

CALIFORNIA STATE UNIVERSITY, CHICO

FACULTY PERSONNEL POLICIES AND  
PROCEDURES

(F P P P)

ACADEMIC YEAR 2019 / 2020

Office of Academic Personnel

Fall 2019

CALIFORNIA STATE UNIVERSITY, CHICO  
FACULTY PERSONNEL POLICIES AND PROCEDURES  
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CALIFORNIA STATE UNIVERSITY, CHICO

Chico, California

**FACULTY PERSONNEL POLICIES AND PROCEDURES**

**INTRODUCTION**

The people of California have bestowed a public trust on the California State University to promote and maintain a system of advanced education dedicated to excellence in instruction and research, creative activity, and public service. These common goals unite us as we order our relationships with each other to promote systems integrity, transparency, academic freedom and shared governance at all levels. Together, we are dedicated to furthering the university's mission by providing for a faculty of high quality, committing to professional growth and development, due process, and retention, tenure, and promotion.

These policies and procedures define processes for the effective and fair hiring, development, evaluation, retention and promotion of a high quality faculty. These policies and procedures are designed to preserve their cooperation, departmental expertise and subject matter competency, which are the strengths of our institution.

This FPPP is intended to be used in conjunction with the faculty collective bargaining agreement (CBA), which the reader is urged to consult. Personnel decisions may be affected by federal and state laws, CSU System regulations, and other University policies.

If there should be any conflict between the provisions of this document and the CBA, 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 on other documents and policies that may affect personnel actions, contact the Associate Vice President for the Office of Academic Personnel.

**FPPP/CBA CROSS REFERENCE TABLE**

(At press time, the *extended* October 2014-2017 CBA was in effect)

<b>FPPP Section #</b>	<b>Title</b>	<b>CBA Corresponding Article</b>
	Definitions	Article 2 - Definitions
1	Instructional Faculty – Responsibilities And Ethical Requirements	Article 20 - Workload
2	Affirmative Action	Article 16 – Non-Discrimination
3	Student Evaluation Of Teaching	Article 15 - Evaluation
4	Personnel Committees	Article 15 - Evaluation
5	Hiring	Article 12 - Appointment
	5.1 Tenure Track	Article 12 - Appointment
	5.2 <i>Temporary</i> Faculty	Article 12 - Appointment
6	Appointment to an Endowed Chair	None
7	<i>Personnel Action File</i> (PAF)	Article 11 - Personnel Files
8	Evaluation Of Faculty	Article 15 - Evaluation
	8.1.1 Evidence	Article 15 - Evaluation
	8.1.2 PAF and WPAF	Article 15 - Evaluation
	8.1.3 <i>Dossiers</i>	Article 15 - Evaluation
	8.1.4 Teaching Effectiveness	Article 15 - Evaluation
9	Evaluation of <i>Temporary</i> Faculty	Article 15 - Evaluation
10	Evaluation of <i>Probationary</i> Faculty	Article 15 – Evaluation Article 13 – Probation and Tenure Article 14 - Promotion
		Article 15 – Evaluation Article 14 - Promotion
11	Evaluation of Tenured Faculty	Article 15 – Evaluation Article 14 - Promotion
12	Range Elevation ( <i>Lecturers</i> )	Article - 12.16-20
13	Leaving From and Returning to the University	
	13.1.3 Sabbatical Leaves	Article 27 – Sabbatical Leaves
	13.1.4 Difference in Pay Leaves	Article 28 – Difference In Pay Leaves
	13.1.5 Leaves Without Pay	Article 22 - Leaves of Absence Without Pay
	13.2 Resignations	None
	13.3 Retirement Benefits	Article 32 - Benefits
	13.4 Emeritus Status	None
	13.5 Reinstatement Rights and Rehiring	None
14	Misbehavior	Article 17 – Temporary Suspension Article 18 – Reprimands Article 19 – Disciplinary Action Procedure
		Article 20 - Workload
15	Library Faculty	Article 20 - Workload
16	Counselor Faculty	Article 11 – Personnel Files Article 12 - Appointment Article 15 - Evaluation Article 16 – Non-Discrimination Article 20 - Workload

<b>Unit 3 CBA Article</b>	<b>CBA Article Title</b>	<b>FPPP Corresponding Section</b>
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 14.3 - Misbehavior
11	Personnel Files	Section 7 – <i>Personnel Action File</i> Section 8.1-4 – Evidence (including <i>dossiers</i> )
12	Appointment	Section 5 - Hiring
13	Probation and Tenure	Section 10 – Evaluation of <i>Probationary</i> Faculty Section 11 – Evaluation of Tenured Faculty
14	Promotion	Section 11– Evaluation of Tenured Faculty
15	Evaluation	Section 8 – Evaluation of Faculty
16	Non-Discrimination	Section 2 – Affirmative Action
17	Temporary Suspension	Section 14 – University Responses to Faculty Misbehavior
18	Reprimands	Section 14 – University Responses to Faculty Misbehavior
19	Disciplinary Action Procedure	Section 14 – 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 13.1.5 – Faculty Leaves Without Pay
23	Leaves of Absence With Pay	Section 13 – Faculty Leaves
24	Sick Leave	None
25	Professional Development	Section 13 – Faculty Leaves
26	Fee Waiver	None
27	Sabbatical Leaves	Section 13.1.3 – Sabbatical Leaves
28	Difference In Pay Leaves	Section 13.1.4 – Difference in Pay 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 italics, 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.

### APPOINTMENT

The date the faculty unit employee begins their employment at CSU, Chico.

### 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.

### CHAIR

For the purposes of this document, *Chair* also refers to Directors, Program Coordinators, or other designations that operate and are recognized as Chair equivalents.

### COLLEGE

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

### CURRICULUM VITA

The *curriculum vita* 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 or Unit for Schools or Units that function like Colleges.

## DEPARTMENT/UNIT

The *Department/Unit* is the basic administrative entity to which faculty are assigned. Herein, the phrase for this entity is also “Department.”

## DEPARTMENT/UNIT STANDARDS

Department guidelines, policies and procedures that contain the Department’s faculty unit employee evaluation criteria and procedures and are approved by the Provost.

## 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* (see definition below) 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 action file* (or PAF).

## EM

See “Executive Memorandum” below.

## 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.

## EVALUATION

Either a *periodic evaluation* or a *performance review* (see their respective definitions below).

## EVALUATION CYCLE

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

## EXECUTIVE MEMORANDUM

A memo issued by the campus President, which creates or updates formal campus policy. The memo is the policy document. Referred to as EM or EMs (plural) for short.

#### 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 faculty unit employee, the compensation is the difference between the librarian faculty unit employee's salary and the minimum salary of the assistant librarian rank at the comparable time base. The salary for a difference-in-pay leave for a counselor faculty unit employee is the difference between the counselor faculty unit employee's salary and the minimum salary of the instructor rank at the comparable time base.

#### LEAVE, SABBATICAL

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

## LECTURER EMPLOYEE

The class to which *temporary* faculty unit employee 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 EVALUATION/ 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 evaluation* 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 evaluation*. For the purposes of this document, the Department *level of evaluation* shall consist of the Department *Personnel Committee* and the Department Chair; the College *level of evaluation* shall consist of the College *Personnel Committee* and the College Dean; the University *level of evaluation* shall consist of the President and/or the President's designee.

## PART-TIME FACULTY UNIT EMPLOYEE

*Temporary* faculty unit employees who have appointments of less than a full-time (1.0) 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 that 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 action file* may be used as the basis of personnel actions. 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* below.)

## 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 UNIT EMPLOYEE

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 unit employees* that denote placement of *temporary faculty unit employees* on the salary schedule. *Ranges* correspond to the academic ranks of *probationary* and tenured faculty as follows:

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

The outcome of the process by which candidates for promotion are graded at all *levels of evaluation* in the categories of Instruction, Professional Growth and Achievement, and Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, University, and to the Community. 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 action, including description and judgmental conclusions arising from such evidence.

## REPRIMAND

An oral and/or written *reprimand* issued to a faculty unit employee by the appropriate administrator. A written *reprimand* must be clearly identified in the document as a “letter of *reprimand*.”

## 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.)

## RTP

The *retention*, tenure, and promotion process, including *periodic evaluations* and *performance reviews*, for *temporary faculty unit employees* and tenure line faculty unit employees.

## RTP DEADLINE CALENDAR

A calendar of deadlines for the submission of *reports* and *recommendations* from each *Personnel Committee*, Department Chair, and College Dean. It is provided by the Provost (or designee) by the beginning of each Fall semester (See Appendix III).

## 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 unit employees* for additional periods of employment.

## TEMPORARY FACULTY UNIT EMPLOYEES

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 *probationary* faculty member who has served more than two years of probation and has been denied *retention* or award of tenure.

## 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 *personnel action file* (PAF) and *dossier* are combined during the time of evaluation to create the WPAF. The *working personnel action file* is the file specifically generated for use in a given *evaluation cycle*. It includes all required forms and documents, all information specifically provided by the employee (*dossier*) being evaluated, and information provided by faculty unit employees, students, and academic administrators. It also includes all faculty and administrative level evaluation *recommendations* from the current cycle, and all rebuttal statements and responses submitted. Because the PAF is part of the WPAF, all regulations regarding the PAF also pertain to the WPAF.

## 1.0 **INSTRUCTIONAL FACULTY – RESPONSIBILITIES AND ETHICAL REQUIREMENTS**

### 1.1 **Assignments**

- 1.1.1 The assignments of a faculty member may include instruction, instruction-related responsibilities, and other activity assignments and duties.
- 1.1.2 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.
- 1.1.3 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.
- 1.1.4 *Part-time* faculty have *participatory rights* in departmental meetings, except that voting rights will be subject to *Department/Unit* regulations.
- 1.1.5 Office hours provide an opportunity for students and instructors to interact for professional conversation, mentoring and the appreciation of fields of inquiry. Office hours enrich the academic life of faculty, students and members of the community. Office hour requirements discussed in this section do not alter any advising related obligations.

All faculty members are required to schedule a minimum of 20 minutes of office hours per week for each weighted teaching unit (WTU) applied to instruction. The maximum number of required office hours is four hours (240 minutes) per week for instructional assignments of 12 WTUs or more, although faculty members may schedule more. Office hours will be held in the instructor's campus office or a designated location on campus during times when the university normally schedules classes and when the instructor is not scheduled to be in class. For students unable to meet during these scheduled office hours, instructional faculty will provide reasonable opportunity for consultation.

If an instructor is teaching a class to students in remote locations or a class that is substantially online, online or remote office hours are permitted with the approval of the *Appropriate Administrator*. In order to best promote the objectives of a course, the instructor determines the format of online office hours. For online students desiring to meet face-to-face, instructional faculty will provide reasonable opportunity for consultation.

Each instructor will include in the syllabus a schedule of all office hours including locations, days, times, and formats and also note the opportunity for consultation outside of scheduled office hours. Office hours will be posted on each instructor's office door and be available in each department office.



Faculty must schedule additional hours to meet with advisees if they do not have sufficient instructional office hours to accommodate their advising assignments. Summer and intersession faculty should consult the *Appropriate Administrator* for guidance about holding the appropriate amount of office hours to provide reasonable accommodation for student consultation.

- 1.1.6 A faculty member shall provide information on his/her instruction-related responsibilities when requested by an *Appropriate Administrator*.
- 1.1.7 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.
- 1.1.8 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.
- 1.1.9 See Article 20 of the CBA for additional information on faculty responsibilities and assignments.
- 1.1.10 Flexible assignments and schedules may be considered as a means of compensating for graduate course assignments.
- 1.1.11 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.
- 1.1.12 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*.
- 1.1.13 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.
- 1.1.14 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.

- 1.1.15 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).
- 1.1.16 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 additional information.)

## 1.2 **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 know 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*.

See also the CSU “Conflict of Interest Handbook,” available at:  
[http://www.calstate.edu/gc/Docs/Conflict\\_of\\_Interest\\_Handbook.doc](http://www.calstate.edu/gc/Docs/Conflict_of_Interest_Handbook.doc)

- 1.2.1 The following employments, activities, or enterprises are inconsistent, incompatible, or in conflict with duties of a faculty member as a state employee:
  - 1.2.1.a The use of state time, facilities, equipment, or supplies at any time for any purpose other than the performance of official business.
  - 1.2.1.b 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.
  - 1.2.1.c The performance for compensation other than state salary at any time of any service that his/her duties require him/her to render.
  - 1.2.1.d The acceptance of any obligations on the part of any officer or employee

that would prevent him/her from carrying out 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.

- 1.2.1.e Engaging in any activity that is contrary to a policy of the Board of Trustees or otherwise inimical to the University's welfare.
- 1.2.1.f 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.

1.2.2 Instructional Faculty – Responsibilities and Ethical Requirements – Conflicts of Interest – Royalties/Course Materials/Cash Collection

- 1.2.2.a 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 others' personal use of 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.
- 1.2.2.b Unless faculty and staff receive prior approval, they are prohibited from accepting cash from students. Note that other University policies exist that regulate the exchange of money between students and faculty or staff.
- 1.2.2.c The complete campus policy on course packs and cash collection points, including required procedures, is found in Executive Memorandum 92-043.

1.2.3 Instructional Faculty – Responsibilities and Ethical Requirements – Conflicts of Interest – Activities that Give the Appearance of Conflict

- 1.2.3.a A faculty member who is engaging in, or plans to engage in, any employment, activity, or enterprise that may give the appearance of being incompatible, or creating interference with, his/her duties as a state employee, shall consult with his/her Dean.

1.2.4 Instructional Faculty – Responsibilities and Ethical Requirements – Conflicts of Interest – Conflicts of Interest in Grants and Contracts

- 1.2.4.a See the CSU, Chico Policy on Conflict of Interest in Grants and Contracts, EM 12-065.

### **1.3 Personnel Process**

#### **1.3.1 Instructional Faculty – Responsibilities and Ethical Requirements – Personnel Process – Confidentiality**

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

1.3.1.b Deliberations and *recommendations* from any faculty review process, including *performance reviews* and *periodic evaluations*, shall remain confidential. Per CBA Article 15.10: Only the affected faculty member, *Appropriate Administrators*, and the peer review committee members shall have access to written *recommendations*.

#### **1.3.2 Instructional Faculty – Responsibilities and Ethical Requirements – Personnel Process – Nepotism**

1.3.2.a See EM 09-008 Nepotism Policy.

### **1.4 Academic Freedom**

1.4.1 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.

1.4.2. 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.

1.4.3 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.

### **2.0 AFFIRMATIVE ACTION**

2.1 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.

The Campus Affirmative Action Program contains two major commitments:

- 2.1.1. 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.
- 2.1.2 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.
- 2.2 The faculty personnel policies and procedures implemented at any level of the University shall include measures for carrying out affirmative action.
- 2.3 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.
- 2.4 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 **STUDENT EVALUATION OF TEACHING – UNIVERSITY COMMITTEE AND GENERAL PROCEDURES**
- 3.1 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.
- 3.2 During the fall semester each year the USET Committee shall:
  - 3.2.1 establish deadlines for submission and approval of *Department/Unit* instruments;
  - 3.2.2 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;

3.2.3 submit the standard instruments to the Faculty and Student Policies Committee of the Academic Senate for review and approval if there are recommended changes.

**3.3** Each year the USET Committee shall advise *Departments/Units* of:

3.3.1 their rights to develop and use their own instruments and procedures subject to the approval of the USET Committee;

3.3.2 the deadlines for submission of proposed unchanged, revised, and new *Department/Unit* instruments and procedures to the USET Committee;

3.3.3 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;

3.3.4 the advantages of using the standard instruments;

3.3.5 submission deadlines at least two months before the deadline date.

**3.4** College Office Student Evaluation of Teaching procedures include the following:

3.4.1 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:

3.4.1.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.

3.4.1.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.

#### **4.0** **PERSONNEL COMMITTEES**

4.0.1 *Personnel Committees* shall be established at both the Department and College levels.

- 4.0.2 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*.
- 4.0.2.a The function of Department *Personnel Committees* is to conduct *periodic evaluations* and *performance reviews*; make *recommendations* concerning appointment, *retention*, tenure, promotion; and other actions specified below.
- 4.0.2.b The function of College *Personnel Committees* is to conduct *performance reviews*; make *recommendations* concerning *retention*, tenure, and promotion; and other actions specified below.
- 4.0.2.c Department and College *Personnel Committees* shall be elected by *probationary* and tenured members of the Department 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 and/or of the College. The latter shall become a part of the Department 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 (or designee). Subsequent changes in specific guidelines and procedures shall also be implemented upon approval by the Provost (or designee).
- 4.0.3 At the option of the College faculty, the College *Personnel Committee* may also function as the College Faculty Leaves Committee.
- 4.0.4 See other sections below for College Faculty Leaves Committees, Search Committees, and Committees that conduct *periodic evaluations* of tenured faculty.

#### **4.1 Personnel Committees – Composition of Committees**

- 4.1.1 Per CBA Article 15.42, “A faculty unit employee shall not serve on more than one (1) committee level of peer review.”
- 4.1.2 Composition of committees may vary for different functions provided their membership conforms to the parameters set forth in this document.
- 4.1.3 *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* is responsible for the complete and thorough review and evaluation of data and making

*recommendations* on each candidate. Subcommittee *reports* and *recommendations* shall be submitted to the entire *Personnel Committee* for endorsement, after which the *reports* and *recommendations* are forwarded to the Department Chair or College Dean as appropriate.

- 4.1.4 Each committee, or subcommittee thereof, will have at least three members, all of whom must be tenured full-time faculty, and none of whom may be full-time or *part-time* administrators. (To be clear, for this purpose, Department Chairs are not considered to be administrators.)
  - 4.1.4.a However, at the *recommendation* of a Department, the President (or designee) may allow eligible faculty participating in the Faculty Early Retirement Program (FERP) to be elected to a *Personnel Committee*.
    - 4.1.4.a.1 A committee may not be composed solely of FERP faculty. (Partly from CBA Article 15.2.)
    - 4.1.4.b.2 FERP faculty may be elected to a *Personnel Committee* only if they will be employed during the entire portion of a faculty member's review cycle for which that committee is responsible.
- 4.1.5 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.
- 4.1.6 No tenured faculty member being considered for promotion may serve on a promotion or tenure review committee.
- 4.1.7 Faculty elected to serve on a *Personnel Committee* shall so serve unless unable to do so because of unforeseen extraordinary circumstances-during the time the committee is active. The College Dean may release a committee member from the committee at the request of that member. A committee member who fails to carry out the related duties in a professional manner may be subject to disciplinary action.
- 4.1.8 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.
- 4.1.9 *Personnel Committees – Composition of Committees – Additional Rules Regarding Department Personnel Committees*
  - 4.1.9.a A majority of members of a *Department Personnel Committee* shall come from within the Department, where possible, and be elected by the tenured and *probationary* faculty.



- 4.1.9.b Approved Department personnel policies shall state (1) the method by which committee members will be elected, (2) required committee/sub-committee sizes (within the limits stated herein), (3) committee quorum requirements, and (4) conflict of interest standards beyond those established elsewhere in this document.

4.1.10 Personnel Committees – Composition of Committees – Membership by Department Chairs

- 4.1.10.a Department Chairs may participate as members of the Department *Personnel Committee* when the committee is undertaking a *periodic evaluation* or a *performance review*. Such membership counts towards the committee's required size.
- 4.1.10.b Department Chairs electing to serve as members of Department *Personnel Committees* must do so for all candidates undergoing a *periodic evaluation* or *performance review* during that personnel cycle.
- 4.1.10.c If the Department Chair serves on the Department committee, the committee's *report* shall be considered a Department (or Department/Chair) *report*, and the Department Chair will not be considered a subsequent separate level of review.
- 4.1.10.d Upon the Department Chair's request, the Department Committee may meet with the Department Chair to discuss personnel matters that are not part of the normal evaluation schedule. The main purpose of these meetings is to provide counsel to the Department Chair.

4.1.11 Personnel Committees – Composition of Committees – Additional Rules Regarding College Personnel Committees

- 4.1.11.a College *Personnel Committees* shall be composed entirely of Professors.
- 4.1.11.b 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 within the College.
- 4.1.11.c In the case of a College or school that has fewer than two subdivisions, the College may consist of three or more faculty unit employees from closely aligned disciplines outside the unit.
- 4.1.11.d If a College wishes to have a College *Personnel Committee* whose membership (1) is greater than one representative from each Department, and/or (2) includes faculty unit employees drawn from closely aligned disciplines elsewhere on campus, then the College must put into writing its policy for College *Personnel Committee* membership.

## 4.2 **Personnel Committees – Procedures**

- 4.2.1 Each *Personnel Committee* and 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.
- 4.2.2 *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.
- 4.2.3 As part of the confidentiality rules, 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 **HIRING**

- 5.0.1 Each new faculty unit employee shall be provided no later than 14 days after the semester with written notification of the evaluation criteria and procedures in effect at the time of his/her initial appointment. In addition, pursuant to Articles 12.2 and 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.

### 5.1 **Hiring – Tenure Track (Probationary) Faculty**

#### 5.1.1 **Hiring – Tenure Track (Probationary) Faculty – Basics**

- 5.1.1.a 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.
- 5.1.1.b The approved personnel policies, which are a part of the Department/Unit strategic plan, define the status of new full-time faculty unit employee appointments. The normal appointment of a full-time faculty member should be to a *probationary* status. Appointments must be made consonant with the approved strategic plan(s) of the relevant academic unit(s).

- 5.1.1.c 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.
- 5.1.1.d Jointly appointed faculty are expected to participate in faculty governance processes within their respective academic units, colleges or the University. The nature and extent of this participation will be determined in consultation with the Chairs of their respective academic units and the appropriate Dean(s) and must be guided by the proportion of the assignment the joint appointee holds in each academic unit (FPPP 5.1.1.c). A balance must be maintained which will not impose more demands for service on joint appointees than falls upon regularly appointed faculty of equivalent rank and tenure status. This agreement will be explicitly defined in a signed Memorandum of Understanding between the appointee and their Department Chairs and Dean(s), at the time of appointment or as requested by joint appointees. (See also FPPP 10.1.10)
- 5.1.1.e Any current *temporary* faculty unit employees under consideration for a *probationary* appointment should be treated as if applying for a new position, using the same *probationary* appointment hiring procedures.

5.1.2 Hiring – Tenure Track (*Probationary*) Faculty – *Equivalency*

- 5.1.2.a The term “*equivalency*” is defined here to mean “equivalent attainment” as it is used in the appointment standard established in the Title 5, Section 42711.
- 5.1.2.b Standards establishing *equivalency*, or proposals to revise *equivalency* standards, shall be put forward by the Department *Personnel Committee* for ratification. Those who may vote to ratify *equivalency* standards are tenured faculty and those tenure-track faculty in the Department 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*. If ratified at the Department level, the College Dean shall review the standards and forward the ratified *equivalency* standards and his/her *recommendation* to the Provost. If approved by the Provost, these *equivalency* standards become part of the Department’s personnel policies.
- 5.1.2.c The doctorate or equivalent attainment shall be the desirable qualification for appointment to a campus faculty position. However:
  - 5.1.2.c.1 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.

- 5.1.2.c.2 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.
  - 5.1.2.d A degree or its equivalent must be completed at the time of initial appointment whenever possible.
  - 5.1.2.e At the minimum, *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.
  - 5.1.2.f Should *equivalency* not be met at the time of initial appointment, the *equivalency* requirement shall be stated in writing before the initial appointment begins. The specific *equivalency* requirements to be met by the *probationary* faculty member shall be drawn up by the Department Chair and submitted to the Department *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 Department Chair, and the Provost (or designee).
  - 5.1.2.g Issues regarding the terminal degree or any *equivalency* should be resolved before tenure is granted. Thus, *equivalency* should not be in question for promotions considered at the same time as, or subsequent to, the granting of tenure.
- 5.1.3 Hiring – Tenure Track (*Probationary*) Faculty – Procedures
- 5.1.3.a Selecting new personnel primarily is the responsibility of the Department seeking the new employee. The faculty unit employees of the Department 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, and to ensure equity and comparability of appointment rank and salary across the College and University.
  - 5.1.3.b The Department’s approved personnel policies shall specify the procedure by which the Department will determine its appointment (hiring) *recommendations*, including:

- 5.1.3.b.1 That the department peer review *recommendations* shall be determined by a simple majority vote,
- 5.1.3.b.2 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.
- 5.1.3.b.3 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. Whether there are any participation requirements for the right to vote (e.g., attendance at candidate presentations), and the process by which all eligible voting faculty will have a reasonable opportunity to meet any participation requirements.
- 5.1.3.c Internal applicants shall not participate in the hiring decisions related to recruitment or selection process, and shall not have access to other applicants' application materials.
- 5.1.3.d A new Search Committee shall be formed for each new search. The purpose of the Search Committee is to assist in the recruitment of applicants, review applicant materials, and make an appointment *recommendation* to the Department.
- 5.1.3.e The Department Search Committee shall be composed of a minimum of three department faculty members elected in a manner specified in the Department's personnel policy plus, when possible, the Department Chair.

- 5.1.3.f Those eligible to be on Search Committees are the Department's:
- tenured faculty,
  - *Probationary* faculty at the discretion of the President in response to the Department's request,
  - FERP faculty who are able to fully participate in the search process, and
  - one augmented faculty member from another department if specified by the Department's personnel policy.
- 5.1.3.g Exceptional circumstances or budgetary issues may require that Departments appoint new personnel when the University is not in session. When this occurs, the Department Chair must make every effort to convene a quorum of the Department Search Committee, or to establish a Committee if one has not been formed.
- If a Department anticipates the need for a Search Committee while the University is not in session, it may designate a subcommittee to take action on behalf of the whole Department.
- 5.1.3.h Each Department Search 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.
- 5.1.3.i Department Search 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.
- 5.1.3.j 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 Search Committee contacts references not submitted by the candidate.

- 5.1.3.k The Department Search Committee shall solicit applications from the widest *range* of eligible people. A goal of the Department 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* faculty unit positions shall be on a national level. 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.
- 5.1.3.1 Following the application period, the Department Search Committee shall screen the applicants' materials against the minimum criteria as stated in the vacancy announcement. The Search Committee shall document the use of these criteria for all candidates. Criteria, as appropriate to the position being filled, include:
  - 5.1.3.1.1 Educational or experiential preparation for university teaching, including the terminal degree or its equivalent from an accredited institution;
  - 5.1.3.1.2 Evidence of teaching ability – either potential or based on previous experience – as appropriate to the position;
  - 5.1.3.1.3 Potential for, and commitment to, professional activities and growth;
  - 5.1.3.1.4 Scholarly activity and productivity;
  - 5.1.3.1.5 Evidence of the human relations skills necessary to work with students and colleagues;
  - 5.1.3.1.6 Disciplinary specialties, skills, and flexibility that coincide with current and future needs of the Department as summarized in the Department *Personnel Plan*; and
  - 5.1.3.1.7 Evidence of effective oral and written communication skills.
- 5.1.3.m Search Committees shall require at least three campus interviews prior to making an appointment *recommendation*. At least two members of the Department Search Committee and, when possible, the Department Chair shall conduct each interview.

- 5.1.3.n 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 Search Committee.
- 5.1.3.o After completing its screening process, the Search Committee shall make a *recommendation* to the Department, following the procedure specified in the Department's personnel policy.
- 5.1.3.p The Department will make a *recommendation* to the College Dean on the chosen candidate(s), following the procedure in its personnel policy. The Dean then will make a hiring *recommendation*. Should the Dean disagree with the Department's *recommendation(s)*, the Dean will meet with the Department faculty to discuss the basis for disagreement. If these differences cannot be resolved, the matter will be forwarded to the Provost, who will work with the parties to attempt to achieve mutual agreement. In instances where this is not possible, the appointment decision normally will be sent back to the Department and new candidates will be sought.
- 5.1.3.q Additionally, Departments will make *recommendations* to the College Dean on the level of appointment for the candidate(s). Once the Dean has determined to whom an offer of employment will be made, the Dean then will make a decision on the level of appointment. Should the College Dean disagree with the Department's appointment level *recommendation*, the Dean will meet with the Department to discuss 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.
- 5.1.3.r The Provost normally delegates to College Deans the authority to make offers of employment. However, if the Provost disagrees with the Department and Dean's *recommendation*, the Provost will meet with the Department and the College Dean to explain the basis for disagreement. If these differences cannot be resolved, the appointment decision will be sent back to the Department and new candidates will be sought.
- 5.1.3.s Upon conclusion of the recruitment process, regardless of whether a successful hire is made, documentation of the recruitment process shall be kept for a period of three years in accordance with the Recruitment Document Retention Procedures posted on the Academic Personnel website.



- 5.1.3.s.1 Documentation of the recruitment process shall include evidence of compliance with University policies of Affirmative Action/ Equal Opportunity Employment.
- 5.1.3.s.2 Among the documents forwarded by the Dean to Academic Personnel 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, system-wide, 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 Provost for Academic Personnel for review prior to the submission to the Provost. The Associate Vice President for Academic Personnel shall confer with the Campus Equity Council 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 Chair.
- 5.1.3.t If a candidate is approved for appointment, a 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 and any other credited evidence of prior professional development, the offer letter should fully apprise the prospective candidate of the implications of such an appointment.
- 5.1.3.u Once a candidate has accepted an offer, the appropriate Dean will send an academic appointment form (AAF). As much as possible, AAFs shall follow a standardized format, and include as appropriate attachments/enclosures:
  - 5.1.3.u.1 an assignment to a specific academic department or equivalent; and
  - 5.1.3.u.2 the start date of employment; and
  - 5.1.3.u.3 the granting of any service credit, including the specific year(s) and credited evidence of prior professional development; and

- 5.1.3.u.4 the granting of any other credited evidence of prior professional development; and
- 5.1.3.u.5 other details as specified in CBA Article 12.2.
- 5.1.3.v No later than the start of the third week of the Fall semester, the Department Chair shall discuss with the new faculty member the need to maintain a *dossier*, the kinds of materials to be included in it, the importance of the *dossier* in the RTP process, and the RTP process in general.
- 5.1.3.w Upon completion of this requirement, the new faculty member will sign the following statement. This signed statement will be placed in the PAF of the faculty member.

“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 *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.”

#### 5.1.4 Hiring – Tenure Track (*Probationary*) Faculty – Service Credit

- 5.1.4.a Faculty unit employees 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.
- 5.1.4.b The granting of service credit toward probation has significant implications for the faculty member, as well as for the Department, 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. As stated above, 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.
- 5.1.4.c In addition to the minimum criteria for appointment, the creditability of any prior service shall be determined by the Department and the Dean, according to the applicable criteria used for *performance reviews*.

5.1.4.d *Probationary* faculty unit employees 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.

## 5.2 **Hiring – Temporary Faculty**

### 5.2.1 General Policies – 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*.

#### 5.2.1.a 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.

#### 5.2.1.b *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 Academic Personnel.

#### 5.2.1.c 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.

### 5.2.2 Temporary Faculty Appointments

#### 5.2.2.a Advertising

Following the course assignments of 3-year appointees, departments shall notify the Office of the Associate Vice President for Academic Personnel (OAPL) of their need for advertising for *temporary* faculty positions.

5.2.2.b The OAPL Office will publish an advertisement describing all of the university's open positions and then refer applicants to the appropriate *Departments/Units*.

5.2.2.c During this time period each *Department/Unit* shall send reminders to currently employed *temporary* faculty unit employees (other than those in an existing 3- year appointment) informing them of its openings.

5.2.2.d 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 OAPL Office for review, and shall then publish the advertisement.

5.2.2.e If there is a need to advertise during mid-year, *Departments/Units* shall follow the same process.

### 5.2.3 Full-Time Temporary Faculty Appointments

5.2.3.a The procedures for recruitment and appointment of full-time *temporary* faculty shall conform to CBA Article 12.

5.2.3.b Full-time *temporary* appointments shall not be conditional.

### 5.2.4 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*.

### 5.2.5 University 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 – 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.

5.2.5.a 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.

5.2.5.b 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.)

5.2.6 Hiring *Temporary* Faculty – Assignment of Courses

5.2.6.a Order of Assignment of Available Work: See CBA Article 12.29, Preference for available *temporary* work and CBA Articles 20.1, 20.2 and 20.3 regarding workload.

5.2.6.b 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.

- 5.2.6.c 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.)
- 5.2.6.d 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.

## **6.0 APPOINTMENT TO AN ENDOWED CHAIR**

- 6.0.a See EM 95-024 Policy on Appointment to an Endowed Chair.

## **7.0 PERSONNEL ACTION FILE (PAF) AND WORKING PERSONNEL ACTION FILE (WPAF)**

- 7.0.1 See CBA, Article 11, for additional information regarding *personnel action files*.
- 7.0.2 Campus medical records and campus police records shall not be subject to the provisions of this section.
- 7.0.3 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.
- 7.0.4 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.
- 7.0.5 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.
- 7.0.6 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.

- 7.0.7 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 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 CBA Article 11.6.
- 7.0.8 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.
- 7.0.9 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.
- 7.0.10 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.
- 7.0.11 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.

- 7.0.12 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.
- 7.0.13 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.
- 7.0.14 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.
- 7.0.15 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.
- 7.0.16 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.
- 7.0.17 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.

## **7.1 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.

## **8.0 EVALUATION OF FACULTY**

- 8.0.1 In order to develop and advance faculty of the highest quality, this system of evaluation is designed to cultivate faculty improvement and growth in furtherance of the mission of the University. These processes are also intended to guide



faculty retention, tenure, and promotion in order to maintain and expand the intellectual skills and understanding required by humanity to meet the challenges of the future and to professionally disseminate these insights to our students, our disciplines, and each other.

These needs shall take precedence over considerations of individual seniority, except in those instances where consideration of seniority is required by law, the CBA, or system-wide policy. In other words, except as required elsewhere, promotion is based on individual performance, not on years of seniority.

- 8.0.2 By the beginning of the fall semester, the Provost or designee shall provide a calendar of deadlines (see Appendix III) for the completion of the WPAF and the submission of *reports* and *recommendations* from each *Personnel Committee*, Department Chair, and College Dean. This calendar shall include the “closure” dates – the dates on which the WPAF will be declared as having a complete set of documentation provided by the candidate for his/her evaluation. Insertion of information after closure is discussed in section 8.1.2 below.
- 8.0.2.a The closure date for faculty undergoing a *performance review* shall be the Fall semester census date.
- 8.0.2.b The closure date for faculty undergoing a *periodic evaluation* shall be the Spring semester census date.
- 8.0.3 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.
- 8.0.4 Inasmuch as tenure and promotion are independent personnel decisions, separate *reports* and *recommendations* for each shall be issued by each level of review. 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.
- 8.0.5 No one may participate in the process of his/her own evaluation or review.

## **8.1 Evaluation of Faculty – Evidence**

### **8.1.1 Evaluation of Faculty – Evidence – General Considerations**

- 8.1.1.a Every reasonable effort shall be made pursuant to these policies to develop for the WPAF a complete evidentiary data base for *recommendations* and decisions. Department standards should serve as a guide to candidates and evaluators regarding the inclusion of appropriate evidentiary materials in the WPAF.
- 8.1.1.b The chair of the Department *Personnel Committee* has the primary responsibility to see that the WPAF includes all materials necessary for

responsible *recommendations* and decisions by each *level of review*, as such *recommendations* and decisions must be based exclusively upon those materials (see below).

8.1.1.b.1 On top of this standard, the Department should assist the candidate in making certain that the WPAF accurately reflects the full performance record for the evaluation period. Ultimately, though, it is the candidate's responsibility to see that all materials favorable to *retention*, tenure, and/or promotion are included in the WPAF.

8.1.1.c Faculty members, students, academic administrators, and the President may submit material and information relevant to 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.

8.1.1.d Evaluation by students shall be used in *retention*, tenure, promotion, promotion ranking, teaching performance, and leaves reviews.

8.1.1.e Per CBA Article 15.14, “When classroom visits are utilized as part of the evaluation of a faculty unit employee under this Article, the individual faculty unit employee being evaluated shall be provided a notice of at least five (5) days that a classroom visit, online observation, and/or review of online content is to take place. There shall be consultation between the faculty member being evaluated and the individual who visits his/her class(es) regarding the classes to be visited and the scheduling of such visits.” The notice shall be provided to the candidate in writing.

8.1.1.f Additional details regarding the timing of classroom visits, the manner by which the visiting faculty member will document his/her observations, etc., shall be determined by the Department *Personnel Committee* prior to the start of the review process, and communicated to candidates in writing.

## 8.1.2 Evaluation of Faculty – Evidence – The PAF and WPAF

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 for 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.

8.1.2.a 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).

- 8.1.2.b As stated above, the RTP calendar shall specify the date by which all WPAFs will close to additional evidentiary data for each evaluation/review cycle. After the WPAF is closed, no additional material may be added, with the following exceptions:
  - 8.1.2.b.1 Material received while the WPAF is still open may be inserted by appropriate parties even if the candidate's notification period (the time allowed to a faculty member for response to an item being placed into the PAF) extends past the closing date.
  - 8.1.2.b.2 The Department *Personnel Committee* may insert material resulting from its meeting with the candidate, prior to writing its *report*.
- 8.1.2.c 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 *Personnel Committee* for review, evaluation, and comment before consideration at subsequent *levels of evaluation*.
- 8.1.2.d See Section 7 for additional details regarding the PAF and WPAF.
- 8.1.3 Evaluation of Faculty – Evidence – *Dossiers*
  - 8.1.3.a Each faculty member shall maintain a *dossier* concerning his/her teaching, professional growth and achievement, and other contributions to the University. The *dossier* shall be updated at least annually. The maintenance and storage of the *dossier* is the responsibility of the faculty member.
  - 8.1.3.b During any review cycle affecting a faculty member, his/her *dossier* becomes an attachment to the faculty member's WPAF, and shall be submitted to the Dean or designee for custody in accordance with the RTP calendar.
  - 8.1.3.c Upon the conclusion of a review cycle, and after the *grievance* filing period has passed, the College Dean or designee shall notify Faculty members whose *dossiers* remain in custody of the Dean's office to retrieve their *dossiers*. This notification shall be in writing. 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.
  - 8.1.3.d 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.

8.1.3.e 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 herein, the *dossier* shall contain the following material:

8.1.3.e.1 A Copy of the Department Standards

8.1.3.e.2 Current *Curriculum Vita* (CV)

8.1.3.e.3 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 standards, other sections of the FPPP, and the CBA. At a minimum, the narrative should include the following:

- 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), and
- 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*.

8.1.3.e.4 Support Materials

The candidate will present evidence that he/she is performing the tasks for which he/she was hired, and to which he/she is assigned. As appropriate to the individual faculty member's circumstances, *dossier* contents include:

Instruction. Evidence regarding teaching effectiveness should address the specific Department standards for courses to be considered in the evaluation, and other support materials required by the Department. Even though 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 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. The *dossier* should provide reviewers with the information necessary to make accurate judgments regarding such quality.

Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, University, and Community (also referred to as “Service”). Other materials that would help evaluators assess the candidate’s performance and Service that contributes to the Strategic Plans and Goals of the Department/Unit, College and University and to the 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 about such quality and quantity.

The candidate may add a statement that guides reviewers to the evidence in the dossier that relates to strategic plans and goals. Such activities or achievements may include, but are not limited to, innovations in diversity, sustainability, service learning, civic engagement, and service to the North State.

- 8.1.3.f See Section 9, 10, or 11, as appropriate, for additional details on recommended/required *dossier* contents for *temporary*, full-time *temporary*, or *probationary* faculty.

#### 8.1.4 Evaluation of Faculty – Evidence – Teaching Effectiveness

##### 8.1.4.a Evaluation of Faculty – Evidence – Teaching Effectiveness – Student Evaluation of Teaching

- 8.1.4.a.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.
- 8.1.4.a.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.
- 8.1.4.a.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.

8.1.4.a.3.1 *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.

8.1.4.a.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.

8.1.4.a.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:

8.1.4.b Online Evaluations

8.1.4.b.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.

8.1.4.b.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.

8.1.4.c In Class (Paper) Evaluations

8.1.4.c.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.

8.1.4.c.2 The faculty member must designate at least two students to

administer the Student Evaluation of Teaching instruments.

- 8.1.4.c.3 The faculty member must leave the room while the instruments are distributed, marked, and collected.
- 8.1.4.c.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.
- 8.1.4.c.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.
- 8.1.4.d 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.
- 8.1.4.e 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.
- 8.1.4.f 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*.
- 8.1.4.g For faculty at the rank of Professor or equivalent, SET results shall be retained for five years. SET results that have been removed from the PAF shall be returned yearly to the faculty member at the beginning of the following academic year, but after the deadline for all *grievance* activity.
  - 8.1.4.g.1 For *probationary* faculty who are promoted before they are tenured, SET results that were available for consideration during promotion deliberations shall be removed from the PAF 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 the PAF shall be returned to the faculty member at the beginning of the next academic year.
  - 8.1.4.g.2 For all other faculty, SET results shall be removed from the PAF after promotion or appointment at a higher rank, with the exception of a faculty member moving from *temporary* to tenure-track status (see 10.4.4.a). SET results that have been removed from the PAF shall be returned to the faculty member at the beginning of the next academic year.

8.1.4.h Evaluation of Faculty – Evidence – Teaching Effectiveness – On-Line Courses

When classroom visits are utilized as part of the evaluation of a faculty unit employee under 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, online observation, and/or review of online content 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. The scope of such evaluations shall be reasonably equivalent to the scope of one classroom visit. 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.

8.1.4.h.1 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.

8.1.4.h.2 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.

**9.0 EVALUATION OF TEMPORARY FACULTY**

**9.1 Evaluation of Temporary Faculty – Evidence of Teaching Effectiveness**

9.1.1 Evaluation of Temporary Faculty - Introduction

9.1.1.a All *temporary* faculty will be evaluated following the procedures and guidelines contained in this section.

9.1.1.b 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.



9.1.2 Evaluation of *Temporary Faculty* - Categories

- 9.1.2.a Teaching effectiveness is the first, minimum and indispensable requirement for appointment, reappointment and *range* elevation of *temporary* faculty who teach.
- 9.1.2.b *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.
- 9.1.2.c The following shall provide the basis for evaluating *temporary* faculty, as documented by evidence in the *personnel action file*.
- 9.1.2.c.1 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).
- 9.1.2.c.2 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, which may include advising; research; scholarship; creative activity; service to the University, profession, and to the community; or other professional responsibilities (See CBA article 12).
- 9.1.2.c.3 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.

9.1.2.c.4 Evaluation of any other activities or achievements related to the individual's work assignment(s) that contribute to the Strategic Plans and Goals of the Department/Unit, College and University as well as the Community. Such activities or achievements may include, but are not limited to, innovations in diversity, sustainability, service learning, and civic engagement, and service to the North State.

9.1.2.d 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.

### 9.1.3 Evaluation of *Temporary* Faculty - Record

9.1.3.a 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*.

9.1.3.b 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*.

9.1.3.c The *report* may include constructive suggestions for the faculty member's development related to his/her work assignment(s).

9.1.3.d The *report* should acknowledge other activities by the faculty member, not part of his/her work assignment(s), which result in positive contributions to the Strategic Plans and Goals of the Department/Unit, College and University as well as to the Community.

9.1.3.e The *report* shall not contain any *recommendation* regarding future employment.

### 9.1.4 Evaluation of *Temporary* Faculty - Procedures

9.1.4.a 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.

- 9.1.4.b 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.
- 9.1.4.c 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*.
- 9.1.4.d All *temporary* faculty members holding three-year appointments and eligible for subsequent reappointment 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.
- 9.1.4.e When the *Appropriate Administrator* determines, based on the *personnel action file*, that a *temporary* faculty member already 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*.

## **10.0 EVALUATION OF TENURE TRACK (PROBATIONARY) FACULTY**

### **10.1 Evaluation of Probationary Faculty - General**

- 10.1.1 For the purpose of calculating the *probationary* period, a year of service commences with the first fall term of appointment.

- 10.1.2 Three areas of evaluation must be considered at all review *levels* in making *recommendations* on *retention*, tenure, and promotion (RTP): Instruction; Professional Growth and Achievement; and Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, and University and to the Community.
- 10.1.3 *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.
- 10.1.4 *Probationary* faculty are subject to two different types of 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 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.
- 10.1.5 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.
- 10.1.6 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 evaluation* or *Appropriate Administrator* or President.
- 10.1.7 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.
- 10.1.8 An administrative level(s) review shall be conducted by the *Appropriate Administrator(s)*.

- 10.1.9 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.
- 10.1.10 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.
- 10.1.11 *Periodic evaluations* and *performance reviews* will cover the period since the faculty member's date of appointment. For summer or fall appointments, period of review will begin at the last academic day of spring semester in the academic year preceding the appointment. Spring appointments will begin on the date of appointment. All faculty members' evaluations and *performance reviews* will include work that is part of a service credit year or years and other granted credits.
- 10.1.12 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.
- 10.1.13 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 evaluation* 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.

**10.2 Evaluation of Probationary Faculty – Performance Reviews**

10.2.1 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 evaluation* 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.

**Normal Sequence of Periodic Evaluations and Performance Reviews**

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

10.2.2 General Notes on Evaluation: Due Care

10.2.3 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*.

10.2.4 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.

10.2.5 Teaching Effectiveness

10.2.5.a Teaching effectiveness is the first, minimum, and indispensable requirement for *retention*, tenure, or promotion of teaching faculty. Student evaluations of teaching 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.

10.2.5.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.

10.2.5.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).

10.2.6 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.

- 10.2.7 The *Department/Unit Personnel Committee* (or subcommittee), 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*.
- 10.2.8 At all *levels of evaluation*, 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 evaluation*. 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.

### **10.3 Evaluation of Probationary Faculty - Performance Reviews - Process**

- 10.3.1 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.
- 10.3.2 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.



- 10.3.3 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).

**SERVICE THAT CONTRIBUTES TO THE STRATEGIC PLANS AND GOALS OF THE DEPARTMENT/UNIT, COLLEGE, AND UNIVERSITY AS WELL AS THE COMMUNITY (SERVICE)**

As stated above, the third area of evaluation is Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, and University and to the Community. 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

**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 and/or in the community, “superior” performance is evidenced by the candidate's assumption of key roles on significant committees and/or in the community, as well as the demonstration of consistent, on-going contributions to such activities.

**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 and/or in the community, “effective” performance is evidenced by the candidate's occasional assumption of key roles on significant committees and/or in the community, as well as the demonstration of consistent, on-going contributions to such activities.

**Adequate**

The evidence demonstrates occasional 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 and/or in the community, “adequate” performance is evidenced by the candidate's infrequent assumption of key roles on committees and/or in the community while, nevertheless, maintaining regular participation in activities 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 and/or in the community, “inadequate” performance is evidenced by the candidate's lack of assumption of key roles on committees and/or in the community and only limited participation in activities at these levels.

10.3.4 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.

10.3.5 *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.

10.3.6 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*.

- 10.3.7 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***

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

- 10.3.8 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.
- 10.3.9 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*.

- 10.3.10 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).
- 10.3.11 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.
- 10.3.12 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*.
- 10.3.13 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*.
- 10.3.14 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*.

- 10.3.15 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.
- 10.3.16 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*.
- 10.3.17 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*.
- 10.3.18 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).

- 10.3.19 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.
- 10.3.20 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.
- 10.3.21 Once the President has made his/her personnel decision, the Provost shall supervise the return of the *reports* and *recommendations* to the PAF.

#### **10.4 Evaluation of Probationary Faculty - Outcomes: Granting of Retention, Tenure, or Promotion**

- 10.4.1 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.
- 10.4.2 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.
- 10.4.3 Policies and guidelines relating specifically to *retention* are
  - 10.4.3.a 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).
  - 10.4.3.b 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).
  - 10.4.3.c *Probationary* faculty should demonstrate the following: effective Instruction, the potential for future Professional Growth and Achievement, participation in Service that Contributes to the Strategic

Plans and Goals of the *Department/Unit*, College, and University and to the Community.

- 10.4.3.d 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.
- 10.4.3.e *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.

10.4.4 Policies and guidelines relating specifically to **tenure** are

- 10.4.4.a In consideration of tenure or promotion, 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 review.
- 10.4.4.b 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.
- 10.4.4.c 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.
  - 10.4.4.c.1 Nevertheless, evidence of performance while at California State University, Chico, shall be the primary consideration in all tenure decisions.
  - 10.4.4.c.2 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 CBA Articles 13.7-13.8.
  - 10.4.4.c.3 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.



10.4.4.c.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.

10.4.5 Policies and guidelines relating specifically to *promotion* are:

10.4.5.a 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.

10.4.5.b 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.

10.4.5.c 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.

10.4.5.d Candidates for promotion to the rank of Associate Professor should have demonstrated both achievement and potential for growth in each of the areas of evaluation. All recommending bodies must clearly identify those activities and achievements, which demonstrate fulfillment of this requirement.

10.4.5.e 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.

**10.5 Evaluation of *Probationary Faculty - Outcomes: Granting of Accelerated Tenure or Promotion***

10.5.1 Tenure may be conferred earlier than the normal sixth year of employment.

10.5.2 Consideration of tenure before the beginning of the sixth consecutive fulltime *probationary* year shall be regarded as consideration of “accelerated tenure or promotion.” A decision on tenure before the sixth year is necessarily based on less evidence of performance within rank than tenure granted on a normal timeline. For this reason, decisions for accelerated tenure will require that faculty meet a higher standard than they would for tenure granted on a normal timeline. This higher standard is defined in 10.5.3, and is the definition of an “exceptional record” for accelerated tenure.

- 10.5.3 To qualify for accelerated tenure or promotion the candidate must: (1) be rated Superior as defined in 10.3.4 in all three categories of evaluation: Instruction, Professional Growth and Achievement, Other Contributions to the University and Community; *and* (2) demonstrate the likelihood that this high level of performance will continue; *and* (3) have worked a minimum of one academic year under the conditions similar to their department's typical full time assignment.
- 10.5.4 Any faculty member wishing to apply for accelerated tenure or promotion must make a request in writing to the Department Chair and the Dean. In the request, the candidate should offer a brief description of how they meet the criteria (see above in 10.5.3) for eligibility for accelerated tenure or promotion. This request shall be included in the candidate's Personnel Action File and in the candidate's Dossier prior to closure of each.
- 10.5.5 Inasmuch as consideration of accelerated tenure or promotion is not the normal pattern, each level of review must address in its reports whether the candidate's file meets the definition of exceptional record (see above in 10.5.3). As outlined in the FPPP 10.2.8, the faculty member under review has the right to submit a response or rebuttal at every level of review.
- 10.5.6 Prior to the forwarding of a candidate's file to the President, the candidate may withdraw his/her application for accelerated tenure without prejudice. All relevant personnel reports (Department/Unit, Chair, College Dean, Provost) from that cycle will be expunged from the candidate's records (WPAF and PAF).
- 10.5.7 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 an "exceptional record" (see above in 10.5.2 and 10.5.3). Candidates for promotion without tenure must be similarly regarded as having an "exceptional record."
- 10.5.8 Prior to the final decision, the candidate may withdraw his/her application for promotion without prejudice. All relevant personnel reports (Department/Unit, Chair, College Dean, Provost) from that cycle will be expunged from the candidate's records (WPAF and PAF).

## **10.6 Evaluation of Probationary Faculty - Outcome: Notice of Terminal Year**

- 10.6.1 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:
- 10.6.1.a 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.
- 10.6.1.b Denial of tenure was based on a fully-documented error or errors on the appraisal and review process.

10.6.1.c The faculty member has received a single honor from off campus that is professionally meritorious beyond question.

## **10.7 Evaluation of Probationary Faculty - Conducting Periodic Evaluations**

10.7.1 *Periodic Evaluations* shall be conducted in the spring semester and shall be concluded, with copies delivered to the faculty member and the *personnel action file*, on or before the Friday immediately preceding final exams.

10.7.2 A written record of each level of the *Periodic Evaluations* 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.

10.7.3 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.

## **11.0 EVALUATION OF TENURED FACULTY**

### **11.1 Evaluation of Tenured Faculty – Performance Reviews for Promotion**

11.1.1 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.)

11.1.2 Promotion of Tenured Faculty will follow the provisions under 10.3, Evaluation of Probationary Faculty – Performance Review Process. In consideration of promotion, the period of review shall be the period since closure of the WPAF prior to promotion to the current rank. Candidates for promotion to full Professor should have demonstrated both achievement and potential for growth in each of the areas of evaluation. 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.

11.1.3 To qualify for accelerated promotion to full professor the candidate must: (1) be ranked Superior in all three categories of evaluation: Instruction, Professional Growth and Achievement, Other Contributions to the University and Community; *and* (2) have exceeded the expectations of Superior in all three categories of evaluation; *and* (3) demonstrate the likelihood that their exceptional performance will continue, *and* (4) clearly demonstrate substantial professional recognition at and beyond the University itself. Inasmuch as consideration of accelerated

promotion to full professor is not the normal pattern, a recommendation for accelerated promotion must be accompanied by its justification as an exceptional record at each level of review.

- 11.1.4 A tenured faculty member wishing to apply for accelerated promotion to full professor must make a request in writing to the Department Chair and the Dean. In the request, the candidate shall offer a brief description of how they meet the criteria (see above in 11.1.3) for eligibility for accelerated promotion. This request shall be included in the candidate's Personnel Action File and in the candidate's Dossier prior to closure of each.
- 11.1.5 Prior to the final decision, the candidate may withdraw his/her application for promotion without prejudice. All relevant personnel reports (Department/Unit, Chair, College Dean, and Provost) from that cycle will be expunged from the candidate's records (WPAF and PAF).

## **11.2 Evaluation of Tenured Faculty - Periodic Evaluations of Tenured Faculty**

### **11.2.1 Definition and Purpose**

- 11.2.1.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.
- 11.2.1.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."
- 11.2.1.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*.

### **11.2.2 Composition of Evaluation Committees**

- 11.2.2.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.

- 11.2.2.b If the *Department/Unit* Chair is untenured he/she shall not participate in the *Periodic Evaluation* of tenured faculty.
- 11.2.2.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.
- 11.2.2.d The Committee shall follow procedures developed by the *Department/Unit* and approved by the College Dean.

### 11.2.3 Data Gathering

- 11.2.3.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.
- 11.2.3.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*.

### 11.2.4 The Periodic Evaluation Process

- 11.2.4.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.
- 11.2.4.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.
- 11.2.4.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.

11.2.4.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.

11.2.4.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.

### **11.3 Evaluation of Tenured Faculty - Additional Evaluations of Tenured Faculty**

11.3.1 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.

11.3.2 Tenured faculty who otherwise are not due for a *periodic evaluation* or *performance review* in any year, may request a *periodic evaluation*. Such a request, with a justification, shall be in writing to the Dean. Upon approval by the Dean, a *periodic evaluation* shall be conducted.

11.3.3 The *periodic evaluation* shall include assessment of responsibilities as defined above.

### **12.0 RANGE ELEVATION (LECTURERS)**

12.0.1 For details, see CBA Article 12.16-20.

### **12.1 Range Elevation (Lecturers) – Professional Activity Requirements – Eligibility and Criteria**

12.1.1 *Temporary* faculty (excluding coaching faculty unit employees) 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.

#### **12.1.2 Criteria for Range Elevation**

12.1.2.a 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.

12.1.2.b Criteria for *range* elevation for *temporary* faculty (excluding coaching faculty unit employees) shall be appropriate to *Lecturer* work assignments (CBA 12.19).

12.1.2.c 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, whichever is more recent.

12.1.2.d 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 besides instruction. Departments/Units shall clearly define teaching excellence and maintaining currency in the field in their personnel policy documents.

12.1.2.d.1 Accumulated teaching experience alone is not considered “teaching excellence” sufficient for *range* elevation.

12.1.2.d.2 “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.

12.1.2.d.3 Department policies defining *range* elevation criteria shall not require the *Lecturer* to obtain a Ph.D., or other terminal degree, nor 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.)

12.1.2.d.4 Departments may consult with the Office of Academic Personnel for guidance on criteria development.

## 12.2 **Range Elevation (Lecturers) – Procedures**

### 12.2.1 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.

#### 12.2.2 Procedures

- 12.2.2.a Pursuant to CBA 12.18, *Lecturers* who met the criteria above (FPPP 12.1.1) 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).
- 12.2.2.b Eligible individuals must apply for RANGE elevation prior to March 10.
- 12.2.2.c 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 10.
- 12.2.2.d The College Dean shall make a decision and notify the applicant no later than April 24.
- 12.2.2.e *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 Academic Personnel. 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 Academic Personnel (CBA 12.20).
- 12.2.2.f 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.
- 12.2.2.g *Range* elevation for *Lecturers* shall be accompanied by advancement of at least five percent (5%) on the salary schedule (CBA 31.6).

### **13.0 LEAVING FROM AND RETURNING TO THE UNIVERSITY**

#### **13.1 Leaving From and Returning to the University - Faculty Leaves**

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



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
Personal – Without Pay for Medical	No	Contact Academic	Personnel	
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			

13.1.1 Faculty Leaves – College Faculty Leaves Committee

- 13.1.1.a Each College shall have a College Faculty Leaves Committee. Membership of the College Faculty Leaves Committee shall be determined by the College faculty. 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 be augmented by one or more faculty from closely aligned disciplines 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.
- 13.1.1.b The College *Personnel Committee*, or a subcommittee thereof, may be designated as the College Faculty Leaves Committee.
- 13.1.1.c. The College Faculty Leaves Committee is charged with putting out a call for leave applications, and with the responsibility of receiving, considering, and evaluating applications from College faculty for all types of professional leaves.
- 13.1.1.d The committee shall elect a chair and a secretary and establish its own rules of organization.
- 13.1.1.e 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. These materials also shall be given to the Dean and the Provost.

- 13.1.1.f The College Faculty Leaves Committee will meet with each individual applicant in order to discuss his/her application in relation to the guidelines.
- 13.1.1.g The College Faculty Leaves Committee shall submit to the College Dean a list of the candidates, *recommendations* on each application, and reasons for the *recommendations*. The committee and Dean will consult with each other prior to the committee's preparation of its set of final *recommendations*.

13.1.2 Faculty Leaves – Sabbatical Leaves

- 13.1.2.a A sabbatical leave is a paid leave for which the compensation is full salary for one term or half-salary for an academic year.
- 13.1.2.b A faculty member on sabbatical leave shall not accept additional and/or outside employment without prior approval of the President.

13.1.2.c Eligibility and Criteria for Sabbatical Leaves

- 13.1.2.c.1 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.
- 13.1.2.c.2 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.
- 13.1.2.c.3 For criteria to be used in the awarding of sabbaticals, please see CBA Article 27.

13.1.2.d Procedures Regarding Sabbatical Leaves

- 13.1.2.d.1 All qualified applications for sabbatical leaves at half salary shall be awarded if they meet the criteria set forth in Articles 27.5 through 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.

13.1.2.d.2 The 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.

13.1.2.d.3 If a faculty member's leave plans change before the start of the leave, these changes shall be submitted to the College Faculty Leaves Committee for evaluation. Should these changes not meet with the approval of the Committee, the leave shall be rescinded/denied.

13.1.2.d.4 The Department shall provide a statement through the Department 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.

13.1.2.d.5 Criteria for post-leave evaluation shall be clearly established by the College Faculty Leaves Committee prior to the forwarding of a positive *recommendation* to the Dean.

13.1.2.e Award of Sabbatical Leaves

13.1.2.e.1 Upon completion of its work, and prior to the established deadline, the College Faculty Leaves Committee shall forward all applications and related *recommendations* (and reasons) to the College Dean.

13.1.2.e.2 Candidates for full salary sabbatical leaves shall be *rank ordered*.

13.1.2.e.3 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.

13.1.2.e.4 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.

13.1.2.e.5 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 Academic Personnel.

13.1.2.e.6 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.

13.1.2.f Post Evaluation of Sabbatical Leave Activities

13.1.2.f.1 Per CBA Article 27.19: “A faculty unit employee granted a sabbatical leave may be required by the President to provide verification that the conditions of the leave were met. The statement of verification shall be provided to the President and the [College Faculty] Leaves Committee.”

13.1.2.f.2 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. In addition, an oral *report* to the College Faculty Leaves Committee may be required at the Committee’s discretion.

13.1.2.f.3 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.

13.1.3 Leaving From and Returning to the University – Faculty Leaves – Difference-in-Pay Leaves

13.1.3.a 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.

13.1.3.b Eligibility and Criteria for Difference-in-Pay Leaves

- 13.1.3.b.1 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.
- 13.1.3.b.2 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.
- 13.1.3.b.3 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 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.
- 13.1.3.b.4 The Difference-in-Pay leave is granted on the basis of the same criteria as a sabbatical leave.
- 13.1.3.b.5 A faculty member on a Difference-in-Pay leave shall not accept additional and/or outside employment without prior approval of the President.

13.1.3.c Procedures Regarding Difference-in-Pay Leaves

- 13.1.3.c.1 Difference-in-pay leave applications may be submitted at any time. However, applications submitted later than the deadline identified for sabbatical leaves may be less likely to be approved because the impact on the curriculum and operation of the Department 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.
- 13.1.3.c.2 If a faculty member's leave plans change before the start of the leave, these changes shall be submitted to the College

Faculty Leaves Committee for evaluation. Should these changes not meet with the approval of the Committee, the leave shall be rescinded/denied.

- 13.1.3.c.3 A Department committee composed of tenured faculty and elected by tenured and *probationary* faculty in the Department shall review difference-in-pay leave requests. Members of the committee may not be applicants for paid leaves of absence.
- 13.1.3.c.4 The Department committee shall make a *recommendation* for or against the proposed Difference-in-Pay leave. The Department Chair shall prepare a statement regarding the possible effect upon the curriculum and the operation of the Department should the leave be granted.
- 13.1.3.c.5 The committee's *recommendation* and the Chair's statement shall be forwarded to the Dean's office for consideration by the College Faculty 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*.
- 13.1.3.c.6 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 to the Dean.

13.1.3.d Difference-in-Pay Leaves – Award of Difference-in-Pay Leaves

- 13.1.3.d.1 Upon completion of its work, and prior to the established deadline, the College Faculty Leaves Committee shall forward all applications and related *recommendations* (and reasons) to the College Dean.
- 13.1.3.d.2 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(s).
- 13.1.3.d.3 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 Academic Personnel.

13.1.3.d.4 If the Dean's decision differs from the *recommendation* of the College Committee, and the Department Chair 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.

13.1.3.d.4.1 The Provost or designee shall consider the appeal and after communicating with at least the College Dean, the College Committee Chair, and the Department Chair, shall inform the applicant, in writing, of the decision on the appeal.

13.1.3.e Post Evaluation of Difference-in-Pay Leave Activities

13.1.3.e.1 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. 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.

13.1.3.e.2 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.

13.1.4 Leaving From and Returning to the University – Faculty Leaves – Leaves Without Pay

13.1.4.a Leaves Without Pay – Personal Leaves of Absence Without Pay

Please see CBA, Articles 22.8 - 22.23.

13.1.4.b Leaves Without Pay – Professional Leaves of Absence Without Pay

Please see CBA, Articles 22.24 - 22.27.

13.1.4.c Leaves Without Pay – Eligibility and Approval for Leaves of Absence Without Pay

13.1.4.c.1 An application for a Leave of Absence without Pay shall be submitted by the applicant to the Department Chair. Application forms are available on the Academic Personnel website. The application for any given term must be submitted 30 days before classes begin for the semester in which leave is being requested. The President may waive the required notice period.

13.1.4.c.2 Applications shall be reviewed by the Chair, the Dean, and the College Faculty Leaves Committee before being submitted to the Provost.

13.1.4.c.3 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.

13.1.4.c.4 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.

13.1.4.c.5 Faculty unit employees shall be eligible to submit a written application for a leave of absence without pay in accordance with CBA Article 22.

13.1.4.c.6 Eligible faculty applicants shall receive a written response regarding granting or denial of the leave.

**13.2 Leaving From and Returning to the University – Resignations**

13.2.1 Leaving From and Returning to the University – Resignations – Notice by Employees

13.2.1.a 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 2009 (<http://www.aaup.org/Report/statement-professional-ethics>) – “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.”

### 13.2.2 Leaving From and Returning to the University – Resignations – Procedures

13.2.2.a 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:

13.2.2.a.1 The written resignation from the individual faculty member is submitted to the College Dean.

13.2.2.a.2 The College Dean sends a letter accepting the resignation.

13.2.2.a.3 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 Academic Personnel, and Payroll Office.

### 13.3 Leaving From and Returning to the University – Retirement Benefits

13.3.1 Faculty are encouraged to consult with Academic Personnel regarding retirement and their retirement benefits. They also should consult relevant information from CalPERS and Article 29 (Faculty Early Retirement Program) and Article 30 (Pre-Retirement Reduction in Time Base) of the CBA.

### 13.4 Leaving From and Returning to the University – Emeritus Status

#### 13.4.1 Leaving From and Returning to the University – Emeritus Status – Granting Emeritus Status

13.4.1.a *Emeritus status* may be granted to any academic, administrative, or instructional staff member upon the written *recommendation* of the faculty of his/her academic unit and the approval of the Provost. *Recommendations* for conferring *emeritus status* shall be based upon:

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

13.4.1.a.2 Having provided 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

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

13.4.1.a.4 A faculty member may be approved for Emeritus status posthumously, whether death is prior to, or after, separation from employment.

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

#### 13.4.2 Leaving From and Returning to the University – *Emeritus Status* – 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:

13.4.2.a Use of office space, equipment, and technical facilities,

13.4.2.b Services, including those of the library, normally extended to active faculty,

13.4.2.c Opportunity to teach,

13.4.2.d Right to apply for, participate in, and administer grants, contracts, or other research projects,

13.4.2.e Attendance at faculty meetings as ex-officio, nonvoting members with floor privileges,

13.4.2.f Eligibility for appointment and/or election to faculty committees,

13.4.2.g Option of lifetime subscriptions to all campus news publications, etc., which go to regularly employed faculty,

13.4.2.h Free parking, and

13.4.2.i 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.

### 13.5 **Leaving From and Returning to the University – Reinstatement Rights and Rehiring**

#### 13.5.1 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).

#### 13.5.2 Reinstatement Rights and Rehiring – 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).

### 14.0 MISBEHAVIOR

#### 14.1 Misbehavior – Faculty Misconduct in Research

14.1.1 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 06-036.) Faculty are expected to follow all legal requirements governing research.

14.1.2 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).

#### 14.2 Misbehavior – University Responses to Faculty Misbehavior

14.2.1 The University's responses to faculty misbehavior includes:

14.2.1.a Temporary Suspension (See CBA, Article 17)

14.2.1.b *Reprimands* (See CBA, Article 18)

14.2.1.c Disciplinary Actions (See CBA, Article 19)

#### 14.3 Misbehavior – Faculty Responses to University Misbehavior

14.3.1 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.

## **15.0 LIBRARY FACULTY**

### **15.1 Library Faculty– Departmental Status**

15.1.1 In matters pertaining to the *retention*, promotion, and tenure of library faculty unit employees, and the evaluation of *part-time* library faculty unit employees, 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*.

### **15.2 Library Faculty– Sabbatical Leaves**

15.2.1 A sabbatical leave for library faculty unit employees is a paid leave for which the compensation is full salary for four months.

15.2.2 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 time base.

## **16.0 COUNSELOR FACULTY**

16.0.1 This document clarifies the specific policy and procedural differences between Instructional Faculty and Counselor Faculty. In addition, this document specifies the intent and criteria that the *Unit* uses in the evaluation process with Counselor Faculty.

16.0.2 References 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.

16.0.3 The role of Unit Director is a combination of 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 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.

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

## 16.1 **Classification and Qualifications Standards**

16.1.1 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).

16.1.2 The Counselor Faculty (SSP-AR) Policies and Procedures are designed to assist the academic related faculty (i.e., Counselors) 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 psychological counselors in Student Affairs, consistent with the best personnel practices of the University, and which serve the mission and goals of the University. 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.

16.1.3 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. SSP-ARs engage in additional training and supervision beyond the degree to obtain state licensure such as MFCC, LCSW, or Psychologist.

16.1.4 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.

## 16.2 **Counselor Faculty Assignment of Responsibilities**

16.2.1 The assignments of Clinical faculty members may include a variety of counseling duties in individual, couple, or group modalities. 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 of responsibilities are made by the Unit Director after consultation with the counselor faculty member. (CBA 20.11).

### **16.3 Professional Ethics and Standards**

16.3.1 In addition to those standards cited in Section 1.0 above, 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 is available from the Counseling Center.

### **16.4 Faculty Personnel Files**

16.4.1 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 Academic Personnel.

16.4.2 Personnel Action File (CBA, Article 11) (See Section 7.0)

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

16.4.2.b References in Section 7, that indicate the Dean will be understood as VPSA.

### **16.5 Personnel Committees**

16.5.1 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.

16.5.2 Personnel Committee Structure (See Section 4.0)

16.5.2.a *Department/Unit* Personnel procedures shall be approved by the VPSA.

16.5.2.b The Director of the Unit shall not act as a member of the *Personnel Committee*.

16.5.3 Personnel Committee Eligibility (See Section 4.0)

16.5.3.a Counselor faculty on partial leave 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.

16.5.3.b The Director of the Unit shall not participate as a member of the Unit

*Personnel Committee.*

16.5.4 *Personnel Committee Operation* (See Section 4.0)

- 16.5.4.a Affirmative Action compliance will be coordinated through liaison with the Student Affairs Affirmative Action Committee.

**16.6 Appointment Policies for Probationary Faculty (See Section 5.1)**

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

- 16.6.1 The basic *recommendations* for appointing *probationary* faculty originate in the *Department/Unit* search committee.
- 16.6.2 Minimal criteria for appointment of counselor faculty differ from instructional faculty on the following points:
  - 16.6.2.a Evidence of counseling effectiveness or measurement expertise—either potential or based on previous experience.
  - 16.6.2.b Scholarly activity and/or creative achievement.
  - 16.6.2.c Educational or experiential preparation for psychological counseling or university testing programs including the terminal degree or its equivalent from an accredited institution.
- 16.6.3 Counselor faculty appointment committees will contain one member from the Student Affairs Affirmative Action Committee.
- 16.6.4 The Director of Student Health Services, or designee, makes a verbal offer of employment and the VPSA makes the formal written offer of employment.
- 16.6.5 Appointment letters will be sent by the VPSA.

**16.7 Appointment Policies for Temporary Faculty (See Section 5.2)**

- 16.7.1 *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.
- 16.7.2 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.
- 16.7.3 *Department/Unit* Appointment Procedures: *Unit* appointment procedures are defined in the Student Affairs document “Hiring Procedures for Counselors.”

## **16.8 Workload Base**

16.8.1 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.

## **16.9 Student Evaluation of Faculty**

16.9.1 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.

## **16.10 Periodic Evaluation (See Sections 8-11)**

### 16.10.1 Full time *Temporary* Counselor Faculty

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

### 16.10.2 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.

### 16.10.3 Criteria for Clinical Faculty

16.10.3.a 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.

16.10.3.b 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.

16.10.3.c Managing case load, including charting, correspondence, and documentation, in a timely manner in accordance with the standards of the profession.



- 16.10.3.d Working cooperatively and effectively as a member of a multidisciplinary team in provision of services to the University community.
- 16.10.3.e Supervision and training of graduate interns may be also required of more senior licensed clinical faculty.

#### 16.10.4 Evidence of the Effective Professional Performance

In evaluating professional performance such evidence will be used as outlined in Section 8 above and as modified in Section 16.11.2 below.

#### 16.10.5 Evaluation Procedures

- 16.10.5.a The candidate will submit a case presentation including videotape from a recent client.
- 16.10.5.b Department Chair is in this case replaced by the Director, and Dean is replaced by VPSA.

### **16.11 General Provisions for *Retention, Tenure, and Promotion* (See Section 8.1)**

- 16.11.1 Three areas must be considered in the RTP evaluation process for Counselor Faculty: Professional Performance; Professional Growth and Achievement; Service that Contributes to the Strategic Plans and Goals of the *Department/Unit*, College, and University and to the Community.

- 16.11.1.a 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.

#### 16.11.2 Professional Performance

- 16.11.2.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.

16.11.2.b Under this section “professional performance” shall be substituted as appropriate when “instruction” is referred to in Section 8.0.

16.11.3 *Dossiers*

16.11.3.a A Narrative

Clinical faculty can generally substitute the term “counseling” in place of “teaching.”

16.11.3.b Support Material

16.11.3.b.1 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.

16.11.3.b.2 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.

**16.12 General Procedures for Periodic Evaluations and Performance Reviews (See Section 8.0)**

16.12.1 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.

16.12.2 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.

16.12.3 Specific Evaluation and Review Procedures (See Section 8.0)

16.12.3.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.

- 16.12.3.b The Director shall attend *Personnel Committee* interviews.
- 16.12.3.c Format of the *report* differs from that of instructional faculty in that the category of instruction is replaced with professional performance.
- 16.12.3.d The Unit Director shall forward his/her *report* and *recommendation* along with that of the Unit *Personnel Committee* as a part of the *working personnel action 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.

### **16.13 Policies Relating Specifically to Retention, Tenure, and Promotion (See Section 8.0)**

16.13.1 Policies and Guidelines relating specifically to promotion:

- 16.13.1.a 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 filed with the VPSA.
- 16.13.1.b The classifications of SSP-AR II and III replace Associate and Full Professor in this statement.

### **16.14 Evaluation of Tenured Faculty (See Section 11.0)**

16.14.1 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 periodic 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.

### **16.15 Faculty Leaves (See Section 13.0)**

- 16.15.1 The *Unit* Leaves Committee is the only level of committee review for difference in pay leaves.
- 16.15.2 Sabbatical leaves are available to counselor faculty under the current contract, beginning 1999-2000 review cycle (see CBA, Article 27).
- 16.15.3 College Dean is replaced in this section by VPSA and the Provost is replaced by the President.

## **17.0 Chair responsibilities, selection, and support**

### **17.1. Responsibilities**

17.1.1. Under the authority of their Dean, the department Chair leads, administers, and represents the department. The duties and responsibilities of the department chair include but are not limited to the following four categories:

#### 17.1.1.a. Academic Programs

- 17.1.1.a.1. To assume the leadership in the development and direction of quality academic programs including assessment and program review.
- 17.1.1.a.2. To work with the department faculty in academic program planning and review, and curriculum development, revision, and assessment.
- 17.1.1.a.3. To prepare the class schedule in consultation with the department faculty or appropriate department committee.

#### 17.1.1.b. Students

- 17.1.1.b.1. To oversee advising, provide information, sign documents and petitions, and facilitate resolution of administrative difficulties students may encounter.
- 17.1.1.b.2. To promote department activities such as programs, competitions, awards, professional organizations, clubs, and to recruit potential majors/minors.
- 17.1.1.b.3. To be available to receive student comments and suggestions about courses, instructors, and programs.
- 17.1.1.b.4. To attempt resolution of complaints, differences, or grievances between students and faculty.

#### 17.1.1.c. Faculty

- 17.1.1.c.1. To encourage collegial and full participation of all members of the department in recognition that governance of departments is a joint and cooperative endeavor.
- 17.1.1.c.2. To ensure that faculty personnel processes for hiring, evaluation, retention, tenure, or promotion, as well as other personnel matters, comply with CBA, FPPP, university, college, and departmental policies.
- 17.1.1.c.3. To recommend the appointment or reappointment of

temporary faculty based upon department personnel committee recommendations in accordance with the Collective Bargaining Agreement.

- 17.1.1.c.4. To provide leadership at the department level in the implementation of the university's strategic priorities in accordance with the mission and vision of the university.
- 17.1.1.c.5. To encourage career success and promote and support the professional development of the faculty.
- 17.1.1.c.6. To establish and staff, in collaboration with the faculty, appropriate departmental committees.
- 17.1.1.c.7. To ensure faculty teaching assignments are in accordance with CBA, FPPP, college, and department policies.

17.1.1.d. Administrative Responsibilities

- 17.1.1.d.1. To convey pertinent information to, from and within the department. To present issues which have potential impact on the department. To invite and respond to comments and suggestions of faculty and staff.
- 17.1.1.d.2. To represent the department within the college, university, community, and profession.
- 17.1.1.d.3. To work with the college dean on the responsible management of resources, including the enrollment targets, allocation of faculty positions, and all budget matters; to organize and supervise department expenditures and allocation of resources; to monitor departmental compliance with university goals, regulations, and deadlines.
- 17.1.1.d.4. To participate as appropriate in the recruitment, supervision, and evaluation of department staff.

17.1.1.e. Additional Responsibilities

A department may establish additional charges to the chair's duties and responsibilities specific to departmental needs.

**17.2. Selection of Chair**

17.2.1. Voter Eligibility

- 17.2.1.a. All faculty (including lecturers) are eligible to vote for the selection of the chair as provided for in the appropriate department, school, or unit governing documents.

17.2.2. Nomination and Criteria for Position

17.2.2.a. The department, school, or unit will develop the nomination process and criteria for the position as defined in the department, school, or unit constitution/policy manual/by-laws.

17.2.2.a.1. In the absence of a unit specific nomination process and criteria, the department, school, or unit will meet and select a nominating committee of three or more department, school, or unit members. The incumbent is not eligible for service on this committee.

17.2.2.a.2. The committee will review the department Chair position description and will consult with the department, school, or unit and the dean to establish criteria for the selection of candidates and term of office.

17.2.2.a.3. The committee will receive nominations and seek candidates for the position of department Chair.

17.2.2.a.4. Candidates may also be nominated by a petition signed by at least one-third of faculty eligible to vote in the current election of the department, school, or unit.

17.2.2.a.5. The committee will submit to the department, school, or unit the names of all candidates found acceptable in terms of the established criteria.

17.2.3. Election

17.2.3.a. Elections constitute a formal recommendation by departments to the President or designee. The department, school, or unit will develop the election process as defined in the department, school, or unit constitution/policy manual/by-laws.

17.2.3.a.1. In the absence of an established election process, the department will elect the Chair nominee by secret ballot; the process for the election is determined by the department, school, or unit; the nominee must receive a majority of the vote tally. Ballots will include the committee-submitted names and those nominated by petition.

17.2.4. Appointment

17.2.4.a. In units that do not have faculty assigned to them, the dean to which the unit is assigned is responsible for recruiting and appointing the Chair.

17.2.4.b. In units that do have faculty assigned to them, each department,

school, or unit will specify the term of office for the department Chair prior to the appointment. The term will be no fewer than two years and no more than three years unless the term is specified in a hiring contract. Departments, schools, and units may establish term limits and negotiate an equitable workload (e.g., time base, AY or twelve month appointment, summer salary, staff support, etc.) for the position based on the responsibilities and the size and scope of the unit.

- 17.2.4.c. The dean shall duly consider the recommended nominee and shall confer with the President, or designee. The dean also shall forward the recommendation from the department, school, or unit selection process to the President or designee.
- 17.2.4.d. If the nominee is found acceptable, the nominee will meet with the dean in order to review responsibilities and expectations for the position. The dean will forward the name of the nominee for Chair together with a written recommendation, including a statement of the conditions of appointment and compensation, to the Provost and Vice President for Academic Affairs.
- 17.2.4.e. If the nominee is found to be unacceptable, the department may make an alternate recommendation or conduct an interim selection (17.2.5).
- 17.2.4.f. Chairs may be hired from off-campus. The department, school, or unit will comply with the policies and procedures for faculty recruitment.
- 17.2.4.g. The appointment of department Chairs will be made by the Provost and Vice President for Academic Affairs as chief academic officer and President's designee.
- 17.2.4.h. The department Chairs will serve at the pleasure of the President or designee and may be removed at the behest of the President (CBA Section 20.32).

17.2.5. Interim Chair

- 17.2.5.a. If the department, school, or unit is unable to select a Chair by the date sixty days before the expiration of the current term, the incumbent department Chair will notify the dean.
- 17.2.5.b. In this event, the appointment will be made, in consultation with the dean, by the Provost and Vice President for Academic Affairs for a term not to exceed two years.
- 17.2.5.c. The Provost and Vice President for Academic Affairs, in consultation with department, school, or unit faculty and the dean, will appoint a department Chair in the event that a Chair is unable to serve (e.g., death, illness, or resignation) for a term not to exceed two years.

### **17.3. Support**

- 17.3.1. Workload and stipend should be commensurate with the degree of administrative responsibilities and size and scope of the unit. Sufficient support will be provided to department chairs, directors, and program coordinators prior to and during the appointment. Appendix IV lists examples of program support provided to department chairs, directors, and program coordinators.

### **17.4. Recall**

- 17.4.1. Faculty may initiate an administrative recall action of the department chair by petition to the dean. The petition must be signed by eligible voters and equal to more than 50% percent of the total of votes eligible. Within three weeks of receipt of the petition, the dean will preside at a duly scheduled meeting of the department, school, or unit faculty to discuss the issues. The Dean may choose to resolve the matter after consultation with the department or call for a secret ballot from the department on the matter of recall. Two-thirds of the total of the votes cast will recommend a recall of the chair. The Dean shall provide a report to the Provost and Vice President for Academic Affairs from the Dean discussing issues and concerns in the meeting and the results of the balloting. The Provost and Vice President for Academic Affairs will make a decision.



## **APPENDIX I**

### **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 Academic Personnel (OAPL) 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 II**

### **FACULTY CODE OF ETHICS**

#### **PREAMBLE**

An atmosphere of intellectual freedom is an indispensable condition for an effective university. However, with freedom comes responsibilities. 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. A breach of confidentiality in the personnel process is a violation of this ethics code.

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.

(Please see current policies about Discrimination, Harassment and Retaliation in EM 15-012 {pending meet and confer with the CFA} and EO 1096).

## PERSONAL RELATIONSHIPS

The integrity of the faculty-student relationship is the foundation of the University's educational mission. This relationship vests considerable trust in the faculty member who, in turn, bears authority and accountability as mentor, advisor, educator and evaluator. The unequal institutional power inherent in this relationship heightens the vulnerability of the student and the potential for coercion. The professional relationship between faculty member and student must be protected

from influences and activities that can interfere with discovery and learning consistent with the goals and ideals of the University.

Because romantic or sexual relationships between faculty member and student contradict these principles, we strongly discourage and avoid such relationships. Faculty-student personal relationships of any kind should not hinder the student's academic progress or create a situation in which a student is advantaged or disadvantaged on grounds other than academic performance. Faculty must avoid even the appearance of a conflict of interest.

#### 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.

Footnote: We gratefully acknowledge the work of our colleagues at the following institutions, from whom much of the above text originates.

Academy of Management  
California State University, Sacramento  
University of Calgary

University of Iowa  
University of Nebraska – Lincoln

**APPENDIX III**

**RTP DEADLINE CALENDAR  
ACADEMIC YEAR 2019/2020**

Three LEVELS of review exist in this process (1) Department, (2) College, and (3) University (See FPPP Definitions sections).

At all LEVELS of review, **Candidates** have the right to submit a rebuttal statement or response in writing and/ or request an opportunity to discuss the Recommendation with the recommending party no later than ten calendar days following receipt of the recommendation (CBA 15.5). The dates are deadlines for the actions indicated; the actions may be completed earlier than the deadlines, **provided** all required notifications and opportunities for response are met.

	LEVEL ONE (1)			REBUT	LEVEL TWO (2)				REBUT	LEVEL THREE (3)	
TYPE OF REVIEW	CANDIDATE SUBMITS DOSSIER TO DEAN'S OFFICE. (WPAF CLOSURE DATE) <small>PER FPPP 8.0.2</small>	DEPT COMMITTEE REVIEW TO DEPT CHAIR (if Chair not on Dept Committee) & CANDIDATE	DEPT CHAIR REVIEW TO CANDIDATE	*CANDIDATE HAS TEN (10) CALENDAR DAYS TO RESPOND TO DEPARTMENT LEVEL REPORT(S)*	LEVEL ONE REVIEW(S) TO COLLEGE COMMITTEE	LEVEL ONE REVIEW(S) TO DEAN	COLLEGE COMMITTEE REVIEW TO DEAN & CANDIDATE	DEAN REVIEW TO CANDIDATE	CANDIDATE HAS TEN (10) CALENDAR DAYS TO RESPOND TO COLLEGE LEVEL REPORT(S)	LEVEL ONE AND LEVEL TWO REVIEWS TO PROVOST	LETTER FROM PROVOST TO CANDIDATE
PERFORMANCE REVIEW OF PROB. FACULTY RETENTION 1-2 YEAR	FRIDAY SEPT 20	Recommendations Due FRIDAY OCT 11	Recommendations Due FRIDAY OCT 25		Recommendations Due FRIDAY NOV 8		Recommendations Due FRIDAY DEC 6	Recommendations Due FRIDAY DEC 20		Recommendations Due FRIDAY JAN 17	(per CBA 13.12) FRIDAY FEB 14
PERFORMANCE REVIEW FOR TENURE &/OR PROMOTION (Accelerated)	FRIDAY SEPT 20	Recommendations Due FRIDAY NOV 15	Recommendations Due FRIDAY DEC 13		Recommendations Due TUESDAY DEC 31		Recommendations Due FRIDAY FEB 7	Recommendations Due MONDAY MAR 2		Recommendations Due FRIDAY MAR 13	FRIDAY APR 17
PERFORMANCE REVIEW OF PROB. FACULTY RETENTION 3-5 YEAR	FRIDAY SEPT 20	Recommendations Due FRIDAY DEC 13	Recommendations Due FRIDAY FEB 7		Recommendations Due TUESDAY FEB 18		Recommendations Due FRIDAY MAR 13	Recommendations Due FRIDAY APR 3		Recommendations Due TUESDAY APR 14	FRIDAY MAY 8
PERIODIC EVALUATION OF PROB. FACULTY	FRIDAY FEB 14	Evaluations Due FRIDAY MAR 13	Evaluations Due FRIDAY APR 3			Evaluations Due TUESDAY APR 14		Evaluations Due FRIDAY May 8 <small>(per FPPP 10.7.1)</small>			
PERIODIC EVALUATIONS OF TEMPORARY AND TENURED FACULTY					PERIODIC EVALUATIONS OF TEMPORARY AND TENURED FACULTY						
FALL CYCLE	FRIDAY SEPT 20	Evaluations Due FRIDAY OCT 18	Evaluations Due FRIDAY NOV 1		Evaluations Due WEDNESDAY NOV 13		Evaluations Due FRIDAY DEC 13 <small>(per FPPP 9.1.1.b/11.2)</small>				

SPRING CYCLE	FRIDAY <b>FEB 14</b>	Evaluations Due FRIDAY <b>MAR 13</b>	Evaluations Due FRIDAY <b>APR 3</b>			Evaluations Due TUESDAY <b>APR 21</b>		Evaluations Due FRIDAY <b>MAY 8</b> (per FPPP 9.1.1.b/11.2)			
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Faculty unit employees, students', academic administrators and the President may contribute information to the evaluation of a faculty unit employee. Information submitted by the faculty unit employee and by academic administrators may include statements and opinions about the qualifications and work of the employee provided by other persons identified by name (CBA 15.2) prior to the WPAF closure date.

**APPENDIX IV**

**SUPPORT PROGRAMS FOR DEPARTMENT CHAIRS, DIRECTORS, AND  
PROGRAM COORDINATORS**

- New chair, director, and program coordinator orientation program
- Seminars/workshops to be offered throughout the academic year to include topics such as navigating the CBA and FPPP, negotiation, and budget
- Serve as an associate chair, associate director, or associate program coordinator prior to appointment
- Colleges to develop a mentor program
- Annual professional development funds to each chair, director, or program coordinator
- Additional professional development funds available in an annual grant program so chairs, directors, or program coordinators may attend more costly national or international trainings
- An annual year-long leadership development program
- Reward or recognition for chairs, directors or program coordinators
- Other ideas that are developed at University Chair's Council and presented to the Provost and Vice President for Academic Affairs