

FACULTY PERSONNEL POLICIES AND PROCEDURES
FOR RETENTION, TENURE, AND PROMOTION

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FACULTY PERSONNEL POLICIES AND PROCEDURES FOR RETENTION, TENURE, AND PROMOTION¹

I. PREAMBLE

- A. Two documents serve as the basis for Trustee policy concerning retention, tenure and promotion of Faculty Unit Employees: the Collective Bargaining Agreement (CBA) between the Trustees of the California State University (CSU) and the California Faculty Association (CFA), and Title 5 of the California Administrative Code. Campus procedures must comply with the content and language of these documents. The language of the CBA shall take precedence in matters of interpretation.
- B. Trustee policy on campus personnel matters ranges from the CBA and Title 5 details to the broad policy statements which require the campuses to develop local regulations and procedures to implement policy. The local implementation measures must be consistent with the CBA, Title 5 and Trustee policy.
- C. In accord with Title 5, Section 42701 decisions on retention, tenure and promotion (RTP) at Humboldt State University are based upon consultation. Appendix J's purpose is to provide faculty unit employees' involvement, where appropriate, at all levels of the RTP process and to provide for orderly and timely evaluation procedures.
- D. During any RTP cycle, criteria, policies, and procedures in Appendix J shall remain unchanged.
15.3
- E. All faculty members and administrators concerned shall act in good faith, with professional responsibility, collegiality, and comply with this personnel policy.

II. DEFINITIONS OF TERMS AND ABBREVIATIONS

- A. In the policies and procedures prescribed by this document, "is" is informative, "shall" is mandatory, "may" is permissive, "should" is conditional, and "will" is intentional.
- B. The following terms, important to understanding Appendix J, are herein defined.
 - 1. Administrator – an employee serving in a position designated as management or supervisory in accordance with HEERA. 2.1
 - 2. Candidate – a faculty unit employee being evaluated for retention, tenure, or promotion.
 - 3. CFA – The California Faculty Association or the exclusive representative or the union. 2.7
 - 4. Day – a calendar day. 2.11
 - 5. Department – the faculty unit employees within an academic department, library, or other equivalent administrative unit. 2.12
 - 6. Faculty Unit Employee – a bargaining unit member who is subject to retention, tenure or promotion. 2.13
 - 7. Initiating Unit Personnel Committee (IUPC) – the academic department personnel committee, the library faculty personnel committee or the counseling faculty personnel committee.

¹ Reference numbers in Appendix J refer to articles from the CBA of May 15, 2007 - June 30, 2010 (refer to CBA for exact language).

8. Periodic Evaluation – the evaluative process of a faculty unit employee which is normally required for probationary faculty who are not subject to a Performance Review. 15.20-15.34
9. Performance Review – the evaluative process required for retention, tenure, or promotion for faculty unit employees who are not subject to a periodic evaluation. 15.35-15.37
10. Personnel Action File (PAF) – the one official personnel file containing employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. Campus medical and police records are not a part of the PAF. 2.17, 11.17
11. President – the chief executive officer of HSU or his/her designee. 2.18
12. Probationary Period – the period of service, prior to the granting or denial of tenure, credited to a faculty unit employee who has received a probationary appointment. 13.2
13. Professional Development Plan (PDP) – a document that describes a program of professional development in each of the areas of performance for RTP.
14. Promotion – the advancement of a probationary or tenured faculty unit employee who holds academic or librarian rank to a higher academic or librarian rank, or advancement of a Counselor Faculty Unit Employee to a higher classification. 14.1
15. Personnel Data Sheet (PDS) – the HSU summary form used by the candidate to present basic data on qualifications in the retention, tenure and promotion process.
16. Retention – authorization to continue in probationary status for another year.
17. "RTP" – retention, tenure, and/or promotion.
18. Tenure – the right to continued permanent employment at the campus as a faculty unit employee except when such employment is voluntarily terminated or is terminated by the Employer pursuant to this agreement or law. 13.14-13.20
19. "UFPC" – University Faculty Personnel Committee.
20. Working Personnel Action File (WPAF) – that portion of the Personnel Action File used during the performance review of a faculty unit employee. 2.17 and Article 11

III. CONDITIONS OF APPOINTMENT

- A. The President shall incorporate into a newly appointed faculty unit employee's appointment letter information pertinent to that person's employment at HSU. 12.2
 1. In addition, the appointee shall be advised of:
 - a) the required academic degree,
 - b) any other requirements necessary for retention, tenure or promotion, and
 - c) the existence of a procedure to waive, under rare circumstances, the terminal degree requirement.
 2. The President shall provide newly appointed faculty unit employees with a copy of the Faculty Handbook and direct the appointee's attention to Appendix J. CFA shall provide the new appointee with a copy of the CBA.

- B. Procedures for establishing equivalency or compensating strengths as a substitute for the prescribed terminal degree.
1. *Demonstration of Equivalency* – Candidates will normally be expected to possess the doctorate or other terminal degree from an accredited institution, as appropriate to each discipline or program of instruction. When acceptance by the university, of a claim of equivalence to possession of the doctorate or other terminal degree is sought, the following supporting evidence shall be required:
 - a) Evidence that candidates have achieved regional or national status of outstanding prominence in their disciplines or areas of instruction. Such evidence consists, in part, of publications, exhibits, performances, professional lectures, the holding of major office in professional organizations, and the like, which support the claim of regional or national prominence.
 - b) The committee supporting the claim of equivalence shall provide evidence that candidates' professional expertise is sought regionally or nationally, that their publications have appeared in leading journals or other significant books or papers, and that those publications, exhibits, or performances have been reviewed other than locally.
 - c) Equivalency, having been demonstrated in RTP, need not be re-demonstrated in future situations.
 2. *Demonstrations of Compensating Strengths* – In exceptional cases candidates may establish compensating strengths to the degree of significance that the UFPC will find it possible to recommend waiving of the requirement for the appropriate doctorate or terminal degree so that a favorable personnel decision can be made. It shall be the responsibility of candidates to prepare the case for compensating strengths guided by the personnel committee of the initiating unit. While the degree of candidates' academic or other competence as previously demonstrated in performance at this university, special experience relevant to candidates' university assignment and the amount of higher education they have completed may serve as factors in the case presented, they shall not be sufficient to complete the case. Evidence shall also be required that demonstrates candidates' exceptional value to the university, and its instructional program in particular, of a type sufficient to establish a unique basis for determining that acceptance of the claim of compensating strengths is in the best interest of the university.
 3. *Recommendations for Equivalence or Compensating Strengths* – The case for equivalence or compensating strengths shall be affirmatively recommended to the President upon the approval of two levels of personnel committee review, provided that one of these is the UFPC.

IV. RETENTION, TENURE AND PROMOTION (RTP)

- A. All candidates for RTP shall be subject to Periodic Evaluations or Performance Reviews according to Figure 1. 14.6, 15.29
- B. Academic departments and units, in collaboration with other university personnel and committees involved in the RTP process, have the responsibility to ensure that probationary faculty receive mentoring. Examples of and suggestions for recommended practices for mentoring probationary faculty are available from the Office of the Faculty Development Coordinator. Departments may employ any approach to mentoring that they find effective.
- C. The President shall make the final decision in all RTP matters following consultation with the UFPC. 13.11, 13.16, 14.8
 1. The President's decisions shall be based on the PAF. 11.9, 15.12c.

2. The President's decisions shall be in writing and shall include the reasons for the decision. 15.45
 3. The President's decisions are to be based on candidates' professional qualifications, work performance, or personal attributes as documented in the PAF. Any other basis shall be reduced to writing and inserted into the Personnel Action File in accord with the CBA, with copies to the candidate. 11.9, 15.12c
- D. The President shall notify candidates of the final decision by the following deadlines.
1. Probationary candidates for retention with less than two (2) years' service, **February 15**. 13.11
 2. Probationary candidates for retention with more than two (2) years' service, and candidates for tenure, **June 1**. 13.12, 13.17.
 3. Candidates for promotion, **June 15**. 14.9
- E. A terminal year appointment may be awarded to a candidate who is denied retention or tenure and has at least three (3) years' service. 13.18
- F. The normal probationary period is six (6) years of full-time service (including credited service). 13.3
1. Questions involving the definition of service shall be resolved in accord with the CBA. 13.6
 2. The President may extend the probationary period for one (1) year if a candidate is on Workers' Compensation, disability leave, sick leave, or unpaid leave. 13.7, 13.8
 3. The President, upon recommendation by the appropriate unit, may grant up to two (2) years of probationary credit for previous service. 13.4
 4. A maximum of one (1) year of professional leave may be counted as time in rank. 22.25
 - a) The amount of time to be so counted shall be based upon the IUPC's recommendation.
 - b) The appropriate administrator shall forward the recommendation to the Vice President for Academic Affairs or the Vice President for Student Affairs.
 5. The President may award tenure to a faculty unit employee before the normal (6) year probationary period if the following criteria are met (13.19):
 - a) Such consideration is initiated by the faculty unit employee's department or equivalent unit or by the faculty member with the knowledge of his/her department or unit.
 - b) The faculty unit employee demonstrates clear evidence that s/he has achieved, before the normal probationary period, a record of accomplishment that meets the standards and level of performance for tenure indicated in this appendix.
 - c) The length and breadth of the faculty unit employee's service are sufficient to provide a high expectation that the prior patterns of achievement and contribution will continue.
 6. The President may award tenure at the time of appointment only after an evaluation and recommendation by the appropriate department. 13.17
 7. Tenure shall be effective at the beginning of the academic year following the date of the award. 13.20

- G. All newly appointed probationary faculty seeking second year retention shall undergo a Modified Performance Review, including those awarded service credit upon appointment to the university.
 - 1. The Modified Performance Review shall include submission of a reviewed Professional Development Plan, evaluations of teaching performance, Initiating Unit personnel Committee (IUPC) review, and review by the College/Library Dean.
 - 2. The IUPCs shall consider teaching/librarian/counseling effectiveness and address possible problem areas in making a recommendation to the College Dean, the Dean of the University Library or the Director of Health and Counseling Services.
 - 3. After the Modified Performance Review for second year retention, subsequent terms of retention prior to tenure and promotion normally shall be two years.
- H. A Periodic Evaluation shall be required of all candidates who are not subject to a Performance Review (See Figure 1).
 - 1. The IUPCs shall consider teaching/librarian/counseling effectiveness and address possible problem areas in making a recommendation to the College Dean, the Dean of the University Library or the Director of Health and Counseling Services.
- I. Provisions relating specifically to promotion.
 - 1. A probationary faculty unit employee shall not normally be promoted during probation. 14.2
 - 2. A probationary faculty unit employee may be promoted after one (1) year of service if at the lowest faculty rank. 14.2
 - 3. A probationary faculty unit employee shall normally be considered for promotion at the same time s/he is considered for tenure. 14.2 In cases where a probationary faculty unit employee is being considered for promotion and tenure prior to him/her having fulfilled the time in service requirements for such consideration, the same criteria shall apply for promotion as those identified relative to tenure under IV.E.5. a-c) above. 14.4
 - 4. A tenured faculty unit employee may be promoted to Professor, librarian equivalent, or SSP-AR Level III, prior to having satisfied the service requirements of provision 14.3 of the CBA. 14.4 In such cases, the following criteria must be met:
 - a) Such consideration receives a positive recommendation from the faculty unit employee's department or equivalent unit.
 - b) The faculty unit employee demonstrates clear evidence that s/he has achieved, before the time in service requirements for promotion, a record of accomplishment that meets the standards and level of performance for rank indicated in this appendix.
 - c) The length and breadth of the faculty unit employee's service are sufficient to provide a high expectation that the prior patterns of achievement and contribution will continue.
 - 5. A faculty unit employee has the option of not being considered for promotion and may withdraw without prejudice at any stage of the process. 14.3, 14.7

V. PERSONNEL ACTION FILE

A. File Custodian

College Deans, the Dean of the University Library and the Vice President for Student Affairs (Counselors) shall maintain official Personnel Action Files (PAF) for faculty unit employees in their respective units. 11.1

1. File content is to be accurate, relevant and timely. 11.1
2. RTP actions shall be based upon materials contained in the PAF. 11.1, 11.9, 15.12c
3. Other records on campus to which faculty unit employees have legal access shall be indicated in the PAF. 11.16

B. File Access

1. Access to faculty unit employee PAFs shall be limited only to persons with official business. The file custodian shall maintain a log, as part of the PAF, which records all access to the PAF. Any material identified by source may be placed in the PAF. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. 11.15
2. Faculty unit employees shall have the right to access all materials in their PAF. Pre-employment materials are excepted unless used in personnel actions other than appointment. 11.10
3. Faculty unit employees, accompanied by another person of their choosing if desired, may inspect their PAF. Appointments shall be scheduled with the file custodian under reasonable conditions of inspection. 11.11
4. File custodians shall provide copies within fourteen (14) days of all PAF materials requested in writing by faculty unit employees. 11.12

C. File Additions

1. A faculty unit employee shall have the right to submit material to his/her PAF. 11.2
2. All material placed in the PAF shall be identified by source, except for classroom student evaluations collected in accordance with standard procedures. 11.3, 15.17
3. A faculty unit employee shall be provided with a copy of all material submitted to the file custodian for placement in his/her PAF at least five (5) days prior to such placement. 11.4

D. File Corrections

1. A faculty unit employee shall have the right to submit a written rebuttal to any materials in his/her PAF. 11.2
2. If a faculty unit employee believes that material in the PAF, or material submitted for the PAF, is not accurate, relevant, or timely, he/she may request that the file custodian cause the material to be corrected or deleted in accordance with the CBA. 11.13
3. If a request for correction or deletion is denied by the file custodian, the faculty unit employee may submit the request to the President within seven (7) days and the President shall respond within twenty-one (21) days, including reasons for denial in accordance with the CBA. 11.14

E. Working Personnel Action File (WPAF)

1. The WPAF is prepared for a Performance Review (See Figure 1). 15.8
 - a) It contains all required forms and documents, candidate generated material, evaluative materials and recommendations and candidate's rebuttals, if any. 15.8
 - b) WPAF materials are deemed incorporated by reference into the PAF. 11.7, 15.9
2. Materials shall be in one or more three ring binders with 10 tabbed sections. Material in each section shall be in reverse chronological order, most recent material first.
 - a) Section 1 - Index of materials submitted for evaluation. 15.9
 - b) Section 2 - Pertinent documents concerning original appointment, subsequent retention, tenure and promotion; evaluations of leaves intended to count as time in academic rank; and clarification of the terminal degree status if not readily apparent. Tenured faculty need not include data from before their last promotion.
 - c) Section 3 - Initiating unit and college personnel policies and procedures.
 - d) Section 4 - Personnel Data Sheet (PDS) and Professional Development Plan (PDP).
 - e) Section 5 - Evaluation materials provided by evaluating committees and administrators rather than the candidate. 15.12a
 - f) Section 6 - Collegial letters, including those from administrators and staff.
 - g) Section 7 - Evidence of teaching effectiveness/librarianship/counseling effectiveness (in addition to collegial letters).
 - (1) Student letters, identified by name. 15.17b
 - (2) Summaries of student evaluations (not the original forms) collected as part of the classroom student evaluation process. 15.17a
 - (3) Any other relevant evidence.
 - h) Section 8 - Evidence of scholarship and creative activity.
 - (1) Letters evaluating this activity placed in Section 6.
 - (2) Other relevant evidence.
 - i) Section 9 - Evidence of service to the University and profession.
 - (1) Letters evaluating this activity placed in Section 6.
 - (2) Other relevant evidence.
 - j) Section 10 - Evidence of service to the community
 - (1) Letters evaluating this activity placed in Section 6.
 - (2) Other relevant evidence.

3. The WPAF shall remain, sealed, in the UFPC's custody for forty-two (42) days following the date of the President's notification. 10.4 Any action in processing a dispute formally may be postponed for a period of up to twenty-five (25) in order that the faculty member may pursue efforts to resolve the dispute informally. 10.5
 - a) Following this period, and in the absence of a grievance, the WPAF shall be returned to the file custodian. Indexed materials shall be returned to the faculty unit employee. 15.9
 - b) If a grievance is filed, the integrity of the file shall be maintained by all parties until the grievance is resolved. 11.15

VI. PERIODIC EVALUATION

- A. In an academic year or work year in which a candidate is not subject to a Performance Review for retention, probationary faculty unit employees shall be subject to a Periodic Evaluation (See Figure 1). 15.29
- B. Periodic Evaluations shall be conducted by the IUPC of the department or equivalent unit, and the appropriate administrator. There shall be consideration of the Professional Development Plan, student evaluations of teaching performance (when teaching duties have been assigned and student evaluations are available), peer reviews, and administrative reviews. 15.21, 15.30
- C. Professional Development Plan – Each probationary candidate shall develop, in consultation with the department chair, a Professional Development Plan that describes a program of professional development in the four areas of performance for RTP: teaching/librarian/counseling effectiveness, scholarship and creative activities, service to the university and profession, and service to the community. The plan shall be flexible and open to change as needed, it shall reflect the strengths of the candidate and her/his professional development needs, and it shall be aligned with the department, college, and university needs. Candidates are encouraged to discuss their professional development goals with the department chair prior to Performance Review or Periodic Evaluation. This discussion should include identifying strengths of the candidate, areas that may benefit from mentoring and professional development, and resources needed to achieve the stated goals. Any resources required or that might be anticipated as necessary to support the Professional Development Plan must remain consistent with what can reasonably be offered by the department, college or university.
- D. Department chairs may make separate recommendations as part of the Periodic Evaluation process. If such a separate recommendation is to be made, the chair shall not participate as a member of the department or equivalent unit peer committee. 15.21
- E. A written record of the Periodic Evaluation shall be placed in the candidate's Personnel Action File. The candidate shall be provided a copy of the written record of the Periodic Evaluation. 15.31

VII. PERFORMANCE REVIEW

- A. The Performance Review shall consist of an evaluation of a candidate's performance areas by peers, students, and administrators. 15.36
 1. Peer evaluation
 - a) IUPCs shall ensure that there is adequate substantive peer evaluation of candidates.
 - b) The effectiveness, relevance, and value of a candidate's accomplishments and activities in each performance area shall be determined primarily on the basis of written statements from colleagues within the university and, where appropriate, from peers outside the university.

2. Student evaluation

- a) Teaching faculty must have at least two classes evaluated each year by students completing a quantitative or a combination of quantitative and qualitative written questionnaire (15.15, 15.17). RTP candidates are encouraged to have all classes evaluated for at least one year preceding their candidacy.
 - (1) Candidates shall not be present when evaluations are administered.
 - (2) Evaluations shall be anonymous and identified only by course and/or section. 15.17a
 - (3) Space may be provided on the quantitative form for student comments. 15.17a
 - (4) Summaries of student evaluations shall be prepared by regularly employed staff, not student employees. These shall contain appropriate tabulations and compilations of student comments.
 - (5) Evaluation summaries shall be placed in the Personnel Action File and shall not be available to candidates until after class grades have been submitted.
 - (6) Candidates are encouraged to comment in writing on student evaluations including such information as required course status, grade point distribution, rigor, or course objectives.
- b) In addition to classroom evaluations, students may be provided an opportunity to consult with the IUPC. 15.16 All statements submitted outside of the regular classroom evaluation process shall be identified by name before placement in the PAF. 15.17b

3. Administrative Evaluation

- a) The College Dean, the Dean of the University Library or the Director of Health and Counseling Services shall evaluate and forward written recommendations to the Vice President for Academic Affairs or the Vice President of Student Affairs who, in turn, shall forward a written recommendation to the President. 15.6, 15.43
- b) Department chairs may make separate recommendations in which case they may not serve on personnel committees which evaluate the candidates. 15.37b

B. Evaluation Procedures

1. Timelines

- a) The President shall announce timelines for the Performance Review process after receiving recommendations from the UFPC. 13.5, 14.5, 15.4
- b) The WPAF is closed to new materials at the first level of evaluation as of the date established under VII.B.1.a. 15.12b
 - (1) Upon request by a candidate or personnel committee, the UFPC may grant an exception for addition of new materials that become accessible after the closing date. 15.12b
 - (2) If the exception is granted, the added material shall be returned to the initial evaluation committee for review, evaluation, and comment, before consideration at subsequent levels of review. 15.12b

- c) All evaluations shall be completed within the timelines specified in VII..B.1.a. The WPAF shall automatically be transferred to the next level of review if it has not been completed and the candidate so notified. 15.4, 15.44

2. Compilation of the Working Personnel Action File

- a) Responsibility for providing WPAF materials is shared among candidates, IUPCs, and administrators. 15.12a
- b) Candidates shall ensure that their WPAF contains supporting materials which address RTP performance criteria and standards. 15.12a
 - (1) Materials shall be submitted to the IUPC by the deadline announced by the President. 13.5, 14.5, 15.4, 15.12b
 - (2) The HSU Personnel Data Sheet (PDS) shall be utilized for presenting basic data on qualifications for RTP.
 - (a) Copies of PDS forms shall be available from department chairs and completed for submittal to the IUPC.
 - (b) Accomplishments and activities shall be cited only once under the most appropriate section. Those that are relevant to more than one section should be referenced in the main section with a note "Relevant also to Section 'blank'."
 - (c) In addition to listing accomplishments and activities, candidates may comment on anything they feel is relevant. This may include comments on written statements submitted by others.
 - (3) Candidates shall request statements from appropriate individuals who are capable of evaluating them in one or more performance areas. This may be done in conjunction with the IUPC.
 - (4) Candidates shall submit for evaluation examples of materials which support performance areas.
 - (a) An index to such materials, which is section 1 of the WPAF, shall be prepared with a duplicate in the Personnel Action File. 15.9
 - (b) These materials shall be retained by the IUPC and not forwarded to higher committees or administrators unless specifically requested.
 - (c) Personnel committees or administrators may request an external review of supporting materials. 15.12d
 - (1) The request shall document the need for an outside review. 15.12d
 - (2) The request must be approved by the President, with the concurrence of the candidate. 15.12d
 - (d) Indexed materials shall be returned to the candidate at the conclusion of the Performance Review. 15.9
 - (5) Candidates shall assemble their WPAF according to the format outlined in Article V.E.2.

3. Documentation
 - a) All material used in the Performance Review shall be identified by name, except for student classroom evaluations. 11.3, 15.17a-b Email and fax correspondence documenting the candidate's contribution in the RTP performance areas are to be included only if they contain the original handwritten signature of the sender.
 - b) All submitted statements shall be accurate, relevant, and timely. 11.1
 - c) The end product at each step of a Performance Review shall be a written recommendation which is placed in the WPAF. 15.43
 - (1) Candidates shall be given a copy of the recommendation containing decision rationale. 15.5
 - (2) Within ten (10) days of receipt, candidates may submit a rebuttal statement and/or request a meeting to discuss the recommendation. 15.5
 - (3) A copy of the rebuttal statement shall be placed in the WPAF with copies sent to previous review levels. 15.5
4. Faculty Recourse
 - a) Interpretation/procedural error by peers.
 - (1) If a faculty unit employee believes that a misinterpretation of the CBA or Appendix J, or a procedural error, has been committed by peers or peer committees, he/she may request that the next higher committee investigate.
 - (a) In the case of the UFPC, the request shall be submitted to the General Faculty President.
 - (b) All such requests shall be in writing with copies to all personnel committees.
 - (2) If the investigating committee, or the General Faculty President, determines that there has been a misinterpretation or procedural violation, a faculty unit employee may take the matter to the Academic Senate.
 - (3) The Academic Senate may request a directive of compliance from the University President where failure to comply may result in disciplinary action.
 - (4) The above procedures do not replace the faculty unit employee's right to file a grievance.
 - b) Grievance. Faculty unit employees may file a grievance in accord with Article 10 of the CBA.
5. Retention Period
 - a) Any evaluation committee or appropriate administrator may request that the President or her/his designee grant a one-year retention period for a candidate he/she deems would benefit from an additional Performance Review.
 - b) The President or her/his designee may grant a one-year retention period for a candidate he/she deems would benefit from an additional performance review.

VIII. PEER REVIEW COMMITTEES

A. General Provisions

1. Function

- a) Evaluate candidates for RTP and make recommendations to the President as part of the performance review process. 15.32, 15.38

2. Organization

- a) Members shall be elected by probationary and tenured faculty unit employees. 15.38
- b) Only tenured faculty with full time appointments may serve. At the request of a department, the President may agree to permit faculty participating in the Faculty Early Retirement Program to run for election for membership on any level peer review committee. 15.38
 - (1) Faculty may serve on only one level of peer review. 15.39
 - (2) Service on a peer review committee does not preclude members from supplying evaluative statements to IUPCs.
 - (3) Members must have a higher rank than candidates being considered for promotion. 15.40
 - (4) Candidates for promotion are ineligible for service on promotion or tenure peer review committees. 15.40
 - (5) Department chairs may make separate recommendations. If a separate recommendation is made, the chair shall not participate as a member of the department or equivalent unit peer committee. 15.21 & 15.37b

3. Procedures

- a) Recommendations shall be approved by a simple majority of committee membership. 15.42
- b) Department and higher level peer review committee(s) may rank-order faculty unit employees recommended for promotion. The end result of a promotion ranking shall serve as a recommendation to the President. 15.41
- c) Recommendations shall include supporting rationale. 15.5
- d) All deliberations shall be confidential. 15.10
- e) Candidates shall be given a copy of the committee recommendation at least ten (10) days before it is forwarded to the next level of review. 15.5
 - (1) Within ten (10) days of receipt, candidates may submit a rebuttal statement and/or request a meeting to discuss the recommendation. 15.5
 - (2) A copy of the rebuttal statement shall be placed in the WPAF with copies sent to previous review levels. 15.5
- f) Committee recommendations, along with any candidate response, shall be forwarded to the next level of review as part of the WPAF.

- g) Copies of recommendations made by higher level committees and administrators shall be sent to lower level committees.

B. Initiating Unit Personnel Committee (IUPC)

1. Function

- a) Evaluate candidates for RTP, not serve as advocates.
- b) Assist candidates in preparing WPAFs that contain supporting materials which address RTP performance criteria and standards. 15.12a
- c) Advise candidates on materials which are necessary or beneficial for WPAF inclusion.
- d) Make recommendations to the next higher peer review committee. 15.43

2. Organization

- a) The IUPC shall be composed of at least three members elected each spring by the initiating unit. If there are insufficient eligible members, the initiating unit shall elect members from related academic disciplines. 15.38
- b) Each initiating unit may determine its own policies and procedures consistent with university policies and the CBA.

3. Procedures

- a) The IUPC shall invite written statements from all available members of the unit at the rank of professor to ensure that there is adequate substantive collegial evaluation of candidates. Other faculty members of the unit will be notified of the deadline for receipt of these written statements, but are not required to provide such a statement.
 - (1) Statements from colleagues shall be based upon direct observations and analysis of a candidate's effectiveness and contributions in each performance area.
- b) The IUPC may provide a meeting where faculty and students can personally consult with the committee. All comments received shall be submitted or summarized in writing and identified by name before placement in the WPAF. 15.16, 15.17b
- c) Recommendations of the IUPC shall be based primarily upon written evaluations of candidates made by colleagues in the unit. Evaluations by colleagues within the unit shall be substantiated by other evidence such as written statements from colleagues outside the unit, peers outside the university, former students, and student classroom evaluations.
- d) The IUPC shall include in the WPAF a written description of procedures employed in making its recommendation.
- e) For candidates holding a joint appointment, evaluation shall be obtained from all affected IUPCs. 15.13
 - (1) After considering recommendations from affected Deans, the Vice President for Academic Affairs shall inform candidates and committees which IUPC will serve as the primary committee.
 - (2) The primary IUPC shall assist candidates in WPAF compilation.

- (3) Other IUPCs shall forward their recommendations to the primary IUPC.

C. College Committee

1. Function

- a) Review recommendations and WPAFs received from IUPCs and make its own recommendations to the UFPC. (Note: Library personnel committee and counselor personnel committee recommendations shall be forwarded directly to the UFPC.)
- b) Insure that IUPCs carry out the duties assigned to them.

2. Organization

- a) Colleges shall elect members each spring to fill vacancies on their personnel committee(s).
- b) Each college may determine its own policies and procedures consistent with university policies and the CBA.

3. Procedures

- a) Recommendations of college committees shall be based upon materials contained in WPAFs.
- b) College committees shall include in each WPAF a written description of procedures employed in making recommendations.

D. University Faculty Personnel Committee

1. Function

- a) Review recommendations and WPAFs received from lower level peer review committees and make final recommendations regarding RTP to the President.
 - (1) Endorse retention recommendations of lower level committees if lower level committees are in agreement, unless a candidate specifically requests a review by the UFPC.
 - (a) Append comments on perceived candidate deficiencies which may lead to unfavorable tenure recommendations in the future.
 - (b) Review candidates for second year retention when IUPC and Dean recommendations differ.
 - (2) Perform a full review of candidates for tenure and promotion regardless of lower level committee recommendations.
- b) Review request for insertion of materials in the WPAF after the IUPC has forwarded it to the next higher committee. 15.12b
- c) Review procedures employed by lower level committees to insure they are consistent with university policies and the CBA.
- d) Report at least annually to faculty unit employees and hold an open informational meeting each May for personnel committees and candidates for RTP.

2. Organization

- a) The UFPC shall be composed of five members holding the rank of full professor, librarian or SSP-AR III. The term of office shall be two years. The amount of assigned time will be determined annually through the faculty governance recommending process of the Executive Committee of the Academic Senate.
- b) For each vacancy the General Faculty Nominating and Elections Committee shall nominate two candidates followed by an open meeting called by the General Faculty President to receive further nominations from the floor.
- c) The General Faculty Nominating and Elections Committee shall hold elections in the spring before teaching schedules for the following fall term are determined. Electors may vote for one candidate for each vacancy. 15.38
- d) Any vacancies which occur during the academic year shall be immediately filled for the remainder of the academic year by a special election called by the General Faculty President.

3. Procedures

- a) Immediately following its election in the spring, the UFPC shall recommend dates to the President for the performance review process for the next academic year. 15.4, 14.5, 13.5
- b) The UFPC shall forward to the President its recommendations, along with supporting rationale, on every candidate which it has reviewed.
- c) The President shall consult with the UFPC before making a final decision on any candidate. The President shall use reasoned judgment in support of any decision he/she makes regarding a recommendation from the UFPC. In the event that the President's recommendation differs from that of the UFPC, the President shall give reasons that are specific for the individual case and sufficient to persuade any reasonable, disinterested person that the UFPC's recommendation should be overturned.

IX. AREAS OF PERFORMANCE FOR RTP

- A. The general criterion for any decision regarding RTP shall be academic competence of candidates as judged by their performance in the areas outlined below, with attention to the value of the candidates currently and in the reasonably foreseeable future to the instructional program of the university. In all such decision the affirmative action policies then in effect and governing personnel matters in the university shall be adhered to.
 1. Candidates shall be evaluated in the areas of teaching/librarian/counseling effectiveness, scholarship and creative activities, service to the university and profession and service to the community. The most important of these specific criteria for determining academic competence shall be teaching/librarian/counseling effectiveness. The university recognizes the contributions of faculty who may lack strength in any area except that of teaching/librarian/counseling effectiveness. A record of teaching/librarian/counseling excellence, combined with a reasonable level of performance in the three non-teaching/librarian/counseling areas, shall be taken as a strong justification for RTP.
 2. The three areas other than teaching/librarian/counseling effectiveness shall be considered equally in weight and compensatory in combination.
 - a) "Compensatory in combination" is intended to convey that candidates' strengths may be concentrated in one category, even to the almost complete exclusion of the others, and that they should not suffer by comparison as a consequence. For example, some

candidates may be very active scholars who devote their time to prolific and excellent creative presentations and advances in their fields. They may have little talent for, or patience with, committee work or off-campus organizations. Other candidates may have a modest but satisfactory level of achievement in all three supporting areas. Provided that such candidates are equivalent in teaching effectiveness, it is the intent of this policy that no point system or other device should operate to penalize the former candidates in comparison with the latter, or vice versa. "Compensatory" means that a candidate may compensate for lack of strength in any of the three non-teaching areas by strength in another of them.

- b) "Equal in weight" is intended to convey that strength in any one of the three supporting areas shall count as heavily as strength in any other. Thus, the prolific scholar described above shall not, because of his/her strength in scholarship, be given preference over the hard-working campus statesman whose achievements are to be found in the development and effective functioning of his/her department and the university. Provided, again, that both are equally effective teachers or librarians, no point system or other device shall operate to penalize candidates for devoting the bulk of their time to any one of the three areas rather than another.
3. The purpose of this policy is to recognize that the faculty differ in their talents and that the university has need of these differences. The personnel policies of the institution should thus encourage faculty members to exercise their particular talents and reward them for doing so. The university is not benefited by a creative scholar doing forced service as a mediocre committee member in order to qualify for promotion nor by a skilled organizer and institutional problem-solver painfully grinding out a mediocre publication for the same reason.
4. Where not obvious, the value of contributions in the three supporting areas should be indicated and explained by the candidate and evaluated by the faculty and/or members of the initiating unit personnel committee. In cases where candidates receive weighted teaching units for their non-teaching duties (i.e., coaching, theatrical design, conducting, etc.) the initiating unit shall clearly delineate how such duties can be considered apart from normal teaching duties.

B. Assessment of the Areas of Performance for RTP

1. Effectiveness

- a) *Teaching effectiveness* – The primary emphasis of this area is on the quality of teaching. Evaluations of teaching effectiveness shall be based primarily on written statements from faculty members within the candidate's areas of service. The statements should be supported by direct observation of the candidate's performance. Such observation can take place in a variety of ways, such as classroom visitations, team teaching, guest lecturing, etc. Multiple observations, conducted over a period of time, are preferable to a single observation conducted solely for personnel purposes. Each department shall organize and promote a system of peer evaluation which will aid in developing the written statements of the candidate's colleagues.
 - (1) Assessment by the candidate's colleagues shall be substantiated by other evidence such as written comments by colleagues not in the candidate's area of service, student evaluations, degree of achievement of and supporting statements from former students.
 - (2) Written student evaluation of teaching in at least two courses per year is required of all faculty by trustee policy and the CBA, but candidates for RTP may be evaluated in all courses taught during the year preceding their application for RTP. Additional written or oral evaluations may be taken, and identified by name, and submitted as

part of the candidate's file. Student evaluations will be used as one element in assessing the quality of instruction, but not as the sole indicator of such quality.

- b) *Effectiveness in Librarianship* – The primary emphasis of this area is on the quality of librarianship. Evaluations of effectiveness in librarianship shall be based primarily on written statements from faculty members within the candidate's area of service. The statements should be supported by direct observation of the candidate's performance. Such observation can take place in a variety of ways such as classroom visitations, team teaching, mutual service on department and library committees, etc. The library shall organize and promote a system of peer evaluation which will aid in developing the written statements of the candidate's colleagues.
- (1) Specific performance criteria for effectiveness in librarianship shall be developed as part of the Library Faculty Personnel Policies and Procedures and included in a candidate's WPAF.
 - (2) Assessment by the candidate's colleagues shall be substantiated by other evidence such as written comments by colleagues not in the candidate's area of service and student evaluations.
- c) *Counseling Effectiveness* – (This section to be developed by Counseling Faculty for inclusion vote).
2. *Scholarship and creative activities* – Scholarship includes those activities that further knowledge and increase skill in the practice of a discipline. Such activities include, but are not limited to the publication of scholarly works; research; exhibitions; performances; the scholarship of teaching, such as the development of curriculum and innovative methods of teaching/librarianship and practices that significantly enhance or add breadth to one's skills, abilities, and knowledge as a teacher and as a scholar. A list of activities evaluated by the candidate's colleagues is preferable to a list alone. Departments are encouraged to develop additional discipline oriented criteria within the framework of this definition. Scholarly and creative activities in progress shall weigh less heavily than work completed. Activities in each category which have an impact off campus shall weigh more heavily than those that do not.
 3. *Service to the university and profession* – Candidates' contributions to their departments or programs other than teaching/librarianship/counseling, their participation in department programs, advising, college and university committees, and their extra departmental work in the university at large will be considered as to extent and quality. In the area of participation in professional organizations, the attainment of positions of leadership shall be considered more significant than mere membership.
 4. *Service to the community* - Candidates' participation in the community will be considered in this category. Activities such as speeches, projects, consultantship and active participation in community organizations are of particular importance when they bring recognition to the university and aid candidates in their professional growth. Activities which can be identified in a candidate's area of service within the university shall weigh more heavily than activities which cannot be so defined.
 5. Any activity, including participation in faculty development, which the candidate feels should be considered by personnel committees but which does not conveniently fit one of the above categories, should be listed separately in the candidate's file and so identified. 15.12

X. STANDARDS FOR ACADEMIC RANK

A. Teaching Faculty

1. The rank of professor is reserved for those associate professors who have earned the highest order of respect and recognition from their colleagues in the university. Professors must be capable of presenting courses in their disciplines at the advanced undergraduate and graduate levels and of directing research or stimulating creative activity at those levels, with the highest degree of competence. Professors must have a strong record of participation and achievement in the combined non-teaching activities, and show promise of continuing growth in these activities. Professors do superior work in their disciplines and possess the appropriate degree or have established equivalence to it or demonstrate rare and exceptional compensating strengths.
2. The rank of associate professor is reserved for those assistant professors who have clearly demonstrated that they are well along the way towards achieving those qualities essential for senior rank. Associate professors must be capable of presenting courses in their disciplines with a high degree of competence, at the advanced undergraduate level. They must have a reasonable record of participation and achievement in the combined non-teaching activities, and show promise of continuing growth in these activities. Associate professors perform at a high level in their disciplines and possess the appropriate terminal degree or have established equivalence to it or demonstrate rare and significant compensating strengths.
3. An assistant professor or an instructor possesses either (1) the terminal degree, other approved terminal preparation or the equivalent; or (2) the master's degree or the equivalent and has the expectation of attaining the appropriate terminal degree or other required preparation, experience, and competence within the time specified in the candidate's letter of appointment. An assistant professor or instructor demonstrates the potential to make substantial achievements in the areas of teaching effectiveness, scholarly and creative activities, service to the university and the profession, and service to the community.
4. An assistant possesses the baccalaureate or master's degree or equivalent and shows promise of achievement in teaching at the university level.
5. *Tenure*. In most instances only those persons will be recommended for tenure who have the potential to meet the standards required for eventual promotion to the rank of professor. It should be understood, however, that the granting of tenure does not assure promotion.
6. *Terminal degree*. In disciplines or programs of instruction in which the doctorate is not normally attainable or desirable, preparation which is to be regarded as terminal shall be defined by the initiating unit, with the concurrence of the UFPC and the President.

B. Librarians

1. Librarian is equivalent to the academic rank of professor. This rank is reserved for those associate librarians who have earned the highest order of respect and recognition from their colleagues in the university. Librarians at this rank must be capable of integrating the theory and practice of library science into the broader educational objectives of the university with the highest degree of competence. Librarians must demonstrate superior performance, leadership and expertise and be recognized as authorities by their colleagues, both within and without the library. Librarians must have a strong record of participation and achievement in the combined non-librarianship activities, and show promise of continuing growth in these activities.
2. Associate librarian is equivalent to the academic rank of associate professor. This rank is reserved for those senior assistant librarians who have clearly demonstrated that they are

well along the way towards achieving those qualities essential for senior rank. Associate librarians must be capable for performing a range of library activities with a high degree of competence using initiative, judgment, and independence. Associate librarians possess a high degree of special expertise which is sought after by colleagues, exhibit highly developed working relationships within and without the library, and provide creative approaches and/or innovative solutions to the problems encountered in the functioning of the library. They must have a reasonable record of participation and achievement in the combined librarianship activities and show promise of continuing growth in these activities.

3. Senior assistant librarian is equivalent to the academic rank of assistant professor. The senior assistant librarian is characterized by knowledge, ability, and experience for independent performance of the full range of library activities in an assigned area. The senior assistant librarian demonstrates a thorough knowledge of the application of basic fundamentals of librarianship to the particular needs of the library and has the potential to make substantial achievements in the areas of librarian effectiveness, scholarly and creative activities, service to the university and profession, and service to the community.
4. Assistant librarian is equivalent to the academic rank of instructor. It is the entry level for librarians with a master's degrees in library science from American Library Association accredited graduate programs or their equivalent, and with little to no professional library experience. An assistant librarian demonstrates the potential to make substantial achievements in the areas of librarian effectiveness, scholarly and creative activities, service to the university and profession, and service to the community.
5. *Tenure*. In most instances only those persons will be recommended for tenure who have the potential to meet the standards required for eventual promotion to the rank of librarian. It should be understood, however, that the granting of tenure does not assure promotion.
6. The *Terminal degree* for librarians is a master's degree in library science from an ALA accredited library school or a library school accredited by a foreign library association whose standards can be demonstrated to be of equal quality. Equivalent quality shall be determined by the initiating unit with the concurrence of the UFPC and the president.

C. Counselors (This section to be developed by Counseling Faculty for inclusion vote).

XI. AMENDMENTS

- A. Amendments to bring Appendix J into conformity with the CBA need not be voted on by the faculty.
- B. Amendments to this policy may be proposed either by a majority vote of the Academic Senate, or by a petition signed by 10 percent of the members of the General Faculty, and presented to the President of the General Faculty for potential recommendation to the President of the University.
- C. The complete wording of any proposed amendment and notice of a meeting at which the matter is to be discussed shall be mailed by the President of the General Faculty and presented to each member of the General Faculty in residence at least seven days prior to the meeting.
- D. Voting by the General Faculty on amendments shall be by secret ballot, with provision for proxy voting by faculty unit employees in residence. 2.13 The Nominating and Elections Committee shall be in charge of all arrangements.
- E. Amendments to this policy shall be recommended to the President of the University by a majority vote of the faculty unit employees in residence, provided that C and D above have been complied with. 2.13 The President's approval of any amendments so recommended is required prior to implementation of policy changes.

FIGURE 1.

HSU YEAR	APPT YEAR	LEVELS OF EVALUATION OR REVIEW					
		DEPARTMENT		COLLEGE		UNIVERSITY	
		IUPC	DC	DEAN	CPC	UFPC	PROVOST
1	2nd	MODIFIED PERFORMANCE REVIEW					
2 or 1 YSC	3rd	PERFORMANCE REVIEW					
3 or 2 YSC	4th	PERIODIC EVALUATION					
4	5th	PERFORMANCE REVIEW					
5	6th	PERIODIC EVALUATION					
6	7th with T+P	PERFORMANCE REVIEW					
NOTES:		YSC = Year Service Credit (equivalent to HSU Year)					