affect his/her private financial interest or if he/she must participate in a decision as a required part of his/her job, then he/she must make full disclosure of his/her private financial interest to the APPROPRIATE ADMINISTRATOR.

- 1.3.a Royalties/Course Materials/Cash Collection
 - 1.3.a.1 A conflict of interest and a violation of professional ethics exists for a CSU, Chico faculty member when he/she accepts or solicits payment of royalties or commissions for personal use for assigned course materials other than those published for general (national or international) sale. Faculty are prohibited from personally profiting from the local sale of course materials to CSU, Chico students unless the materials are the result of substantial creative effort by the faculty member and have undergone substantial peer

review. Where these conditions obtain, the faculty member is limited to a royalty of 10 percent of the local sale price. This restriction does not apply to materials that have been copyrighted, undergone peer review, been published, and/or have wider than local circulation.

- 1.3.a.2 University policies regulate the exchange of money between students and faculty or staff. Unless faculty and staff receive prior approval, they are prohibited from accepting cash from students.
- 1.3.a.3 The complete campus policy on coursepacks and cash collection points, including required procedures, is found in Executive Memorandum 92-43.
- 1.3.b The following employments, activities, or enterprises are inconsistent, incompatible, or in conflict with duties of a faculty member as a state employee:
 - 1.3.b.1 The use of state time, facilities, equipment, or supplies at any time for any purpose other than the performance of official business
 - 1.3.b.2 The performance for compensation, other than state salary, of any service for any person or public or private agency if such person or agency performs any action that is subject to review, recommendation, or approval by the employee or any of his/her subordinates
 - 1.3.b.3 The performance for compensation other than state salary at any time of any service that his/her duties require him/her to render
 - 1.3.b.4 The acceptance of any obligations on the part of any officer or employee that would prevent him/her from carrying the responsibilities for which he/she is employed, or the acceptance of any responsibilities that would be in conflict with the purposes of the University
 - 1.3.b.5 The engaging in any activity that is contrary to a policy of the Board of Trustees or otherwise inimical to the University's welfare
 - 1.3.b.6 The willful violation of any law, any regulation of the Trustees, or any directive of the Chancellor respecting his/her employment or the performance of his/her duties
- 1.3.c Activities that Give the Appearance of Conflict

A faculty member who is engaging in, or plans to engage in, any employment, activity, or enterprise that gives the appearance of being incompatible, or interferes in any way with his/her duties as a state employee, should consult with his/her DEAN.

1.3.d Conflicts of Interest in Grants and Contracts

A potential conflict of interest and violation of professional ethics occurs in grant and/or contract activity when a divergence develops between an individual's private interests and his/her professional obligations to the University such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. Reviewer(s) of disclosure statements can find an actual or potential conflict of interest when it is determined that a significant financial interest of the investigator could directly or significantly affect the design, conduct, or reporting of activities funded or proposed for funding. Each investigator must disclose all financial interests that would reasonably appear to be affected by the proposed activities. (A full description of conflict of interest in this context, including definitions, standards, and procedures, is contained in the CSU, Chico Policy on Conflict of Interest in Grants and Contracts, EM 96-87.)

1.4 Personnel Process

1.4.a A breach of confidentiality in the personnel process will be considered a violation of professional ethics.

1.4.b Nepotism

1.4.b.1 Note: Adopted from HR 2004-18, Revised Policy on Nepotism, CSU Office of the Chancellor, June 28, 2004. Refer to Executive Memorandum 05-16 for the full text of the policy.

1.4.b.2 No CSU, Chico employee shall vote, make recommendations, or in any way participate in decisions about any personnel or budgetary matter which may directly affect the selection, appointment, retention, tenure, compensation, promotion, work assignment, termination, other employment status, or interest of a close relative.

1.4.b.3 The term "close relative" as used in these guidelines is defined as: Parent, child, grandparent, grandchild, sibling, uncle, aunt, nephew, niece, first cousin, spouse, registered domestic partner, step-parent, step-child, brother-in-law, sister-in-law, father-in-law, mother-in-law, son-in-law, daughter-in-law, and by guardianship and/or adoption or a person residing in the immediate household except live-in household employees or roomers. Relatives of domestic partners shall be treated as relatives of spouses.

1.4.b.4 CSU, Chico employees are required to notify the Associate Vice President for Faculty Affairs of the existence of other University employees who are their close relatives as defined above and are in positions which may result in the violation of the above policy. Such notification shall occur upon hiring

and when any such relationship develops during the course of employment. Questions about whether a particular situation violates this policy can be directed to the Associate Vice President for Faculty Affairs. This policy does not apply to decisions that do not uniquely affect the close relative.

- 1.4.b.5 The Associate Vice President for Faculty Affairs or designee shall make available to any affected party the written provisions that have been approved to cover the situations described herein. No confidential information will be released during these disclosures

2.0 AFFIRMATIVE ACTION

- 2.0.a It is University policy that there shall be no discrimination based upon race, ethnicity, national origin, religion, ancestry, sex, sexual orientation, gender identity, gender expression, genetic information, marital status, pregnancy, age, disability, medical condition, or veteran status, in any personnel action and/or any disciplinary or grievance action.
- 2.0.b The Campus Affirmative Action Program contains two major commitments:
- 2.0.b.1 To recognize both a moral and legal obligation to work toward a work force composition reflecting the mix of ethnic minorities and women in the labor markets from which the University draws its staff
- 2.0.b.2 To make a demonstrable and deliberate effort in hiring to solicit applications from minority and women candidates in all cases where their representation is below the labor force standard
- 2.0.c The faculty personnel policies and procedures implemented at any level of the University shall include measures for carrying out affirmative action.
- 2.0.d The University Campus Equity Council (CEC) is a permanent committee of the Academic Senate which reports to the Faculty and Student Policies Committee (FASP). Refer to EM 12-014 for the complete description of the committee's charge, membership, meeting schedule, and related information.
- 2.0.e Complaints of discrimination or harassment should be made through the appropriate grievance process. For faculty, that process is the Grievance Procedure, Article 10, of the Unit 3 CBA. Such complaints may also or alternatively be filed with regulatory agencies, such as the California Department of Fair Employment and Housing (DFEH), Equal Employment Opportunity Commission (EEOC), Office of Civil Rights (OCR), and other state or federal regulatory agencies.

3.0 PERSONNEL ACTION FILE (PAF) AND WORKING PERSONNEL ACTION FILE (WPAF)

- 3.0.a See CBA, Article 11, for additional information regarding PERSONNEL ACTION FILES.
- 3.0.b Campus medical records and campus police records shall not be subject to the provisions of this section.
- 3.0.c The PERSONNEL ACTION FILE (PAF) is the official personnel file for each faculty member. The PAF is kept in the College office and is maintained by the College DEAN, who is the official custodian of the PAF. It will contain correspondence about employment status and personnel actions, as well as information such as peer evaluations, signed statements of evaluation, and summaries of student evaluations.
- 3.0.d A faculty member shall have the right of access to all material in his/her PAF, exclusive of pre-employment materials (per the education code). A faculty member shall have access to pre-employment materials in instances when such materials are used in personnel actions.
- 3.0.e A faculty member may request an appointment(s) for the purpose of inspecting his/her PAF. Such an appointment(s) shall be scheduled promptly during normal business hours. The manner of inspection shall be subject to reasonable conditions. The faculty member shall have the right to have another person of the faculty member's choosing accompany him/her to inspect the PAF.
- 3.0.f Following receipt of a faculty member's written request, the DEAN of the COLLEGE shall, within fourteen days of the request, provide a copy of all requested materials. The faculty member will be required to bear the cost of duplicating such materials.
- 3.0.g If, after examination of the PAF, the faculty member believes that any portion of the file is not accurate, he/she may request in writing a correction of the material, a deletion of a portion of the material, or both. Such a request shall be addressed to the DEAN, with copies to the appropriate faculty committee, if such material was generated by a faculty committee, and APPROPRIATE ADMINISTRATORS. The request shall include a written statement by the faculty member as to the corrections and/or deletions that he/she believes should be made, and the facts and reasons supporting such request. Such requests and written responses thereto shall become part of the PAF, except in those instances in which the disputed material has been removed from the file. In the case of material noticed for addition to the file, but not yet in the file, this request shall be made within five days of the date of the notice to the faculty member that the material is to be placed in the file

pursuant to 2012-2014 CBA Article 11.5. If no meeting is requested, the material will be placed in the file. If a meeting is requested, it shall take place within ten (10) days of the request made by the faculty member. Except for official review level REPORTS and RECOMMENDATIONS, any material contested in a timely manner pursuant to this section shall not be placed in the file until the processes described herein have been completed. For additional details, see 2012-2014 CBA Article 11.6.

- 3.0.h If the request is denied by the DEAN, no later than seven calendar days after the date of such a denial, the faculty member shall have a right to submit the request to the President. Within twenty-one days of such request to the President, the President shall provide to the faculty member a written response. If the President grants the request, the record shall be corrected or the deletions made, and the faculty member shall be sent a written statement to that effect. If the President denies the request, the response shall include the reason(s) for denial.
- 3.0.i The PAF shall be held in confidence by the subject faculty member and all who have access to it. Access to a faculty member's PAF shall be limited only to persons with official business, including members of committees on retention, tenure, promotion, grievance, discipline, leaves, and of committees that make RECOMMENDATIONS on the selection and retention of administrative officers of the University. Eligible faculty engaged in teaching performance review of faculty holding temporary appointments shall also have access to personnel files of the candidate under review.
- Administrative personnel charged with the academic responsibilities for an instructional unit shall have access to personnel files for faculty members assigned to that unit. The DEAN's office shall log all instances of access to a PAF. Such a log record shall be a part of the PAF.
- 3.0.j The PAF shall indicate the location of other records regarding a faculty member kept on the campus to which the faculty member has access in accordance with statute.
- 3.0.k A faculty member shall have the right to submit additional material to his/her PAF and shall have the right to submit a written rebuttal to any material in his/her PAF.
- 3.0.l Any material identified by source may be placed in the PAF by the College DEAN. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material.
- 3.0.m The faculty member shall be provided with a copy of any material to be placed in the PAF at least five days prior to such placement. This provision

shall not apply to material referenced in the Temporary Suspension or Disciplinary Action Procedure Articles in the CBA.

3.0.n Materials for evaluation submitted by a faculty member shall be deemed incorporated by reference in the PAF but need not be physically placed in the file. An index of such materials shall be prepared by the faculty member and submitted with the materials. Such an index shall be permanently placed in the PAF. Materials incorporated by reference in this manner shall be considered part of the PAF. Indexed materials will be removed by or returned to the faculty member when they are no longer required in evaluation or review.

3.0.o There may be copies of material contained in the official file in other working files for administrative convenience, but only the official PAF may be used as the basis for personnel actions.

3.0.p A WORKING PERSONNEL ACTION FILE (WPAF), based on the PAF, shall be created for use during PERIODIC EVALUATIONS or PERFORMANCE REVIEWS of a faculty member. All RECOMMENDATIONS and decisions regarding retention, tenure, and promotion shall be based upon information contained in the WPAF. Should the President make a personnel decision on reasons not contained in the WPAF, those reasons shall be reduced to writing and entered into the PAF and shall be immediately provided to the faculty member.

3.0.q Personnel Files – Temporary Faculty

Personnel files shall be maintained in the office of the College DEAN for all temporary faculty who shall have all rights and privileges with respect to their files that tenured and tenure-track faculty have.

3.1 **Administrative Responses to Items Entered in the Personnel Action File**

The following list of possible actions is intended to be informative, not comprehensive. Among possible actions are a letter of commendation; assigned time for research, instructional improvement, etc.; special consideration for teaching assignments, professional travel considerations, other recognitions or awards; scheduling of additional PERIODIC EVALUATIONS; professional development opportunities to improve specified aspects of performance; additional student and/or peer evaluation of teaching; establishment of performance goals with scheduled self-reporting on progress; and reprimand or DISCIPLINE, pursuant to Article 18 or 19 of the CBA.

4.0 STUDENT EVALUATION OF TEACHING – UNIVERSITY COMMITTEE AND STORAGE OF RESULTS

- 4.0.a The University Committee on Student Evaluation of Teaching (The USET Committee) shall be constituted by September 15 of each year. Membership shall consist of two faculty members, for two-year staggered terms, appointed by the Chair of the Academic Senate; three students chosen by the Associated Students Board of Directors; and the Provost or his/her designee. The USET Committee is responsible for approving Department/Unit questionnaires or other evaluation instruments (henceforth, questionnaires and other evaluation instruments are referred to collectively as instruments) and procedures when different from the standard instruments and procedures. The USET Committee is also responsible for recommending changes to improve the standard instruments and procedures.
- 4.0.b During the fall semester each year the USET Committee shall:
 - 4.0.b.1 establish deadlines for submission and approval of Department/Unit instruments;
 - 4.0.b.2 review proposed unchanged, revised, and new Department/Unit instruments and procedures for possible use in the following two semesters, the immediately following spring and fall semesters;
 - 4.0.b.3 submit the standard instruments to the Faculty and Student Policies Committee of the Academic Senate for review and approval if there are recommended changes.
- 4.0.c Each year the USET Committee shall advise DEPARTMENTS/UNITS of:
 - 4.0.c.1 their rights to develop and use their own instruments and procedures subject to the approval of the USET Committee;
 - 4.0.c.2 the deadlines for submission of proposed unchanged, revised, and new Department/Unit instruments and procedures to the USET Committee;
 - 4.0.c.3 the requirement to use the standard instruments and procedures during the following spring and fall semesters if the Department/Unit does not propose alternative instruments and procedures prior to the deadline;
 - 4.0.c.4 the advantages of using the standard instruments;
 - 4.0.c.5 submission deadlines at least two months before the deadline date.
- 4.0.d College Office Student Evaluation of Teaching procedures include the following:

- 4.0.d.1 Upon receipt in the College office, all Student Evaluation of Teaching materials shall be placed in secure storage and shall remain there until after the deadline for submission of that semester's grades. After the submission of that semester's grades there are two possible situations:
- 4.0.d.1.a The summary sheets shall not be placed in the PAF of the faculty member if during the fall semester he/she has alone requested evaluation and has informed the College Dean, in writing, that the materials are not to be placed in the PAF.
- 4.0.d.1.b For all other faculty members a copy of the summary sheet and a copy of the instruments, if different from the standard questionnaire, and the written evaluations, in compliance with the CBA, shall be inserted into the PAF of the faculty member. The raw data will be maintained securely by Academic Affairs, and will be available only to the faculty member, to the appropriate Department/Unit and College Committees, and to the APPROPRIATE ADMINISTRATORS. The raw data shall be stored for a period of five years following the administration of the evaluation. It is the faculty member's right to validate the summary sheets from the raw data during this period. After this time, the raw data shall be destroyed.

5.0 PERSONNEL COMMITTEES

- 5.0.a PERSONNEL COMMITTEES shall be established at both the Department/Unit and College levels.
- 5.0.b Confidentiality is a prerequisite for effective personnel procedure. Any breach of confidentiality will be considered as a violation of professional ethics. In particular, RECOMMENDATIONS from any faculty review process, including PERFORMANCE REVIEWS, PERIODIC EVALUATIONS, and POST-TENURE REVIEWS shall be confidential. Only the affected faculty member, APPROPRIATE ADMINISTRATORS, the President, and the peer review committee members shall have access to written Recommendations.
- 5.0.c The function of the Department/Unit Personnel Committees shall be to make specified PERIODIC EVALUATIONS and PERFORMANCE REVIEWS, and to review and make RECOMMENDATIONS concerning appointment, retention, tenure, and promotion. The Department/Unit Chair may request assistance in personnel matters outside the normal retention, tenure, and promotion cycle. Upon receiving such a request, the Department/Unit Personnel Committee will then meet with the Department/Unit Chair and discuss such matters.

- 5.0.d The function of the College Personnel Committees shall be to make specified PERIODIC EVALUATIONS and PERFORMANCE REVIEWS, and to review and make RECOMMENDATIONS concerning retention, tenure, and promotion. At the option of the College faculty, the College Personnel Committee may also function as the College Faculty Leaves Committee.
- 5.0.e The minimum size of a DEPARTMENT/UNIT or COLLEGE PERSONNEL COMMITTEE, or any sub-committee thereof, shall be three. If the DEPARTMENT/UNIT Chair elects to serve as a member of the DEPARTMENT/UNIT PERSONNEL COMMITTEE rather than as a separate report writer, the DEPARTMENT/UNIT Chair will count toward achieving this minimum size. A majority of members of the DEPARTMENT/UNIT PERSONNEL COMMITTEE shall come from within the DEPARTMENT/UNIT where possible. A majority of members of the COLLEGE PERSONNEL COMMITTEE shall come from within the COLLEGE. COLLEGE PERSONNEL COMMITTEES shall have at least one representative from each DEPARTMENT/UNIT within the COLLEGE. Quorum standards shall be established by each DEPARTMENT/UNIT or COLLEGE. Composition of committees may vary for different functions provided their membership conforms to the parameters set forth in this document. A committee considering promotion to Professor shall be composed entirely of Professors; a committee considering promotion to Associate Professor shall be composed entirely of Associate Professors and/or Professors. COLLEGE PERSONNEL COMMITTEES shall be composed entirely of Professors. In the case of a COLLEGE or school that has fewer than two subdivisions, the COLLEGE PERSONNEL COMMITTEE may consist of three or more individuals in closely aligned disciplines from outside the unit. The DEPARTMENT/UNIT'S personnel policies shall specify the number of persons and the procedure for election.
- 5.0.f Department/Unit and College Personnel Committees shall be elected by probationary and tenured members of the DEPARTMENT/UNIT and shall operate under the guidelines, standards, and procedures set forth in this document, and under more specific guidelines and procedures drawn up by the faculty of the DEPARTMENT/UNIT and/or of the COLLEGE. The latter shall become a part of the DEPARTMENT/UNIT and/or COLLEGE constitutions and bylaws (or other set of guidelines by which an academic unit operates) after they have been approved by the Provost. Subsequent changes in specific guidelines and procedures shall also be implemented upon approval by the Provost.
- 5.0.g All members of PERSONNEL COMMITTEES shall be tenured full time faculty members. Only tenured members of the faculty and academic administrators may engage in deliberations that lead to RECOMMENDATIONS or in the formulation of RECOMMENDATIONS regarding faculty status. However, upon the recommendation of the

department, the President or designee may agree that faculty participating in the Faculty Early Retirement Program (FERP) in a department/unit may also engage in deliberations and make recommendations regarding the evaluation of a faculty unit employee. The committee may not be composed solely of FERP faculty. A FERP faculty member may only participate in the evaluation process if he or she is employed during the entire portion of the review cycle for which that committee is responsible.

- 5.0.h Department/Unit and College constitutions and bylaws (or other guidelines) regarding Department/Unit and College Personnel Committees shall establish standards of conflict of interest regarding eligibility, beyond the “conflict of interest” rules stated elsewhere in this document, as the appropriate academic unit deems necessary. Minimum standards shall be that no faculty member may serve on a committee if he/she is the subject of a PERIODIC EVALUATION during probation or a PERFORMANCE REVIEW by the committee in that year or on any tenure or promotion committee if he/she is a candidate for promotion in that year, and that no faculty member may serve at two LEVELS OF REVIEW for a given candidate in a particular personnel cycle.
- 5.0.i Eligible faculty elected to serve on a PERSONNEL COMMITTEE shall so serve unless unable to do so because of illness or an authorized leave of absence during the period of time that the committee is active. At the request of a committee member, the College DEAN may release that committee member from the committee. If any faculty member including a candidate has reason to believe that a member of the committee has an undue bias that might impair a committee member’s impartiality, that person should, before the committee begins its deliberations, communicate his/her concern with the appropriate administrator, who will work with the affected parties to resolve the potential conflict. Elected faculty on authorized leaves of absence during the period of time that the committee is active may choose to serve if able to meet the committee’s obligations. Failure to carry out the related duties in a professional manner may be cause for disciplinary action.
- 5.0.j Department/Unit Chairs may participate as members of the Department/Unit Personnel Committee when the committee is undertaking a PERIODIC EVALUATION or a PERFORMANCE REVIEW. In such cases, the written REPORT shall be considered a Department/Unit Report, and the Department/Unit Chair will not be considered a subsequent separate report writer. As a member of the Department/Unit PERSONNEL COMMITTEE, however, the Department/Unit Chair may issue a separate concurring or minority Report consistent with the provisions of these policies. Department/Unit Chairs electing to serve as members of Department/Unit PERSONNEL COMMITTEES must do so for all candidates undergoing a PERIODIC EVALUATION or PERFORMANCE REVIEW during that

particular personnel cycle. DEANS shall not participate as members of Department/Unit or College PERSONNEL COMMITTEES.

- 5.0.k In promotion considerations, peer review committee members must have a higher rank/classification than those being considered for promotion.
- 5.0.l Each PERSONNEL COMMITTEE or subcommittee shall elect a chair and a secretary. The chair shall call and preside at meetings and carry out other appropriate duties. The secretary shall keep minutes. These minutes shall indicate time, place, and date of meetings; members present; and any action(s) taken. No minutes on details of the committee's discussion or deliberations shall be taken. The secretary will also carry out other appropriate duties, as determined by the committee.
- 5.0.m PERSONNEL COMMITTEE members shall read carefully and thoroughly the files of all candidates under consideration by the committee and shall attend all meetings and deliberations of the committee. If a committee member is absent from a meeting, he/she shall either be replaced on the committee or shall review with the other committee members the deliberations that were missed.
- 5.0.n No PERSONNEL COMMITTEE shall discuss its REPORT or take any action when people who are not members of the PERSONNEL COMMITTEE are present.
- 5.0.o These PERSONNEL COMMITTEES may be divided into subcommittees, with the division of work being determined by the PERSONNEL COMMITTEE. In cases where this is done, the subcommittee rather than the entire PERSONNEL COMMITTEE shall have the responsibility for the complete and thorough review and evaluation of data and making a RECOMMENDATION on each candidate. Its REPORT and RECOMMENDATION shall be submitted for endorsement by the entire PERSONNEL COMMITTEE before the Report and RECOMMENDATION are forwarded to the Department/Unit Chair or College DEAN.

6.0 HIRING

- 6.0.a Each new faculty unit employee shall be provided with evaluation criteria and procedures in effect at the time of his/her initial appointment. In addition, pursuant to Article 15.3 of the CBA, the faculty unit employee shall be advised of any changes to those criteria and procedures prior to the commencement of the evaluation process.

6.1 Tenure Track (Probationary) Faculty

- 6.1.a Basics

- 6.1.a.1 A probationary appointment is one made to a position that, upon successful annual PERIODIC EVALUATIONS and PERFORMANCE REVIEWS, may lead to the award of tenure. The initial probationary appointment normally will be for two years. The normal probationary period is six years, which may in some cases be reduced.
- 6.1.a.2 The approved personnel policies, which are a part of the Department/Unit strategic plan, define the status of new full-time faculty appointments. The normal appointment of a full-time faculty member should be to a probationary status. In all cases the appointment must be consonant with the relevant, approved strategic plan.
- 6.1.a.3 Any current temporary faculty under consideration for a probationary appointment should be treated as if applying for a new position with the same appointment/hiring procedures to be followed.
- 6.1.a.4 An initial tenure-track appointment may be made jointly in more than one academic department or equivalent unit. The President shall determine the proportion of assignment of activity for individuals holding joint appointments. The proportion of such an assignment may be changed by the President during the duration of the joint appointment.
- 6.1.b Equivalency
 - 6.1.b.1 The term “equivalency” as used in this statement is defined to mean “equivalent attainment” as it is used in the appointment standard established in the Title 5, Section 42711:
 - 6.1.b.2 The faculty of each campus shall consist of specialists qualified to give the instruction in each authorized curriculum. The doctorate or equivalent attainment shall be the desirable qualification for appointment to a campus faculty position. Equivalent attainments may be accepted: (1) in those fields where the doctorate is not common, and (2) in professional fields where experience may be substituted for academic training.
 - 6.1.b.3 In fields where the doctorate is not common, degree equivalency shall meet either the standards required for national accreditation of campus programs or the nationally prevailing standards in the field for university-level instruction.
 - 6.1.b.4 In vocational fields where experience may be substituted for academic training, experience equivalency shall be based upon recognized achievement as well as length of experience in the field.

- 6.1.b.5 Whenever possible, equivalency standards are to be met at the time of initial appointment.
- 6.1.b.6 In a case where this desirable qualification cannot be met at the time of initial appointment, the equivalency requirement for the probationary faculty member shall be stated in writing before the initial appointment. Equivalency must be achieved by the beginning of the third year of a probationary appointment, otherwise the probationary faculty member will be released from University employment.
- 6.1.b.7 The initial policy recommendation to establish equivalency and to revise equivalency standards for a given area shall be proposed for ratification by the Department/Unit PERSONNEL COMMITTEE to the tenured faculty and those tenure-track faculty who (1) have a terminal degree, if the terminal degree is required, or (2) have met the equivalency standards of the Department/Unit Personnel Committee. After review, the College DEAN shall forward the ratified equivalency standards, along with his/her recommendation to the Provost for approval, as part of the Department/Unit's personnel policies.
- 6.1.b.8 Equivalency qualifications of candidates at the time of initial appointment will be assessed within Department/Unit guidelines that must conform to University Appointment Policies and Procedures. In each case where the equivalency qualifications are not met at the time of initial appointment, the specific equivalency requirements to be met by the probationary faculty member shall be drawn up by the Department/Unit Chair and submitted to the Department/Unit Personnel Committee for its approval or disapproval. These recommendations shall be forwarded to the College DEAN for review and approval. After approval, this statement shall be placed in the PERSONNEL ACTION FILE of the faculty member with copies forwarded to the affected applicant, the Provost, and the Department/Unit Chair.
- 6.1.c Procedures
- 6.1.c.1 Selecting new personnel primarily is the responsibility of the DEPARTMENT/UNIT seeking the new employee. The faculty of the Department/Unit are in the best position to understand their needs and to evaluate the professional competence of candidates in relevant fields. Review by the College DEAN and the Provost is necessary to assure compliance with legal requirements, to obtain a wider perspective than is possible within a single Department/Unit, and to ensure equity and comparability across the University in terms of rank and salary.
- 6.1.c.2 The personnel policies of the Department/Unit shall specify a procedure for determining the appointment recommendation of the Department/Unit.

- 6.1.c.2.a The procedure for determining the recommendation shall include a vote of all regular and auxiliary faculty who meet conditions set forth in the Department/Unit personnel policies. Regular and auxiliary faculty are defined in Section 3, Article III of the Constitution of the Faculty. All faculty voting on an appointment recommendation must be provided with access to applicant materials as required by the position announcement and follow the appointment criteria in FPPP, Section 6.1.c.8. Internal applicants shall not have access to other applicant's materials or participate in the hiring decision.
- 6.1.c.2.b If a Department/Unit includes separate subunits, such as programs, options or areas of concentration, defined in its Department/Unit constitution, and its personnel policies give a subunit the authority to determine the Department/Unit recommendation for appointments to that subunit, all regular and auxiliary faculty in the subunit shall be eligible to vote on the recommendation. The Department/Unit shall determine which faculty are members of the subunit for this purpose.
- 6.1.c.2.c If a Department's/Unit's personnel policies specify any participation requirements for the right to vote on appointment recommendations, the requirements must provide a reasonable opportunity for all regular and auxiliary faculty of the Department/Unit to qualify for the right to vote (or for all members of a subunit if such a restriction is specified under 6.1.c.2.b). For example, the policy may require attendance at on-campus presentations and access to candidate application files, but the policy may not require membership on the Search Committee, or attendance at off-campus conference interviews.
- 6.1.c.3 Each time a new search is initiated for a probationary appointment the Department/Unit shall elect a Search Committee for the purpose of reviewing and recommending candidates. Search Committees shall be elected by the Department/Unit according to Department/Unit policies, and shall consist of tenured faculty, except that probationary faculty may be included upon request of the Department/Unit and at the discretion of the president. FERP faculty shall be considered tenured faculty eligible for inclusion on Search Committees, so long as they can fully participate in the search. The Department/ Unit Search Committee shall be composed of a minimum of three Department/Unit faculty members plus, when possible, the Department/Unit Chair. A Department/Unit may augment its Search Committee with one faculty member from another department or unit if Department/Unit policies specify such.
- 6.1.c.4 Exceptional circumstances or budgetary delays may require that DEPARTMENT/UNITS appoint new personnel when the University is not in session. When this occurs, the Department/Unit Chair must make every effort to convene a quorum of the Department/Unit Hiring Committee. If this

procedure proves to be impossible, the Department/Unit shall designate a subcommittee to be available to act in its stead during the time the University will not be in session.

- 6.1.c.5 Each Department/Unit Hiring Committee shall elect a chair and a secretary. The chair shall be responsible for ensuring that the recruitment process adheres to university policy, including those related to equal opportunity and confidentiality. The chair shall call and preside at meetings and carry out other appropriate duties. The secretary shall keep minutes. These minutes shall indicate time, place, and date of meetings; members present; and any action(s) taken. No minutes on details of the committee's discussion or deliberations shall be taken. The secretary will also carry out other appropriate duties, as determined by the committee.
- 6.1.c.6 Department/Unit Hiring Committee members shall read carefully and thoroughly the files of all candidates under consideration by the committee and shall attend all meetings and deliberations of the committee. If a committee member is absent from a meeting, he/she shall either be replaced on the committee or shall review with the other committee members the deliberations that were missed.
- 6.1.c.7 All information about candidates in the recruitment process is considered personal and private. Without express permission from a candidate, disclosure of information is restricted to the person to whom the information pertains and to those employees where disclosure is necessary in the performance of their official recruitment related duties. Sharing information about a candidate with others is prohibited outside of these parameters. The candidate must sign a written release before the hiring committee contacts references not submitted by the candidate.
- 6.1.c.7.a Upon conclusion of the recruitment process, regardless of whether a successful hire is made, documentation of the recruitment process shall be sent to the office of the Associate Vice President for Faculty Affairs, and kept there for a period of three years.
- 6.1.c.8 The Department/Unit Search Committee shall solicit applications from the widest range of eligible people. A goal of the Department/Unit should be recruitment of personnel from a variety of institutional sources. Advertising of a position is required. The advertisement must state whether a position is probationary in unequivocal terms. Advertising for probationary positions shall be on a national level with at least one print publication (so as to meet federal visa application regulations should a non-U.S. citizen be hired) AAO 04-03. Advertising must fulfill the requirements of reaching a wide circulation. A minimum of 30 calendar days shall elapse from the time of posting the vacancy to review of applications.

- 6.1.c.9 The Department/Unit Search Committee screens applicants and shall adhere to the following general procedures and minimal criteria for appointments:
 - 6.1.c.9.a Evidence of teaching ability -- either potential or as based on previous experience
 - 6.1.c.9.b Scholarly activity and productivity
 - 6.1.c.9.c Educational or experiential preparation for university teaching, including the terminal degree or its equivalent from an accredited institution
 - 6.1.c.9.d Potential for, and commitment to, professional activities and growth
 - 6.1.c.9.e Evidence of the human relations skills necessary to work with students and colleagues
 - 6.1.c.9.f Disciplinary specialties, skills, and flexibility that coincide with current and future needs of the Department/Unit as summarized in the Department/Unit Personnel Plan
 - 6.1.c.9.g Evidence of an ability to communicate effectively orally and in writing
 - 6.1.c.9.h Compliance with University policies of Affirmative Action/ Equal Opportunity Employment
 - 6.1.c.9.i The criteria as determined by the vacancy announcement will be the basis of screening. The Hiring Committee's documentation will reflect the use of the criteria for all candidates.
- 6.1.c.10 Personal interviews shall be required prior to an appointment recommendation whenever possible. At least two members of the Department/Unit Committee and, when possible, the Department/Unit Chair shall conduct the interview.
- 6.1.c.11 No candidate may be hired unless there have been at least three reference checks. Reference checks must be by phone or in person, unless the person who is the reference prefers to answer a set of questions via email. All references shall be asked the same set of questions, as prepared by the Hiring Committee.
- 6.1.c.12 After completing its screening process, the Department/Unit Search Committee shall make a recommendation to the Department/Unit. The Department/Unit recommendation shall be determined according to procedures in the Department/Unit personnel policies (FPPP, Section 6.1.c.2) and forwarded by the Department/Unit Chair to the College Dean; the Dean will then make a decision. Should the College Dean disagree with the

recommendation, the Dean will meet with the Department/Unit to explain the basis for disagreement. If differences cannot be resolved at this level, the matter will be forwarded to the Provost to work with the parties to attempt to achieve mutual agreement. In instances where this is not possible, the appointment decision will normally be sent back to the DEPARTMENT/UNIT and new candidates will be sought.

- 6.1.c.13 The DEPARTMENT/UNIT will make a recommendation to the College DEAN on the level of appointment for the candidate; the Dean will then make a decision. Should the College Dean disagree with the recommendation, the Dean will meet with the Department/Unit to explain the basis for disagreement. If these differences cannot be resolved at this level, the matter will be forwarded to the Provost at the request of either party. It will be the responsibility of the Provost to work with the parties to attempt to achieve mutual agreement. In instances where this is not possible, the level of appointment will be determined by the Provost.
- 6.1.c.14 Among the documents forwarded by the DEAN shall be the California State University, Chico form titled “Academic Appointment Form.” This document should be accompanied by a declaration by each unit and officer involved that local, systemwide, and state and federal guidelines have been complied with. Appointment recommendations requesting an appointment above minimum rate must be justified in the appropriate section of the document. The requests shall then be submitted to the Office of Associate Vice President Faculty Affairs for review prior to the submission to the Provost. The Associate Vice President for Faculty Affairs shall confer with the University Equal Employment Opportunity Committee whenever this is practical and when any doubt exists before completing his/her review. These forms must then be approved by the Provost or designee. The approved Academic Appointment Form will be returned to the appropriate College DEAN and Department/Unit Chair. The Provost normally delegates to College DEANS the authority to make offers of employment. However, if the Provost disagrees with the DEPARTMENT/UNIT and DEAN’s recommendation, the Provost will meet with the Department/Unit and the College Dean to explain the basis for disagreement. If differences cannot be resolved, the appointment decision will be sent back to the Department/Unit and new candidates will be sought.
- 6.1.c.15 If a candidate is approved for appointment, an letter offering employment is to be prepared by the appropriate DEAN, carefully explaining the terms of the appointment. This letter contains the various terms of appointment that have been recommended and approved. The letter must contain standardized paragraphs prepared by the Provost or designee that explain to probationary appointees that they are subject to annual personnel evaluations or reviews, and that no oral or written statement issued during the appointment process should be interpreted as promise of future promotion, retention, or tenure. If

a prospective faculty member is offered a probationary appointment that includes service credit toward probation, the offer letter should fully apprise the prospective candidate of the implications of such an appointment.

6.1.c.16 Appointment letters will be sent by the appropriate DEAN to those accepting terms of employment. The format of appointment documents shall be standardized, insofar as possible, and shall be consistent with documents previously identified in this policy.

6.1.c.16.a Appointment letters must specify the assignment to an academic department or equivalent. The appointment letter shall also include PERIODIC EVALUATION or PERFORMANCE REVIEW criteria and first-year deadlines, as appropriate, and any granting of service credit.

6.1.c.17 In order to ensure that every new PROBATIONARY FACULTY member of the University is aware of his/her responsibility in maintaining a DOSSIER for use in the Department/Unit, College, and University RECOMMENDATIONS regarding retention, tenure, and promotion, it is the responsibility of the DEAN making the offer, at the time of offer of appointment, to bring to the attention of the new faculty member current University, College, and Department/Unit documents describing the policies, procedures, and time lines governing retention, tenure, and promotion. The Department/Unit Chair shall inform the new faculty member of the need to maintain a Dossier and the kinds of materials to be included in it. The Department/Unit Chair will also discuss its use in retention, tenure, and promotion reviews.

6.1.c.18 The new faculty member will then sign the following statement:

I affirm that I have been informed about the retention, tenure, and promotion policies and procedures of California State University, Chico. I understand that I am required to create and maintain a dossier of evidence documenting my instructional and professional career and achievements. Its contents will be forwarded to the Department/Unit Personnel Committee Chair, upon request, and shall become a part of the Working Personnel Action File while I am under review. It will be returned to me after the completion of the personnel cycle. I am aware that I am required to bring my Dossier up to date annually.

6.1.c.18.a This signed statement will be placed in the PAF of the faculty member.

6.1.d Service Credit

6.1.d.1 Faculty appointed to a probationary position may be granted a maximum of two year's credit toward tenure, promotion, and LEAVES for prior service at a post-secondary educational institution or for comparable service.

- 6.1.d.2 In addition to the minimum criteria for appointment, the creditability of any prior service shall be determined by criteria used for the PERFORMANCE REVIEW for Retention, Tenure, and Promotion. The specific year(s) and, if any, evidence of prior professional development credited will be those identified by the DEPARTMENT/UNIT and the DEAN and indicated in the letter of appointment.
- 6.1.d.3 PROBATIONARY FACULTY granted service credit toward probation normally shall be subject to a PERIODIC EVALUATION in the first probationary year. At the request of the DEPARTMENT/UNIT, Department Chair, and/or the DEAN, with the concurrence of the Provost, a Probationary Faculty member may be required to undergo a PERFORMANCE REVIEW during the first year of probationary status. The appointment letter shall include PERIODIC EVALUATION or PERFORMANCE REVIEW criteria and first-year deadlines, as appropriate.
- 6.1.d.4 The granting of service credit toward probation has significant implications for the faculty member, as well as for the DEPARTMENT/UNIT, the COLLEGE, and the University. The granting of service credit toward probation necessarily reduces the maximum number of probationary years available to the faculty member by the number of years of service credit granted. These probationary years subsequently cannot be restored once service credit toward probation has been granted. A prospective faculty member offered a probationary appointment that includes service credit toward probation should be fully apprised of the implications of such an appointment.

6.2 TEMPORARY Faculty

6.2.a General Policies

6.2.a.1 Definition of “TEMPORARY”

A TEMPORARY appointment is offered for a specified period of time with an explicitly stated ending date, with appointment periods being in compliance with the CBA. On this campus TEMPORARY faculty appointments are normally made for a semester or one academic year, but full-time appointments may be made for more than one year up to a maximum of three years per appointment. Whereas tenure-track appointments are made to academic ranks, TEMPORARY appointments are made to corresponding LECTURER RANGES.

6.2.a.2 Rationale for TEMPORARY Appointments

The personnel section of each approved DEPARTMENT/UNIT strategic plan shall provide a rationale for TEMPORARY appointments. TEMPORARY appointments may be justified in the strategic plan on the basis of anticipated patterns of curriculum and student demands, tenure-track faculty on leave or released time, or lack of qualified tenure-track applicants.

6.2.a.3 DEPARTMENT/UNIT Appointment Procedures

DEPARTMENT/UNIT personnel procedures shall include time and method of application, appointment procedures, and evaluation procedures. These procedures shall be approved by the appropriate DEAN and the Provost, published within the DEPARTMENT/UNIT, and filed with the Office of Faculty Affairs.

6.2.a.4 Information Due TEMPORARY Faculty

TEMPORARY faculty shall be informed by APPROPRIATE ADMINISTRATORS as to their rights and responsibilities, health benefits, sick leave, pension plans, salary warrants, unemployment compensation, disciplinary actions, grievances, and departmental policies on advancement and evaluation.

6.2.b TEMPORARY Faculty Appointments

6.2.b.1 Advertising

Following the course assignments of 3-year appointees, departments shall notify the Office of the Associate Vice President for Faculty Affairs (FAAF) of their need for advertising for TEMPORARY faculty positions.

6.2.b.1.a The FAAF Office will publish an advertisement describing all of the university's open positions and then refer applicants to the appropriate DEPARTMENT/UNITS.

6.2.b.1.b During this time period each DEPARTMENT/UNIT shall send reminders to currently employed TEMPORARY faculty (other than those in an existing 3-year appointment) informing them of its openings.

6.2.b.1.c In cases where a DEPARTMENT/UNIT has a specialized need, that DEPARTMENT/UNIT shall create a specialized advertisement, shall send a draft of the advertisement to the FAAF Office for review, and shall then publish the advertisement.

6.2.b.1.d If there is a need to advertise during mid-year, DEPARTMENT/UNITS shall follow the same process.

6.2.b.2 Full-Time TEMPORARY Faculty Appointments

6.2.b.2.a. The procedures for recruitment and appointment of full-time TEMPORARY faculty shall conform to CBA Article 12.

6.2.b.2.b. Full-time TEMPORARY appointments shall not be conditional.

6.2.c Eligibility for Appointment

Following the application closing date, departments shall review all applications to determine whether each applicant meets minimum qualifications based on the criteria established by the DEPARTMENT/UNIT.

6.2.c.1 Appointment

Please see CBA, Article 12, for regulations governing TEMPORARY faculty appointments.

6.2.d University Appointment Standards for LECTURER Ranges

6.2.d.1 Recommended Appointment Standards for LECTURER Ranges.

If a TEMPORARY faculty members' scheduled responsibilities straddle the responsibilities of two or more ranges, the appointment shall be to the higher range.

Range – L (1)

Educational Standard: Baccalaureate.

Responsibilities: The individual will assist with the teaching of a course, but will usually not have complete responsibility for a course. Faculty members in this range typically teach laboratory and activity sections, which include student contact and may also include grading and evaluation of student work.

Range – A (2)

Educational Standard: Baccalaureate or Master's Degree or Recognized Equivalent.

Responsibilities: The individual will generally have responsibility for teaching specific lower-division courses, where the course curricula are already well defined. The individual must demonstrate currency through professional activity appropriate to the instructional assignment.

Range – B (3)

Educational Standard: Master’s Degree or Doctorate or Recognized Equivalent.

Responsibilities: The individual will generally have responsibility for preparing and teaching specific courses at multiple levels, including levels beyond lower division. The individual must demonstrate currency through professional activity appropriate to the instructional assignment.

Range – C (4)

Educational Standard: Terminal Degree for Discipline or Recognized Equivalent.

Responsibilities: The individual will generally have responsibility for developing, preparing, and teaching a variety of courses at multiple levels. The individual must demonstrate currency through professional activity appropriate to the instructional assignment.

Range – D (5)

Educational Standard: Terminal Degree for Discipline or Recognized Equivalent.

Responsibilities: The individual will generally have responsibility for developing, preparing, and teaching a variety of courses at multiple levels. The individual must demonstrate currency through professional activity appropriate to the instructional assignment and must also demonstrate substantial professional recognition at and/or beyond the University.

6.2.d.2 Department/College Standards for LECTURER RANGES

This document establishes standards on appointments to LECTURER RANGES on the basis of education and responsibilities. Individual DEPARTMENT/UNITS may establish their own standards on the same basis within these general parameters, subject to the approval of the appropriate DEAN and Provost.

6.2.d.3 CBA Article 20, should be consulted for information on Faculty Professional Responsibilities and workload. (Not all sections in CBA Article 20 will apply to all faculty.)

7.0 ASSIGNMENT OF COURSES

7.1 Order of Assignment of Available Work

See 2012-2014 CBA Article 12.29 for Order of Assignment of available temporary work to lecturers and CBA Article 20.2.b regarding workload.

7.2 **Temporary Faculty**

- 7.2.a By June 30th of each year, Departments must post a list of temporary faculty who are eligible for a 3-year appointment. Eligible employees include those faculty employed during the prior academic year with six or more years of prior consecutive service on a single campus in a single department. Employment for at least one semester during an academic year shall be counted as one year of service credit for these purposes.
- 7.2.b Each department shall review expected course demand for the next Academic Year (Note: PT lecturer appointments, including PT 3-year appointments are conditioned upon enrollment or financial reasons that determine the size of the departmental workforce.)
- 7.2.c Departments perform the required review of all temporary faculty available to teach, which requires evaluation of each applicant's application materials and careful consideration of the PERSONNEL ACTION FILE (documented by signing the file log) of those PT faculty previously evaluated. If a department chooses to use other tools (e.g., interviews or reference checks) these must be utilized for all similarly situated applicants who are considered.
- 7.2.d Departments must follow the Order of Assignment of Available Work found in CBA Article 12.29.

8.0 **EVALUATION OF FACULTY**

- 8.0.a The need to develop and promote the highest quality of faculty shall take precedence over considerations of individual seniority, except in those instances where consideration of seniority is required by law or systemwide policy. In other words, except as required elsewhere, promotion is based on individual performance, not on years of seniority.
- 8.0.b By the beginning of the fall semester, the Provost or designee shall provide a calendar of deadlines for the completion of the WPAF by the candidate being evaluated and submission of RECOMMENDATIONS from each PERSONNEL COMMITTEE, Department/Unit Chair, and College DEAN. The date on which the WPAF will be declared complete with respect to documentation of performance provided by the candidate (closing date) for the current Performance Review cycle shall be the fall semester census date; the date on which the WPAF will be declared complete with respect to documentation of performance provided by the candidate for the current Periodic Evaluation cycle shall be the spring semester census date.

8.0.c In order that complete information be made available on each candidate, each RECOMMENDATION for retention, tenure, or promotion shall follow a prescribed form provided by the Provost.

8.1 Evidence (Including Dossiers)

8.1.a General Considerations

8.1.a.1 Provision of the opportunity for evaluation by a candidate's peers, including those not on review committees, is required, and such evaluations as are submitted shall be used in retention, tenure, promotion, and leaves reviews.

8.1.a.2 Each DEPARTMENT/UNIT must specify the standards by which it will evaluate performance for retention, tenure, and promotion. The standards should be designed to evaluate faculty performance in the tasks for which they were hired and/or to which they are assigned. Evaluation criteria and procedures shall be made available to the faculty unit employee no later than 14 days after the first day of instruction of the academic term. Evaluation criteria and procedures shall be made available to the evaluation committee and the academic administrators prior to the commencement of the evaluation process. Service expectations for probationary and tenured faculty shall be included in these standards. General Education, where taught, shall be addressed in the DEPARTMENT/UNIT standards. The value of professional contributions to K-12 shall be addressed in the DEPARTMENT/UNIT standards. The DEPARTMENT/UNIT standards shall include, as appropriate, expectations, standards, data sources, and evaluative criteria for on-line instruction, as well as for supplementary online materials, resources, and activities. The DEPARTMENT/UNIT standards must be approved by the DEAN and Provost in order to be valid. Once approved, the standards shall be used at all LEVELS OF REVIEW. DEPARTMENT/UNIT standards (and any subsequent changes in them) must be approved prior to October 1 and become effective in the subsequent academic year.

8.1.a.3 When classroom visits are utilized as part of the evaluation of a faculty unit employee under 2012-2014 CBA Article 15.14, the individual faculty unit employee being evaluated shall be provided a written notice of at least five (5) days that a classroom visit is to take place. There shall be consultation between the faculty member being evaluated and the individual who visits his/her class(es). The evaluation of online portions of a course should take place with the candidate present to give a narrative of online material. In certain circumstances, when suggested by the evaluatee and agreed to by the evaluator, limited temporary instructor-granted course access can be given at the discretion of the evaluatee. The requirements to provide written notice and consultation apply to evaluation of online portions of a course. Additional details regarding the timing of the visits, the documentation of the

assessment, etc., shall be determined by the DEPARTMENT/UNIT PERSONNEL COMMITTEE prior to the start of the review process.

- 8.1.a.4 In order to assess the effectiveness of instruction in online courses, additional and/or substitute methods of data gathering likely will be necessary. For example, while some online courses include real-time instruction by the faculty member – allowing for the equivalent of a peer visitation – other courses might consist of asynchronous content exclusively. The candidate, with the department's assistance, is to provide a sufficient evidentiary basis for evaluation.
- 8.1.a.5 In order to assess the effectiveness of instruction in online courses, or for assessing online supplementation of courses, Department/Unit standards should be guided by local, CSU, and national standards of best practices.
- 8.1.a.6 Evaluation by students shall be used in retention, tenure, promotion, promotion ranking, teaching performance, and leaves reviews.
- 8.1.a.7 Faculty members, students, academic administrators, and the President may submit material and information in the evaluation of a faculty member, but only tenured full-time faculty and academic administrators may engage in deliberations and make RECOMMENDATIONS to the President regarding the evaluation of a faculty member.
- 8.1.a.8 Department/Unit standards should serve as a guide to candidates and evaluators regarding the inclusion of appropriate evidentiary materials in the WPAF. Evidentiary materials placed in the WPAF, including attachments such as the DOSSIER, should contribute to building a meaningful record of the candidate's performance relative to the standards.
- 8.1.a.9 The DEPARTMENT/UNIT should assist the candidate in making certain that the WPAF accurately reflects the full performance record. However, ultimately, it is the candidate's responsibility to see that all materials favorable to retention, tenure, and/or promotion are included in the WPAF. The Department/Unit has the primary responsibility to see that the WPAF includes all materials necessary for responsible recommendations/decisions to be made, based exclusively upon those materials.
- 8.1.a.10 Every reasonable effort shall be made pursuant to these policies to develop for the WPAF a complete evidentiary data base for RECOMMENDATIONS and decisions.
- 8.1.a.11 The RTP calendar shall specify the date by which all WPAFs will close to additional evidentiary data for each EVALUATION/REVIEW cycle. The Department/Unit personnel committee will inform and assist the candidate in building an appropriate set of evidence prior to the closure. After the WPAF

is closed, additional material may be inserted only under the following circumstances.

- 8.1.a.11.a Material received while the WPAF is still open may be inserted into the file even when the candidate's notification period extends past the closing date.
- 8.1.a.11.b The Department/Unit personnel committee may insert material resulting from its meeting with the candidate.
- 8.1.a.12 Insertion of any other material after the WPAF is closed must have the approval of the College Personnel Committee, and shall be limited to items that became accessible only after the date of closure. Material inserted in this fashion shall be returned to the Department/Unit Personnel Committee for review, evaluation, and comment before consideration at subsequent LEVELS OF REVIEW. Likewise, material may be removed from the WPAF only with the approval of the College Personnel Committee, and the Department/Unit Personnel Committee shall make its review, evaluation, and comment before consideration at subsequent Levels of Review.
- 8.1.a.13 Materials for evaluation submitted by faculty shall be deemed incorporated by reference in the PAF, but need not be physically placed in the file. An index of such materials shall be prepared by the faculty member and submitted with the materials. Such an index shall be permanently placed in the PAF. Materials incorporated by reference in this manner shall be considered part of the PAF for the actions set forth in this document. Indexed materials shall be returned to the faculty member after the review or evaluation.
- 8.1.a.14 During the time of PERIODIC EVALUATION or PERFORMANCE REVIEW of a faculty member, the WPAF, which includes all information, materials, RECOMMENDATIONS, and rebuttals, is considered to be a part of the PAF.
- 8.1.a.15 If there are omissions of documentation, information, or RECOMMENDATIONS in the materials submitted for review, the materials may be returned for amplification as provided for in this document. Such amplification shall be provided in a timely manner.
- 8.1.a.16 It is the responsibility of each recommending level to determine whether each REPORT it receives is complete with adequate supporting data. If it determines that this is not so, it shall send the Report back to the appropriate level for revision, with indications of specific inadequacies, before it makes its RECOMMENDATION. When the WPAF is returned from any LEVEL OF REVIEW to a preceding level for revision, the candidate shall be notified by the reviewing bodies of the request for a revision of the Report. The original Report shall remain in the file, accompanying the revised Report,

only if the candidate so requests in writing. Such a request shall state the reasons for the request and shall become a part of the file.

- 8.1.a.17 If a question arises about information that a candidate has placed in his/her WPAF, the reviewer is encouraged to consult with the candidate to resolve the question. (Reminder: Normal procedures must be followed if any materials are to be added to the WPAF after it has been closed.)
- 8.1.b Student Evaluation of Teaching
 - 8.1.b.1 Student evaluations of teaching (SETs) serve two purposes: First, the evaluations provide a means of appraising the quality of teaching performance of faculty members; and second, the evaluations should help faculty members improve their teaching and assist in their general professional development.
 - 8.1.b.2 Written or electronic student evaluations of teaching (SET) shall be required for all faculty unit employees who teach. All classes taught by each faculty unit employee with six or more enrolled students shall have such student evaluations. See CBA 15.15.
 - 8.1.b.3 Each academic DEPARTMENT/UNIT may draw up its own instruments and/or procedures subject to approval of the University Student Evaluation of Teaching (USET)Committee. Proposed Department/Unit instruments must include a satisfactory plan for analysis and evaluation of results and shall be submitted for USET Committee approval.
 - 8.1.b.3.a Probationary faculty may use the SET instrument under which their evaluations began for the duration of the probationary period for consistency in SET analysis. Probationary faculty making this choice will communicate it in writing to the College Dean for placement in the PAF, as well as the department chair.
 - 8.1.b.4 DEPARTMENTS/UNITS shall file USET Committee approved Department/Unit instruments, procedures, and plans for analysis and evaluation of results in appropriate College and Department/Unit offices. These USET Committee approved documents shall be kept on file for a minimum of five years. Upon request, these USET Committee approved documents shall be made available to any faculty member or administrator.
 - 8.1.b.5 Evaluations shall be administered in an online or paper format, normally no earlier than the 11th week and no later than the 13th week of the class. For semester classes that end prior to the 11th week, evaluations shall be administered during the last two weeks of class. All evaluations shall be conducted in accordance with approved procedures. The standard procedures

for the administration and processing of Student Evaluation of Teaching instruments shall include all of the following:

- 8.1.b.5.a Online Evaluations
 - 8.1.b.5.a.1 Students will be required to log in using their portal access account, user name, and password before they can access the evaluations for their courses.
 - 8.1.b.5.a.2 Only students registered during the evaluation period will be allowed to evaluate a course. Each student will only be allowed to evaluate a course one time.
- 8.1.b.5.b In Class (Paper) Evaluations
 - 8.1.b.5.b.1 Student Evaluation of Teaching instruments must be administered during a regularly scheduled class meeting. The faculty member shall allow at least twenty minutes, at the start of a class session, for the administration of the instruments.
 - 8.1.b.5.b.2 The faculty member must designate at least two students to administer the Student Evaluation of Teaching instruments.
 - 8.1.b.5.b.3 The faculty member must leave the room while the instruments are distributed, marked, and collected.
 - 8.1.b.5.b.4 Written instructions shall specify that one of the students must promptly deliver the completed instruments in a signed and sealed envelope to the Department/Unit office or such other place or time as approved procedure may determine.
 - 8.1.b.5.b.5 The sealed envelopes shall be collected from the Department/Unit offices and processed in accordance with procedures established or approved by the USET Committee.
- 8.1.b.6 After processing, the raw data and summaries shall be made available using a secure mechanism to the appropriate College office and to the faculty member being evaluated.
- 8.1.b.7 All student evaluations collected as part of the regular student evaluation process must be anonymous and identified only by course and section. For online evaluations, information linking a student to his or her answers will not be stored.
- 8.1.b.8 Any faculty member who refuses to submit to an evaluation at the time and in the manner specified in this document shall have such refusal noted in

his/her PERSONNEL ACTION FILE by the APPROPRIATE ADMINISTRATOR.

- 8.1.b.9 For faculty at the rank of Professor or equivalent, SET results shall be retained for five years. SET results that have been removed from faculty files shall be returned yearly to the faculty member at the beginning of the following academic year, but after the deadline for all grievance activity.
- 8.1.b.9.a For probationary faculty who are promoted before they are tenured, SET results that were available for consideration during promotion deliberations shall be removed from faculty files after tenure is awarded. Those materials that were available for consideration after promotion but prior to tenure deliberations shall be retained for consideration during the next promotion deliberations. SET results that have been removed from faculty files shall be returned to the faculty member at the beginning of the next academic year.
- 8.1.b.9.b For all other faculty, SET results shall be removed from faculty files after promotion or appointment at a higher rank, with the exception of a faculty member moving from temporary to tenure-track status (see 8.5.b.2.d.1). SET results that have been removed from faculty files shall be returned to the faculty member at the beginning of the next academic year.
- 8.1.c Dossiers
 - 8.1.c.1 Each faculty member shall maintain a DOSSIER concerning his/her teaching, professional growth and achievement, and other contributions to the University, and shall bring it up to date annually. The Dossier should contain all evidentiary data that a faculty member has submitted or would submit to the WPAF, and will be an attachment to the WPAF during any REVIEW CYCLE. The maintenance and storage of the Dossier is the responsibility of the faculty member.
 - 8.1.c.2 At the conclusion of the GRIEVANCE filing period following the REVIEW CYCLE, each faculty member shall retrieve his/her DOSSIER from the PAF and be responsible for its storage and maintenance. Faculty members with Dossiers in the PAF shall be notified, after the GRIEVANCE filing period has passed, in writing by the College DEAN or designee to retrieve them. If the Dossier has not been removed by the faculty member at the end of twenty working days after such notice, it shall be delivered securely to the faculty member. If a faculty member files a Grievance as a result of action taken during the Review Cycle, the Dossier shall remain in the PAF until the Grievance is resolved. The faculty member has twenty working days following the Grievance resolution to remove the Dossier from the PAF.

8.1.c.3

As the purpose of the Dossier is to provide evaluators with the information and material necessary to accurately judge the candidate's performance in the areas listed above, the Dossier shall contain the following material:

I. A copy of the Department/Unit Standards

II. Current CURRICULUM VITAE (CV)

III. A Narrative

The narrative should provide a context for the reviewers to understand and evaluate the candidate's activities and achievements contained in the DOSSIER. The candidate should use the narrative to highlight the scope and quality of his/her performance in all the areas to be evaluated, making the case that the performance under review has met or exceeded expectations as stated in the Department/Unit standards, other sections of the FPPP, and the CBA. At a minimum, the narrative should include the following:

- a) a reflective statement on the candidate's teaching philosophy/strategies/objectives and how these have impacted the candidate's teaching, i.e., how these are evidenced in the candidate's classes, assignments, and other learning experiences provided for students
- b) a reflective statement on the candidate's professional development, describing what he/she does and why, how it has evolved and where it might be going in the next few years, and how it has impacted the candidate's teaching

The candidate may wish to include additional brief annotations and comments throughout the DOSSIER.

IV. Support material

The candidate will present evidence that he/she is performing the task for which he/she was hired, and to which he/she is assigned. Such evidence should address the evaluative standards specified elsewhere in this document, plus the following, as appropriate.

Instruction. Evidence regarding teaching effectiveness should address the specific Department/Unit standards for courses to be considered in the evaluation, and other support materials required by the DEPARTMENT/UNIT. While peer evaluations and SETs are in the candidate's WPAF, the candidate may wish to place a table summarizing these evaluations in the DOSSIER, along with his/her comments and interpretations.

Professional Growth and Achievement. The DOSSIER must contain the materials specified by the Department/Unit standards. When compiling these materials, the candidate should keep in mind that the quality of these activities is more important than the quantity of activities; therefore, this section of the Dossier should provide reviewers with the information necessary to make accurate judgments.

Other Contributions to the University and Community (often referred to as “Service”). Other materials that would help evaluators assess the candidate’s performance in Other Contributions to the University and Community should be included. When compiling these materials, the candidate should keep in mind that the reviewers will assess the quality as well as the quantity of activities; therefore, this section of the DOSSIER should provide reviewers with the information necessary to make accurate judgments.

Contribution to Strategic Plans and Goals of the Department/Unit, College, and University. While the material in the above described DOSSIER sections will address much of a candidate’s performance relative to strategic plans and goals, the candidate should make sure that any additional evidence regarding performance towards these goals is included in the Dossier. The candidate may wish to consider adding a statement that guides reviewers to the evidence in the Dossier which relates to strategic plans and goals.

8.2 Evaluation of TEMPORARY Faculty

8.2.a Introduction

8.2.a.1 All TEMPORARY faculty will be evaluated following the procedures and guidelines contained in this section.

8.2.a.2 Evaluations shall be conducted in either the fall or spring semester and reports shall be concluded with copies delivered to the faculty member and to the PERSONNEL ACTION FILE, on or before the Friday immediately preceding final exams.

8.2.b Categories of Evaluation

8.2.b.1 Teaching effectiveness is the first, minimum and indispensable requirement for appointment, reappointment and RANGE elevation of TEMPORARY faculty who teach.

8.2.b.2 TEMPORARY faculty will be evaluated according to the professional standards of the disciplines in which they are appointed and as defined by the DEPARTMENT/UNIT as appropriate to their work assignments.

8.2.b.3 The following shall provide the basis for evaluating TEMPORARY faculty, as documented by evidence in the PERSONNEL ACTION FILE.

8.2.b.3.a Evaluations of teaching performance, for those who teach.

Student evaluations of teaching shall be used, but shall not weigh excessively in the overall evaluation of teaching performance and shall not be used to determine a candidate's knowledge of his/her discipline. Consequently, it is in the candidate's best interests to carefully provide supplemental evidence in a manner that allows evaluators to accurately assess teaching performance. The candidate must diligently provide meaningful evidence of teaching performance consistent with the candidate's RANGE classification and teaching responsibilities.

At least one classroom visit resulting in a peer evaluation of teaching performance shall take place each review year. At the discretion of the PERSONNEL COMMITTEE, Department Chair, or upon the candidate's petition, a classroom visit resulting in a peer evaluation of teaching performance shall occur more frequently, (see FPPP Section 8.1).

8.2.b.3.b Evaluation of performance related to any other work assignment(s), besides teaching, as applicable.

As there is no common basis for evaluating non-teaching work assignments, non-teaching assignments will be specified in the appointment letter along with clear expectations for satisfactory performance of these assignments. The candidate must provide supporting evidence of achievement related to non-teaching work.

8.2.b.3.c Evaluation of any activities by the faculty member that support currency appropriate to the individual's appointment.

Activities supporting currency in the discipline are defined by the DEPARTMENT/UNIT. A variety of means may be used to support currency, including, but not limited to, continued education, research (broadly defined, including applied research in education), scholarship, and other creative and professional activities. Expectations for activities supporting currency must be consistent with the candidate's RANGE classification and responsibilities.

8.2.b.3.d Evaluation of any other activities or achievements related to the individual's work assignment(s) that provide a positive contribution to the University.

Such activities or achievements may include, but are not limited to, innovations in diversity, sustainability, service learning, and civic engagement.

- 8.2.b.4 The chair of the DEPARTMENT/UNIT PERSONNEL COMMITTEE shall notify the TEMPORARY faculty at the beginning of each personnel cycle that it is the responsibility of the faculty member to update his/her personnel file and supporting materials on an annual basis regardless of whether the faculty member is scheduled for review during that cycle.
- 8.2.c Record of the Evaluation
- 8.2.c.1 The DEPARTMENT/UNIT PERSONNEL COMMITTEE shall submit a written REPORT to the candidate and to the Department Chair. The Department Chair shall concur, with or without comments, or not concur, with comments. The Department Chair shall transmit the REPORT and his/her comments, if any, to the candidate and to the appropriate DEAN for review and entry into the PERSONNEL ACTION FILE.
- 8.2.c.2 The REPORT shall contain an evaluation of the effectiveness of the faculty member in his/her work assignment(s) and a statement as to whether the performance is satisfactory. If the faculty member has not performed satisfactorily, then the reasons for this conclusion shall be included in the REPORT.
- 8.2.c.3 The REPORT may include constructive suggestions for the faculty member's development related to his/her work assignment(s).
- 8.2.c.4 The REPORT shall acknowledge other activities by the faculty member, not part of his/her work assignments(s), which result in a positive contribution to the University.
- 8.2.c.5 The REPORT shall not contain any recommendation regarding future employment.
- 8.2.d Evaluation Procedures
- 8.2.d.1 Each TEMPORARY faculty member neither eligible for nor currently holding a three-year appointment will undergo an annual review for the initial two personnel cycles of his/her appointment, followed by biennial rather than annual reviews. This requirement may be waived for temporary faculty who are in their first semester of employment as described in CBA article 15.25. At the discretion of the PERSONNEL COMMITTEE, Department Chair, or upon the candidate's petition, a review may be scheduled in a year succeeding an annual or biennial review. The evaluation shall consider the faculty member's work performance since the individual's initial date of appointment or since the last evaluation, whichever is more recent.

- 8.2.d.2 All TEMPORARY faculty members eligible for an initial three-year appointment pursuant to CBA Article 12.12 shall be evaluated in the academic year preceding the issuance of the initial three-year appointment. The evaluation shall consider the faculty member's cumulative work performance during the entire six or more years of consecutive service on the same campus that make up the qualifying period for the initial three-year appointment.
- 8.2.d.2.a When the appropriate administrator determines, based on the PERSONNEL ACTION FILE, that an eligible TEMPORARY faculty member has performed in a satisfactory manner, and absent documented serious conduct problems, an initial three-year appointment shall be offered. Otherwise, an initial three-year appointment shall not be offered and the reasons for this determination shall be reduced to writing by the appropriate administrator and placed in the PERSONNEL ACTION FILE.
- 8.2.d.3 All TEMPORARY faculty members holding three-year appointments pursuant to CBA Articles 12.13, 15.26 and 15.29 shall be evaluated in the third year of their appointment and may be evaluated more frequently upon the request of either the employee or the President (or designee). The evaluation shall consider the faculty member's cumulative work performance during the entire preceding three-year period.
- 8.2.d.3.a When the appropriate administrator determines, based on the PERSONNEL ACTION FILE, that a TEMPORARY faculty member holding a three-year appointment has performed in a satisfactory manner, and absent documented serious conduct problems, a subsequent three-year appointment shall be offered as long as there is sufficient work. Otherwise, a subsequent three-year appointment shall not be offered and the reasons for this determination shall be reduced to writing by the appropriate administrator and placed in the PERSONNEL ACTION FILE.

8.3 **Lecturers – Range Elevation**
For details, see 2012-2014 CBA Articles 12.16-12.20

- 8.3.a Eligibility for RANGE Elevation
- TEMPORARY faculty (excluding coaches) who (1) are not eligible for more SSIs in their current RANGE and (2) have been employed in their current Range for at least five years are eligible for Range Elevation.

8.3.b Criteria for RANGE Elevation

8.3.b.1 The information below within this “Criteria for RANGE Elevation” only applies to lecturers with the following work assignments:

- Full-time or part-time instructional work assignments on a 15-unit base
- Full-time or part-time non-instructional work assignments
- Hybrid work assignments that include instruction and non-instructional elements.

8.3.b.2 Criteria for RANGE elevation for temporary faculty (excluding coaches) shall be appropriate to lecturer work assignments (CBA 12.19).

8.3.b.3 For elevation to the RANGE of Lecturer B or above, the individual must have achieved professional growth and development since the initial appointment or last RANGE elevation.

8.3.b.4 Professional growth and development for lecturer RANGE elevation eligibility is defined as *teaching excellence* and *maintaining currency in the field* unless the faculty member’s work assignment includes duties in addition to teaching. Departments shall clearly define teaching excellence and maintaining currency in the field in their personnel policy documents.

8.3.b.4.a Accumulated teaching experience alone is not considered “teaching excellence” sufficient for RANGE elevation.

8.3.b.4.b “Maintaining currency in the field” shall be defined in a way that is appropriate to the instructional and non-instructional elements of the work assignment.

8.3.b.4.c Department policies defining RANGE elevation criteria shall not require the lecturer to obtain a Ph.D. or other terminal degree, or perform any other activity not reasonably related to their work assignment. (Note that research and/or obtaining a degree may be considered in the evaluation for RANGE elevation.)

8.3.b.4.d Departments may consult with the Office of Faculty Affairs for guidance on criteria development.

8.3.c Application Information

The application shall consist of a written letter or memorandum clearly stating the applicant’s request, a complete up-to-date vita, and documentation of teaching excellence and currency in the field since the initial appointment or last RANGE elevation, whichever is more recent. Although not required, the documentation may include a description of other

activities or accomplishments that contribute to the instructional mission of the University.

8.3.d Procedures

8.3.d.1 Pursuant to CBA 12.18, lecturers who met 8.4.a. criteria above will be notified thirty (30) days prior to the commencement of the annual campus RANGE elevation process. In that notification, the campus shall inform the lecturers that receipt of a previous FMI may affect their eligibility for RANGE elevation (CBA 12.18).

8.3.d.2 Eligible individuals must apply for RANGE elevation prior to March 1.

8.3.d.3 Applications are submitted to the department chair with a copy to the College DEAN. The chair shall obtain a RECOMMENDATION from the Department Personnel Committee, add his/her own Recommendation, and forward the application and both Recommendations to the Dean no later than April 1.

8.3.d.4 The College DEAN shall make a decision and notify the applicant no later than April 15.

8.3.d.5 RANGE elevation applications that are denied may be appealed pursuant to Article 12 of the Collective Bargaining Agreement. Appeals shall be submitted to the Office of Associate Vice President for Faculty Affairs. Appeals will be reviewed by a peer panel (see CBA Article 10) and the panel's decision is final. The peer panel shall notify the appellant of its decision within fourteen days of receiving the appeal from the Associate Vice President for Faculty Affairs. (CBA 12.20)

8.3.d.6 Pursuant to CBA 12.16, RANGE Elevation increases shall be effective at the beginning of the next academic year following the decision granting RANGE elevation.

8.3.d.7 RANGE elevation for lecturers shall be accompanied by advancement of at least five percent (5%) on the salary schedule (CBA 31.6).

8.4 Tenure Track (Probationary) Faculty

8.4.a General

8.4.a.1 For the purpose of calculating the probationary period, a year of service commences with the first fall term of appointment.

- 8.4.a.2 Four areas of evaluation must be considered at all review levels in making recommendations on retention, tenure, and promotion (RTP): Instruction; Professional Growth and Achievement; Other Contributions to the University and Community (a.k.a. “Service”); and Contributions to Strategic Plans and Goals of the Department/Unit, College, and University (which may include service activities).
- 8.4.a.3 Department/Unit standards should recognize that different types of accomplishment are valued, and each candidate is not expected to excel in all areas in order to be retained, tenured, or promoted. While effective teaching is the primary, essential, and minimum criterion for success at this University, Department/Unit standards should recognize that there are various ways for faculty to contribute to the University and to achieve professional success. Performance in Professional Growth and Achievement is expected of all faculty. Service is important and deserves appropriate recognition in the review process. To some extent, exceptional performance in one area of review may compensate for lesser contributions in other areas of review.
- 8.4.a.4 **PROBATIONARY FACULTY** are subject to two different types of performance evaluations. The first, called **PERIODIC EVALUATION**, focuses on providing the probationary faculty member with important developmental feedback, both positive and negative, with the goal of maintaining and/or improving performance. The ultimate goals of excellence and a successful tenure/promotion decision are to be kept firmly in mind by all involved with the process.
- The second type of performance evaluation is called the **PERFORMANCE REVIEW**, wherein a critical assessment of the faculty member’s performance is conducted and the probability of a successful tenure/promotion decision is estimated. Formal ratings of performance in each area of review are used, and a decision is made whether or not to retain the faculty member.
- 8.4.a.5 Normally, **PERIODIC EVALUATIONS** are done in the faculty members’ first, third, and fifth years; **PERFORMANCE REVIEWS** are conducted in the faculty members second, fourth, and sixth years. It is in this sixth year that the decision is made to offer tenure or to release the faculty member from employment.
- 8.4.a.6 All reviews shall be conducted and completed within the period of time specified by the President. The separate **WPAF** shall be forwarded in a timely manner to the next **LEVEL OF REVIEW** or **APPROPRIATE ADMINISTRATOR** or President.

- 8.4.a.7 The Department/Unit Personnel Committee, or a sub-committee of three of its members, shall be responsible for making the initial evaluation and RECOMMENDATION on each candidate for retention, tenure, or promotion. This initial evaluation shall be done after the data have been independently reviewed by each member of the committee. Data are to be found in the faculty member's PAF and WPAF.
- 8.4.a.8 An administrative level(s) review shall be conducted by the APPROPRIATE ADMINISTRATOR(S).
- 8.4.a.9 A request for an external review of materials submitted by a faculty member may be initiated at any LEVEL OF REVIEW by any party to the review (including the faculty member under review.) Such a request shall document (1) the special circumstances that necessitate an outside reviewer and (2) the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the President with the concurrence of the faculty member. The written external review must be submitted to the file prior to file closure. Additional materials will be added to the file according to FPPP and CBA guidelines.
- 8.4.a.10 The PERIODIC EVALUATION or PERFORMANCE REVIEW for individuals holding a joint appointment in more than one academic DEPARTMENT/UNIT shall be conducted by each department in which the individual holds an appointment; or, in accordance with campus procedures, the review may be conducted by a committee with representation from each department in which the individual holds an appointment.
- 8.4.a.11 PERIODIC EVALUATIONS will cover the period since the faculty member's date of hire, previous PERIODIC EVALUATION, or previous PERFORMANCE REVIEW, whichever is more recent. PERFORMANCE REVIEWS will cover the period since the faculty member's date of hire or previous PERFORMANCE REVIEW, whichever is more recent. A faculty member's first PERFORMANCE REVIEW will include work that is part of a service credit year or years. Work completed after the offer of appointment but prior to employment falls within the period to be considered for performance review.
- 8.4.a.12 In an academic year or work year in which a probationary faculty unit employee is not subject to a PERFORMANCE REVIEW for retention, the probationary faculty unit employee shall be subject to PERIODIC EVALUATION. Periodic Evaluation of PROBATIONARY FACULTY shall include sequential evaluations by the DEPARTMENT/UNIT PERSONNEL COMMITTEE, the Department Chair, and the College DEAN. DEPARTMENT/UNIT Chairs may participate as members of the DEPARTMENT/UNIT PERSONNEL COMMITTEE. In such cases, the written evaluation shall be considered a DEPARTMENT/UNIT REPORT,

and the DEPARTMENT/UNIT Chair will not be considered a subsequent separate evaluation.

8.4.a.13

A PERIODIC EVALUATION for PROBATIONARY FACULTY in any academic year must be followed by a PERFORMANCE REVIEW in the following academic year. Prior to the fifth probationary year, a Performance Review in any academic year normally will be followed by a PERIODIC EVALUATION in the next academic year (see the suggested Normal Sequence of PERIODIC EVALUATIONS and PERFORMANCE REVIEWS, following). A PERFORMANCE REVIEW in any academic year shall be followed by a PERFORMANCE REVIEW in the next academic year if any of the following pertain: (1) any LEVEL OF REVIEW recommends that a PERFORMANCE REVIEW be conducted in the following academic year, such a RECOMMENDATION is made a part of the PERFORMANCE REVIEW in the current personnel cycle, and such RECOMMENDATION is approved by the Provost; (2) the PROBATIONARY FACULTY member requests in writing that a PERFORMANCE REVIEW take place, and such a request is made in a timely manner; (3) the PROBATIONARY FACULTY member seeks a decision with respect to tenure/and or promotion in any academic year.

**Normal Sequence of Periodic Evaluations
Performance Reviews**

Probationary Year	Type of Report	Report Writers
1 st Year	Periodic Evaluation	Dept. Personnel Committee* Department Chair ** College Dean
2 nd Year	Performance Review	Dept. Personnel Committee* Department Chair ** College Personnel Committee College Dean President and/or Designee
3 rd Year	Periodic Evaluation	Dept. Personnel Committee* Department Chair ** College Dean
4 th Year	Performance Review	Dept. Personnel Committee* Department Chair ** College Personnel Committee College Dean President and/or Designee
5 th Year	Periodic Evaluation	Dept. Personnel Committee* Department Chair ** College Dean
6 th Year	Performance Review	Dept. Personnel Committee* Department Chair ** College Personnel Committee College Dean President and/or Designee

** May include the Department Chair when the Department Chair elects not to serve as a separate report writer.*

*** When the Department Chair elects not to serve as a member of the Department/Unit Personnel Committee.*

- 8.4.a.14 For those PROBATIONARY FACULTY with instructional assignments, student evaluations must be used (if available) with such other kinds of information the DEPARTMENT/UNIT normally uses in assessing teaching effectiveness. It must also include consideration of professional growth and achievement and other service to the University.

While a PERFORMANCE REVIEW will necessarily contain both developmental and judgmental components, the PERIODIC EVALUATION should be primarily developmental in nature. It shall consider the faculty member's past performance and future plans in the areas of teaching effectiveness, professional growth, and service to the University. The probationary faculty member may meet with each LEVEL OF REVIEW participating in the PERIODIC EVALUATION to discuss his/her strengths and weaknesses in these areas. The REPORT issued by each level should summarize this discussion and include suggestions, if any, for the probationary faculty member's improvement in the areas of teaching effectiveness, professional growth, and service to the University.

- 8.4.a.15 General Notes on Evaluation: Due Care
- 8.4.a.15.a The Department/Unit faculty and Chair must carefully assess the performance record, taking account of the quality, as well as quantity and rate of accomplishment, of the candidate's achievements. The evaluation becomes (1) the primary information to the candidate regarding performance expectations and (2) the basis for evaluations at subsequent LEVELS OF REVIEW.
- 8.4.a.15.b The Department's and Chair's evaluations, based upon information in the WPAF, must be related to the established standards and criteria, and elucidated so that evaluators outside of the candidate's discipline can understand and further evaluate them.
- 8.4.a.16 Teaching Effectiveness
- 8.4.a.16.a Teaching effectiveness is the first, minimum, and indispensable requirement for retention, tenure, or promotion of teaching faculty. Student Evaluations of Faculty data (SETs) shall be used, but will not weigh excessively in the overall evaluation of instructional effectiveness, and shall not be used when determining a candidate's knowledge of his/her field. Therefore, it is in the candidate's best interests to carefully provide data in a manner that allows evaluators to accurately assess teaching performance. The candidate must diligently provide meaningful evidence, beyond SETs, of teaching performance.
- 8.4.a.16.b The candidate is not alone in this process; as stated above, it is each DEPARTMENT'S/UNIT'S responsibility to assist the candidate in building the evidentiary basis, in this case by providing peer reviews of teaching during the regular course of each academic year. Colleagues should visit classes and provide developmental and evaluative feedback. The records of these visits should be included in the candidate's WPAF. Peer evaluation of instruction is not limited to departmental colleagues, of course; the candidate

may request a visit by anyone who is qualified to comment on some aspect of instructional effectiveness. For example, one visitor may be well versed in classroom communication techniques, while another may focus on the content of the instructor's presentation. Classroom visitations can be initiated by the candidate or the University.

- 8.4.a.16.c Departments should recognize that many activities that help the candidate be an effective and informed instructor may also be considered as Professional Growth and Achievement (see below).
- 8.4.a.17 Following the closure of the WPAF, and after reviewing the data and evaluations, but before writing its RECOMMENDATION, the DEPARTMENT/UNIT PERSONNEL COMMITTEE (or sub-committee) shall meet with each candidate for retention, tenure, or promotion on an individual basis. The purpose of this meeting shall be to answer unresolved questions on the part of any of the participants in the retention, tenure, or promotion process. Committee members may question the faculty member regarding any issue affecting the retention, tenure, or promotion decision-making process. The faculty member must be afforded an opportunity at this meeting to respond to these questions and to receive answers to his/her inquiries about the retention, tenure, or promotion process. The DEPARTMENT/UNIT Chair may be present at this meeting and may participate in it either as DEPARTMENT/UNIT Chair or as a member of the DEPARTMENT/UNIT PERSONNEL COMMITTEE. If the DEPARTMENT/UNIT Chair participates in this meeting as a member of the Department/Unit Personnel Committee, he/she foregoes the opportunity to present a separate RECOMMENDATION as DEPARTMENT/UNIT Chair. DEPARTMENT/UNIT Chairs electing to serve as members of DEPARTMENT/UNIT PERSONNEL COMMITTEES must do so for all candidates undergoing a PERFORMANCE REVIEW during that particular REVIEW CYCLE. Minutes of the questions, responses and answers shall be kept. At a minimum, such minutes shall contain a written digest of the substance of the interview. They shall become a part of the WPAF.
- 8.4.a.18 The DEPARTMENT/UNIT PERSONNEL COMMITTEE (or sub-committee), after meeting with the candidate, shall then write its REPORT and RECOMMENDATION. The REPORT and RECOMMENDATION shall follow the prescribed form provided by the Provost and shall include the committee vote(s) of adoption of the REPORT and RECOMMENDATION.
- 8.4.a.19 At all LEVELS OF REVIEW, in PERIODIC EVALUATION or PERFORMANCE REVIEW, before RECOMMENDATIONS are forwarded to a subsequent review level, a faculty member being evaluated shall be given a copy of the REPORT(S) and Recommendation(s), which shall state in writing the reasons for the Recommendation(s). The faculty member shall

have the right to respond or submit a rebuttal statement or response in writing and/or request an opportunity to discuss the Recommendation(s) from each level no later than ten calendar days following receipt of the Recommendation(s). A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to any previous Levels of Review. This provision shall not require that the timelines be altered or extended. Responses and rebuttals are to address interpretive issues; they are not vehicles for the introduction of new evidence.

8.4.b Conducting Performance Reviews

8.4.b.1 Process

8.4.b.1.a Each written REPORT should clearly state the evaluator(s) assessment of the quality and importance of the candidate's contributions. These statements should be in a form understandable by peers outside of the candidate's specific field.

8.4.b.1.b While the nature of PERFORMANCE REVIEWS is necessarily evaluative, PERFORMANCE REVIEW REPORTS must also contain developmental feedback for each candidate. Developmental feedback helps the candidate improve performance in each area reviewed, focusing on the candidate's eventual success at the University and in the professional field. While this feedback should guide the candidate's progression towards further retention, tenure, and/or promotion, it will not normally establish firm goals for the candidate's future performance. If a REPORT makes it clear that specific goals are to be met, the developmental feedback may be used as a basis for evaluation in future years' REPORTS. The purpose is to help the candidate meet what should already be reasonably clear goals for success in the RTP process.

8.4.b.1.c In each written PERFORMANCE REVIEW REPORT, the reviews of Instruction, Professional Growth and Achievement, and Other Contributions to the University and Community will each conclude with a summary evaluation. These evaluations are defined in the remainder of this section. The use of hyphenated ratings (e.g., “effective-to-superior”) is NOT permissible.

Superior

The candidate has clearly achieved excellence in the specific area of evaluation. The evidentiary record unambiguously supports the claim that the candidate is a model of academic/professional contribution and achievement in the area being evaluated.

Effective

The candidate has achieved competence in the specific area of evaluation. The evidentiary record generally supports the claim that the candidate is making a continual, impressive, and valued contribution to the academic community in the area being evaluated.

Adequate

The candidate has achieved satisfactory and acceptable (but not remarkable) levels of performance in the specific area of evaluation. With certain exceptions, the evidentiary record generally supports the claim that the candidate is making a satisfactory contribution to the academic community in the area being evaluated.

Inadequate

The candidate has achieved less-than-satisfactory levels of performance in the specific area of evaluation. The evidentiary record does not demonstrate that the candidate is making at least adequate contributions to the academic community in the area being evaluated. “Inadequate” performance is an impermissible level of professionalism, and significant deficiencies require immediate attention and correction.

More specifically, as applies to each area of performance:

INSTRUCTION

Superior

The evidence demonstrates the candidate's consummate professionalism and exceptional skill as an educator with respect to the materials, activities, and standards listed in the Department/Unit standards, other sections of this document (FPPP), and the CBA.

Effective

The evidence demonstrates the candidate's substantial professionalism and competence as an educator with respect to the materials, activities, and standards listed in the Department/Unit standards, other sections of this FPPP, and the CBA. An evaluation of “effective” performance is normally the minimum level of overall achievement consistent with the awarding of tenure and/or promotion.

Adequate

The evidence suggests the candidate has achieved a satisfactory level of professionalism and competence as an educator with respect to the materials, activities, and standards listed in the Department/Unit standards, other sections of this FPPP, and the CBA. An overall evaluation of “adequate” performance is the minimum level of achievement consistent with retention, but it is insufficient to justify the awarding of tenure and/or promotion.

Inadequate

The evidence does not demonstrate at least an adequate level of professionalism and competence as an educator with respect to the materials, activities, and standards listed in the Department/Unit standards, other sections of this FPPP, and the CBA.

PROFESSIONAL GROWTH AND ACHIEVEMENT

Superior

The evidence demonstrates the candidate's consummate professionalism and significant, highly regarded scholarly achievement with respect to professional contributions to students, to the discipline, and to the professional community (representative activities are listed the Department/Unit standards, in other sections of this FPPP, and the CBA).

Effective

The evidence demonstrates substantial significant scholarly achievement with respect to professional contributions to students, to the discipline, and to the professional community (representative activities are listed in the Department/Unit standards, other sections of this FPPP, and the CBA).

Adequate

The evidence demonstrates some scholarly achievement on the part of the candidate, with respect to professional contributions to students, to the discipline, and to the professional community (representative activities are listed in the Department/Unit standards, other sections of this FPPP, and the CBA)

Inadequate

The evidence does not demonstrate an adequate level of scholarly achievement with respect to professional contributions to students, to the discipline, and to the professional community (representative activities are listed in the Department/Unit standards, other sections of this FPPP, and the CBA).

OTHER CONTRIBUTIONS TO THE UNIVERSITY AND COMMUNITY (SERVICE)

Superior

The evidence demonstrates the candidate's consistently high level of involvement in activities listed in the Department/Unit standards, other sections of this FPPP, and the CBA. Where this area of evaluation refers to participation on committees, “superior” performance is evidenced by the candidate's assumption of key roles on significant University-, College-,

and/or Department-level committees, as well as the demonstration of consistent, on-going contributions to such committees.

Effective

The evidence demonstrates the candidate's consistent, on-going involvement in activities listed in the Department/Unit standards, other sections of this FPPP, and the CBA. Where this area of evaluation refers to participation on committees, “effective” performance is evidenced by the candidate's occasional assumption of key roles on significant University-, College-, and/or Department-level committees, as well as the demonstration of consistent, on-going contributions to such committees.

Adequate

The evidence demonstrates occasional involvement in activities listed in the Department/Unit standards, other sections of this FPPP, and the CBA. Whereas as this area of evaluation refers to participation on committees, “adequate” performance is evidenced by the candidate's infrequent assumption of key roles on University-, College-, and/or Department-level committees while, nevertheless, maintaining regular participation on committees at these levels

Inadequate

The evidence does not demonstrate an adequate level of involvement in activities listed in the Department/Unit standards, other sections of this FPPP, and the CBA. Where this area of evaluation refers to participation on committees, “inadequate” performance is evidenced by the candidate's lack of assumption of key roles on University-, College-, and/or Department-level committees and only limited participation on committees at these levels.

- 8.4.b.1.d As stated above, the fourth area of evaluation is Contribution to Strategic Plans and Goals of the Department/Unit, College, and University. In each written PERFORMANCE REVIEW REPORT, the evaluator(s) shall state whether the candidate has demonstrated an ability to conform to University, College and Department/Unit plans, and whether the candidate's performance generally facilitates the University's, College's and Department's/Unit's abilities to meet their strategic goals.
- 8.4.b.1.e In each written PERFORMANCE REVIEW REPORT, the evaluator(s) may include a section that discusses any other standards/issues set by the CBA or stated in the Department/Unit standards that are not already covered above.
- 8.4.b.1.f PERFORMANCE REVIEWS conducted in the faculty member's fourth year (including service credit) – or in the fifth year, if a PERIODIC EVALUATION was done in the fourth year – will provide the faculty member with an assessment of the person's prospect for tenure, given the member's entire record and evidence of ongoing performance.

8.4.b.1.g Prior to finalizing its REPORT and endorsing it by a vote of the committee, the DEPARTMENT/UNIT PERSONNEL COMMITTEE shall consult with the DEPARTMENT/UNIT Chair (if the Chair has elected not to participate as a member of the committee), with particular attention of all parties focused on attempting to resolve any differences that may exist in their contemplated RECOMMENDATIONS.

8.4.b.1.h After consulting with the DEPARTMENT/UNIT Chair, the DEPARTMENT/UNIT PERSONNEL COMMITTEE shall prepare its written REPORT and RECOMMENDATION (the RECOMMENDATIONS available to the committee are summarized in the Available Retention and Tenure Possibilities for Probationary Faculty Members, following). If the REPORT and RECOMMENDATION has been done by a subcommittee, the REPORT and RECOMMENDATION shall be submitted to the entire personnel committee for its endorsement. Each committee member will normally vote for or against the REPORT and RECOMMENDATION, and this vote shall be recorded on the form provided by the Provost, which becomes the first page of the Report. If a member abstains from voting, the member shall submit a written reason for the abstention. Any concurring or minority REPORTS and RECOMMENDATIONS shall be in writing and attached to the REPORT.

**Available Retention and Tenure Possibilities for
Probationary Faculty Members**

Probationary Year	Tenure Possible?	Additional Probationary Year Possible?	Eligible for Terminal Year?	Possible Termination at End of Year?
1	Yes	Yes	No	Yes
2	Yes	Yes	No	Yes
3-5	Yes	Yes	Yes	No
6	Yes	No	Yes	No

8.4.b.1.i The DEPARTMENT/UNIT PERSONNEL COMMITTEE shall transmit the WPAF, which at this point also contains the Committee's REPORT and RECOMMENDATION, to the DEPARTMENT/UNIT Chair (unless the Chair is the subject of the review, or when the DEPARTMENT/UNIT Chair elects to participate as a member of the DEPARTMENT/UNIT

PERSONNEL COMMITTEE, in which case the REPORT and RECOMMENDATION are transmitted directly to the office of the College DEAN). A copy of the REPORT and RECOMMENDATION shall be given to the candidate upon placement in the candidate's WPAF.

- 8.4.b.1.j After review, the DEPARTMENT/UNIT Chair shall send the REPORT and RECOMMENDATION back to the DEPARTMENT/UNIT PERSONNEL COMMITTEE if he/she finds that the REPORT is not complete and that its conclusions are not fully documented. The DEPARTMENT/UNIT Chair shall indicate the deficiencies of the REPORT in writing to the committee. The DEPARTMENT/UNIT Chair shall make his/her REPORT and RECOMMENDATION after the deficiencies are overcome. Moreover, the DEPARTMENT/UNIT Chair shall make his/her Report and Recommendation only after having consulted with the DEPARTMENT/UNIT PERSONNEL COMMITTEE, with the particular attention of the parties involved focused on attempting to resolve any differences that may exist in the contemplated RECOMMENDATIONS.
- 8.4.b.1.k The REPORT and RECOMMENDATION of the DEPARTMENT/UNIT Chair shall constitute a full and independent review of the evidence and the evaluation areas described above. After acknowledging that he/she has conducted an independent review of the evidence, the DEPARTMENT/UNIT Chair's REPORT must make it clear that the DEPARTMENT/UNIT Chair (1) agrees with the REPORT and RECOMMENDATION of the DEPARTMENT/UNIT PERSONNEL COMMITTEE, and for identical reasons; (2) agrees with the REPORT and RECOMMENDATION of the DEPARTMENT/UNIT PERSONNEL COMMITTEE, but for similar or different reasons (and the reasons must be clearly stated); or (3) disagrees with the REPORT and RECOMMENDATION of the DEPARTMENT/UNIT PERSONNEL COMMITTEE (and the reasons must be clearly stated).
- 8.4.b.1.l A copy of the REPORT and RECOMMENDATION shall be given to the candidate upon placement in the candidate's WPAF. After the mandatory ten days have elapsed to allow the candidate to respond in writing to the REPORT(s) and RECOMMENDATION(s), the DEPARTMENT/UNIT Chair shall forward his/her REPORT and RECOMMENDATION, along with that of the DEPARTMENT/UNIT PERSONNEL COMMITTEE, as a part of the WPAF to the office of the College DEAN.
- 8.4.b.1.m Upon receipt of the WPAF containing the Department/Unit Chair's report, the office of the College DEAN shall make the WPAF of candidates available to the College Personnel Committee. The College Personnel Committee (or subcommittee) shall first determine whether or not the REPORTS it has received on a faculty member have been adequately prepared. It shall also determine whether the Department/Unit Chair used

data that were not available to the Department/Unit Personnel Committee. If either or both are so, the Report shall be sent back to where it originated, and the review process shall be repeated. In any case, prior to finalizing its Report and endorsing it by a vote of the committee, the College Personnel Committee shall consult with the College DEAN and may consult with the Department/Unit Personnel Committee and the Department/Unit Chair (only if the Chair has elected to write a separate Report), with particular attention of all parties focused on attempting to resolve any differences that may exist in their contemplated RECOMMENDATIONS.

- 8.4.b.1.n After consultations are completed, the College Personnel Committee shall prepare its written REPORT and RECOMMENDATION. If the Report and Recommendation are done by a subcommittee of the College Personnel Committee, the Report and Recommendation shall be submitted to the entire College Personnel Committee for its endorsement. Each committee member will normally vote for or against the Report and Recommendation of the committee, and this vote shall be recorded on the form provided by the Provost, which becomes the first page of the College Personnel Committee Report. If a member abstains from voting, the member shall submit a written reason for the abstention. Any concurring or minority Reports and Recommendations shall be in writing and attached to the Report.
- 8.4.b.1.o The REPORT and RECOMMENDATION of the College Personnel Committee shall be based on a full and independent review of the evidence and the evaluation areas described in this document. After acknowledging that it has conducted an independent review of the evidence, in the situation where the Department Chair was a member of the Department Personnel Committee, the Report of the College Personnel Committee must make it clear that the College Personnel Committee (1) agrees with the Report and Recommendation of the Department/Unit Personnel Committee, and for identical reasons; (2) agrees with the Report and Recommendation of the Department/Unit Personnel Committee, but for similar or different reasons (and the reasons must be clearly stated); or (3) disagrees with the Report and Recommendation of the Department/Unit Personnel Committee (and the reasons must be clearly stated). In the case where the Department Personnel Committee and the Department Chair issued independent reports, the College Personnel Committee must issue reports congruent with the above standards in response to both the Department Personnel Committee and the Department Chair reports. The College Personnel Committee may choose to issue a single report that addresses both of the lower level reports.
- 8.4.b.1.p A copy of the REPORT and RECOMMENDATION shall be given to the candidate upon placement in the candidate's WPAF. The College Personnel Committee Chair shall forward the Report and Recommendation of the College Personnel Committee along with the WPAF to the College DEAN, unless the latter is the subject of the review and evaluation.

- 8.4.b.1.q The College DEAN shall first determine whether the REPORTS received have been adequately prepared. If not, the Reports shall be sent back to where they originated with deficiencies noted in writing and the process of review will start again at that point in the review process. In any case, prior to finalizing his/her Report, the College DEAN shall consult with the College Personnel Committee and may consult with the Department/Unit Personnel Committee and the Department/Unit Chair (only if the Chair has elected to write a separate report), with particular attention of all parties focused on attempting to resolve any differences that may exist in their contemplated RECOMMENDATIONS.
- 8.4.b.1.r The REPORT and RECOMMENDATION of the College DEAN shall be based on a full and independent review of the evidence and the evaluation areas described above. After acknowledging that he/she has conducted an independent review of the evidence, in the situation where the Department Chair was a member of the Department Personnel Committee, the REPORT of the College DEAN must make it clear that the College DEAN (1) agrees with the REPORT and RECOMMENDATION of the DEPARTMENT/UNIT PERSONNEL COMMITTEE, and for identical reasons; (2) agrees with the REPORT and RECOMMENDATION of the DEPARTMENT/UNIT PERSONNEL COMMITTEE, but for similar or different reasons (and the reasons must be clearly stated); or (3) disagrees with the REPORT and RECOMMENDATION of the DEPARTMENT/UNIT PERSONNEL COMMITTEE (and the reasons must be clearly stated). The Dean must also issue a report congruent with the above standards in response to the College Personnel Committee report. In the case where the Department Personnel Committee and the Department Chair issued independent reports, the Dean must issue reports congruent with the above standards in response to both the Department Personnel Committee and the Department Chair reports. The Dean may choose to issue a single report that addresses all of the lower level reports.
- 8.4.b.1.s A copy of the REPORT and RECOMMENDATION shall be given to the candidate upon placement in the candidate's WPAF. After the mandatory ten days have elapsed to allow the candidate to respond in writing to the Report(s) and RECOMMENDATION(s), the College DEAN shall then forward the WPAF, which includes the REPORTS and RECOMMENDATIONS (and any rebuttals thereto) of the DEPARTMENT/UNIT PERSONNEL COMMITTEE, the DEPARTMENT/UNIT Chair, the College PERSONNEL COMMITTEE, and the College DEAN, to the President (or to the President's designee).
- 8.4.b.1.t If any stage of a PERFORMANCE REVIEW(S) has not been completed within the specified period of time, the Performance Review(s) shall be automatically transferred to the next LEVEL OF REVIEW or

APPROPRIATE ADMINISTRATOR for recommendation evaluations and the faculty member shall be so notified.

- 8.4.b.1.u After review of the files in cases of retention, tenure, and promotion, the President or designee shall inform each candidate by letter of the decision in regard to retention, tenure, and promotion.
- 8.4.b.1.v Once the President has made his/her personnel decision, the Provost shall supervise the return of the REPORTS and RECOMMENDATIONS to the PAF.
- 8.4.b.2 Outcomes: Granting of Retention, Tenure, or Promotion
 - 8.4.b.2.a No Department/Unit Chair or DEAN shall participate in the review of his/her own case or in promotion or tenure reviews in cycles when he/she is also a candidate for promotion.
 - 8.4.b.2.b Although policies and guidelines herein apply to retention, tenure, and promotion evaluations alike, it is recognized that qualitative distinctions (of degree rather than kind) in the various reviews are implied by the concept of professional growth.
 - 8.4.b.2.c Policies and guidelines relating specifically to **retention** are
 - 8.4.b.2.c.1 Each DEPARTMENT/UNIT Chair and DEPARTMENT/UNIT PERSONNEL COMMITTEE shall establish a system of continuing evaluation of PROBATIONARY FACULTY members so that they will be informed of strengths and deficiencies as well as aided in promoting strengths and correcting deficiencies. Strengths and areas of needed improvement shall be reported in the DEPARTMENT/UNIT PERSONNEL COMMITTEE REPORT as well as that of the DEPARTMENT/UNIT Chair (if appropriate).
 - 8.4.b.2.c.2 For all PROBATIONARY FACULTY, whether granted credit toward probation or not, retention shall be awarded only to those whose performance appears to afford them a reasonable possibility of obtaining tenure in due course (i.e., given the number of probationary years remaining).
 - 8.4.b.2.c.3 PROBATIONARY FACULTY should demonstrate the following: effective Instruction, the potential for future Professional Growth and Achievement, participation in Other Contributions to the University and Community(a.k.a. “Service”), and competency and willingness to adjust to appropriate Strategic Plans and Goals of the Department/Unit, College, and University (which may include service activities).

- 8.4.b.2.c.4 Potential for professional growth and development should be demonstrated by satisfaction of criteria over and above the completion of the terminal degree or equivalency requirements.
- 8.4.b.2.c.5 PROBATIONARY FACULTY who do not have the doctorate or equivalent attainment at the time of appointment should expect to remain in probationary status the normal time in the probationary period, which is six years.
- 8.4.b.2.d Policies and guidelines relating specifically to **tenure** are
 - 8.4.b.2.d.1 In consideration of tenure, the period of review shall be the entire probationary period (including years of prior service credit, if any). Consideration shall be given to the development and continuity of the candidate's total performance during the review period. Where prior credits have been granted, these credits plus performance rendered since being appointed to the faculty at California State University, Chico shall, together, constitute the data base for the tenure review. Work completed after the offer of appointment but prior to employment falls within the period of review for the awarding of tenure.
 - 8.4.b.2.d.2 As tenure normally involves a long-term commitment by the University to the faculty member, tenure review should be particularly rigorous in each of the evaluation areas.
 - 8.4.b.2.d.3 The normal pattern shall be consideration for tenure in the sixth consecutive year of full-time probationary employment, including service credited toward tenure from employment at another post-secondary educational institution in accordance with conditions stipulated in writing at the time of probationary employment.
 - 8.4.b.2.d.3.a Nevertheless, evidence of performance while at California State University, Chico, shall be the primary consideration in all tenure decisions.
 - 8.4.b.2.d.3.b Time spent on a professional leave of absence will normally be counted as part of the probationary period (will not “stop the tenure clock”) to the extent of a maximum of one year's credit per leave upon certification of fulfillment of the stated purpose of the leave. For additional details, see 2012-2014 CBA Article 13.7-13.8.
 - 8.4.b.2.d.3.c Time spent on a personal leave of absence will NOT be counted as part of the probationary period (will “stop the tenure clock”). As an exception, faculty taking a one-year leave of absence for pregnancy/birth or adoption shall be allowed, at their discretion, to “stop the tenure clock” for a period of one year.

- 8.4.b.2.d.4 Faculty unit employees who hold a joint appointment in more than one Department/Unit upon being awarded tenure have tenure in all departments in which they hold an appointment and accrue full SENIORITY POINTS in each of the departments in which they hold an appointment as if they were full-time in each.
- 8.4.b.2.e Policies and guidelines relating specifically to **promotion** are
 - 8.4.b.2.e.1 In consideration of promotion, the period of review shall be the period since appointment to a tenure track position or since closure of the WPAF prior to promotion to the current rank, whichever is more recent. Only evidence of the faculty member's record of performance during the review period shall be taken into consideration. Work completed after the offer of appointment but prior to employment falls within the period of review for initial promotion. Work performed during any service credit years similarly falls within the period of review for initial promotion.
 - 8.4.b.2.e.2 Evidence of performance while at California State University, Chico shall be the primary consideration in all promotions. This requirement does not preclude using work completed during any service credit years as part of the evidentiary base.
 - 8.4.b.2.e.3 In order to be promoted to the rank of Associate Professor, the individual normally shall possess tenure or be awarded tenure simultaneously with promotion. In order to be promoted to the rank of Professor, the individual shall possess tenure or be awarded tenure simultaneously with the promotion.
 - 8.4.b.2.e.4 Issues regarding the terminal degree or any EQUIVALENCY should be resolved before tenure is granted and should not, therefore, be in question for subsequent promotions.
 - 8.4.b.2.e.5 Candidates for promotion to the rank of Associate Professor and full Professor should have demonstrated both achievement and potential for growth in each of the areas of evaluation, and in addition, candidates for promotion to Professor must also clearly demonstrate substantial professional recognition at and/or beyond the University itself. All recommending bodies must clearly identify those activities and achievements which demonstrate fulfillment of this requirement.
 - 8.4.b.2.e.6 Any LEVEL OF REVIEW may RANK ORDER candidates for promotion being reviewed at that level.
 - 8.4.b.2.e.7 When promotion and tenure decisions are being made for a candidate in the same cycle, the REPORTS and RECOMMENDATIONS for both transactions shall be contained in the same WPAF

- 8.4.b.3 Outcomes: Granting of Early Tenure or Promotion
 - 8.4.b.3.a Tenure may be conferred earlier than the normal sixth year of employment.
 - 8.4.b.3.a.1 Consideration of tenure before the beginning of the sixth consecutive full-time probationary year shall be regarded as consideration of “early tenure.”
 - 8.4.b.3.a.2 Consideration of early tenure may be requested in writing by any faculty member wishing to be so considered. The faculty committee may initiate early tenure consideration at the Department/Unit level.
 - 8.4.b.3.a.3 Inasmuch as consideration of early tenure is not the normal pattern, a RECOMMENDATION for early tenure must be accompanied by its justification as a special case.
 - 8.4.b.3.b Prior to the forwarding of a candidate’s file to the President, the candidate may withdraw his/her application for early tenure without prejudice. All relevant personnel reports (department, chair, college dean, provost) from that cycle will be expunged from the candidate’s records (WPAF and PAF).
 - 8.4.b.3.c Consideration of promotion which would occur earlier than provided for above may be initiated by written request of the would-be candidate or by action of the Department/Unit committee. To be promoted, such candidates must meet the criteria for “exceptional.” Candidates for promotion without tenure must be similarly regarded as exceptional. Definitions of exceptional merit and the criteria by which it is to be determined shall be developed by each DEPARTMENT/UNIT and approved by the DEAN and Provost.
 - 8.4.b.3.d Prior to the final decision, the candidate may withdraw his/her application for promotion without prejudice. All relevant personnel reports (department, chair, college dean, provost) from that cycle will be expunged from the candidate’s records (WPAF and PAF).
- 8.4.b.4 Outcome: Notice of Terminal Year
 - 8.4.b.4.a Faculty members who are appointed for a TERMINAL-NOTICE YEAR normally will not be considered for tenure during the Terminal Year. Exceptions may be made for the following reasons:
 - 8.4.b.4.a.1 Lack of the terminal degree was the only reason for denial of tenure and the terminal degree was granted prior to the completion of the terminal academic year.
 - 8.4.b.4.a.2 Denial of tenure was based on a fully-documented error or errors on the appraisal and review process.

8.4.b.4.a.3 The faculty member has received a single honor from off campus that is professionally meritorious beyond question.

8.4.c Conducting Periodic Evaluations

8.4.c.1 PERIODIC EVALUATIONS shall be conducted in the spring semester and shall be concluded, with copies delivered to the faculty member and the file, on or before May 15.

8.4.c.2 A written record of each level of the PERIODIC EVALUATION shall be made with one copy from each level given to the probationary faculty member being evaluated before the evaluation moves to the next level and a final cumulative copy placed in the faculty member's PAF after the appropriate ten-day notice.

8.4.c.3 It bears repeating that PROBATIONARY FACULTY granted service credit toward probation normally shall be subject to a PERIODIC EVALUATION in the first probationary year. At the request of the Department/Unit, Department Chair, and/or the DEAN, with the concurrence of the Provost, a PROBATIONARY FACULTY member may be required to undergo a PERFORMANCE REVIEW during the first year of probationary status. The appointment letter shall include Periodic Evaluation or Performance Review criteria and first-year deadlines, as appropriate.

8.5 Tenured Faculty

8.5.a Periodic Reviews for Promotion

Tenured faculty (1) not eligible for an SSI or (2) having served four years at the same rank normally will be reviewed annually for promotion unless the individual requests in writing that the review not take place in a particular academic year. (See CBA, Article 14.3.)

8.5.b Periodic Evaluations of Tenured Faculty

8.5.b.1 Definition and Purpose

8.5.b.1.a For the purpose of maintaining and improving a tenured faculty member's effectiveness, tenured faculty shall be subject to PERIODIC EVALUATION at intervals no greater than five years. Note that the focus of this review should be on providing developmental feedback and encouragement to maintain a positive level of performance. Where appropriate, the review provides an opportunity for those colleagues to express their appreciation to the faculty member for his/her continued positive contributions to the

University. It is recognized that, where necessary, the review will include corrective feedback.

- 8.5.b.1.b This policy shall apply to faculty at the rank of Professor (or equivalent) and faculty in ranks below that of Professor (or equivalent) who have not undergone PERFORMANCE REVIEW for four years. Hereafter, a faculty member undergoing such evaluation is referred to as the “evaluatee.”
- 8.5.b.1.c Faculty participating in the Faculty Early Retirement Program (FERP) are not required to undergo post tenure evaluation unless an evaluation is requested by the FERP participant or the appropriate administrator.
- 8.5.b.2 Composition of Evaluation Committees
 - 8.5.b.2.a The PERIODIC EVALUATION shall be conducted by a committee of at least two tenured faculty of equal or higher rank than the person being evaluated and the Department/Unit Chair. The committee members shall be elected by the tenured and probationary faculty of the DEPARTMENT/UNIT. A majority of the committee should come from the Department/Unit of the evaluatee except in cases in which there are too few eligible faculty to provide a majority. Committee members may come from other departments within the COLLEGE or from departments external to the College but with related subject matter.
 - 8.5.b.2.b If the Department/Unit Chair is untenured he/she shall not participate in the PERIODIC EVALUATION of tenured faculty.
 - 8.5.b.2.c A faculty member undergoing PERIODIC EVALUATION is ineligible to serve as a member of his/her own evaluation committee, but may participate in the Periodic Evaluation of other faculty as well as in personnel actions if otherwise eligible to do so.
 - 8.5.b.2.d The Committee shall follow procedures developed by the Department/Unit and approved by the College DEAN.
- 8.5.b.3 Data Gathering
 - 8.5.b.3.a The evaluatee shall provide course syllabi, course examinations, copies or abstracts of publications, evidence of participation in scholarly meetings, copies of papers presented at scholarly meetings, letters of commendation, evidence of committee service, and such additional information as he/she may wish to have considered. The evaluatee shall also provide a copy of his/her most current vita, if this is not already available in the PAF.
 - 8.5.b.3.b The Committee shall collect other pertinent data which shall include, but is not necessarily limited to, peer and student evaluations of instruction for

courses representative of the evaluatee's responsibilities during the evaluation cycle. The Committee also may invite signed, written commentary and evaluation statements from students, faculty, and administrators regarding any relevant area of performance during the evaluation cycle.

8.5.b.4 The Periodic Evaluation Process

8.5.b.4.a After assessing the data, but before writing its final REPORT, the Committee shall meet with the evaluatee to provide an opportunity to clarify any unresolved questions. The Committee's Report shall include any RECOMMENDATIONS it may make.

8.5.b.4.b The Committee shall evaluate the data collected and, based upon it, shall write a definitive REPORT which addresses in detail teaching effectiveness and currency in the discipline, scholarship and creative activity, and service to the University. Other responsibilities identified in CBA, Article 20, and deemed relevant to the position should also be evaluated. Faculty whose performance does not include assignments in all of the relevant areas identified in Article 20 shall be evaluated on the basis of their performance in the specific areas of their assignment.

8.5.b.4.c The Committee's REPORT, together with any minority Report(s) by members of the Committee, shall be forwarded to the DEAN. The Dean shall either concur with the Committee's Report or shall submit an independent Report which shall include any RECOMMENDATIONS he/she may make. The Dean and the Committee Chair shall then meet with the evaluatee to discuss the Committee's Report and the Dean's Report. The Dean shall then place the Reports into the PAF following appropriate notification to the evaluatee.

8.5.b.4.d The evaluatee may place a response or rebuttal statement in his/her PAF and/or request removal of any material pursuant to the established process for doing so.

8.5.b.4.e The final REPORT of the PERIODIC EVALUATION shall consist of the Committee's Report, the College DEAN's Report, supporting documentation (if any), and the evaluatee's response (if any). Materials submitted by the evaluatee but not used in the Report shall be returned to him/her. Other materials gathered but not used in the Report shall be destroyed.

8.5.c Additional Evaluations of Tenured Faculty

8.5.c.1 The DEAN, following consultation with the Department Chair, may initiate an early PERIODIC EVALUATION. Periodic Evaluations for tenured faculty shall not occur more frequently than once per year.

8.5.c.2 The PERIODIC EVALUATION shall include assessment of responsibilities as defined above.

9.0 LEAVING FROM AND RETURNING TO THE UNIVERSITY

9.1 Faculty Leaves

Type of Leave	Paid?	Department Level Approval?	College Leaves Committee?	Post Hoc Evaluation of Leave Activities?
Sabbatical	Yes	Yes (Cmte.)	Yes	Yes
Difference-In-Pay	Yes	Yes (Cmte. & Chair)	Yes	Yes
Personal – Without Pay	No	Yes (Chair)	No	No
Professional – Without Pay	No	Yes (Chair)	Yes	No
Family/Maternity/Paternity	Some	For details, see CBA Sections 22 and 23.		
Bereavement	Some			
Jury Duty	Normal Salary			
To Vote	Two Work Hours			
As a Legal Witness	Some			
Emergency	Normal Salary			
Military	In Accordance With Law			

Each application for a LEAVE shall follow a prescribed form provided by the Provost.

9.1.a College Faculty Leaves Committee

9.1.a.1 Each COLLEGE of California State University, Chico shall have a College Faculty Leaves Committee; or, at the option of the College faculty, the College Personnel Committee, or a subcommittee thereof may review and make RECOMMENDATIONS on professional leaves.

9.1.a.2 The membership of the College Faculty Leaves Committee (or College Personnel Committee) shall be determined by the College faculty within the guidelines established in this document. Committee members must be tenured faculty in the COLLEGE. In the case of a COLLEGE or school that has fewer than two subdivisions, the College Faculty Leaves Committee may consist of three or more individuals in closely aligned disciplines from outside the unit. The COLLEGE’S personnel policies shall specify the number of persons and the procedure for election. Committee members are ineligible to make application for a leave.

9.1.a.3 Functions of the College Faculty Leaves Committee

- 9.1.a.3.a The College Faculty Leaves Committee is charged with the responsibility of receiving, considering, and evaluating applications from College faculty for all types of professional leaves.
- 9.1.a.3.b The committee shall elect a chair and a secretary and establish its own rules of organization.
- 9.1.a.3.c The College Faculty Leaves Committee shall establish and publish in its call for applications explicit guidelines stating leave objectives, procedures, and evaluation techniques required in the leave applications with copies to the DEAN and the Provost. Subsequently, the College Faculty Leaves Committee will meet with each individual applicant in order to discuss his/her application in relation to the guidelines.
- 9.1.a.3.d The College Faculty Leaves Committee shall submit to the College DEAN a list of the recommended candidates as well as reasons for the RECOMMENDATIONS. Candidates for full salary SABBATICAL LEAVES shall be rank ordered. The committee and Dean will consult prior to the committee's preparation of its set of final Recommendations.
- 9.1.b Sabbatical Leaves

A SABBATICAL LEAVE is a paid leave for which the compensation is full salary for one term or half-salary for an academic year.
- 9.1.b.1 Eligibility and Criteria for Sabbatical Leaves
- 9.1.b.1.a A full-time faculty unit employee shall be eligible for a SABBATICAL LEAVE if he/she has served full-time for six academic years at that campus in the preceding seven-year period prior to the leave and at least six years after any previous Sabbatical Leave or DIFFERENCE-IN-PAY LEAVE. Credit granted toward the completion of the probationary period for service elsewhere shall also apply toward fulfilling the eligibility requirements for a Sabbatical Leave. A leave of absence without pay or service in an academic administrative appointment excluded from the bargaining unit shall not constitute a break in service for eligibility requirements.
- 9.1.b.1.b For criteria to be used in the awarding of sabbaticals, please see CBA Article 27.
- 9.1.b.2 Procedures Regarding Sabbatical Leaves
- 9.1.b.2.a All qualified applications for SABBATICAL LEAVES at half salary shall be awarded if they meet the criteria set forth in Article 27.5 - 27.8 of the CBA. Each COLLEGE will be given a target number of full salary SABBATICAL

LEAVES based upon the number of sabbatical-eligible faculty in the College as a proportion of the minimum number of Sabbatical Leaves that the University is required to award. Colleges may not award fewer leaves unless there is not a sufficient number of leave proposals of acceptable quality. Budget or lack of resources for leave replacement purposes may be cited as a reason for not approving a sabbatical leave proposal only after the target number has been met. Although the Colleges collectively must award a minimum number of SABBATICAL LEAVES each year, it is recognized that from year to year individual Colleges may exceed or fall short of their target numbers.

- 9.1.b.2.b Deadline for completed applications to the appropriate College Faculty Leaves Committee will be the last Friday in September in the fall semester prior to the academic year for which the leave is requested. A copy of the application shall be sent to the faculty member's DEPARTMENT/UNIT. The Department/Unit shall provide a statement through the Department/Unit Chair to the DEAN regarding the possible effect on the curriculum and the operation of the department should the employee be granted a Sabbatical Leave. All faculty shall be notified of the awarding of leave positions on or before the last Friday in October. Such notification shall specify the purpose of each awarded leave.
- 9.1.b.2.c Changes in leave plans shall be submitted to the appropriate College Faculty Leaves Committee for evaluation if such changes become manifest before the commencement of the leave. Should such changes not meet with the approval of the Committee, the leave shall be denied.
- 9.1.b.2.d A faculty member on SABBATICAL LEAVE shall not accept additional and/or outside employment without prior approval of the President.
- 9.1.b.3 Award of Sabbatical Leaves
 - 9.1.b.3.a The College DEAN shall review applications and the RECOMMENDATIONS of the College Committee. If the Dean does not agree with the RECOMMENDATIONS of the College Committee, he/she shall attempt to reconcile those differences with the committee.
 - 9.1.b.3.b The DEAN shall make a RECOMMENDATION to the President (or designee) on each leave proposal. If the President (or designee) does not agree with the RECOMMENDATION of the DEAN, he/she shall attempt to reconcile those differences with the DEAN.
 - 9.1.b.3.c The President (or designee) shall make a decision on each leave proposal and shall notify in writing, each leave applicant of that decision. The notification shall include the reasons for the decision. Copies of the notification shall be forwarded to the Office of Faculty Affairs.

9.1.b.4 Post Hoc Evaluation of Sabbatical Leave Activities

9.1.b.4.a The criteria for post-leave evaluation shall be clearly established by the College Faculty Leaves Committee prior to the forwarding of a positive RECOMMENDATION for a leave. Within one semester after the return of a faculty member from a Sabbatical, that faculty member shall provide a written report of Sabbatical activities to the College Faculty Leaves Committee and to the appropriate DEPARTMENT/UNIT. In addition, an oral report to the College Faculty Leaves Committee may be required at its discretion.

9.1.b.4.b Leave reports shall become part of the leave recipient's PAF after the report has been reviewed by the College Leaves Committee. The report shall be inserted into the PAF by the College DEAN.

9.1.c Difference-in-Pay Leaves

A DIFFERENCE-IN-PAY LEAVE is a paid leave for which the compensation is equal to the difference between the faculty member's salary and the minimum salary of the instructor rank.

9.1.c.1 Eligibility and Criteria for Difference-in-Pay Leaves

9.1.c.1.a A full-time faculty unit employee shall be eligible for a DIFFERENCE-IN-PAY LEAVE if he/she has served full time for six years at that campus in the preceding seven-year period prior to the leave. Credit granted toward the completion of the probationary period for service elsewhere shall also apply toward fulfilling the eligibility requirements for a Difference-in-Pay Leave. A leave of absence without pay or service in an academic administrative appointment excluded from the bargaining unit shall not constitute a break in service for eligibility requirements, nor shall it fulfill the return service obligation. A faculty unit employee will be eligible for a subsequent Difference-in-Pay Leave after he/she has served full time for three years after the last SABBATICAL LEAVE or Difference-in-Pay Leave. There must be assurance that the number of leaves granted in any one semester or year are not so great in any DEPARTMENT/UNIT or COLLEGE, or on the campus as a whole, as to disrupt the continued and regular course offerings, or to affect the quality level of the education offered to the students.

9.1.c.1.b The DIFFERENCE-IN-PAY LEAVE is granted on the basis of the same criteria as a SABBATICAL LEAVE.

9.1.c.1.c Changes in leave plans shall be submitted to the appropriate College Leaves Committee for evaluation if such changes become manifest before the

commencement of the leave. Should such changes not meet with the approval of the Committee, the leave shall be denied.

- 9.1.c.1.d A faculty member on a DIFFERENCE-IN-PAY LEAVE shall not accept additional and/or outside employment without prior approval of the President.
- 9.1.c.2 Procedures Regarding Difference-in-Pay Leaves
 - 9.1.c.2.a A Department committee composed of tenured faculty and elected by tenured and probationary faculty in the DEPARTMENT/UNIT shall review difference-in-pay leave requests. Members of the committee may not be applicants for paid leaves of absence.
 - 9.1.c.2.b The Department committee shall make a RECOMMENDATION for or against the proposed DIFFERENCE-IN-PAY LEAVE and the Department Chair shall prepare a statement regarding the possible effect upon the curriculum and the operation of the DEPARTMENT/UNIT should the leave be granted.
 - 9.1.c.2.c The committee's RECOMMENDATION and the Chair's statement shall be forwarded to the DEAN's office for consideration by the College Leaves Committee. The College Committee's responsibilities are the same as those for SABBATICAL LEAVES except that difference-in-pay leave recommendations need not be submitted in rank order.
 - 9.1.c.2.d Difference-in-pay leave applications may be submitted at any time. However, applications submitted later than the deadline identified for SABBATICAL LEAVES maybe less likely to be approved because the impact on the curriculum and operation of the DEPARTMENT/UNIT may be greater because of the prior approval of other leaves and/or lateness of the application relative to program planning. Difference-in-pay leave applicants are encouraged to submit their applications pursuant to the deadlines for sabbatical leave applications.
- 9.1.c.3 Award of Difference-in-Pay Leaves
 - 9.1.c.3.a The College DEAN shall review applications and the RECOMMENDATIONS of the Department and College Committees. If the Dean does not agree with the Recommendations of either committee, he/she shall attempt to reconcile those differences with the committee.
 - 9.1.c.3.b The DEAN shall make a decision on each leave proposal and shall notify, in writing, each leave applicant of that decision. The notification shall include the reasons for the decision. Copies of the notification shall be forwarded to the Office of Faculty Affairs.

- 9.1.c.3.c If the DEAN's decision differs from the RECOMMENDATION of the College Committee and the DEPARTMENT/UNIT has indicated that the applicant's leave would not negatively affect the Department's/Unit's ability to deliver its program and curriculum, the applicant may appeal the Dean's decision to the Provost.
- 9.1.c.3.d The Provost or designee shall consider the appeal and after communicating with at least the College DEAN, the College Committee Chair, and the Department/Unit Chair, shall inform the applicant, in writing, of the decision on the appeal.
- 9.1.c.4 Post Hoc Evaluation of Difference-in-Pay Leave Activities
- 9.1.c.4.a The criteria for post-leave evaluation shall be clearly established by the College Faculty Leaves Committee prior to the forwarding of a positive RECOMMENDATION for a leave. Within one semester after the return of a faculty member from a Leave with Pay, that faculty member shall provide a written report of Leave-with-Pay activities to the College Faculty Leaves Committee and to the appropriate DEPARTMENT/UNIT. In addition, an oral report to the College Faculty Leaves Committee may be required at its discretion. Failure to do so by a faculty unit employee may be a cause for disciplinary action.
- 9.1.c.4.b Leave reports shall become part of the leave recipient's PAF after the report has been reviewed by the College Leaves Committee. The report shall be inserted into the PAF by the College DEAN.
- 9.1.d Leaves Without Pay
- 9.1.d.1 Personal Leaves of Absence Without Pay
Please see CBA, Articles 22.8 - 22.23.
- 9.1.d.2 Professional Leaves of Absence Without Pay
Please see CBA, Articles 22.24-22.27
- 9.1.d.3 Eligibility and Approval for Leaves of Absence Without Pay
- 9.1.d.3.a An application for a Leave of Absence without Pay shall be submitted by the applicant to the Department/Unit Chair. The application is reviewed by the Chair, the DEAN, and the College Leaves Committee before submission to the Provost. Application forms are available in the appropriate College Office and the Faculty Affairs forms website. The application for any given term must be submitted before the deadline set by the Office of the Provost.

- 9.1.d.3.b The President may approve such leaves for full-time faculty for periods up to two years. An extension of such leave may be granted for up to one year at a time.
- 9.1.d.3.c A Leave of Absence without Pay may follow a Leave with Pay, if such is approved by the President. Such a leave may be extended for one year upon additional approval by the President.
- 9.1.d.3.d Faculty unit employees shall be eligible to submit a written application for a leave of absence without pay in accordance with 2012-2014 CBA Article 22.
- 9.1.d.3.e An eligible faculty applicant shall receive a written response regarding granting or denial of the leave.

9.2 Resignations

9.2.a Notice by Employees

Article 13, Section 43569 of the *California Code of Regulations, Title 5: Education*, states “If an academic employee desires to terminate an existing appointment, or to decline a reappointment, he/she shall give notice of not less than three months if his/her rank is instructor or assistant professor, and not less than four months if his/her rank is higher, before the end of his/her academic year exclusive of a summer session. However, he/she may properly request a waiver of this requirement in case of hardship or in a situation where he/she would otherwise be denied substantial professional advancement.” Further, faculty should be guided by the following excerpt from the AAUP’s Statement on Professional Ethics, as endorsed in 1987 (<http://www.aaup.org/AAUP/pubsres/policydocs/statementonprofessionalethics.htm>) – “When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.”

9.2.b Procedures

- 9.2.b.1 If a faculty member, full- or part-time, intends to leave the employment of the University at a time prior to the normal termination of his/her appointment, College DEANS should ask for a written resignation from that faculty member. Procedures for handling written resignations are as follows:
 - 9.2.b.1.a The written resignation from the individual faculty member is submitted to the College Dean.
 - 9.2.b.1.b The College Dean sends a letter accepting the resignation.

- 9.2.b.1.c The Dean's Office sends copies of the letter of resignation and the letter accepting it to the following: Office of the Provost, Office of Faculty Affairs, Payroll Office.

9.3 Retirement Benefits

Faculty are encouraged to consult with Human Resources regarding retirement and their retirement benefits. They also should consult relevant information from CalPERS and Articles 29 and 30 of the CBA

9.4 Emeritus Status

9.4.a Granting Emeritus Status

EMERITUS STATUS may be granted to any academic, administrative, or instructional staff member upon the written recommendation of the faculty of his/her discipline and the approval of the Provost. Recommendations for conferring emeritus status shall be based upon

9.4.a.1 Retirement from the California State University, and

9.4.a.2 Ten or more years of full-time service or its aggregated equivalent in part-time service or combined full-time and part-time service at CSU, Chico, and

9.4.a.3 Meritorious contributions to teaching, scholarship, and/or service to CSU.

9.4.b The President of the University, if in agreement, then awards the emeritus title according to the rank last held.

9.4.c Benefits

Within the bounds of budgets and teaching and scholarly needs of regularly employed faculty CSU, Chico shall offer amenities to emeritus faculty to recognize their continuing membership in the academic community, including but not limited to

9.4.c.1 Use of office space, equipment, and technical facilities

9.4.c.2 Services, including those of the library, normally extended to active faculty

9.4.c.3 Opportunity to teach

9.4.c.4 Right to apply for, participate in, and administer grants, contracts, or other research projects

- 9.4.c.5 Attendance at faculty meetings as ex-officio, nonvoting members with floor privileges
- 9.4.c.6 Eligibility for appointment and/or election to faculty committees
- 9.4.c.7 Option of lifetime subscriptions to all campus news publications, etc., which go to regularly employed faculty
- 9.4.c.8 Free parking
- 9.4.c.9 Use of recreational and social facilities and invitations to University functions, with the same access and ticket arrangements as are available to regularly employed faculty

9.5 Reinstatement Rights and Rehiring

9.5.a Employees Leaving with Reinstatement Rights

The appointing power shall reinstate any employee who meets all employment requirements, and who left his/her classification with reinstatement rights as prescribed by law or by these rules, to a position in the classification which he/she left or the equivalent thereof. Such employees shall not lose any benefits or credit for prior service enjoyed at the time of separation. (Title 5, Section 43550)

9.5.b Rehiring

The appointing power may rehire any person who fulfills all employment requirements who was previously employed in the State University and Colleges, and who left in good standing. Such persons (1) shall acquire permanent status in the same manner as new employees; (2) shall, if rehired within five years, be credited with any unused sick leave at the time of previous separation as a regular employee. (Title 5, Section 43551)

10.0 MISBEHAVIOR

10.1 Faculty Misconduct in Research

10.1.a Integrity in Research

The University embraces the principle that the academy is responsible for promoting and encouraging the highest standards of honesty and ethical conduct in carrying out research (see the Policy on Integrity in Research which is codified as EM 06-36.) Faculty are expected to follow all legal requirements governing research.

- 10.1.b Misconduct in Research is defined as follows:
 - 10.1.b.1 Fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted in the proposing, conducting, or reporting of research and its results; misconduct in research does not include honest differences in interpretation or judgment of data
 - 10.1.b.2 Material failure to comply with federal requirements for the protection of human subjects, researchers, and the public or for ensuring the welfare of laboratory animals or failure to meet other material legal requirements governing research
- 10.1.c Allegations of misconduct in research shall be forwarded through the appropriate DEAN or unit administrator to the Associate Vice President for Faculty Affairs. Upon receipt of allegations of misconduct in research, the Associate Vice President for Faculty Affairs shall notify the faculty member against whom allegations have been made of the following:
 - 10.1.c.1 the existence of allegations
 - 10.1.c.2 the name of the source of the allegations
 - 10.1.c.3 the faculty member's rights under the CBA, the Faculty Personnel Policies and Procedures and, if appropriate, federal regulations
 - 10.1.c.4 the faculty member's right to respond to the allegations during the proceedings
- 10.1.d The Associate Vice President for Faculty Affairs shall take all steps necessary to assure the confidentiality of the proceedings.
- 10.1.e If the nature of the allegations is such that there may be violations of funding source regulations, internal or external, the Vice Provost for Research shall be informed of, and involved in, the proceedings at the earliest possible time, consistent with confidentiality considerations, campus policies, the CBA and federal regulations related to research. (Federal Register/Vol. 52 No. 126; Vol. 54 No. 151)
- 10.1.f The Associate Vice President for Faculty Affairs shall determine procedures that are consistent with the FPPP, the CBA and, if appropriate, federal regulations. If the faculty subject to the allegations also holds an administrative title, appropriate procedure shall be defined by the President or an appropriate designee.
- 10.1.g The Associate Vice President for Faculty Affairs, in consultation with the DEPARTMENT/UNIT Chair, the College DEAN and, if appropriate, the

Vice Provost for Research shall conduct a confidential inquiry into the allegations of misconduct in research.

- 10.1.h Faculty members may be subject to counseling, reprimand, or disciplinary action for misconduct in research. Reprimand and disciplinary action are provided for in Articles 18 and 19 of the CBA. Where federal funds are involved, procedures must conform to regulations in the Federal Register. (Federal Register Vol. 52 No. 126; Vol. 54 No. 151)

10.2 University Responses to Faculty Misbehavior

- 10.2.a Temporary Suspension

Please see CBA, Article 17.

- 10.2.b Reprimands

Please see CBA, Article 18

- 10.2.c Disciplinary Actions

Please see CBA, Article 19

10.3 Faculty Responses to University Misbehavior

- 10.3.a Grievances

Faculty members may file a GRIEVANCE(S) with respect to faculty status or contract compliance. The Faculty Grievance Procedure is detailed in Article 10 of the CBA.

11.0 LIBRARY FACULTY

11.1 Departmental Status

In matters pertaining to the retention, promotion, and tenure of library faculty, and the evaluation of part-time library faculty, the Library is considered to have the status of a Department of the University. In the submission of RTP recommendations, the Library will follow the schedule of dates recommended for Department Personnel Committees.

11.2 Sabbatical Leaves

- 11.2.a A SABBATICAL LEAVE for library faculty is a paid leave for which the compensation is full salary for four months.

11.2.b The salary for a DIFFERENCE-IN-PAY LEAVE for a library faculty member shall be the difference between the library faculty member's salary and the minimum salary of the assistant librarian rank at the comparable timebase.

12.0 **APPOINTMENT TO AN ENDOWED CHAIR**

12.0.a See Executive Memorandum 95-24.

APPENDICES

APPENDIX I

PERSONNEL POLICIES AND PROCEDURES FOR COUNSELOR FACULTY (SSP-AR)

Introduction

This document clarifies the specific policy and procedural differences between Instructional Faculty and Counselor Faculty as described in the Faculty Personnel Policies and Procedures document (FPPP). In addition, this document specifies the intent and criteria that the Unit uses in the evaluation process with Counselor Faculty. The organization of this document generally follows that of the FPPP and references are cited to that document in order to facilitate the location of appropriate policy definitions.

Clarification of Terms Used in the FPPP

References in the FPPP to “teaching effectiveness” can generally be translated in the case of Counselor Faculty to effectiveness in “professional performance” in the areas of either counseling or testing. There is no lecturer category for counselor faculty, counselor faculty hired to fill temporary positions are classified as SSPAR 1, 2, or 3.

The role of Unit Director is a combination of what the FPPP would define as the roles of Department Chair and College Dean. The position is like that of a Department Chair in that he/she supervises the daily activity of the unit. The position is like that of a Dean in that he/she is a member of management and reports directly to the Vice Presidential level of University administration. In the RTP process the Director writes a single review in the place of the Department Chair and Dean. References in the FPPP to the Department Chair or the College Dean may generally be interpreted as the Unit Director except where noted otherwise in the document. In matters not specifically addressed, past practice is the general guideline.

References to the Provost, in the case of Counselor Faculty, shall be translated to the Vice President for Student Affairs (VPSA).

These policies and procedures pertain to two distinct categories of academic-related faculty. These are psychological counselors and university test officers. Both work within the CSU classification of Student Services Professional – Academic Related (SSP-AR). For purposes of ease of reference, at the system-wide level the test officer position has been included in the collective bargaining agreement (CBA) term “counselor faculty” despite the fact that these positions require quite different, though equally challenging professional functions. For purposes of clarity in this document, the term clinical faculty is used to denote those doing psychological counseling and the term test officer faculty is used in reference to those performing test officer functions (standardized measurement, evaluation, and assessment programs and services). The system-wide general term for counselor faculty refers to the entire category of SSP-AR’s including counselors and test officers.

CLASSIFICATION AND QUALIFICATION STANDARDS

Student Services Professional, Academic Related (SSP-AR) Series includes the following:

<u>Class Code</u>	<u>Class Title</u>
3070	SSP, AR I-12 Month
3071	SSP, AR I-Academic Year
3072	SSP, AR II-12 Month
3073	SSP, AR II-Academic Year
3074	SSP, AR III-12 Month
3075	SSP, AR III- Academic Year

These classifications are fully described in the California State University Classification and Qualification Standards (11-1-83).

Scope and Purpose

The Counselor Faculty (SSP-AR) Policies and Procedures are designed to assist the academic-related faculty (i.e., Counselors and Test Officers) in meeting a high level of performance and provide a framework for evaluating academic related faculty for such personnel actions as retention, promotion, and granting of tenure. The document establishes standards which satisfy the ideals of professional test officers and psychological counselors in Student Affairs, consistent with the best personnel practices of the University, and which serve the mission and goals of the University. This document is intended to be in accordance with the Faculty Personnel Policies and the Procedures (FPPP) and the Unit 3 Collective Bargaining Agreement (CBA). Counselor faculty ranks (Academic-Related I, II and III) are parallel to those of teaching faculty. Except as noted below, all terms, policies, conditions and definitions of the FPPP apply to this document or are incorporated by reference.

General Description

Counselor Faculty (SSP-AR) positions involve complex work that demands high levels of sensitivity and professional responsibility. Typically, advanced training is gained through a terminal degree such as a doctorate in the field in which the Counselor Faculty is working. Often SSP-ARs engage in additional training and supervision beyond the degree to obtain state licensure such as MFCC, LCSW, or Psychologist.

The three ranks of SSP-AR are distinguished by increasing levels of experience, clinical and measurement expertise, and scope of responsibility across the areas of counseling, measurement, instruction, program leadership, and research.

Counselor Faculty Assignment of Responsibilities (FPPP 1.0)

The assignments of Clinical faculty member may include a variety of counseling duties in individual, couple, or group mode. They may also include outreach activities such as workshops and presentations, consultations, clinical supervision duties, supervision of peer or other student workers, program development, or other forms of direct or indirect delivery of psychological services. It is assumed that all counselors shall perform case management duties and documentation/record keeping as required by the standards of practice within their field. Other assignments may include tasks necessary to meet the needs of the unit. Assignments for test officer faculty will be consistent with the appropriate functioning of the Office of Testing and Research and will generally focus on meeting the University's needs for standardized testing programs, data for academic or institutional decision making, and expertise on measurement and evaluation issues. Assignments of responsibilities are made by the Unit Director after consultation with the counselor faculty member. (CBA 20.11)

Professional Ethics and Standards (FPPP Appendix V)

In addition to those standards cited in the FPPP, counselor faculty also are expected to conduct themselves in strict accordance with those Standards for Psychologists published by the American Psychological Association, as well as any standards required by virtue of professional licensure. A copy of APA Guidelines (2 pgs.) is available from the Counseling Center.

Affirmative Action (FPPP 2.0)

Counselor Faculty adhere to those standards as set forth in the FPPP.

Faculty Personnel Files (FPPP Appendix IV)

The College Professional Status portion of counselor faculty files shall be established and maintained in the Office of the Vice President for Student Affairs (VPSA). The University Employment status portion will be established and maintained in the Office of Faculty Affairs.

Personnel Action File (CBA, Article 11) (FPPP 3.0)

3.0.c Such files will be established and maintained in the Office of the VPSA, who is the official custodian of the file.

3.0.k References in section 3, that indicate the Dean, will be understood as VPSA

Maintaining a Dossier and Current Personnel Data Sheet (see FPPP 8.1)

Personnel Committees (FPPP 5.0)

In the case of Counselor Faculty, a personnel committee shall be established at the department/unit level. This shall be the single level of peer review.

Personnel Committee Structure (FPPP 5.0)

5.0.f Department/Unit Personnel procedures shall be approved by the VPSA

5.0.g Director of the Unit shall not act as a member of the Personnel Committee.

Personnel Committee Eligibility (FPPP 5.0)

5.0.g Counselor faculty on partial level may serve as a member of the Personnel Committee in those cases where there are otherwise an insufficient number of qualified members in the unit. All members of the committee shall review all materials in the Personnel Action File and participate in all deliberations, regardless of leave status.

5.0.j The Director of the Unit shall not participate as a member of the Unit Personnel Committee.

Personnel Committee Operation (FPPP 5.0)

5.0.1 Affirmative Action compliance will be coordinated through liaison with the Student Affairs Affirmative Action Committee.

General Personnel Process Regulations (FPPP 8.0)

The personal Data Sheet shall reflect the needs of counselor faculty provided the format is approved by the VPSA

Appointment Policies for Probationary Faculty (FPPP 6.1)

Procedures for hiring probationary counselor faculty (SSP-AR) are defined in “Hiring Procedures for Counselors.”

6.1.c.4 The basic recommendations for appointing probationary faculty originate in the Department/Unit search committee.

6.1.c.9 Minimal criteria for appointment of counselor faculty differ from instructional faculty on the following points:

- a. Evidence of counseling effectiveness or measurement expertise—either potential or based on previous experience
- b. Scholarly activity and/or creative achievement
- c. Educational or experiential preparation for psychological counseling or university testing programs including the terminal degree or its equivalent from an accredited institution.

Points d-h in the FPPP are consistent with the counselor faculty criteria.

- 6.1.d Counselor faculty appointment committees will contain one member from the Student Affairs Affirmative Action Committee.
- 6.1.c.11 The Director of Counseling & Testing makes a verbal offer of employment and the VPSA makes the formal written offer of employment.
- 6.1.c.13 Appointment letters will be sent by the VPSA.

Appointment Policies for Temporary Faculty (FPPP 6.2)

- 6.2.a.1 Temporary appointments for counselor faculty are consistent with those described for Instructional faculty with the exception that brief appointments for less than a semester are sometimes needed in order to meet unexpected workload demands or to fill in under emergency situations.
- 6.2.d.2 Workload for Temporary Faculty (CBA, Article 20)
Temporary counselor faculty maintain workloads consistent with the expectations for other counselor faculty and with the needs of the unit.
- 6.2.a.4 Department/Unit Appointment Procedures
Unit appointment procedures are defined in the Student Affairs document “Hiring Procedures for Counselors”

Workload Base

Workload base for a full time counselor is 40 hours per week with 25 of those hours as direct service (individual, couple, or group counseling, outreach presentations, providing professional consultations or supervision). The remaining time is devoted to record keeping and documentation, staff meetings, committee work, case management, professional development and other professional activities.

Nepotism (see FPPP 1.4.b)

Equivalency Policies and Procedures (see FPPP 6.1.b)

Student Evaluation of Faculty (FPPP 8.1.b)

Classroom teaching is generally not the primary focus of the counselor faculty member’s professional duties. Where classroom teaching is a part of those assigned duties, SET procedures and the FPPP policies pertaining to SET’s are to be utilized in appropriate proportion to the counselor faculty’s assigned instructional time.

Periodic Evaluation (FPPP 8.3)

Full time Temporary Counselor Faculty

Full-time temporary counselor faculty evaluation will follow procedures similar to the Periodic Evaluation for tenure-track counselor faculty expect that the criterion for evaluation shall be that of professional performance.

Criteria for Evaluation

The criterion for evaluating part-time temporary counselor faculty is professional performance. This includes effective provision of psychological and educational services as described briefly below. These are described with more detail within the Department's policy and procedure document.

Criteria for Clinical Faculty

1. Knowledge and skills necessary for the provision of appropriate and effective psychological treatment of diverse student populations and for provision of the other psychological services to the University. This is to include individual, couple, and group counseling, crisis intervention, psychological consultation, and educational outreach.
2. Ethical and legal comportment in the execution of duties and services provided to the University and in general behavior which may reflect upon the University and/or the counselor faculty's status within the University.
3. Managing case load, including charting, correspondence, and documentation, in a timely manner in accordance with the standards of the profession.
4. Working cooperatively and effectively as a member of a multidisciplinary team in provision of services to the University community.
5. Supervision and training of graduate interns may be also required of more senior licensed clinical faculty.

Criteria for Test Officer Faculty

1. Knowledge and expertise in measurement and evaluation
2. Effective leadership and conduct of University programs in standardized testing, assessment, evaluation of instruction or learning, and research.
3. Professional consultation on measurement-related topics
4. Working cooperatively and effectively as a member of a multidisciplinary team in provision of services to the University community.

8.2.c Evidence of the Effective Professional Performance

In evaluating professional performance such evidence will be used as outlined in Section 18 of FPPP and as modified in Section 18 below.

8.2.d Evaluation Procedures

The candidate will submit a case presentation including videotape from a recent client.

Department chair is in this case replaced by the Director, and Dean is replaced by VPSA

General Provisions for Retention, Tenure, and Promotion (FPPP 8.5)

- a. Four areas must be considered in the RTP evaluation process for Counselor Faculty: Professional Performance; Professional Growth and Achievement; Other Contributions to the University and Community; and Contributions to Strategic Plans and Goals of the Department/Unit, Division, and University.
- c. In this paragraph the term “professional performance” is substituted for the term “teaching.”
- e. The Unit also has a responsibility to notify other areas of Student Affairs of upcoming reviews of Counselor Faculty and encourage those who have worked with the Counselor Faculty under review to provide evaluative feedback.

8.5.a.17 Professional Performance

- a. The Criterion, “Professional Performance”, shall be the primary and essential, but not sufficient, criterion in the evaluation process at each review level. In all counseling personnel decisions, the delivery of psychological services is the most important activity. Hence, primary emphasis will be given to assuring that clinical faculty demonstrate a high level of performance in the provision of all such services. For all personnel decisions, performance in counseling related activity shall outweigh performance in the other three areas combined. Similarly, in the test officer position, the delivery of testing, evaluation, and assessment related services and programs is the most important activity. Performance in this area will outweigh the other three areas combined, in any personnel decision. Therefore, it is in the candidate’s best interest to carefully provide data in a manner that allows evaluators to accurately assess professional performance.

8.5.b.1 Specific Notes on Evaluation

- a. Under this section where the FPPP refers to “instruction” the term “professional performance” shall be substituted.

8.1.c.1 Dossiers

III. A Narrative

Within the FPPP description of the narrative’s contents clinical faculty can generally substitute the term “counseling” in place of “teaching” and test officer faculty may discuss their educational philosophy and how it impacts their professional performance.

IV. Support Material

Professional Performance. The candidate will present evidence that he/she is performing the task for which he/she was hired, and to which he/she is assigned. Evidence regarding professional performance should address the specific departmental standards for various psychological services such as counseling or measurement services.

As a part of the evidence of effective counseling, the clinical faculty member will provide the committee with a case presentation of a current or recent client (student) including a videotape of counseling session(s) as well as other supportive materials as described in the Unit’s standards, policy and procedures document.

General Procedures for Periodic Evaluation and Performance Review (FPPP 8.0)

- 8.1.a.3 Since counseling effectiveness is a primary concern in the review of counselors, it is vital that the other clinical faculty within the unit provide input to aid in the evaluation of their colleagues and support the candidate’s honest assessment of strengths and areas where improvement is necessary. Hence, each clinical faculty member is encouraged to provide evaluative information to the extent of their interaction with, and knowledge of, the candidate’s performance. Any member of the campus community may also submit material and information in the evaluation of the counselor faculty member. All materials placed in the Personnel Action File must be identified by source.
- 8.5.a.14 Under the table describing the normal sequence of periodic evaluations and performance reviews, the Counselors Faculty Unit does not have a college level review stage and the director is the single appropriate administrator who conducts the review after the unit personnel committee review and prior to the presidential review level.

Specific Evaluation and Review Procedures (FPPP 8.5.a)

In addition to procedures mentioned in this section, a general announcement shall be made within the Student Affairs Division offering an opportunity for input to the evaluation process.

The Director shall attend Personnel Committee interviews

Format the report differs from that of instructional faculty in that the category of instruction is replaced with professional performance.

The Unit Director shall forward his/her report and recommendation along with that of the Unit Personnel Committee as a part of the Working File to the VPSA for the President's or President's designee level of review. There is no College level personnel review process. A copy of the Director's report and recommendation will be given to the candidate seven days before they are transmitted to the VPSA.

Policies Relating Specifically to Retention, Tenure, and Promotion (FPPP 8.5.b.2.b)

8.5.b.2.e Policies and Guidelines relating specifically to promotion

Criteria for the definition of exceptional merit will be developed by the Counselor Faculty and approved by the Unit Faculty and the VPSA. The criteria will be field with the VPSA.

The classifications of SSP-AR II and III replace Associate and Full Professor in this statement.

Faculty Leaves (FPPP 9.1)

9.1.a The Unit Leaves Committee is the only level of committee review for difference in pay leaves

9.1.b Sabbatical leaves are available to counselor faculty under the current contract, beginning 1999-2000 review cycle (see CBA, Article 27).

9.1.c College Dean is replaced in this section by VPSA and the Provost is replaced by the President.

Evaluation of Tenure Faculty (FPPP 8.6)

The criteria, and data gathering for the fifth year evaluation of tenured counselor faculty is essentially the same as for other counselor faculty. See guidelines for period evaluation as described above and in FPPP 8.2 and 8.3. References in the FPPP to teaching effectiveness are replaced by "effectiveness in professional performance." The evaluation process follows that described in 8.6.b.4.

APPENDIX II

FACULTY PERSONNEL FILE

See CBA, Article 11, for additional information regarding personnel files.

1. The one personnel file maintained for each faculty member has two major subdivisions: a University Employment Status Subdivision and a College Professional Status Subdivision.
2. The University Employment Status portion shall be established and maintained by the Office of Faculty Affairs (FAAF) and shall consist of a general section and a closed section. The College Professional Status Subdivision (Personnel Action File, or PAF) shall be maintained in the college office.
3. The general section of the University Employment Status Subdivision shall contain offers of employment; records of actions on employment status; general materials related to personnel matters, such as insurance, payroll deductions, SENIORITY POINTS, etc.; and other official personnel records dealing with the employment status of the faculty member.
4. The closed section of the University Employment Status segment shall contain only the privileged matter received and considered prior to the employment of the faculty member. Material in the closed section shall be retained until three years after separation from employment. A faculty member shall have access to such pre-employment materials when they are used in personnel action other than appointments.
5. The PAF shall contain the original hire vita and a current vita, official transcripts, offers of employment, and other items identified in the definitions section of this document under PERSONNEL ACTION FILE.

APPENDIX III

FACULTY CODE OF ETHICS

PREAMBLE

An atmosphere of intellectual freedom is an indispensable condition for an effective university. However, with freedom comes a responsibility. It is incumbent upon us, the faculty, to accept the responsibilities that are concomitant with the academic freedom we require and are granted. Therefore, it is necessary that we adopt ethical and professional standards to guide us in our conduct and that effective mechanisms be established to monitor and enforce compliance with these standards.

We hold the following general principles as aspirations that serve as a guide in determining ethical courses of action in various contexts, challenging us to meet the highest ethical ideals of our profession.

GENERAL PRINCIPLES AND ETHICAL STANDARDS

Responsibility: We hold ourselves to professional standards of conduct, accept appropriate responsibility for our behavior, and seek to manage conflicts of interest that could lead to exploitation or harm.

Integrity: We seek to promote accuracy, honesty, and truthfulness in teaching, scholarship, and all other practices of our profession.

Respect for People's Rights and Dignity: We strive to respect the dignity and worth of all people and the rights of individuals to privacy, confidentiality, and self-determination.

Guided by these principles, we establish the following standards for our conduct.

STUDENTS

We shall encourage the free exchange of ideas between ourselves and our students. We should ensure that issues are raised and dealt with in a fair and honest manner while recognizing that effective learning often requires challenging and/or questioning previously held beliefs and assumptions.

In our scholarship, teaching, service, public performance and other work, we will acknowledge academic or intellectual debts to students.

We must hold in confidence all personal information gained about students (concerning, for instance, academic progress, personal lives or political and religious views).

We have the responsibility for creating a climate that supports our students' endeavors to learn. Towards fulfillment of that responsibility, we commit ourselves to:

- a. make clear the objectives of the course or program, establish requirements, set standards of achievement, and evaluate each student's performance in a fair and balanced way,
- b. identify the expression of our own views as such, and
- c. meet our obligations as intellectual guides and advisors.

SUPPORT STAFF

We should respect the contributions of support staff to the work of the University.

We will not put support staff in a position that creates an ethical or legal dilemma for them (e.g., requests to copy materials in violation of copyright, to complete fraudulent expense claims, to protect a faculty member's unauthorized absence from campus), or make requests that create a personal or administrative problem for them (e.g., expecting staff to stay late to suit our schedule). We shall not exploit support staff for personal gain or represent jointly prepared work as our own without acknowledging in full the contributions of support staff.

OURSELVES

We will defend the right of colleagues to academic freedom. It is unethical for us either to act so as deliberately to infringe that freedom or to allow such infringement by others to pass without opposition.

While critical evaluation is an essential part of academic activity, we should be fair and objective when presenting a professional judgment on colleagues' work and should refrain from public denigration of colleagues' professional competence.

We will respect the confidentiality of information about colleagues.

In a variety of ways, senior faculty have power over junior faculty, and they should not abuse this power when interacting with junior faculty or making work assignments.

We must acknowledge academic or intellectual debts to our colleagues and not exploit the work of colleagues for personal gain or represent jointly prepared work as our own.

We, like other human beings, are subject to illness and disability, sometimes physical, sometimes mental, and sometimes a combination of both. We do not discriminate against one another on the basis of such disabilities.

SCHOLARLY INQUIRY

We will exhibit intellectual honesty and integrity in all our scholarly endeavors.

We are committed to a lifetime of study, and should strive to keep abreast of progress in our fields and to develop and improve our scholarly and teaching skills.

In order to maintain or increase our effectiveness as teacher-scholars, we may find it advantageous to assume certain obligations outside the University, such as consulting for government or industry, or holding office in scholarly or professional societies. Such activities are appropriate insofar as they do not hinder fulfilling our role as teacher-scholars and are consistent with applicable policies.

THE UNIVERSITY

In accepting a University appointment, we assume obligations to contribute to the University community, which include:

- a. taking part in the institution's decision-making processes to the best of our abilities and accepting a fair share of the faculty's responsibility for its day-to-day operation;
- b. observing the regulations of the University, but not in a way that abdicates our right to attempt to reform those regulations by any appropriate orderly means;
- c. not exploiting our standing within the University for private or personal gain; and
- d. using University facilities, equipment, supplies, and other properties only for university-related activities.

THE WIDER COMMUNITY

When making public statements as part of our research, teaching, service, and professional roles, we will clearly distinguish between our being employees of the University from our being private citizens. As necessary, we shall clarify to the community whether we are acting as representatives for the University or as private citizens.

FACULTY AS ADMINISTRATORS

When we hold administrative roles, we insure that each member of the University community is accorded fair access to opportunities, rewards, and desirable conditions of work and to due process. We do not limit the expression of dissenting opinions on professional or civil matters.

HARASSMENT

We must not engage in behavior that constitutes harassment. Harassment means oral, written or physical behavior or visual display that is abusive or is intended to persistently annoy others and which the instigator knows, or ought to know, creates an intimidating, hostile or offensive working, learning or living environment. A reprisal or threat made to the individual who has reported harassment is also a form of harassment. Additionally, knowingly making a false or mischievous allegation of harassment also constitutes harassment.

When we become aware of an incident of alleged harassment, we have an ethical responsibility to offer to the recipient of the alleged action both appropriate support and advice regarding correct avenues of possible redress.

PERSONAL RELATIONSHIPS

Faculty-student personal relationships are ethical insofar as they do not hinder the student's academic progress or create a situation in which a student is favored on grounds other than academic performance. In teaching situations, faculty must avoid even the appearance of a conflict of interest.

Because romantic or sexual relationships between teacher and student are fraught with dangers of exploitation or favoritism, we avoid such relationships. For those same reasons, faculty members also avoid romantic relationships with any individuals over whom they have any academic, professional, or supervisory power.

CONSEQUENCES OF UNETHICAL BEHAVIOR OR MISCONDUCT

At times any one of us may need to make a choice that could cause our professional ethics to be called into question. Allegations of breach of professional ethics should be brought to the attention of the appropriate administrator and be investigated.

Faculty who are found, after an investigation, to be in violation of the tenets of professional ethics or not meeting their professional responsibilities are subject to disciplinary action as described in the CBA.

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