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

College of Health and Human Services
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 College FAC

_____________________

[Signature]

[Name]

Committee Chair

10/31/07

Date

(2) By College Dean

_____________________

[Signature]

[Name]

College Dean

10/31/07

Date

(3) By University FPC

_____________________

[Signature]

[Name]

Committee Chair

9/23/07

Date

(4) By Provost

_____________________

[Signature]

[Name]

Provost

9/23/07

Date

(5) By President

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[Signature]

[Name]

President

10/1/08

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

College of Health and Human Services
For the period from 2007-2010

Consultation

Only full-time tenured faculty* and the College deans*** will participate in deliberations and make recommendations relating to appointment, retention, tenure, or promotion of faculty. All those making these recommendations accept the responsibility for making positive efforts to comply with the letter and spirit of the non-discrimination policies of the university, and will consider information from faculty members and other sources, including, but not limited to, signed statements from students and results of student opinion surveys.

Review of Personnel Policies and Procedures

Each College**** shall establish a formal system of evaluating its faculty that shall include methods of collecting information about, and criteria for evaluation of, the faculty member's performance in Category A, Educational Performance; Category B, Professional Achievement and Category C, all other Contributions to the University.

College evaluation procedures must be submitted to the Faculty Policy Committee after each new Agreement***** is signed. New regulations during the period shall normally be submitted, as addenda, to the Faculty Policy Committee for approval prior to the end of the fifth week of the spring quarter.

ADDITIONAL COLLEGE POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 1-2, 1-3, etc. If none, so indicate.)
None

*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.
Recruitment and Appointment of PROBATIONARY AND TENURED Faculty

Recruitment of faculty shall be based on explicit long-term (3-5 years) plans. Colleges shall require departments to comply with the University rule that departments normally may not have more than 25 percent of faculty with their highest degree from any single institution.

Each College should strive to maintain a ratio of full-time to part-time faculty sufficient to insure that activities requiring full-time faculty are adequately staffed.

Probationary appointments are normally made at the assistant professor or equivalent librarian rank. The President may appoint a faculty member at a higher rank on the determination of merit consistent with department and College recommendations. 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.

Colleges shall have access to, and shall be guided in their deliberations by, the written criteria of departments for evaluating applicants as reviewed and approved by the Dean. These criteria must be consistent with those specified in the official position announcement approved by the Dean and the Associate VPAA. These criteria shall distinguish between required and desirable qualities, and shall include, but not be limited to, instructional potential or ability, training, professional potential or achievement, research ability, and quality of recommendations. All applicants must be judged by the same criteria.

Each department shall develop a list(s) of specific questions that will be asked of all candidates for a particular position at the telephone interview stage (if used)* and at the required on-campus interview. The list(s) of questions must be reviewed and approved by the Dean prior to the interview.

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. 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.

*The decision to conduct or not to conduct telephone interviews will be made with the Dean in consultation with the appointment committee chair or Department Chair.

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

None
Confidentiality of Personnel Deliberations

Except as otherwise provided by systemwide policy, the deliberations of personnel committees having to do with appointment, reappointment, retention, tenure, 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 by current University, College, or department personnel policies and procedures, and then only by the committee member(s) 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 shall be presumed to be 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 COLLEGE POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 3-2, 3-3, 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.

Like the statement annually invited of the faculty member, the department Personnel Information Report form shall be placed in the faculty member's Permanent Personnel Action File. The entire file shall be made available to members of appropriate College personnel committee. A specific deadline before the recommendation is made at the first level of evaluation shall be established by campus policy at which time the Working 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 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 COLLEGE POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 4-2, 4-3, 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 and are to be developed in consultation with a departmental peer committee. 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. Describing specific structures and processes are optional.

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

None
Organization of College Personnel Committees (ARTP)

The College shall establish annually, two (2) personnel committees(s). Each committee shall be composed of five (5) or more tenured faculty members at associate professor or professor rank. At the request of the department/college, 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. Faculty members under consideration for promotion are ineligible for service on a promotion or tenure committee. However, tenured faculty evaluated under five (5) year review are eligible to serve. Each personnel committee shall elect a Chair from among its elected members.

No member of a College promotion committee may participate in the evaluation of anyone who holds a rank equal to or higher than the member's rank. A committee member must be replaced by an elected alternate and may not be present when the committee is deliberating or voting on candidates from his or her department.

No department shall have more than one (1) member on a College Personnel Committee unless the number of departments in the College is fewer than the number of persons on the committee, in which case no department shall have more than two (2) members. Any variance from this system necessitated by the small size of the College or other relevant factor must be approved by the Faculty Policy Committee.

When a regularly elected member of a College Personnel 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.

In Colleges and departments in which a single review committee handles all retention, tenure, promotion cases, a faculty member may serve on only one (1) level of review (either department or College). In Colleges and departments with separate personnel committees, a faculty member who serves on a committee at one (1) level for promotion (e.g., from assistant professor to associate professor) may serve on a committee at the other level for promotion (e.g., from associate professor to professor).

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

None
Composition of College Personnel Committees (ARTP)
(Use one page for each committee, Number pages as 7-1, 7-2, etc.)

Committee Title and Responsibilities:
Title: Retention, Tenure, and Promotion Committee "A" (RTP "A")
Responsibilities:
RTP Committee "A" shall be concerned with retention, tenure, and promotion of faculty members of the upper ranks (i.e., Associate and Full Professor). The charge to the Committee is: 1) to review personnel files of those candidates eligible for reappointment, tenure, and promotion; 2) to review the annual evaluations and recommendations of eligible candidates which have been written by the department personnel committee and chairperson as appropriate; and 3) to report the Committee's recommendations to the candidate and to the Dean.

Membership and Election Procedure:
Six (6) tenured full professors shall be regular voting members. Each school/department will elect a tenured full professor from their school/department to serve on the College RTP "A" Committee. In the situation where there is no eligible tenured full professor available, the school/department may elect a tenured full professor from outside of their school/department in a related discipline. Each school/department will submit to the College Faculty/Fiscal Affairs Committee the name of one faculty member to serve on the College RTP "A" Committee. The College Faculty/Fiscal Affairs Committee will verify that approved procedures were properly implemented in the selection of the membership of the College RTP "A" Committee.

A member of the College RTP "A" Committee will recuse him/herself when a member of his/her school/department or the school/department which s/he is representing is being reviewed.

Alternates and Selection Procedures:
Each school/department is responsible for electing its own alternates. In the situation where there is no eligible tenured full professor available, the school/department may elect a tenured full professor from outside of their school/department in a related discipline to serve as its alternate representative.

Quorum:
A quorum will be defined as five (5) members or their alternates.

Term of Office:
Each school/department will elect their representative for a one (1) year term. A representative may be reelected for one (1) consecutive term. An exception to these term limits will be made when a department does not have a sufficient number of full professors from which to elect new representatives.

All tenured and probationary members of the college shall be eligible to vote in their respective department/school's elections, including FERP faculty.
Committee Title and Responsibilities:
Title: Retention, Tenure, and Promotion Committee "B" (RTP "B")

Responsibilities:
RTP Committee "B" shall be concerned with retention, tenure, and promotion of faculty members of the lower ranks (i.e., instructor and Assistant Professor). The charge to the Committee is: 1) to review personnel files of those candidates eligible for reappointment, tenure, and promotion; 2) to review the annual evaluations and recommendations of eligible candidates which have been written by the department personnel committee and chairperson as appropriate; and 3) to report the Committee's recommendations to the candidate and to the Dean.

Membership and Election Procedure:
Membership to the College RTP "B" Committee will consist of six (6) tenured professors who hold the rank of either full or associate professor. Each of these professors shall be regular voting members. Each school/department will elect a tenured full or associate professor from their school/department to serve on the College RTP "B" Committee. In the situation where there is no eligible tenured full professor or associate available, the school/department may elect a tenured full or associate from outside of their school/department in a related discipline. Each school/department will submit to the College Faculty/Fiscal Affairs Committee the name of one faculty member to serve on the College RTP "B" Committee. The College Faculty/Fiscal Affairs Committee will verify that approved procedures were properly implemented in the selection of the membership of the College RTP "B" Committee.

A member of the College RTP "B" Committee will recuse him/herself when a member of his/her school/department or the school/department which s/he is representing is being reviewed.

Alternates and Selection Procedures:
Each school/department is responsible for electing its own alternates. In the situation where there is no eligible tenured full or associate professor available, the school/department may elect a tenured full or associate professor from outside of their school/department in a related discipline to serve as its alternate representative.

Quorum:
A quorum will be defined as five (5) members or their alternates.

Term of Office:
Each school/department will elect their representative for a one (1) year term. A representative may be reelected for one (1) consecutive term. An exception to these term limits will be made when a department does not have a sufficient number of full or associate professors from which to elect new representatives.

All tenured and probationary members of the college shall be eligible to vote in their respective department/school's elections, including FERP faculty.
Committee Procedures

The College RTP committee is responsible for evaluating the materials submitted by the candidate and the recommendations forwarded by the department and for making a recommendation concerning retention, tenure and promotion to the College dean. 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 committee's responsibility is to evaluate whether the College's criteria and the recommendations from previous years have been met. Recommendations for future growth in relation to the College criteria should be included in the recommendation. If deficiencies are found, the committee is responsible for making recommendations for improvement.

The College Committee will decide at its first meeting whether the dean will be invited to attend meetings of the committee, unless the College has established a specific policy. If so, policy should be stated below.

Motions relating to committee recommendations shall be placed in the affirmative. College personnel committee(s) shall act by a simple majority vote of the membership of the committee with an abstention counting as a negative vote. The College committee will give the faculty member a copy of the recommendation which shall state in writing the reasons for that recommendation. The faculty member shall have the right, within ten calendar days after the receipt of the recommendation, to respond in writing and/or request a meeting be held to discuss the recommendation. The faculty member's written response, if any, shall be placed in the Permanent Personnel Action file.

Each College committee recommends personnel actions to the Dean. The Dean is responsible for evaluating the material submitted by the candidate and the recommendations of the department/division committee, the department chair, and the College committee. The Dean shall review the individualized professional plans of the faculty being evaluated who have chosen to prepare such plans and shall take such plans into account in evaluating the faculty member's performance. If deficiencies are found, the dean is responsible for making recommendations for improvement. The Dean or equivalent shall then make a recommendation to the Provost and Vice President for Academic Affairs or equivalent. (See Levels of Review Section 15)

The Dean will give the faculty member a copy of his or her recommendation which shall state in writing the reasons for that recommendation. The faculty member shall have the right, within ten calendar days after the receipt of the recommendation, to respond in writing and/or request a meeting be held to discuss the recommendation. The written recommendation and the faculty member's written response, if any, shall be placed in the Permanent Personnel Action file prior to forwarding to the Provost and Vice President for Academic Affairs.

At all levels of review (i.e., the College personnel committee, and the College dean) the faculty member may request and will then be provided with the opportunity to discuss the recommendation with the recommending party. This provision shall not require that time lines be altered.

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.

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 established deadline date prior to the first level of review 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.

Information about policies and procedures after files leave the College are available in Articles 12, 13 and 15 of the Agreement and in the Faculty Handbook. Copies of all further recommendations and decisions shall be placed in the Permanent Personnel Action file.

ADDITIONAL COLLEGE POLICIES AND PROCEDURES, IF ANY: None
(Number additional pages, if needed, as 8-3, 8-4, etc. If none, so indicate.)
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 (1) College, the College shall decide which method is to be employed. If the two (2) departments are in different Colleges, then the two (2) 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: None
(Number additional pages, if needed, as 9-2, 9-3, etc. If none, so indicate.)
Basis for Evaluation (Retention, Tenure, and Promotion) of Probationary and Tenured Faculty

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 university working days given to the faculty member indicating the date upon which the observation will be made and indicating who will conduct it. 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 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.

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: Deans and 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.

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 COLLEGE POLICIES AND PROCEDURES, IF ANY: None
(Number additional pages, if needed, as 10-4, 10-5, etc. If none, so indicate.)
Review for Retention and Tenure

Faculty who are given a two (2) year initial probationary appointment shall not be evaluated by a College committee in the first year. Otherwise, faculty are reviewed annually for retention, and are reviewed for tenure during their sixth year, unless they request specifically in writing to be reviewed for tenure early. For the purposes of calculating the probationary period, a year of service commences with the first fall term of employment. The deadline for requests for consideration of early tenure and the deadline for closure of the personnel files are published annually in the Personnel Actions Calendar.

ADDITIONAL COLLEGE POLICIES AND PROCEDURES, IF ANY: None
(Number additional pages, if needed, as 11-2, 11-3, etc. If none, so indicate.)
Eligibility Criteria for Tenure and Promotion

The appropriate terminal degree is required for consideration for tenure and promotion beyond the rank of assistant professor, senior assistant librarian, or counselor faculty SSP-AR II.

Any department having a position for 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. 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.

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, below, its procedure for determining that the faculty member's years of service are meritorious. Such procedure shall include 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.

The appropriate terminal degree(s) for the College is the Ph.D.

The appropriate College committee to make recommendations on the in lieu of statement is the Faculty/Fiscal Affairs Committee.

THE COLLEGE’S PROCEDURES FOR DETERMINING MERITORIOUS SERVICE / PROMOTION ELIGIBILITY AS NOTED ABOVE AND ADDITIONAL COLLEGE POLICIES AND PROCEDURES, IF ANY: (Number additional pages, if needed, as 12-2, 12-3, etc.)

Procedures for Determining that a Faculty Member's Years of Service are Meritorious:

1. A faculty member after ten (10) years of service, although technically not eligible for consideration to the next higher rank under regular criteria (e.g., a terminal degree or equivalency), may be considered for promotion if: after a review of the faculty member's total performance, such performance is determined to be meritorious.

2. Meritorious performance shall be defined as excellence in teaching, scholarship, and/or service to the University/College/Department.

3. The candidate shall make a written request to the Dean on or before the date promotion files are closed. The College Faculty/Fiscal Affairs Committee shall determine whether he/she is eligible for consideration for promotion under this provision.

4. Once the individual's service has been determined meritorious, the faculty member must be judged by the same qualitative standards as are other promotion candidates and shall remain eligible for such consideration thereafter until promotion to the rank of Professor.

12-1
Procedures for Nomination and Recommendation for Promotion

Department and College committees shall consider for promotion all faculty members (1) who are simultaneously being considered for tenure with the exception noted below or (2) who are tenured and have served four years in the same rank/classification.

If a faculty member has been hired without tenure, but at the rank of associate professor and has been granted two (2) years credit toward tenure, then the sequence of events is that:

A) the person would be eligible for regular consideration for tenure during their 4th year of service, with tenure taking effect, if granted, at the beginning of the 5th year

B) the person would not be eligible for regular consideration for promotion to professor until the beginning of their 5th year of service (that is, until four (4) years of service have been completed at the rank of associate professor. If the person wishes to be considered for promotion at the same time as she/he is undergoing regular consideration for tenure (that is, during the 4th year of service), then such consideration for promotion shall be evaluated under the criteria for early consideration for promotion.

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

ADDITIONAL COLLEGE POLICIES AND PROCEDURES, IF ANY: None
(Number additional pages, if needed, as 13-2, 13-3, etc. If none, so indicate.)
Procedures for Nomination and Recommendation for Promotion

Department and College committees shall consider for promotion all faculty members (1) who are simultaneously being considered for tenure with the exception noted below or (2) who are tenured and have served four years in the same rank/classification.

If a faculty member has been hired without tenure, but at the rank of associate professor and has been granted two (2) years credit toward tenure, then the sequence of events is that:

A) the person would be eligible for regular consideration for tenure during their 4th year of service, with tenure taking effect, if granted, at the beginning of the 5th year.

B) the person would not be eligible for regular consideration for promotion to professor until the beginning of their 5th year of service (that is, until four (4) years of service have been completed at the rank of associate professor. If the person wishes to be considered for promotion at the same time as she/he is undergoing regular consideration for tenure (that is, during the 4th year of service), then such consideration for promotion shall be evaluated under the criteria for early consideration for promotion.

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

ADDITIONAL COLLEGE POLICIES AND PROCEDURES, IF ANY: None
(Number additional pages, if needed, as 13-2, 13-3, etc. If none, so indicate.)
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. 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. College procedures for hearing and documenting oral testimony shall be set forth in College 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 College policy should 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?

POLICIES AND PROCEDURES SPECIFICALLY ADDRESSING THE ABOVE FOUR (4) QUESTIONS, BY NUMBER, AND OTHER RELATED COLLEGE POLICIES AND PROCEDURES, IF ANY: (NUMBER ADDITIONAL PAGES, IF NEEDED, AS 14-2, 14-3, ETC.)

College Policy Procedures for Oral Testimony:

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

No one will be routinely invited to meet with the committee to provide oral testimony before the file closes or before the committee issues its draft recommendation (the written recommendation to which the faculty member has ten (10) days to respond). A request from the faculty member to meet with the committee members within ten (10) days after the committee issues its recommendation will be honored.

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

Requests for oral testimony may be initiated either by the RTP committee members or by the faculty member under review at any point in the deliberation process before the report is written to clarify materials in the file. Such requests will be honored. The faculty member under review and RTP committee members may invite oral testimony by authors of informational items in the file for purposes of clarification.

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

The candidate will not be allowed to bring someone with him/her when appearing before the committee.

4. How will oral testimony be recorded?

Oral testimony will be recorded by audio device. A summary statement of the information on the tape shall be written by the committee and signed by the committee members and the faculty member under review, affirming the accuracy of the summary statement. The summary statement shall be attached to the committee’s report for placement in the individual’s Personnel Action File. The faculty member under review may bring his/her own audio device to record the oral testimony. The original audio recording shall be housed in a locked file in the Dean's office.
Levels of Review

Levels of review for faculty serving in the first year of a two-year probationary appointment 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. 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 department 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 department 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 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.

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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 therefor. 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.

College policy regarding the dean’s role in the review of part-time temporary faculty must be stated below.

ADDITIONAL COLLEGE POLICIES AND PROCEDURES, IF ANY:
(NUMBER ADDITIONAL PAGES, IF NEEDED, AS 15-2, 15-3, ETC. If none, so indicate.)

College policy regarding the Dean's role in the review of part-time temporary faculty:

Each department of the College will appoint an ad hoc committee to review the performance of part-time faculty members each year. The Department Chair may be a member of the committee. This committee may or may not be the same as used for RTP purposes. A form containing the recommendation of the committee
will be forwarded to the Dean's office. The Dean will independently review the evidence of part-time faculty members' performance and add his/her evaluation to the forms submitted, as appropriate and necessary. The part-time faculty member will have the opportunity to receive a copy of the form at each stage of evaluation and may request a meeting with the evaluator(s) within ten (10) calendar days of the report's date. If the part-time faculty member chooses, a written response to the evaluation may be submitted, with a copy to the previous review level; this response will accompany the evaluation form to the next level and, ultimately, the part-time faculty member's personnel file. The form containing all evaluations and responses will be placed in the personnel file of the part-time faculty member ten (10) days following the Dean's receipt of the evaluation.
Recruitment, Appointment, Evaluation and Range Elevation of Temporary Faculty

See department ARTP documents. Lecturers shall be appointed by established procedures.
Basis for Consideration for Range Elevation of Temporary (Lecturer) Faculty

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. 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 shall be established at the College and department levels. Consideration of range elevation for temporary faculty shall be utilized by the same department/division and College 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 College criteria to be used in evaluations for Range Elevation must be described below.

COLLEGE CRITERIA FOR RANGE ELEVATION AND RELATED ADDITIONAL DEPARTMENT/DIVISION POLICIES AND PROCEDURES, IF ANY:
(Number additional pages, if needed, as 16-3, 16-4, etc.)

College Criteria for Range Elevation

Changes in qualifications that shall be taken into account in evaluating for range elevation shall include but are not limited to: Confirmation of advanced degree; publication of significant research; receipt of major grants/funding; external recognition at the level of honors and awards from significant bodies; etc. The department chair/school director will seek approval of this change in hiring by specifying in a memo to the Dean the reasons for the elevation. Upon approval of the Dean, the elevation will go into effect with the next hiring of the full-time temporary or part-time faculty member.
Review of College Personnel Procedures

Complete College personnel procedures, which conform to the Agreement, and University policies and procedures, and which use this template, must be submitted 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 College documents have been initially approved and during the life of an existing Agreement, department/school and College documents will be kept current by addenda to the standardized document. Colleges and departments/schools or equivalent units may propose addenda at any time. New procedures which originate in the department/school must be submitted as addenda, via the College, to the Faculty Policy 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/schools 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/schools and Colleges in a timely manner, but preferably prior to the fifth week of Winter Quarter each year.

ADDITIONAL COLLEGE POLICIES AND PROCEDURES, IF ANY: “NONE”
(Number additional pages, if needed, as 17-2, 17-3, etc. If none, so indicate.)