Policies and Procedures for Faculty
Appointment, Retention, Tenure and Promotion

Department/Division/School of Finance and Law

From 2007-2010

(Should the wording of the standardized portions of this document conflict or appear to conflict with the wording of the relevant policies in the Unit 3 Collective Bargaining Agreement or with the Faculty Handbook, the Agreement and the Handbook take precedence.)

APPROVAL:

(1) By Department/Division
   Department Chair
   Date

(2) By College FAC
   Committee Chair
   Date

(3) By College Dean
   Date

(4) By University FPC
   Committee Chair
   Date

(5) By Academic Affairs
   Provost/AA
   Date

(6) By President
   President
   Date
Confidentiality of Personnel Deliberations

Except as otherwise provided by systemwide policy, the deliberations of personnel committees having to do with appointment, reappointment, retention, tenure, periodic review/evaluation, and promotion, shall be strictly confidential. The results of such deliberations shall be made known only to those to whom a committee is required to report current University, College, or department personnel policies and procedures and then only by the committee member or members formally charged with that responsibility. The principle of confidentiality shall be observed by all committee members as well as by all other participants in the process. Failure to preserve the confidentiality of personnel deliberations provides grounds for a charge of unprofessional conduct. In the event that the confidentiality of personnel deliberations is allegedly violated, the president may authorize such public statements as appropriate.

In those cases where a participant in the process is asked to appear before a review committee, participate in a contract or faculty status grievance proceeding, or is required to give testimony during litigation, the principle of confidentiality is waived to the extent required by law.

In the event that any participant perceives serious violations of University regulations in confidential committee procedures, that person is relieved of the requirement of confidentiality in order to report that concern to the Committee on Academic Freedom and Professional Ethics for the purpose of obtaining advice, or to those to whom the committee is required to report, for whatever action may be deemed appropriate.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 1-2, 1-3, etc.)

NONE

Note* The term "faculty" or "faculty member" shall be understood to refer to faculty unit employee.

The term “department” shall be understood to refer to the academic unit within a college, such as department, division or school.

The term "College dean" shall be understood as also referring to the appropriate unit administrator, in those units other than the colleges that regularly employ Unit 3 personnel.

The term "College" shall be understood to also refer to the Library-Counselors unit and all other units that regularly employ Unit 3 personnel.

The terms "Agreement'' shall be understood as referring to the Memorandum of Understanding or the Unit 3 Collective Bargaining Agreement.
Composition of Departmental Personnel Committees (Probationary and Temporary Appointment, Retention, Tenure, and Promotion, and Evaluation of Temporary, Probationary and Tenured Faculty)

Each department shall establish one (1) or more committees to make recommendations on appointment, retention, tenure and promotion (ARTP). Each committee shall have a minimum of three (3) members and one (1) alternate. Each committee will elect its own chair.

The department annually elects one (1) personnel committee(s). (Indicate number of committees.)

The probationary and tenured faculty members of the department or equivalent unit shall elect a peer review committee(s) of tenured full-time faculty members. When there are insufficient eligible members to serve on the peer committee, the department shall elect members from a related academic discipline(s).

**COMPOSITION OF DEPARTMENTAL PERSONNEL COMMITTEES**

(The Committees, as a whole, must take responsibility for the following tasks: Probationary Appointment, Temporary Appointment, Retention, Tenure and Promotion, Range Elevation, Evaluation of Temporary Faculty, Evaluation of Probationary Faculty, Evaluation of Tenured Faculty, and Collaboration on the Development of Individual Professional Plans. It is required that each unit indicate below which Committee will be responsible for each of these tasks.)

<table>
<thead>
<tr>
<th>Committee Titles and Responsibilities</th>
<th>Number of Members (at least 3; all tenured full-time) (Indicate if must be (full) professor rank)</th>
<th>Number of Alternates (1 or more; all tenured full-time)* (Indicate if must be (full) professor rank)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Affairs Committee of the Department of Finance and Law</td>
<td>Three Only tenured faculty shall serve on the Faculty Affairs Committee, but when promotion to full professor or post-tenure review decisions are being made, the committee will be comprised of only full professors.</td>
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</tr>
</tbody>
</table>

*When a member of a department committee is to be absent from a substantial part of the committee's deliberations, an alternate will replace the member and will continue through the completion of all committee deliberations of that cycle. Consideration should be given to having the alternate(s) present from the start of the deliberations, to enable the alternate(s) to participate effectively, if/when needed.

**ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:**
(Number additional pages, if needed, as 2-2, 2-3, etc. If none, so indicate.)

**NONE**
Eligibility for Committee Service and Balloting

The ballot of nominees for committee(s) will list at least twice the number of faculty to be elected. If the department does not have eligible members for a department personnel committee equal to twice the number to be elected, they will add the names of eligible nominees who are willing to serve from closely related disciplines to achieve that number. The ballot should consist only of faculty eligible to serve. It is expected that all eligible faculty will be on the departmental ballot and shall serve if elected.

Probationary and tenured faculty members of the department shall elect personnel committee(s) of tenured full-time faculty members. A faculty member shall not serve on more than one (1) committee level of peer review.

Promotion committee(s) shall consist only of faculty who have already obtained the rank for which another faculty member is being considered. Faculty members being considered for promotion are ineligible for service on promotion or tenured faculty peer review committees. Other department personnel committee(s) will include enough elected members so that a majority during the evaluation of any faculty member will hold a rank equal to or above that of the faculty member being evaluated.

FERP faculty may serve on ARTP committees if these committees normally complete all of their work in the quarter(s) that the FERP faculty are on duty for pay. At the request of the department, the President may agree that a faculty unit employee participating in the Faculty Early Retirement Program may also engage in deliberations and make recommendations regarding the evaluations. However, faculty committees established for this purpose may not be comprised solely of faculty participating in the Faculty Early Retirement Program.

Tenured faculty undergoing periodic review are eligible for service on any personnel committee except the committee which performs the periodic review of tenured faculty.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 3-2, 3-3, etc. If none, so indicate.)

NONE
Recruitment of Probationary Faculty

Before recruitment for any position takes place, explicit and reasonable criteria for evaluating applicants shall be established in writing by departments and shall be made available in the individual departments and Colleges. Departments may require additional professional training, vocational experience or education above and beyond the terminal degree. Departments shall distinguish between required and desired criteria, and shall consider such factors as instructional ability, training, professional potential or achievement, research ability, ability or willingness to work effectively in a multi-ethnic environment and quality of recommendations. All applications for a position shall be judged by the same criteria.

The department shall develop the appropriate vacancy announcement using the established template, which shall be approved by the College dean and the Associate Vice President for Academic Affairs. The vacancy announcement must include the name of the specific terminal degree that is required for tenure and promotion if the possession of that degree is not a requirement for appointment. (For information about equivalency statements, see the section of the Faculty Handbook entitled "Eligibility Criteria for Tenure and Promotion") Vacancy announcements for tenure-track positions shall be disseminated locally, regionally, and nationally.

Recruitment should be based on explicit long-term (3-5 year) plans developed on the basis of the following: careful forecasting of curriculum developments for each department, projected changes in class size, limits related to changes in content and methods of instruction in each class, changing needs for each offering, projected student/faculty ratios, projected FTES, and department equity and diversity concerns.

Departments shall be required to recruit faculty from a wide variety of institutions in order to provide significant breadth of background and experience in each department. No more than 25 percent of a department's probationary and tenured faculty should have their highest academic degrees from any single institution. Before making a new appointment at variance with this limit, the dean of the College must be satisfied that serious and persistent factors beyond the department's control make the exception necessary. Such factors would include, but not be limited to, equity and diversity concerns.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 4-2, 4-3, etc. If none, so indicate.)

NONE
Appointments of Probationary Faculty

Initial probationary appointments may be for a period of one or two years.

Recommendations regarding probationary appointments shall originate at the department or equivalent unit. Probationary appointment procedures shall include the following:

a. Each department or equivalent unit shall elect a peer review committee of tenured faculty unit employees, which may include FERP faculty, for the purpose of reviewing and recommending individuals for probationary appointments.

b. Each departmental peer review committee recommendation report shall be approved by a simple majority of the committee casting a vote. An abstention shall count as a negative vote.

Probationary appointments are normally made at the Assistant Professor or equivalent librarian or counselor rank in accordance with provisions of the Agreement. Each newly appointed probationary faculty member is assumed to have the qualifications and potential to be a candidate for retention, tenure, and promotion in due course.

The President, upon recommendation of the affected department or equivalent unit and the appropriate administrator(s) may grant to a faculty member at the time of initial appointment to probationary status up to two (2) years service credit for probation.

No probationary appointments will be made without a personal interview by a qualified representative of the University. A personal interview is considered desirable as a condition of any faculty appointment and Colleges are expected to adhere to this guideline except where special conditions (e.g., summer quarter staffing problems) interfere. Budgetary restrictions on out-of-state travel and interview money will not be considered a "special condition" in this sense. Recruitment funds available to the University will be expended for interview purposes in preference to the payment of moving expenses for new faculty.

After considering the recommendation of the department or equivalent and the appropriate administrator, appointments of faculty members shall be made by the President or designee. No faculty member shall be deemed appointed in the absence of an official written notification from the President or designee which shall include: beginning and ending dates of the appointment, classification/rank, number of units, status, assigned department/unit or other employment conditions.

At the time of initial appointment, instructional faculty must be evaluated for oral and written proficiency in English through procedures to be developed by each department. Upon completion of the evaluation, the department chair of the faculty member concerned will certify proficiency in English appropriate to the discipline, instructional setting, and material, being communicated. Such certification shall be placed in the faculty member's personnel file. If a member of the instructional faculty is unable to demonstrate proficiency in oral and written communication in English, he or she shall be directed to courses, workshops, or programs designed for the improvement of those skills.

Each new faculty member shall be provided with evaluation criteria and procedures in effect at the time of his/her initial appointment within 14 days of the beginning of the first quarter of his/her appointment. In addition, the faculty member shall be advised of any changes to those criteria and procedures prior to the commencement of the evaluation process.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 5-2, 5-3, etc. If none, so indicate.)

NONE
Personnel Action Files

The evaluation of the faculty member for retention, tenure, and promotion, is based upon materials in the two-part personnel action file, which includes the permanent personnel action file (PPAF) and the working personnel action file (WPAF). It is the responsibility of the University to maintain the PPAF and of the faculty member to have appropriate information in the WPAF before the published date of closure so a complete personnel action file is available to reviewers. A faculty member under review for retention, tenure, or promotion shall include in his or her WPAF a personnel information form describing his or her accomplishments and performance since he or she was last reviewed and an updated resume using a format consistent with College practice.

In addition, faculty not subject to retention, tenure, or promotion review are invited annually to record accomplishments and contributions to the University in a letter or on the personnel information form provided by the College and filed in the office of the College dean, with a copy submitted to the department chair. Failure to respond to this invitation shall not in itself be deemed prejudicial.

A specific deadline before the recommendation is made at the first level of evaluation shall be established by campus policy at which time the Personnel Action File is declared complete with respect to documentation of performance for the purpose of evaluation. Insertion of material after the date of this declaration must have the approval of a peer review committee designated by the College and shall be limited to items that are deemed significant and that became accessible after this declaration. Material inserted in this fashion shall be returned to the initial evaluation committee for review, evaluation and comment before consideration at subsequent levels of review. If, during the review process, the absence of required evaluation documents is discovered, the Personnel Action File shall be returned to the level at which the requisite documentation should have been provided. Such materials shall be provided in a timely manner.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 6-2, 6-3, etc. If none, so indicate.)

NONE
INDIVIDUALIZED PROFESSIONAL PLANS

Each faculty member shall have the discretion to develop, in collaboration with his/her chair and the appropriate Department/Division/School personnel committee, an individualized professional plan. Such plans shall specify the candidate’s goals and objectives and may alter the balance or focus of performance among Categories A, B, and C for a specified period of time. All individualized professional plans must be approved by the faculty member, chair, College Dean, and the Provost and Vice President for Academic Affairs. In cases where such plans are submitted, they will be taken into account by each reviewing body or officer.

Each unit should consider whether it wants to present any specific guidelines for how Individual Professional Plans should be structured, when they should be done, and how the consultation/collaboration process at the department/division level will work (including specifying on 2-1 and which committee(s) will do that collaboration). Describing specific structures and processes is optional.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 7-2, 7-3, etc. If none, so indicate.)

NONE
Eligibility for Tenure

To be eligible for tenure, a faculty member must have an appropriate terminal degree or have been appointed under an equivalency (in-lieu) statement. The appropriate terminal degree(s) for the department are:

<table>
<thead>
<tr>
<th>Area of Specialization</th>
<th>Terminal Degree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finance</td>
<td>Doctorate</td>
</tr>
<tr>
<td>Business Law</td>
<td>See in-lieu statement</td>
</tr>
<tr>
<td>Real Estate</td>
<td>See in-lieu statement</td>
</tr>
</tbody>
</table>

The appropriate terminal degree is required for consideration for tenure and promotion beyond the rank of assistant professor or senior assistant librarian, with the exception described in the following paragraph:

Any department having a position in which professional or vocational experience in lieu of a terminal degree is highly beneficial shall develop a written statement that will define the equivalence for that position. The department shall use the form entitled "Request for Approval of a Terminal Degree Other than a Doctorate" which can be found at the end of this document. Such statements shall have been recommended by the appropriate department and College committees, the dean of the College, the Faculty Policy Committee, and approved by the Provost and Vice President for Academic Affairs and the President prior to advertisement of the position. A faculty member appointed to such a position shall be eligible for tenure and promotion under the criteria contained in that statement. That faculty member must be judged by the same qualitative standards as are other tenure and promotion candidates.

Consideration for tenure normally occurs during the sixth year of service as a probationary faculty member. A probationary faculty member may request to be considered for early tenure. By making a request in writing to the College Dean by the deadline specified in the Personnel Actions Calendar. The normal period of probation shall be a total six (6) years of full-time probationary service and credited service, if any. Any deviation from the normal six (6) year probationary period except as provided by the agreement for example due to leaves shall be the decision of the President following his/her consideration of recommendations from the department or equivalent unit and appropriate administrator(s). A successful candidate for early tenure must have a sustained outstanding record at Cal State L.A. in Category A, "Educational Performance" and Category B, "Professional Achievement," and must have at least a satisfactory record in Category C "Contributions to the University."

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 8-2, 8-3, etc. If none, so indicate.)

NONE
Eligibility for Promotion

Department and College committees shall consider for promotion all faculty members:
1. Who are simultaneously being considered for tenure or
2. Who are tenured and have served four (4) years in the same rank/classification, unless the faculty member requests in writing not to be so considered.

A faculty member shall not normally be promoted to Associate Professor or equivalent rank/classification and may not be promoted to Professor during the probationary period. However, a faculty member in the rank of instructor or librarian equivalent may be considered for promotion after completing one (1) year of service in rank. Probationary faculty members shall not be promoted beyond the rank of Associate. A probationary faculty member shall normally be considered for promotion at the same time he/she is considered for tenure. Tenure of an Assistant Professor carries with it promotion to Associate Professor.

In some circumstances, a faculty member, upon application and with a positive recommendation from his/her department or equivalent unit may be considered for promotion to Professor, Librarian, or SSP-AR Level III, prior to the equivalent of four (4) years of service. Such requests also may be made by the department chair or colleagues. Such requests must be received by the Dean or equivalent at least two (2) weeks before the date set for the closure of personnel files.

A successful candidate for early promotion must have a sustained outstanding record at Cal State L.A. in Category A, "Educational Performance" and Category B, "Professional Achievement," and must have at least a satisfactory record in Category C, "Contributions to the University."

The terminal degree is mandatory for promotion beyond the rank of Assistant Professor. However, a faculty member, after ten (10) years of meritorious service, may be considered for promotion to the next higher rank, although technically not eligible for consideration for promotion under regular criteria (e.g., a terminal degree or equivalency). Those faculty members must be judged by the same qualitative standards as are other promotion candidates.

Each College shall state in writing its procedure for determining that the faculty member's years of service are meritorious. Such procedure shall included provision for formal consultation with an appropriate College committee. Once declared eligible for promotion, the faculty member remains eligible for such consideration thereafter until promoted to the rank of Professor.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 9-2, 9-3, etc.. If none, so indicate.)

NONE
Policies and Criteria Governing Retention, Tenure, and Promotion

The purpose of the University's retention, tenure and promotion policy is to maintain and enhance the high quality of the Cal State L.A. faculty by establishing criteria for fair, thorough, and objective evaluation of individual faculty members. Appraisals focus on the quality and effectiveness of educational performance, professional achievement, and other contributions to the University by the faculty member under review.

The evaluation of the faculty member for retention and tenure, and, where eligible, for promotion, is based upon a comprehensive review of the individual's qualities, achievements, and promise during the year or years preceding the evaluation, as documented in the PPAF and WPAF. Attention shall be given to forming a general "profile" or comprehensive estimate of the faculty member's performance and special professional interests and accomplishments. The faculty member shall file annually an updated resume using a format consistent with College practice, in addition to the yearly personnel information form. Throughout the process of evaluation, in all categories, emphasis shall be placed on the quality and effectiveness, and not only on the quantity, of performance. It is expected that the candidate under review, the appropriate committees, and administrators involved in the process will address the quality and effectiveness of the work done in all areas of review.

This review is cumulative in the sense that the progress or growth of the faculty member beyond the first year is a factor in evaluation, and it is comparative in the sense that the faculty member is evaluated against the quality and effectiveness of performance of colleagues, taking into account the broad range of activities in which different faculty engage.

Faculty members are evaluated on the basis of their performance in the following categories: A) Educational Performance; B) Professional Achievement; C) Contributions to the University. Of the three categories, Category A normally shall have the greatest weight. To receive favorable recommendation for tenure and promotion at least satisfactory performance must be demonstrated in all three categories. In the case of a faculty member who is appointed or elected to a non-teaching position, consideration shall be given to performance in that assignment.

A request for an external review of materials in one's personnel file may be made by any of the parties involved in the review.

Category A consists of two elements: 1) teaching performance and 2) related educational activities.

1) Teaching performance is defined as those activities by the faculty member that directly contributes to student learning. These teaching activities may extend beyond the classroom to include field or community settings or the use of technology. Effective teaching can include many pedagogical approaches, such as lectures, individual and group exercises, inquiry-based learning, discussion sessions, and other techniques. It can also include a wide range of activities such as coordinating and supervising students in learning experiences; collaborating with students on research, performance, artistic, and other projects; mentoring students; professional counseling of students (by counseling faculty); tutoring students; and enabling student access to and use of information and knowledge resources. The evaluation of teaching performance shall include multiple measures. The basis of the evaluation shall be the quality and effectiveness of the performance.

2) Related educational activities are defined to include, but are not limited to academic advisement, curriculum/program development, programmatic assessment of learning outcomes, membership on thesis committees, the development and evaluation of comprehensive exams, and other academic support activities which enhance student retention and student achievement.
The evaluation of teaching performance is assessment of the quality and effectiveness of the efforts of faculty members that contribute to student learning. This evaluation must include:

- a summary of the quantitative responses to the student opinion survey of instruction.
- evaluation of teaching performance based upon an observation conducted at least once during each RTP evaluation cycle by the department/division chair, members of the department personnel committee, or by designees of the personnel committee. There must be written notice of not less than five (5) University working days given to the faculty member indicating the date upon which the observation will be made and indicating who will conduct it. There shall be consultation between the faculty member being evaluated and the individual who visits his/her classes. If the faculty member desires, he/she may recommend someone to conduct the observation. When observations are made for RTP purposes, reports are included in the faculty member's permanent personnel action file.
- At least one (1) other source of information, such as course syllabi, instructional materials, assessment methods, assignments (including field assignments), evidence of student work and accomplishments, and signed letters from students.

The evaluation of related educational activities is based upon such items as surveys of student opinions of advisement, student mentoring, tutoring, field activities, etc., written reports from the department/division chair, students, faculty, and/or other individuals with first hand knowledge of the faculty member's activities; and other such documentation provided by the faculty member regarding participation in program assessment, curriculum development, and other related educational activities.

In the case of library and counseling faculty, the evaluation of Category A shall include measures of performance equivalent to the above and appropriate to each faculty member's professional responsibilities.

Category B, professional achievement, is defined as performance of discipline-related activities. Each department/division shall clearly specify those activities considered appropriate as “scholarly and creative activities” for the discipline. These department/division/school activities are:

**Publications in Refereed Professional Journals:**

**Publications of Books:**

**Publications of Conference Proceedings or Research Working Papers:**

**Presentations of Papers at Professional Meetings:**

**Services on Panels at Professional Meetings (e.g. chair, discussant, etc):**

**Service on Review Board of Professional Journals:**

**Reviews of Articles and Books as requested by Journals or Publishers:**

**Offices held in Professional Organizations:**

**Awards, Fellowships, or Research Grants Received:**

**Work in Progress on Material that would lead to Publications**

Category C, contributions to the University is defined as all other contributions to the mission and governance of the University.

In evaluating the contributions in Categories B and C as to their relative merits, the quality and effectiveness, and not only the quantity of the contributions shall be the primary consideration.

Note: Departments, Colleges, and individual faculty members are encouraged to consult the lists of suggested Category B and C activities included in the University's RTP policies and procedures in drawing up their own lists of appropriate suggested activities.

Departments are strongly encouraged to indicate below the specific procedures and criteria to be used in conducting peer observations, including such things as follow-up meetings between the observer and the faculty member being observed.

**ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:**
(Number additional pages, if needed, as 10-3, 10-4, etc. If none, so indicate.) NONE
Committee Procedures

The Department committee is responsible for evaluating the work of the candidates in all areas, for making the initial recommendation regarding retention/tenure/promotion, and therefore, for applying the specific criteria and standards of the department/division to the performance of their colleagues in the RTP process. The committee shall review the individualized professional plans of those faculty being evaluated who have chosen to prepare such plans, and shall take such plans into account in evaluating the faculty member’s performance. The department committee therefore is, responsible for conveying to other levels of review the relative merit of the individual candidate’s performance from the perspective of the candidate’s academic discipline. The expectation for future growth leading to tenure and/or promotion should be stated at each review to provide guidance in future evaluations.

The committee shall prepare and forward to the department chair an appropriate written recommendation. The reservations of the minority may be written into the full committee report as qualifications or reservations or even identified as a minority opinion. Such a minority opinion shall always be included with the majority report. At all levels of review, before recommendations are forwarded to a subsequent review level, faculty members shall be given a copy of the recommendation and the written reasons therefore. The faculty member may submit, within ten (10) calendar days following receipt of the recommendation and before the recommendation is submitted to the department chair, a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. Such a meeting shall be held in a timely manner. A copy of the response or rebuttal statement shall accompany the recommendation of the department chair, be placed in the PPAF and also be sent to all previous levels of review. This section shall not require that evaluation timelines be extended.

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. Such a request shall document (1) the special circumstances which necessitate an off campus reviewer, and (2) the nature of the materials needing the evaluation of external reviewer. The request must be approved by the President (or designated appropriate administrator) with the concurrence of the faculty member. While the faculty member and/or the committee may recommend the outside evaluator, the final selection decision is the responsibility of the President or designated appropriate administrator.

By a simple majority vote of the membership of the committee, with an abstention counted as a negative vote, department personnel committees shall recommend or decline to recommend each eligible candidate for reappointment, tenure, or promotion. Voting will be by secret ballot on all personnel actions. Motions relating to personnel actions are placed in the affirmative. Department and higher level peer review committee(s) may rank-order faculty members recommended for promotion.

If any stage of a Performance Review 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 and the faculty member shall be so notified.

When a faculty member accepts a regular or temporary non-teaching assignment, special consideration shall be given to performance in that assignment.

When a faculty member serving in an administrative position is nominated for, or must be considered for, promotion, retention, or tenure, the Colleges shall establish an ad hoc committee at the request of the faculty member being reviewed to develop a written evaluation of the administrative service by interviewing those administrators and faculty members who normally come into contact with the candidate. This committee shall develop a written report prior to the closure of the personnel file for the year. The report shall be placed in the candidate's personnel file.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 11-2, 11-3, etc. If none, so indicate.)

NONE
Review of Faculty Holding Joint Appointments and of Faculty Active in Interdisciplinary Programs

The periodic or performance review for individuals holding a joint appointment in more than one (1) academic department or equivalent unit shall be conducted by each department in which the individual holds an appointment or, in accordance with campus procedures, may be conducted by a committee with representatives from each department in which the individual holds an appointment.

If the two (2) departments are within one College, the College shall decide which method is to be employed. If the two (2) departments are in different Colleges, then the two Colleges shall each propose a method, and if these differ, the Provost shall decide.

When a faculty member with an appointment in a specific department devotes all or part of his or her efforts to instruction in, or participates in, the development and administration of an interdisciplinary academic degree or certificate program, that faculty member may request a performance evaluation. In that case, the coordinator of the interdisciplinary program shall provide a written evaluation of the contribution of the faculty member to that program for the faculty member’s personnel file. A department committee shall consider this evaluation as part of the evidence upon which its recommendation is based.

Coordinators of such interdisciplinary programs shall be evaluated annually by the committee and the Dean. The committee shall consist of at least three (3) tenured faculty who are currently involved in the program and shall be established according to the rules stated in the Faculty Handbook under "Personnel Committees". There shall be an opportunity for written input by all faculty involved in the program. Specific procedures for evaluation shall be developed by the coordinating committee of the program subject to the approval of the College in which the program is housed.

ADDITIONAL COLLEGE POLICIES AND PROCEDURES ADDRESSING THE REVIEW OF FACULTY WITH JOINT APPOINTMENTS, AND ANY OTHER RELEVANTS POLICIES OR PROCEDURES, IF ANY:
(Number additional pages, if needed, as 12-2, 12-3, etc. If none, so indicate.)
NONE
Student Consultation in Academic Personnel Processes

Student opinion surveys on instruction are mandatory in a minimum of two (2) classes annually for each faculty member. There shall be no limit to the number of classes in which a faculty member may request to have the survey administered. Departments may decide, with the approval of the Dean, that faculty in certain ranks (e.g., probationary, Assistant and Associate Professors) may be evaluated in all classes.

NOTE: A statement of department policy regarding the number of classes in which faculty are evaluated should be included below under “additional department/division policies and procedures”.

Summary results of student opinion surveys will be placed in the faculty member's personnel file. Each student has the option to write comments on the reverse side of the form. These forms shall be returned directly to the faculty member.

Students at the University shall be given the opportunity annually to submit written and signed statements regarding all faculty being evaluated by personnel committees. These statements shall be limited to the students' own experience with faculty members under consideration regarding Category A, educational performance (including academic advisement and instructionally related activities). Only signed statements will be considered.

Department chairs shall inform students of all candidates being evaluated no later than one (1) month prior to the closing of the candidates' personnel files. The announcement shall be posted prominently outside the department office. This announcement may also be distributed to students by any other means deemed appropriate by the department chair.

The announcement shall include the candidate's name, and a statement that information is sought on educational performance (including academic advisement and instructionally related activities), in the form of written statements signed by students addressed to the department chair. The announcement should inform students that their written statements will be placed in the faculty member's personnel file and will be available to the faculty member and to others with legal access to the file. The announcement shall also include the deadline for submission of written statements. The deadline will be no later than eight (8) days prior to the closing of the faculty member's personnel file.

The departmental committee may request students who have submitted statements to meet with its members for purposes of clarification. The students who are invited to meet with the departmental committee will be notified that the faculty member has the right to be present following the rules of oral testimony.

Departments shall indicate their policy regarding how often and in what classes Student Opinion Surveys are to be conducted for faculty in different ranks and classifications.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 13-2, 13-3, etc. If none, so indicate.)

Student opinion surveys are required for every instructor in every course that is taught in a given quarter.
Oral Testimony by Persons Other Than the Candidate

Personnel recommendations relating to retention, tenure and promotion shall be based on material contained in the faculty member's personnel file (PPAF). Oral testimony may be used for purposes of clarification of material that is already in the personnel file. Whenever oral testimony is presented before a personnel committee, the candidate shall be present. Departmental procedures for hearing and documenting oral testimony shall be set forth in department RTP documents. A summary of the oral testimony will be placed in the candidate's personnel file. The candidate must be shown the summary and shall be given the right to reply to any statement in the summary. Such a reply shall be attached to the oral testimony report.

The department/division policy must address the following information:

1. Who, if anyone, will routinely be invited to meet with the committee to provide oral testimony?

2. How will requests from persons not identified in #1 be handled?

3. Will a faculty member be allowed to bring someone with him or her when appearing before the committee?

4. How will oral testimony be recorded?

DEPARTMENTAL/DIVISIONAL POLICIES AND PROCEDURES SPECIFICALLY ADDRESSING THE ABOVE FOUR (4) QUESTIONS, BY NUMBER, AND OTHER RELATED ISSUES, IF ANY:
(Number additional pages, if needed, as 14-2, 14-3, etc.)

1. No one will routinely be invited to meet with the committee to provide oral testimony.

2. If the faculty member believes that oral testimony from other persons is necessary, the faculty member may identify such persons and provide reasons for hearing their testimony as part of his or her written response to the recommendation of the committee within the standard seven day period. If someone appears, that individual has to be qualified in the field of finance, business law or real estate as it pertains to the field of the faculty being evaluated. The committee, at its sole discretion, will decide whether to call additional persons to give oral testimony.

3. No

4. A member of the committee will be appointed to faithfully summarize the oral testimony.
   If faculty members fail to agree with the accuracy or content of the oral testimony, they will be allowed to submit their own version or a rebuttal to the testimony. All materials regarding oral testimony will become part of the faculty member's personnel file.
Levels of Review

Levels of review for faculty serving in the first year of a two-year probationary appointment will be (1) a departmental review committee, (2) the department chair, if not a voting member of the department review committee and (3) the College dean. All other rules of retention committees apply.

For retention, tenure and promotion considerations, the levels of review for all other tenure-track faculty will be (1) a departmental review committee, (2) the department chair, if not a voting member of the department review committee, (3) a College review committee, (4) the College dean and (5) the appropriate Vice President and (6) the President.

For full-time temporary faculty the levels of review will be (1) a departmental review committee, and (2) the department chair if not a voting member of the department review committee, and (3) the College dean.

For part-time temporary faculty the levels of review will be (1) a department review committee, and (2) the Department Chair (if the Department Chair is a voting member of the department review committee, the second level of review will be College Dean), and , (3) at the option of the College, the College Dean.

For tenured faculty who are under consideration for five-year review the levels of review will be (1) a department review committee (2) the department chair, if not a voting member of the department review committee, and, (3) the College Dean.

For faculty units, such as those for librarians, counselors, and coaches, which are not formally organized as departments and/or are not part of a College, equivalents to department level review committee, department chair, College level review committee, and College dean, as well as the appropriate Vice President will be established and identified in the unit's' RTP procedures, by completing the table below.

<table>
<thead>
<tr>
<th>APPROPRIATE EQUIVALENTS:</th>
</tr>
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<tbody>
<tr>
<td>DEPARTMENT COMMITTEE</td>
</tr>
<tr>
<td>DEPARTMENT CHAIR</td>
</tr>
<tr>
<td>COLLEGE COMMITTEE</td>
</tr>
<tr>
<td>COLLEGE DEAN</td>
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<tr>
<td>VICE-PRESIDENT</td>
</tr>
</tbody>
</table>

At all levels of review, before recommendations are forwarded to a subsequent review level, the faculty member shall be given a copy of the recommendation and the written reasons therefore. The faculty member, within ten (10) calendar days following receipt of the recommendation, may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. A copy of the response or rebuttal statement shall accompany the Personnel File. This section shall not require that evaluation timelines be extended.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 15-2, 15-3, etc. If none, so indicate.)

NONE
Role of Department/Division/School Chair or Director

The department chair is responsible for communicating department, College and University criteria and standards for evaluation to the candidates. The department chair, in consultation with the appropriate department/division personnel committee, is also responsible for working closely with faculty who develop individualized professional plans.

More generally, it is the continuing duty of the department chair to counsel faculty members concerning factors that add strength or affect status. It is the right of every faculty member to request such counsel at any time. The first counseling of new faculty members shall be undertaken at the department chair's initiative, and must include but not be limited to verification that the faculty member has access to the current Faculty Handbook and understands its purpose. Each new faculty member shall be provided in writing with evaluation criteria and procedures in effect at the time of his/her initial appointment within 14 days of the beginning of the first quarter of their appointment. In addition, pursuant to the Agreement, the faculty members shall be advised of any changes to those criteria and procedures prior to the commencement of the evaluation process.

The initial counseling of new faculty shall also include verbal orientation to the department, College, and University as deemed appropriate; and answers to questions raised by the new faculty member. Thereafter, counseling of the faculty member shall be at the faculty member's option and initiative, except that reports prepared annually for purposes of retention, tenure, and promotion must be provided to the respective faculty members undergoing such evaluation. The department chair shall initiate the meetings at which these evaluations are discussed. If the chair is dissatisfied with or has reason to question the performance of the faculty member, the faculty member must be notified promptly.

It is the duty of the department/division committee designated to survey the faculty member's accomplishments and to summarize annually, in the form of a report to the dean, the committee's judgment of the faculty member's accomplishments and abilities, ending with a specific recommendation for or against retention or tenure. A similar report must be written in the years when the faculty member is eligible for consideration for promotion. The department chair, if otherwise eligible to serve on department personnel committees, may serve as a regularly elected voting member or ex-officio. In the latter case, the chair shall vote only if the department faculty has approved this privilege by majority vote on a written ballot, and, in the case of promotion, if he or she has already attained the rank for which other faculty are being considered. A department chair not serving on a department personnel committee may be invited by majority vote of the committee to make an informal presentation on each of the candidates at the beginning of the committee deliberations, after which he or she shall leave the committee but remain available for further consultation. See section on Oral Testimony for procedures to be followed.

The chair of the department shall file a separate recommendation if he or she does not participate as a voting member of the retention, tenure, promotion, temporary full- or part-time faculty review, or periodic review of tenured faculty committee(s). Such a recommendation shall be included with the committee recommendation when it is forwarded to the College committee and to subsequent levels of review. If the chair participates as a voting member of the committee, he or she may participate in the preparation of a minority report.

Before the recommendation is forwarded to the College committee, the chair shall give the faculty member a copy of the report, including his or her own recommendation, if any, which shall state in writing the reasons for the recommendation and shall ask the faculty member to sign the original copy of the report, attesting to the fact that the faculty member has read it but has not necessarily agreed with it. The faculty member shall have the right, within, ten (10) calendar days following receipt of the report, to respond to the committee and/or chair's recommendation in writing and/or request a meeting. The response or rebuttal statement, if any, shall be forwarded with the report to the College committee.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 16-2, 16-3, etc. If none, so indicate.)
NONE
Temporary Full-Time and Part-Time Faculty (Lecturers)

Temporary full-time and part-time faculty shall be provided with written statements from the Department Chair or College Dean specifying, as far as can be determined in advance, courses to be taught, class size and schedule. Temporary full-time faculty also shall be informed of their expected extra-instructional support duties (e.g., advisement, committee assignments).

Working Conditions

Since the teaching responsibilities of temporary full-time and part-time faculty are the same as those of the regular faculty insofar as their courses are concerned, they should be provided with facilities and services consistent with the performance of their duties.

Temporary full-time and part-time faculty shall have participatory rights in department meetings, except that voting rights shall be subject to Department, College, and University regulations and the Agreement between CSU and CFA. Part-time faculty may not, however, be required to attend such meetings.

Official Personnel Action Files (PPAF) for all temporary full-time and part-time faculty members shall be maintained in the office of the College Dean.

Evaluation

Within 14 days of the beginning of the quarter of his/her initial appointment, each temporary full-time and part-time faculty member shall be provided with evaluation criteria and procedures in effect at the time of that appointment. In addition, the faculty member shall be advised of any changes to those criteria and procedures prior to the commencement of the evaluation process.

The Student Opinion Survey is mandatory in a minimum of two (2) classes annually. Departments may decide, with the approval of the Dean, that faculty in temporary positions may be evaluated in all classes. Results of the Student Opinion Survey are placed in the faculty member's personnel file. Comments by students must be returned directly to the faculty member.

Part-time faculty appointed for three (3) or more quarters, regardless of a break in service, shall be evaluated annually in accordance with the periodic evaluation procedure. Such evaluations shall include student evaluations of teaching performance for those with teaching duties, evaluations by appropriate administrators and department chair, and an opportunity for peer input from the department of equivalent unit. Temporary faculty with one-year or multi-year appointments (regardless of the number of units assigned) shall be reviewed annually at the department level. Temporary faculty with consecutive one quarter appointments and those appointed on an irregular basis shall be reviewed prior to each subsequent appointment by the department chair. The employee or the President may request that an evaluation be performed. The committee and chair shall use criteria based upon the RTP procedures for tenured and probationary faculty as appropriate.

The criteria to be used must be described below.
THE CRITERIA TO BE USED IN EVALUATING TEMPORARY FACULTY AND ANY OTHER ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 17-2, 17-3, etc.)

Criteria for Temporary Faculty Evaluation: At least satisfactory performance in teaching and instructional support duties if assigned, and at least satisfactory evidence of currency in the relevant field or discipline.

Temporary full-time and part-time faculty shall have participatory rights in department meetings without any voting rights, subject to school and university regulations and the agreement between CSU and CFA.
Recruitment and evaluation of temporary full-time and part-time faculty:

1. Recruitment

   Full-time temporary faculty: The procedure to be followed shall be the same as for tenure-track faculty except as the body of these Procedures or department policy states otherwise.

   Part-time faculty: The Faculty Affairs Committee shall recommend to the Department Chair in every spring quarter a pool of qualifying candidates for part-time employment.

2. Evaluation

2.1 Evaluation of temporary faculty shall be conducted annually in spring quarter.

2.2 All temporary full-time and part-time faculty who teach or supervise students for one or more quarters in the same academic year, regardless of the number of units assigned, are subject to annual review.

2.3 The student opinion survey form is mandatory in all classes every quarter for all temporary faculty and it must be part of the evaluation of each temporary faculty’s instructional performance.

2.4 In addition to the student opinion survey results, the Faculty Affairs Committee must include classroom observations of temporary faculty as part of the instructional performance evaluation.

2.4.1 At least one classroom observation shall be conducted every academic year for each temporary faculty who teaches for the Department.

2.4.2 Classroom observations shall be conducted by department chair, members of the Department Faculty Affairs Committee, or designees of the Committee.

2.4.3 A written notice of not less than ten (10) days shall be given to the faculty member indicating the date upon which the observation will take place, which of his or her classes to be visited, and who will conduct it. If the faculty member desires, he or she may recommend someone to conduct the observation, subject to the approval of department chair or the Department Faculty Affairs Committee.

2.4.4 Classroom observation report shall be due to the faculty member being visited within twenty-one (21) days after the actual visit. Before the report is placed in the permanent personnel action file, the faculty member being visited shall be given ten days to respond. If a rebuttal is submitted, both the report and the rebuttal will then be included in the faculty’s personnel file.

2.4.5 If he or she so desires, the faculty member being visited may request a meeting with the faculty visiting his/her class. This meeting shall serve the sole purpose of seeking room for improvement in classroom instruction, and the discussion in the meeting shall be kept confidential between the two parties.

2.5 At least two other forms of evidence pertaining to instructional performance also must be reviewed, including such items as classroom observations, course syllabi, class assignments, sample papers and/or exams, other instructional material, evidence of grading practices, and signed letters from students.

2.6 Evaluation of the performance of temporary faculty must include an assessment of the individual’s currency in the relevant filed, or in the knowledge or skills pertaining to the courses assigned to him or her. Such currency may be demonstrated by the following:

- Publications in Professional Journals
- Publications of Books
- Publications of Conference Proceedings or Research Working Papers
- Presentations of Papers at Professional Meetings
- Services on Panels at Professional Meetings (e.g. chair, discussant, etc)
- Service on Review Board of Professional Journals
2.7 Faculty Affairs Committee shall provide a written evaluation of all temporary faculty to the Department Chair in the spring quarter of the academic year. The evaluation shall be with respect to instructional performance and currency in the relevant field. In addition, university service may be evaluated if deemed significant.

2.8 The written evaluation shall be signed by members of the Department Faculty Affairs Committee and shall state that the faculty member has ten days to submit a rebuttal statement. The faculty member being evaluated shall receive a copy of the evaluation and participate in a discussion of her or his overall performance.
Consideration for Range Elevation

Full- and part-time temporary faculty are normally hired to meet specific instructional needs at a rank consistent with their professional qualifications, such as highest academic degree earned, teaching or field experience, status in the discipline, publications, and so forth. Reappointment, salary advancement within rank, and merit awards for temporary faculty may be based on successful teaching performance alone. However, temporary faculty (full- or part-time) shall be considered eligible for review for range elevation if (1) they have no more service-based salary increase (SSI) eligibility and (2) have served five (5) years in their current range. Range elevation for temporary faculty must be based on evidence of appropriate professional development, professional accomplishments, and/or contributions to the University community, as well as on teaching performance. Specific criteria for range elevation will be established at the College and department levels. Consideration of range elevation for temporary faculty shall utilize the same Departmental/Divisional and College/Library/Counselor Committees, and on the same annual cycle, as are used for the consideration of the promotion of tenure-track faculty. Denial of range elevation shall be subject to the peer review process mandated in the Agreement for consideration of faculty status disputes, except that the peer panel’s decision shall be final.

The Department/Division criteria to be used in evaluations for Range Elevation must be described below.

DEPARTMENT/DIVISION CRITERIA FOR RANGE ELEVATION AND ANY ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 18-2, 18-3, etc.)

The following criteria for Range Elevation shall be applied to all ranges: At least satisfactory performance in teaching and instructional support duties if assigned; a doctorate earned in a related field; and a sustained record of scholarly research and publications.
Review of Department Personnel Procedures

Complete department personnel procedures, which conform to the Agreement, University policies and procedures, and College policies and procedures, and which use this template, must be submitted through the College to the University Faculty Policy Committee for review after the effective date of each new Agreement. These shall then be forwarded as a recommendation to the President or designee for approval and formalization. When feasible, this shall be done prior to the fifth week of the Spring Quarter, but in any event before the beginning of the next RTP review cycle.

After the department documents have been initially approved and during the life of an existing Agreement, Department and College documents will be kept current by addenda to the standardized documents. Colleges and Departments or equivalent units may propose addenda at any time. New procedures which originate in the department must be submitted as addenda, via the College, to the Faculty Personnel Committee on a timely basis, but when feasible, by the fifth week of the spring quarter each year, so as to be approved in time for the next RTP cycle.

Addenda to the University policies will be sent by the Faculty Policy Committee to all departments and Colleges in a timely manner, but when feasible prior to the fifth week of winter quarter each year. Addenda to University procedures will be sent by the Provost to all Departments and Colleges in a timely manner, when feasible prior to the fifth week of winter quarter each year.

ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 19-2, 19-3, etc. If none, so indicate.)

NONE
REQUEST FOR APPROVAL OF A TERMINAL DEGREE OTHER THAN A DOCTORATE

Department  Finance and Law

Area of Specialization  Business Law

Terminal Degree  J.D. (Juris Doctor)

1. Why is this degree more relevant for this position than a doctorate?

The J.D. degree is the usual and customary degree for persons who practice and teach law courses, including business law courses.

2. What is the availability of a doctorate in this field?

An S.J.D. (Doctor of Scientific Jurisprudence) is held by a very small number of persons who research or teach in law schools. Even in law schools most law faculty possess the J.D. degree. The S.J.D. degree is not a common degree.

3. Does this degree provide a faculty member with the necessary background to do research, scholarly, or creative work in the University?

Yes

4. Is there a requirement of the specialized accrediting agency related to terminal degrees of faculty in the department? If so, what is that requirement?

J.D. (for business law faculty)

5. What are the educational requirements for similar positions at comparable campuses, such as UCLA, CSU Long Beach, USC, CSU Northridge, Claremont Colleges, and CSU Fullerton?

J.D.
REQUEST FOR APPROVAL OF A TERMINAL DEGREE OTHER THAN A DOCTORATE

Department _Finance and Law_____________________________________________________

Area of Specialization _Real Estate_____________________________________________

Terminal Degree _J.D.__________________________________________________________

1. Why is this degree more relevant for this position than a doctorate?

The J.D. degree is comparable to the Ph.D. degree in the area of real estate. When combined with license requirement and the experience requirement, it (the J.D. degree) is more relevant to the real estate curriculum because of the specialization of the program.

2. What is the availability of a doctorate in this field?

This degree is available at all accredited law schools throughout the country. Most of the schools have amended their program to award only the J.D. degree.

3. Does this degree provide a faculty member with the necessary background to do research, scholarly, or creative work in the University?

Yes. Considerable attention is given to research in all accredited law programs.

4. Is there a requirement of the specialized accrediting agency related to terminal degrees of faculty in the department? If so, what is that requirement?

Yes, the degree must be from an institution accredited by the American Bar Association.

5. What are the educational requirements for similar positions at comparable campuses, such as UCLA, CSU Long Beach, USC, CSU Northridge, Claremont Colleges, and CSU Fullerton?

CSU Long Beach and CSU Northridge both require the J.D. degree. UCLA does not have an undergraduate program in real estate.
APPENDIX – DEPARTMENT IN-LIEU STATEMENT

For appointment or promotion to Associate Professor or Professor, the doctorate is required with the following exceptions:

1. a) Specified Minimum Criteria:

   Law

   In lieu of the Doctorate, to be eligible for consideration for appointment, tenure or promotion to the ranks of Associate Professor or Professor, a faculty member who teaches courses in business law shall possess a bachelor’s degree plus a J.D. or LL.B. degree awarded by a law school that, at the time the degree was conferred, was accredited by the American Bar Association. In addition to the above stated degree requirements, the faculty member must have at the time of initial appointment, at least three years of demonstrated excellence in full-time employment primarily in the field of business and commercial law following the passage of a bar examination and apart from teaching experience.

   Real Estate

   In lieu of the Doctorate, to be eligible for consideration for appointment, tenure or promotion to the ranks of Association Professor or Professor, a faculty member who teaches real estate courses shall possess a bachelor’s degree plus a J.D. or LL.B. degree awarded by a law school that, at the time the degree was conferred, was accredited by the American Bar Association and shall hold a valid California Real Estate Broker’s license. Also, at the time of initial appointment, the individual must have at least three years of demonstrated excellence in full-time employment in real estate.

b) Guidelines for Evaluating Demonstrated Excellence:

   A faculty member shall demonstrate the excellence of his/her experience by providing samples of professional work that disclose expertise in the field as well as demonstrating that the person held positions of responsibilities in the field. Letters of reference will be required from qualified professionals, attesting to the quantity and quality of the person’s professional experience.