

**CALIFORNIA STATE UNIVERSITY, EAST BAY**  
**RETENTION, TENURE, AND PROMOTION POLICY AND PROCEDURES**

(75-76 BEC 42/74-75 CFA 7: Senate Approved May 11, 1976;  
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\*This revision incorporates all changes and amendments from the following documents: 76-77 CFA 4, 76-77 CFA 7, 77-8 CFA 9, 78-79 CFA 2, 78-79 CFA 6, 79-80 CFA 12 (as amended), 80-81 FAC 5, 80-81 FAC 7, 81-82 FAC 4, 82-83 BEC 4, 82-83 BEC 6, 83-84 FAC 9 (as amended), 83-84 BEC 7, 83-84 FAC 7 (as amended), 84-85 FAC 4 (as amended), 85-86 FAC 6, 86-87 FAC 6 (as amended), 86-87 FAC 12, 87-88 FAC 3 (as amended), 89-90 FAC 3 (Revised), 90-91 FAC 8 (Revised), 91-92 FAC 3, 96-97 FAC 5, 97-98 FAC 3, 97-98 FAC 6, 99-00 FAC 5, 00-01 FAC 4, 01-02 FAC 4, FAC 9, 02-03 FAC 4, 03-04 FAC 2, 05-06 FAC 4 revised. **08-09 FAC 8** as modified by 08-09 BEC 13.

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## **RETENTION, TENURE, AND PROMOTION POLICY AND PROCEDURES**

### **1.0 INTRODUCTORY STATEMENT**

The retention, tenure, and promotion policy of the University is designed to assure, within the policies of the Trustees of the California State University and the Collective Bargaining Agreement, that (1) excellence in the educational function will be recognized and rewarded, and that (2) the quality of the Faculty of the University will be maintained at the highest possible level.

Retention, tenure, and promotion decisions are based on excellence; they are not automatic. The candidate must clearly satisfy the appropriate criteria. Achievement as it is demonstrated should be appropriately rewarded. Administrative and executive employees shall not acquire tenure or academic rank without prior consultation with the department concerned (see Title 5, Section 42701, Consultative Procedures).

A profile approach shall be used in the evaluation of a candidate for retention, tenure, or promotion. Exceptional ratings on one or more of the criteria may offset minor deficiencies with respect to other criteria. CSU East Bay is a teaching institution, hence instructional achievement will be the foremost criterion at all levels of review.

Retention, tenure, and promotion decisions are separate, and the standards which govern them, while similar, are not identical. A probationary faculty member shall normally be considered for promotion at the same time he or she is considered for tenure. Promotion prior to the attainment of tenure is to be considered only in special circumstances. In no case shall a probationary faculty member be promoted beyond the rank of Associate Professor except when tenure and promotion to Professor are granted simultaneously. When a candidate does not have tenure, a recommendation to promote does not entail an obligation to recommend for tenure; neither does the according of tenure entail an obligation later to recommend for promotion.

The policies, procedures, and criteria described herein, which conform to provisions of the Collective Bargaining Agreement between the Trustees of The California State University and the California Faculty Association (hereafter abbreviated as "CBA"), the CSU Statement of Collegiality, and to other operative provisions of Title V of the California Administrative Code, Education, shall apply to all recommendations relating to retention, tenure, and promotion. This document, including amendments recommended by the Academic Senate and approved by the President of the University, supersedes all previous University policies on retention, tenure, and promotion.

### **2.0 NOTIFICATION TO NEW FACULTY REGARDING RETENTION, TENURE, AND PROMOTION POLICIES AND PROCEDURES**

#### **2.1 First Notification**

The Provost and Vice President of Academic Affairs will notify faculty of deadline dates for submission of dossiers by the opening day of the Fall Quarter each year.

#### **2.2 Department Notification**

In order to ensure that every new regular faculty member of the University is aware of his or her responsibility for maintaining a dossier for the use of the Department, College, and University in decisions regarding his or her retention, tenure, and promotion, the Department Chair shall, within the first four weeks of the faculty member's initial appointment, bring to the attention of the new faculty member the then-current University documents describing the policies, procedures, and deadline dates governing retention, tenure, and promotion. The Department Chair shall inform the new faculty member

of the need to maintain a dossier and the kinds of evidence to be included in it. The Department Chair shall also file a copy of the appropriate policy document in the faculty member's dossier, together with the following statement signed by the new faculty member:

I hereby affirm that my Department Chair has informed me about the Retention, Tenure, and Promotion Policy and Procedures of California State University, East Bay. I understand that I am required to create and maintain a dossier of evidence documenting my instructional and professional achievements and other contributions to the University. I understand further that it is my responsibility to know the provisions governing any instance of retention, tenure or promotion for which I may come under review, and to adhere to stipulated time-tables for such reviews.

### 2.3 Mentorship

The Department Chair or Chair Designee shall serve as formal advisor for all faculty eligible for retention, tenure, and/or promotion, discussing the candidate's progress no later than the end of each academic year. Probationary faculty are urged to seek out mentors within or outside the Department and the assistance of the Faculty Development Center.

## 3.0 GENERAL PROVISIONS

### 3.1 Sequence of Evaluation

Faculty considered for retention, tenure, and promotion shall be evaluated by their faculty colleagues. This judgment shall be rendered by elected Retention, Tenure, and Promotion Committees at appropriate levels. The recommendations of these Committees, together with the separate recommendations of Department Chairs and College Deans, shall be forwarded to the President of the University. The President of the University shall make the final decision in each case.

- 3.1.1 Evaluation of faculty shall begin at the department level. The general sequence of recommendations shall be from the Department, to the College, to the University level. In the special case of faculty with appointments in programs outside of regular departments, the evaluation process shall begin with the College Committee.
- 3.1.2 *In retention cases*, the Department Committee shall first make its recommendation, which will be transmitted to the Department Chair. The Chair shall forward the Committee's recommendation together with his or her own recommendation, to the College Dean. If the Department Committee and the Department Chair disagree on their retention recommendations, or if the College Dean requests it, the College Committee shall consider the recommendations of the Department Committee and the Department Chair and formulate its own recommendation, which will be transmitted to the College Dean. The College Dean shall separately evaluate the faculty member and forward his or her recommendation, together with the recommendations of the other reviewing bodies, to the President. The University Committee shall be consulted in retention cases only where bias is charged, according to the procedures specified in Sections 11.2.9 and 12.2.4(b).
- 3.1.3 *In cases of tenure and/or promotion*, the sequence of evaluations shall be identical at all levels for candidates and shall consist of the following stages: (1) separate evaluations first by the Department Committee and then by the Department Chair; their recommendations are to be forwarded by the Department Chair to the College Committee via the Office of the College Dean; (2) separate evaluations first by the College Committee and then by the College Dean; their recommendations are to be forwarded by the Dean to the University Committee via the Office of the Provost and Vice President for Academic Affairs; and (3) evaluation by the University Committee, which shall make its recommendations to the President of the University.

3.1.4 Having received the documentation and recommendations from lower levels, the President shall notify the candidate, in writing, of his or her decision. The President's notification shall be made in conformity with the appropriate deadline date as specified on the final page of this document.

3.2 Conflicts of Interest

3.2.1 *Regarding candidates for promotion:* The procedures for election of faculty Committees at each level are specified in Sections 10.1, 11.1, and 12.1 of this document. However, no faculty member who is a candidate for promotion shall serve in any capacity on any Tenure and Promotion Committee during the period between July 1 and June 30 when he or she is a candidate for promotion.

3.2.2 *Regarding Department Chairs:*

a. No Department Chair or College Dean who is currently a candidate for promotion shall write an official letter of evaluation in his or her own behalf.

b. No Department Chair shall write a letter of evaluation for any candidate in the department seeking promotion to a higher rank than the Department Chair currently holds. The Chair of the Department Committee shall include a notice in the WPAF of each affected candidate accounting for the absence of a letter from the Department Chair, and shall forward the recommendation of the Department Committee for each such candidate to the College Committee via the Office of the College Dean.

3.3 Candidate's Personnel Action File (PAF), Working Personal Action File (WPAF), Dossier, and Related Materials

3.3.1 Definitions of Terms

a. "Personnel Action File" (hereafter abbreviated as "PAF") refers to the official personnel file containing employment information and other information relevant to personnel recommendations or actions regarding a faculty unit employee. These materials normally include the candidate's letter of appointment, numerical scores of teaching evaluations submitted annually by the candidate's department, and other materials relating specifically to the faculty member's employment at the University. The PAF remains at the Provost's Office during the cycle of evaluation and will be available to all levels of review. No material may be added to the PAF without the candidate's knowledge.

b. "Folder # 1" refers to the folder containing copies of materials from the PAF circulated to different levels of review, along with the candidate's dossier, in a cycle of evaluation. Folder # 1 normally contains the candidate's letter of appointment and numerical teaching evaluations from the start of the period of eligibility; as well as all materials generated during the evaluation cycle, such as the dossier index, *curriculum vitae*, and evaluations by the faculty Committees, the Department Chair, and the College Dean. Other materials may be added during the cycle with the permission of the University Committee.

In cases of tenure and promotion, Folder # 1 refers to the tenure folder; and Folder # 2 refers to the promotion folder, which contains the same material as the tenure folder but in reference to promotion.

c. The "dossier" refers to the evidence provided by the candidate.

d. The "dossier index" refers to the table of contents of the dossier, which forms the official record of the evidence in the dossier.

- e. "Working Personnel Action File" (hereafter abbreviated as "WPAF") refers to Folder # 1 (and Folder # 2 where relevant) and the dossier *combined*, and is circulated to the different levels of review in an evaluation cycle.
- f. "Evidence" refers to all materials in the WPAF and PAF, including both folder # 1 and the dossier.
- g. The "period of eligibility" is the time during which a candidate is being considered for retention, tenure, and/or promotion. For probationary faculty, this includes (1) each annual retention cycle from the candidate's appointment to his or her period of eligibility for tenure and/or promotion; and (2) the year in which the candidate applies for tenure and/or promotion to Associate Professor. For faculty at the Associate rank, this is the period beginning in their fifth year following promotion to Associate Professor.
- h. An "evaluation cycle" is the period of time during which a candidate is being considered for retention, tenure, and/or promotion. For probationary faculty, the cycles are equivalent to the periods of a candidate's eligibility. For faculty at the Associate rank, an evaluation cycle is the year in which a candidate chooses to apply for promotion to Full Professor.

### 3.3.2 Building the Dossier

- a. In accordance with Section 2.0, it is the responsibility of the candidate to prepare and maintain a dossier containing evidence which shall provide a basis for informed judgment on his or her qualifications. It is the responsibility of the Department Chair or the Chair's designee to advise the candidate on the proper selection, organization, and presentation of material in the dossier according to the relevant criteria, and on the preparation of an adequate dossier index.
- b. The candidate is also strongly urged to include an introductory narrative letter regarding the materials in his or her dossier and a narrative description at the start of each section explaining the significance of his or her achievements and improvements since the previous cycle of review.
- c. The candidate should include evidence in the dossier that is strictly relevant to the five categories of the retention, tenure, and promotion process (see 4.0 below). Quality and clarity are highly valued; excessive quantity and repetition are not.
- d. The same evidence may be discussed under more than one section of the dossier, but only one copy of the evidence should be included in the dossier.
- e. A candidate may include a separate section containing representative evidence of achievement for which he or she received service credit at the time of appointment, but the preponderance of evidence must substantiate achievements at CSUEB.
- f. *Regarding the inclusion of teaching evaluations:*
  - (1) The candidate's dossier must document teaching performance according to evaluation techniques appropriate to the candidate's discipline and using impartially administered student evaluation forms. In accordance with the CBA and the University's "Policy on Teaching Evaluations," a minimum of two (2) classes annually for each faculty unit employee shall have such student evaluations. These evaluations shall be conducted in classes representative of the faculty unit employee's teaching assignment, agreed upon by the candidate and the Department Chair at the beginning of each academic year.
  - (2) Any documentation must include for each class or other instructional assignment evaluated a statement which specifies the class, date, number of students in the class and number of respondents, and which summarizes the results of the evaluation. See "Policy

on Student Evaluations” for details. The instructor may also include analyses of the data and evaluation forms of a different type and may include reports of classroom visits by other faculty members and other appropriate evidence.

(3) The candidate may choose which student evaluations he or she places in the dossier but is encouraged to demonstrate teaching capacity across a variety of courses and to include copies or summaries of student comments from the original evaluations. The complete numerical summaries submitted by the candidate’s Department to the PAF will be included in Folder # 1 and need not be replicated in the dossier.

### 3.3.3 Submission of Materials to the WPAF:

- a. *Significance of the dossier index:* In accordance with Section 15 of the CBA, materials for evaluation submitted by the candidate shall be deemed incorporated by reference in the PAF, but need not be physically placed in the file. Thus the dossier index represents the formal record of the dossier and will be permanently placed in the PAF and appropriately updated to reflect any material added to the file during the course of the evaluation cycle for the WPAF. Materials incorporated by reference in this manner shall be considered part of the WPAF.
- b. *Deadline for submission of dossier and dossier index:* The candidate will submit his or her dossier to the department and his or her dossier index to the Provost’s Office according to the timelines at the end of this document.
- c. *Other potential materials for PAF:* The candidate may also wish to submit the *curriculum vitae* and introductory narrative letter from his or her dossier for inclusion in the WPAF.

### 3.3.4 Disposition of Materials in the WPAF

#### a. *Regarding the dossiers:*

- (1) It is expected that for tenure, and for each successive instance of retention and promotion, a candidate's PAF and dossier will be augmented by evidence of intervening achievement appropriate to the instance at hand, and that outdated or otherwise superfluous documentation will be removed.
- (2) The dossier shall be returned to the candidate at the end of each evaluation cycle.

#### b. *Regarding Folder # 1:*

- (1) Prior to the award of tenure, letters of recommendation on retention shall remain in Folder # 1 of the WPAF.
- (2) After the award of tenure, no letters of recommendation pertaining to earlier considerations for retention, tenure, or promotion shall be placed in the PAF unless the candidate himself or herself chooses to do so.
- (3) Department and College Offices shall not maintain a cumulative file of copies of past letters of recommendation; such copies of letters of recommendation as are kept by Department and College Offices shall be destroyed by the Department Chair and College Dean respectively at the end of the academic year in which they were written.
- (4) The original letters of recommendation in tenure and promotion actions shall be disposed of by the Provost and Vice President for Academic Affairs according to the provisions of Section 12.3.5.

- (5) All student evaluation materials for each course evaluated more than five academic years before the current consideration shall be returned to the candidate. This shall not preclude the candidate from adding these evaluations to the dossier.

### 3.4 Maintenance of a Uniform WPAF

In making recommendations neither the faculty Committees, nor the Department Chair, nor the College Dean, nor the President shall take into account evidence which has not been available to each of the reviewing bodies.

- 3.4.1 Ideally, a candidate's appeal at any level should be finished before the transmittal of the WPAF to the next level. In the event a deadline requires that the WPAF be sent forward before an appeal is concluded, the written responses to the appeal shall follow the WPAF as soon as possible.
- 3.4.2 The deadline for insertion of documentation into the PAF (for Folder # 1) and the dossier will be October 23 for candidates for promotion or tenure; November 15 for first and second year retention candidates; and February 1 for third, fourth, and fifth year retention candidates. Such documentation may include information provided by the candidate, faculty unit employees, students, academic administrators, and the President. Faculty unit employees and academic administrators may submit statements and opinions about the qualifications and work of the candidate provided by other persons identified by name.
- 3.4.3 Any new evidence submitted after the deadline shall be limited to items that became accessible after the deadline and must have the approval of the University Committee for inclusion. This new evidence will be submitted in proper sequence to each reviewing body so that each body in turn may indicate the extent, if any, to which the new evidence has modified its previous recommendation. WPAFs will not be returned for such reviews.
- 3.4.4 The candidate will receive copies of all materials submitted to the WPAF by any person other than himself or herself.

### 3.5 Retention, Tenure, and Promotion Committees

Throughout this document, the "Committees" shall be deemed to include: the Department Retention, Tenure, and Promotion Committee; the College Tenure and Promotion Committee; and the University Tenure and Promotion Committee.

- 3.5.1 The Department Committee may be a single Retention, Tenure, and Promotion Committee; or a separate Retention Committee and a separate Tenure and Promotion Committee, depending on the availability of eligible faculty to serve.
- 3.5.2 The College Committee is a Tenure and Promotion Committee only, but may be asked to evaluate applications for retention under certain circumstances.
- 3.5.3 The University Committee is a Tenure and Promotion Committee only, but may be asked to evaluate applications for retention under certain conditions.

### 3.6 Committee Operations at All Levels

- 3.6.1 The Committees shall serve for a term of one year, from July 1 through June 30. Those eligible may not serve at more than one level simultaneously.
- 3.6.2 *Eligibility to vote:* Those eligible to *vote* for members of the Committees are the probationary and tenured Regular Faculty of Departments and Colleges as defined by the Constitution of the University Faculty. No person not a member of the faculty unit under provisions of the CBA shall be eligible to vote in elections for the Committees.

3.6.3 *Eligibility to serve:*

- a. Tenured Regular Faculty who hold the rank of Associate Professor are eligible to serve on their Department Retention Committees; and may serve on one other Retention Committee in a department other than their own.
- b. Tenured Regular Faculty who hold the rank of Full Professor are eligible to serve on any Department Committee, and may serve on one other Committee in a department other than their own.
- c. Department Chairs who are tenured Full Professors may serve on no more than two Committees in a department or departments other than their own.
- d. Department Chairs, College Deans, and Associate Deans, although members of the Regular Faculty, are not eligible to serve on the College and University Committees.
- e. Eligibility for service on Promotion and Tenure Committees will reflect the faculty member's status as of September of the evaluation year.

3.6.4 Each member of a Committee shall vote on every case before the Committee. A majority of the total Committee membership must vote in favor of the candidate in order for the Committee's recommendation to be an affirmative one.

3.6.5 A Committee's recommendation shall be in written form, as a letter to be included in the WPAF. Every member of the Committee shall sign the letter.

3.6.6 A Committee's letter shall state the Committee's recommendation. Ordinarily, the letter will also summarize favorable and unfavorable views according to each of the criteria. In the absence of a unanimous recommendation, the letter shall include two separate sections: one for the majority opinion and one or more for minority opinions. The Committee members shall sign only the single letter of the Committee as a whole, with no separate indications of which viewpoint any individual member favors.

3.6.7 Members of Committees and administrators at all levels shall maintain the confidentiality of all substantive business of the Committee. Inquiries from other faculty members about the work of the Committee should be directed to the Committee Chair.

## 3.7 Consultation with Students

## 3.7.1 Notification to Students

a. Chairs of Departments shall post the following notice on departmental bulletin boards:

It is the policy of California State University, East Bay that students may consult with Departmental Retention, Tenure, and Promotion Committees on the retention, tenure, and promotion of departmental faculty. If any student desires to meet with the Department of \_\_\_\_\_ Promotion, Tenure and Retention Committee to discuss the performance of a faculty member being considered by the Committee, arrangements can be made with the Department Chair in Room \_\_\_\_\_ before \_\_\_\_\_.

b. The Department may adopt any procedure by which the names of faculty members being considered are made known to students, but in any case the names shall be available to students, upon request, from the Department Chair. Students desiring to testify shall make arrangements with the Department Chair before November 1.

c. The Department Chair shall arrange in cooperation with the Chair of the Department Promotion, Tenure, and Retention Committee, the time and place of the meeting(s) of the Committee for the purpose of hearing students.

### 3.7.2 Consultation Procedures

a. Committee meetings at which student consultation is to take place shall not include any faculty members not on the Committee and must include at least a quorum of the Committee.

b. Whenever possible, each student requesting consultation shall be heard individually. The Committee, however, may make exceptions when circumstances warrant.

c. The Committee shall keep a written summary of the comments of each student. Such summary shall specify the course(s) taken or the student's other involvement with the faculty member. In addition, an alphabetical list of the students who have testified before the Committee shall be kept. These summaries shall be retained in the Department office until the expiration of the period during which a grievance could be filed. A candidate has the right to see the summaries related to his or her case.

d. In its written recommendation on the faculty member, the Committee shall note whether or not student comments have been received and shall include a summary of comments received and the Committee's evaluation of such comments.

### 3.8 Rights of the Candidate

3.8.1 The candidate is entitled to be informed of and to have read all materials in his or her WPAF as it goes forward from one level to another.

3.8.2 The candidate shall be informed of the recommendation in his or her case at each stage of the reviewing process, and of the reasons for that recommendation. The candidate shall therefore receive copies of the letters of the Committees and of the Department Chair and the College Dean, regardless of whether the recommendation is positive or negative. The Department Chair and the College Dean have the responsibility for providing the candidate with such letters at the appropriate level in accordance with Sections 10.2.4 and 11.2.7 of this document.

3.8.3 The candidate shall have the right to appeal a negative decision at the Department or College level and to add a letter of rebuttal to his or her WPAF in accordance with provisions of Section 10.2.4 and 11.2.7 of this document.

3.8.4 Any candidate for promotion to any rank may withdraw his or her candidacy at any stage of consideration by requesting this action in writing, of the Department Chair, who shall take immediate steps to stop all further consideration.

3.8.5 When all provisions of this document have been exhausted, a candidate for retention, tenure, or promotion who has received a negative decision from the President may then appeal his or her case in accordance with Article 10 of the CBA ("Grievance Procedures"). In retention cases, this shall not be interpreted to mean that the candidate must first have requested an investigation of bias under provisions of Section 11.2.9 of this document.

3.8.6 The candidate will have supervised access to his or her WPAF upon request at any point in the evaluation cycle.

### 3.9 Coping with Bias

All reviewing bodies are charged with making their recommendations without bias. Nevertheless, it is recognized that personal prejudice may insert itself into personnel decisions. Section 12.2.4(b) of this document provides, with regard to tenure and promotion cases, that the University Committee be

especially alert for this problem, and empowers it to undertake whatever special investigation may be necessary to evaluate the degree of bias at lower levels of review and to make appropriate recommendations to the President. A candidate for retention, notwithstanding the fact that his or her case does not ordinarily go to the University Committee, may have similar recourse to that Committee on charges of bias, as specified in Section 11.2.9 of this document.

### 3.10 Deadlines

3.10.1 Deadline dates for retention, tenure, and promotion proceedings are listed on the final page of this document. These deadlines are established not only for administrative convenience and legal requirements, but also to ensure equitable consideration of all cases.

3.10.2 The candidate must submit the completed dossier to the Department Chair and the dossier index to the Provost's Office by the specified deadline date. Upon written request of the candidate, the Department Chair may extend the deadline, but only for the most compelling reasons, and for no more than two weeks.

a. A candidate who submits the dossier after the established deadline will not be considered for promotion that year, and the Department Chair shall so notify the College Dean in writing, with a copy to the candidate.

b. If a candidate for retention or tenure fails to comply with the obligation to provide a dossier of materials within the established deadlines, then in accordance with Article 15.12 of the CBA, the evaluation will proceed on the basis of material deemed appropriate by the Department Chair after consultation with the College Dean.

3.10.3 WPAFs shall be transferred to the next level of review or administrator as soon as possible, and in no case later than the deadline date. If a recommendation is unfinished by the deadline, the candidate shall be so notified, and a copy of the notification shall be attached to the WPAF. (See Article 15.44 of the CBA.) At any stage of the review process, if there are omissions of documentation, information, or recommendations, it may be returned for amplification. Such amplification shall be provided in a timely manner.

## 4.0 DEFINITION OF UNIFORM CRITERIA

All faculty, whatever their rank, experience, or discipline, are engaged in a similar intellectual enterprise and perform essentially the same kinds of services for the University. Hence faculty will be evaluated according to uniform criteria for instructional achievement, professional achievement, university service, and community service.

One exception applies:

Departments will establish and maintain guidelines for professional achievement that are consistent with a) the department's discipline or disciplines; b) the uniform criteria for professional achievement outlined in section 4.3 below; and 3) CSU professional criteria in general, as suitable to a teaching university. The guidelines will be developed by departmental faculty in consultation with the College Dean and will go into effect upon approval by the Faculty Affairs Committee, the Academic Senate, and the President.

### 4.1 *Degree*

This criterion is met by possession of the Doctorate, or the normal terminal degree (or in exceptional cases, the equivalent thereof). Each Department shall maintain with the Office of the

Provost and Vice President of Academic Affairs an approved memorandum of understanding that will define the appropriate terminal degree for faculty serving in that Department.

Each Department, by majority vote of the tenured faculty of that Department, shall also file with the Office of the Provost and Vice President for Academic Affairs a memorandum of understanding that will define equivalence for each terminal degree which is appropriate for members of the Department. This memorandum must be approved by the Provost and Vice President for Academic Affairs and by the Faculty Affairs Committee before it can become effective. Unless the appropriate memorandum is on file, no person shall be deemed to have such equivalence. Once a person receives an equivalent designation under this policy, no further designations of equivalency are required.

#### 4.2 *Instructional Achievement*

Instructional achievement may be demonstrated by documentary evidence of the ability to select appropriate materials, to present course content effectively, and to make significant demands upon the intelligence and industry of students. Such documentary evidence shall include impartially administered student evaluations, peer evaluations, course syllabi, and additional information, such as samples of student work evaluated by the candidate, examinations, and supplemental materials. (See Section 3.3.2f.)

Student evaluations will be considered as one element in the full evaluation of instructional achievement. Additional support of instructional achievement may include evidence of any of the following, or other appropriate activities:

- a. creativity in coursework as demonstrated by innovative techniques, by adaptation of course content to reflect change and progress in the subject matter area, or by initiation of and participation in student-oriented seminars, colloquia, workshops, exhibitions, dramatic performances, debates, forums, recitals, and the like;
- b. ability to develop and present new courses or activities as demonstrated by specimen course outlines, by preliminary investigations into the necessary library or equipment acquisitions, or by acceptance of the courses or activities by faculty and students;
- c. ability to relate the discipline to other disciplines and fields of endeavor, as demonstrated by participation in interdisciplinary programs, seminars, and forums; and in freshmen learning communities;
- d. advising and counseling effectiveness, especially for purposes of student success and retention;
- e. student achievement and recognition as demonstrated by awards, fellowships, publications, exhibits, performances, vocational employment or entry into professional training or graduate programs, when such recognition is an outgrowth of the instructor's guidance and instructional effectiveness;
- f. supervision of undergraduate independent study students as evidenced by program reports, and of graduate students, supported by abstracts of thesis or project reports;
- g. successful supervision of student teachers;
- h. successful supervision of students in credentialing, clinical, and other counseling programs;
- i. successful supervision of service-learning internships;
- j. contributions to the development of hybrid and online learning;

k. instructionally-related administrative assignments;

l. An ability to provide effective instruction to a multiethnic and culturally diverse student population.

#### 4.3 *Professional Achievement*

Uniform criteria for professional achievement is demonstrated by material documenting meritorious contributions and recognition within the field of the candidate's competence. This may be shown by any of the following, articulated in approved departmental guidelines for professional achievement:

- a. publications, in the form of contributions to professional journals of national or international circulation, or in the form of works published by publishing houses of national or international repute, together with pertinent reviews of the published works;
- b. critical contributions, in the form of criticism or reviews for national periodicals or magazines, national newspapers, or other communication media;
- c. oral contributions at professional conferences, seminars, workshops, institutes, or special programs;
- d. performances in the performing arts, together with pertinent reviews thereof;
- e. exhibitions in the graphic arts, together with pertinent reviews thereof;
- f. translations of works in foreign languages;
- g. contributions to the scholarship of teaching;
- h. an active program of scholarly or creative work in progress, appropriate to the discipline;
- i. service on committees or boards of professional societies and organizations;
- j. receipt of awards, prizes, fellowships, or grants;
- k. professional consultancies, showing the nature of the consultancies, and the nature of the organizations requesting the consultant service;
- l. *In retention cases*, evidence of substantial progress toward achievement of the Doctorate or other normal terminal degree may qualify also as evidence of professional achievement. In tenure cases the recent award of the Doctorate or other normal terminal degree may qualify as evidence of professional achievement.

#### 4.4 *University Service*

Internal University contributions may be demonstrated by documentary material showing service to the University in such areas as:

- a. faculty government;
- b. committee service at the Department, College, or University levels;
- c. activities that enhance the University's ability to serve the needs of a multiethnic and non-traditional student body;
- d. assistance in student activities;
- e. University administrative assignments;
- f. coordination of graduate programs;
- g. coordination of single subject programs;

- h. coordination of student-learning activities;
- i. coordination of Academic Major assessments;
- j. administrative assignments not involving instruction.

#### 4.5 *Community Service*

Community service may be demonstrated by documentary material to show achievement and recognition in activities which enhance community well-being and the relationship between the University and the community. The term "community" may be seen to be local, regional, state, national, or international in character. Evidence may also be included of achievement as a University representative in local, regional, state, national or international organizations. Community service may be demonstrated by documentary material in such areas as:

- a. service on local or state government councils, boards, committees, task forces, etc.;
- b. service on local or state, private or public agencies or civic organizations, councils, boards, task forces, etc.;
- c. presentations, classroom participation, and professional services in local schools;
- d. supervision of student community service projects;
- e. presentations to public and private civic organizations.

## 5.0 RETENTION

### 5.1 Expectations

Reappointment of an untenured faculty member is not routine; an untenured faculty member must demonstrate to the University that he or she is worthy of retention. A recommendation for retention carries no obligation for the future award of tenure. However, it assumes that the candidate meets not only criteria in Section 5.2, but also shows promise of satisfying the criteria for tenure and promotion as described in Sections 6.3, 7.3, 8.3, and 9.3. There shall be greater evidence of achievement the closer the candidate is to being considered for tenure.

### 5.2 Criteria

The candidate's dossier shall contain documentary evidence to substantiate performance and promise under criteria 5.2.1, 5.2.2, 5.2.3 below, and may also contain evidence substantiating performance under criteria 5.2.4 and 5.2.5. First and highest priority shall be accorded to 5.2.1. Next highest priority shall be accorded to 5.2.2, followed by 5.2.3. Lower priority shall be accorded to 5.2.4, and lowest priority to 5.2.5.

- 5.2.1 *Degree* (see 4.1)
- 5.2.2 *Instructional Achievement* (see Section 4.2)
- 5.2.3 *Professional Achievement* (see Section 4.3)
- 5.2.4 *University Service* (see Section 4.4)
- 5.2.5 *Community Service* (see Section 4.5)

### 5.3 Procedures

- 5.3.1 Each untenured probationary faculty member shall be evaluated for retention each year, in accordance with the procedures outlined in sections 3.0 and 10.0 of this document.
- 5.3.2 A faculty member who is serving in a terminal "notice" year may request that the previous negative decision on reappointment be reconsidered. The Department Promotion and Tenure Committee shall evaluate new evidence provided by the faculty member, and shall recommend that the request be granted or denied; it shall forward the WPAF, with the new evidence, to the Department Chair. The Department Chair shall recommend that the request be granted or denied; he or she shall then forward both the recommendations to the President. If the President grants the request, reconsideration shall be accomplished on the same basis and according to the same criteria as if it were a regular consideration for reappointment. A request for reconsideration will be denied if a grievance has been filed on the matter of reappointment and has not been withdrawn.

## 6.0 TENURE

### 6.1 Expectations

Tenure constitutes more than recognition of past teaching performance and scholarly work. It is a judgment by the faculty that the candidate will continue to contribute into the future to the development of the University. Tenure is a commitment (into the future) in anticipation of contributions to the University in the areas of instructional achievement, professional achievement, university service, and community service, and should only be granted within this framework.

### 6.2 Eligibility

Eligibility for tenure is governed by the CBA, Article 13. The major provisions follow.

- 6.2.1 A probationary faculty member is subject to review according to these procedures for the purpose of the award of tenure.
- 6.2.2 The normal period of probation is six years of full-time probationary service and credited service, if any. For the purpose of calculating the probationary period, a year of service commences with the first fall term of appointment. At the time of initial appointment to probationary status, up to two years of credited service for probation may be granted by the President, upon recommendation by the affected department. Any deviation from the normal six year probationary period shall be the decision of the President following his or her consideration of recommendations from the Department or equivalent unit and appropriate administrator(s). The President may award tenure to a faculty member before the end of the normal six year probationary period.

### 6.3 Criteria

The candidate's dossier shall contain documentary evidence to substantiate performance and promise under criteria 6.3.1, 6.3.2, 6.3.3, and 6.3.4, and may also contain evidence substantiating performance under criterion 6.3.5. First and highest priority shall be accorded to 6.3.1. Next highest priority shall be accorded to 6.3.2, followed by 6.3.3. Lower priority shall be accorded to 6.3.4, and lowest priority to 6.3.5.

6.3.1 *Degree* (see Section 4.1)

6.3.2 *Instructional Achievement* (see Section 4.2)

- 6.3.3 *Professional Achievement* (see Section 4.3)
- 6.3.4 *University Service* (see Section 4.4)
- 6.3.5 *Community Service* (see Section 4.5)
- 6.4 Procedures
  - 6.4.1 Tenure determination procedures are those outlined in sections 3.0, 10.0, 11.0 and 12.0 of this document.
  - 6.4.2 The President shall officially notify the probationary faculty member of the final decision on the award or denial of tenure no later than June 1. The lack of official notice shall not result in the award of tenure. If tenure is denied, the President shall notify the faculty member by June 1 of a subsequent probationary appointment or a terminal year appointment. Terminal year appointments shall be limited to probationary faculty members who have served a minimum of three years.
  - 6.4.3 A faculty member who is serving in a terminal "notice" year may request that the previous negative decision on tenure be reconsidered. The Departmental Committee on Promotion and Tenure shall evaluate new evidence provided by the faculty member, and shall recommend that the request be granted or denied; it shall forward the WPAF, with the new evidence, to the Department Chair. The Department Chair shall recommend that the request be granted or denied; the Department Chair shall then forward both of the recommendations to the President. If the President grants the request, reconsideration shall be accomplished on the same basis and according to the same criteria as if it were a regular consideration for tenure. A request for reconsideration will be denied if a grievance has been filed on the matter of tenure and has not been withdrawn
- 6.5 Early Tenure
  - 6.5.1 The normal period of probation is six years. Any deviation from this standard is unusual and shall require such an unusually strong profile of performance in all aspects of tenure criteria or other factors as to make the case unambiguously compelling.
  - 6.5.2 An Assistant Professor who has not completed the probationary period and wishes to be considered for early tenure must submit to the Department Chair a written letter titled "Request for Consideration for Early Tenure," which will be included in the candidate's WPAF. Such a request shall not be considered beyond the Department level unless a positive recommendation is received from both the Department Committee and from the Department Chair.
  - 6.5.3 To be considered for promotion under these circumstances, a candidate's dossier must contain evidence of extraordinary achievement or recognition beyond the normal expectations for tenure under either the instructional or professional criteria, while also satisfying the other criteria appropriate to tenure.
  - 6.5.4 The Department Committee and the Department Chair, as well as the College Committee and the Dean, must each complete a thorough review of the candidate's WPAF and must state in their separate letters that the candidate's case is an unambiguously compelling example of extraordinary achievement beyond the expectations for normal tenure.
  - 6.5.5 The calendar and sequence of evaluation for early tenure will be the same as those for normal tenure.

## **7.0 PROMOTION FROM ASSISTANT TO ASSOCIATE PROFESSOR**

### **7.1 Expectations**

The Assistant Professor in the early stages of his or her appointment is typically facing a full teaching load for the first time. It is necessary to combine teaching with the continuance of scholarly interest and contribution. Additional University responsibilities may include committee work and administrative assignments. An Assistant Professor should have completed the Doctorate, or the normal terminal degree, or, in exceptional cases, the equivalent thereof, to be eligible for promotion to Associate Professor. Effectiveness in teaching, professional contributions, university service, and community service should be the general criteria for promotion to Associate Professor rank.

### **7.2 Eligibility**

- 7.2.1 An Assistant Professor must hold the Doctorate or the normal terminal degree, or, in exceptional cases, the equivalent thereof to be eligible for promotion. If this condition is met, an Assistant Professor is entitled to be considered for promotion to Associate Professor when he or she has served a minimum of either five (5) years as an Assistant Professor, or met any other criteria established as sufficient by the current CBA.
- 7.2.2 However, before receiving tenure, a faculty member shall not normally be promoted to, and cannot be promoted beyond, the rank of Associate Professor.

### **7.3 Criteria**

The candidate's dossier shall contain strong evidence documenting performance under 7.3.1, 7.3.2, and 7.3.3, and may also contain evidence substantiating performance under 7.3.4. Highest priority shall be accorded to criterion 7.3.1 followed by 7.3.2. Lower priority shall be accorded to 7.3.3, and lowest priority to 7.3.4.

- 7.3.1 *Instructional Achievement* (see Section 4.2)
- 7.3.2 *Professional Achievement* (see Section 4.3)
- 7.3.3 *University Service* (see Section 4.4)
- 7.3.4 *Community Service* (see Section 4.5)

### **7.4 Procedures**

Evaluation for promotion at this level shall take place according to procedures specified in sections 3.0, 10.0, 11.0, and 12.0 of this document.

### **7.5 Early Promotion to Associate Professor**

- 7.5.1 Promotion to Associate Professor prior to attaining eligibility is exceptional and is reserved for those individuals who have demonstrated exceptional professional value to the University.

- 7.5.2 An Assistant Professor who has not completed the probationary period but has completed at least one year of full-time service to the University and wishes to be considered for early promotion must submit to the Department Chair a written letter titled "Request for Consideration for Early Promotion," which will be included in the candidate's WPAF. Such a request shall not be considered beyond the Department level unless a positive recommendation is received from the Department Committee or from the Department Chair.
- 7.5.3 To be considered for promotion under these circumstances, a candidate's dossier must contain evidence of extraordinary achievement or recognition under either the instructional or professional criteria while also satisfying the other criteria appropriate to that promotional level.
- 7.5.4 The calendar and sequence of evaluation for early promotion to Associate Professor will be the same as those for normal promotion to Associate Professor.
- 7.5.5 The Department Committee and the Department Chair, as well as the College Committee and the Dean, must each complete a thorough review of the candidate's WPAF and must state in their separate letters that the candidate has demonstrated exceptional professional value to the University.

## **8.0 PROMOTION FROM ASSOCIATE TO FULL PROFESSOR**

### **8.1 Expectations**

The Associate Professor must have completed the Doctorate, or the normal terminal degree, or, in exceptional cases, the equivalent thereof, to be eligible for promotion to Professor. The Associate Professor will typically be a faculty member who has already demonstrated (at this University or at another college or university) a consistent record of excellent teaching, the ability to make sustained scholarly contributions, a commitment to university service, and a commitment to community service. The general criterion for this promotional step is, therefore, whether the accomplishments of the Associate Professor are meritorious. Promotion to Full Professor is not automatic.

### **8.2 Eligibility**

An Associate Professor must hold the Doctorate or the normal terminal degree, or, in exceptional cases, the equivalent thereof, to be eligible for promotion to Professor. Tenure must have been awarded either previously or simultaneously before promotion to Professor is possible. If these conditions are met, a person may be considered for promotion to Professor when he or she has served four (4) years as an Associate Professor or met any other criteria established as sufficient under the current CBA.

### **8.3 Criteria**

The candidate's dossier shall contain evidence documenting performance under criteria 8.3.1, 8.3.2, and 8.3.3, and may also contain evidence to substantiate performance under criterion 8.3.4. Highest priority shall be accorded to criterion 8.3.1, followed by 8.3.2. Lower priority shall be accorded to 8.3.3, and lowest priority to 8.3.4.

- 8.3.1 *Instructional Achievement* (see Section 4.2). The evidence must demonstrate sustained and superior performance in instruction.
- 8.3.2 *Professional Achievement* (see Section 4.3). The evidence must demonstrate a record of sustained professional scholarship or creative achievement within the candidate's field, based on efforts after completion of requirements for the doctoral degree or other normal terminal degree.

8.3.3 *University Service* (see Section 4.4).

8.3.4 *Community Service* (see Section 4.5).

## 8.4 Procedures

Evaluation for promotion at this level shall take place according to procedures specified in Sections 3.0, 10.0, 11.0, and 12.0 of this document.

## 8.5 Early Promotion to Full Professor

8.5.1 Promotion to Professor prior to attaining eligibility is exceptional and is reserved for those individuals who have demonstrated exceptional professional value to the University.

8.5.2 An Associate Professor who wishes to be considered for early promotion must submit to the Department Chair a written letter titled "Request for Consideration for Early Promotion," which will be included in the candidate's WPAF. Such a request shall not be considered beyond the Department level unless a positive recommendation is received from the Department Promotion and Tenure Committee or from the Department Chair.

8.5.3 To be considered for promotion under these circumstances, a candidate's dossier must contain evidence of extraordinary achievement or recognition under either the instructional or professional criteria while also satisfying the other criteria appropriate to that promotional level.

8.5.4 The calendar and sequence of evaluation for early promotion to Full Professor will be the same as those for normal promotion to Full Professor.

8.5.5 The Department Committee and the Department Chair, as well as the College Committee and the Dean, must each complete a thorough review of the candidate's WPAF and must state in their separate letters that the candidate has demonstrated exceptional professional value to the University.

## 9.0 CANDIDATES WITH JOINT APPOINTMENTS, ADMINISTRATIVE APPOINTMENTS, RESEARCH GRANTS, AND/OR ASSIGNED TIME FOR PROFESSIONAL ACHIEVEMENT

9.1 Joint Appointments

9.1.1 Criteria

A candidate holding a joint appointment in any rank will be evaluated according to the uniform criteria in section 4.0 of this document.

9.1.2 Eligibility

The candidate will meet the same eligibility requirements as all other faculty.

9.1.3 Procedures

Procedures for candidates with joint appointment are the same as for all other faculty, with the following considerations:

- a. The candidate will be evaluated in his or her designated home department;
- b. The candidate may request an evaluation by his or her other department or departments;
- c. The home Department Committee or Department Chair may request an evaluation of the candidate by his or her other department or departments.

## **9.2 Administrative Assignments**

- 9.2.1 A candidate who is a regular member of a department faculty and who serves wholly or partially in an administrative assignment shall be judged for tenure and promotion upon his or her performance in both his or her administrative and faculty positions.
- 9.2.2 Candidates with administrative appointments will not be penalized for having fewer opportunities to demonstrate instructional achievement and for potentially providing fewer course evaluations in their WPAFs than other applicants for retention, tenure, and promotion.
- 9.2.3 The candidate's service in his or her administrative assignments shall carry weight in the judgment of the Committees, Department Chair, and Dean.
- 9.2.4 Procedures for a candidate with an administrative assignment are the same as for all other faculty, except that the candidate should include evidence in his or her dossier of work completed under the administrative assignment.

## **9.3 Candidates with Research Grants**

- 9.3.1 Candidates with research grants that fund assigned time will not be penalized for having fewer opportunities to demonstrate instructional achievement and for potentially providing fewer course evaluations in their WPAFs than other applicants for retention, tenure, and promotion.
- 9.3.2 Such candidates will be held to high standards of professional achievement.

## **9.4 Candidates with Assigned Time for Professional Achievement**

- 9.4.1 Candidates with assigned time for professional achievement will not be penalized for having fewer opportunities to demonstrate instructional achievement and for potentially providing fewer course evaluations in their WPAFs than other applicants for retention, tenure, and promotion.
- 9.4.2 Such candidates will be held to high standards of professional achievement.

## 10.0 REVIEW BY THE DEPARTMENT

### 10.1 Formation of the Department Committee

The Department Committees shall consist of three faculty members or more, at the option of the Department, who satisfy the eligibility requirements in section 3.6.3, and who are Regular Members of that Department, as defined by the Constitution of the University Faculty. In addition, such faculty members must be assigned 1/2 time or more in teaching or in research and administration.

- 10.1.1 If only three members of the Department satisfy these requirements, then, whenever possible, the Department Retention and/or Tenure and Promotion Committee shall consist of these members and no others. Committees may make recommendations only on retention, tenure, and promotion, and shall perform no other functions.
- 10.1.2 In a Department where fewer than three members are eligible for service on the Committees, the membership shall be brought up to three in the following manner:
  - a. The Department Chair shall obtain from the College Dean a list of faculty assigned at least 2/3 time in teaching and/or research within the College who satisfy the eligibility requirements of Section 3.6.3;
  - b. Nominations from this list shall be made by the Department members. At least two nominations from the College list are required for each remaining vacancy on the Department Promotion and Tenure Committee;
  - c. Elections shall be conducted according to provisions of Section 10.1.3 below.
- 10.1.3 When the number of eligible faculty in a Department exceeds three, the Department Committee shall be elected by secret written ballot of the Department Faculty. The Faculty eligible to vote are those eligible under provisions of Section 3.6.2 and who are assigned 1/2 time or more in teaching and/or research.
- 10.1.4 The election of the Committee or Committees shall occur after the election of Department representatives to the College Promotion and Tenure Committee, between June 1 and the end of Spring quarter. If the academic calendar leaves too little time for adequate election arrangements before the end of Spring Quarter, the Department Committee or Committees may be elected in the first week of the Fall quarter. The term of office shall be July 1 through June 30 of the subsequent year. Members may be elected for consecutive terms.
- 10.1.5 Members of the Committee or Committees on leave of absence may be replaced for the duration of the leave for the term of service by an election of an eligible replacement.

### 10.2 Functions of the Department Committee and the Department Chair

- 10.2.1 The Department Chair shall have the responsibility for:
  - a. convening the first meeting of the Department Committee or Committees not later than the first week of the Fall Quarter at which time the members of the Committee shall elect one of their number as Chair;
  - b. providing the Committee with a list of candidates eligible for retention, tenure, and promotion from within the Department;
  - c. collecting the WPAF in support of each candidacy;

- d. reviewing with the Committee the procedure, criteria and eligibility requirements appropriate to the cases before the Committee;
- e. inform the Committee that they may review the candidate's PAF and teaching evaluations on file at the department as part of their deliberations.
- 10.2.2 The Department Committee shall carefully examine all the documentation supporting each candidacy, and may seek additional relevant evidence and consult with other department faculty. Any additional evidence, with the exception of original student evaluations on file at the Department Office, must be approved by the University Committee for inclusion in the WPAF, in accordance with section 3.4 of this document.
- 10.2.3 The Committee shall make a recommendation, which shall be expressed in the form of a vote. The voting option shall be "yes" or "no." The Committee's recommendation will be deemed favorable only if a majority of "yes" votes is obtained. The total membership of the Committee, rather than those present, is to form the basis for determining a majority. All members of the Committee must vote on each candidate. The Department Committee's decision shall be guided by the uniform criteria in this document, and the department's approved guidelines for professional achievement.
- 10.2.4 The Committee shall thereafter return each WPAF to the Department Chair. A single letter from the Committee shall be included in the WPAF, stating the recommendation and summarizing both favorable and unfavorable views relative to the recommendation. In the absence of a unanimous vote, majority and minority opinions must be provided separately in the letter (see Section 3.6.6). The letter as a whole must be signed by each member of the Committee. These signatures shall be obtained only after completion of the procedures described in Sections 10.2.1 and 10.2.2 above.
- 10.2.5 The Committee shall notify the faculty member of its recommendation and provide the faculty member with a copy of the Committee's letter of recommendation no later than the deadline date for transmittal of WPAFs to Department Chairs. Official date of receipt of the letter shall be defined as the deadline date.
- a. If the recommendation is *negative*, the candidate may request reconsideration, may submit a rebuttal letter, and is entitled to meet with the Committee to discuss the recommendation. The request for reconsideration and submission of the rebuttal letter and/or request for a meeting with the Committee to discuss the recommendation must be made within ten (10) calendar days after the date of receipt of the letter of recommendation.
- b. If *a meeting is requested*, the meeting will be held as soon as possible, but normally not later than ten (10) academic working days after the Committee has received the request from the candidate. A rebuttal letter shall be read by the members of the Department Committee. If a meeting has been held and/or a rebuttal letter submitted, the Committee shall send, as soon as possible, a memorandum containing its subsequent recommendations to the Department Chair. This memorandum shall be forwarded to be placed in the candidate's WPAF, with a copy to the candidate.
- 10.2.6 The Department Chair shall make a separate recommendation, and provide the faculty member with a copy of the letter no later than the deadline date for transmittal of WPAFs to the College Office. Official date of receipt of the letter shall be defined as the deadline date.
- a. If the initial recommendation is *negative*, the candidate may request reconsideration, may submit a rebuttal letter, and is entitled to meet with the Chair. The request for reconsideration and submission of the rebuttal letter and/or request for a meeting with the Chair to discuss the

recommendation must be made within ten (10) calendar days after the date of receipt of the letter.

b. The *meeting* will be held as soon as possible, but normally not later than five (5) academic working days after the Chair has received the request from the candidate. A rebuttal letter shall be read by the Chair. A copy of the rebuttal letter shall be provided by the Chair to the Department Committee. If there has been a meeting and/or submission of a rebuttal letter, the Chair shall write a subsequent recommendation to be forwarded as soon as possible to the College level, with copies to the Department Committee and the candidate.

- 10.2.7 The candidate who has received *an unfavorable recommendation* on promotion may request in writing to the Department Chair that his or her case be withdrawn from consideration and that the dossier not be forwarded; on receipt of such a request the Chair shall take the necessary action to withdraw the candidate's case from further consideration during that academic year.
- 10.2.8 In retention cases where the Department Committee and the Department Chair disagree in their recommendations, the case shall be forwarded to the College Committee for its separate recommendation, in accordance with provisions of Section 3.1.2.

## 11.0 REVIEW BY THE COLLEGE

### 11.1 Formation of the College Committee

- 11.1.1 The College Committee shall consist of one tenured Professor elected by each department with a candidate applying for tenure and/or promotion, and shall have a minimum of five (5) members.
- a. In Colleges having fewer than five departments, each department shall elect one person to the College Committee. The remaining number required to bring the Committee membership to five shall be elected at large from among the eligible College Faculty.
  - b. A department may, by majority vote of its regular faculty members, choose not to elect a representative to the College Committee, provided that in that event the College Committee would still have a minimum of five members elected by other departments.
- 11.1.2 The term of service shall be one year and members may be elected to not more than two consecutive terms. Members of the Committee shall hold office from July 1 through June 30 of the following year.
- 11.1.3 Department elections for members of the College Committee shall take place not later than June 7, and may not precede the election of the College representative(s) to the University Committee. Those eligible to vote are the same as those eligible to vote for members of the Department Committee. All elections shall be by secret ballot.
- 11.1.4 Eligibility for service on the College Committee is defined in Section 3.6.3. A faculty member not teaching Fall, Winter, or Spring Quarters of the year of service is eligible for service on the College Committee, provided that he or she is available and willing to serve during the quarters in which he or she does not teach. A department without sufficient eligible faculty of its own may elect a representative on the College Committee from among the eligible and willing faculty of other departments in the College. The College Dean shall make available to each department as necessary a list of faculty eligible for service on the College Committee.
- 11.1.5 The College Dean shall serve as the convener of the College Committee and shall transmit the WPAFs to its Chair. He or she shall inform the Committee of its responsibilities as herein detailed.

**11.2 Functions of the College Committee and the College Dean**

- 11.2.1 At its first meeting, the Committee shall elect one of its members to serve as Chair and another to serve as Secretary.
- 11.2.2 The Secretary shall keep such internal records as the Committee may require and shall record the vote on each candidate.
- 11.2.3 The responsibilities of the Chair of the Committee shall be to:
- a. review with the Committee the criteria for tenure and for each promotional step, including the approved department guidelines for professional achievement;
  - b. receive the WPAFs accompanying each candidacy and to arrange, where possible, for their grouping and consideration by types of candidacy;
  - c. inform the Committee that they may review the candidate's WPAF and teaching evaluations on file at the department as part of their deliberations;
  - d. examine, together with the Committee, all of the documentation in the candidate's WPAF and, should the Committee so desire, seek additional oral or written statements from the candidate or other members of the faculty, and make all materials available to the Committee;
  - e. encourage full and frank discussion, in Committee session, of the strengths and weaknesses of each case before voting takes place on that case;
  - f. return each WPAF to the College Dean with the Committee's final recommendation.
- 11.2.4 The primary functions of the Committee shall be to:
- a. ensure consistency and appropriateness in the application of uniform criteria in this document and approved department guidelines for professional achievement; as well as procedures within and among departments;
  - b. carefully examine all documentation supporting each candidacy and make a recommendation in the form of a vote.
- 11.2.5 Each member of the Committee, including the Chair, shall vote. The voting option shall be "yes" or "no." The Committee's recommendation will be read as a favorable one only if a majority of the total membership of the Committee votes "yes." All members of the Committee shall vote on each candidacy.
- 11.2.6 A single letter from the Committee shall be included in the WPAF, stating the recommendation and summarizing both favorable and unfavorable views relative to the recommendation. In the absence of a unanimous vote, majority and minority opinions must be provided separately in the letter (see Section 3.6.6). The letter as a whole must be signed by each member of the Committee. These signatures shall be obtained only after completion of the procedures described in Sections 11.1 and 11.2 above.
- 11.2.7 The College Committee shall notify the faculty member of its recommendation and provide the faculty member with a copy of the Committee's letter of recommendation no later than the deadline date for transmittal of WPAFs to College Deans. Official date of receipt of the letter shall be defined as the deadline date.
- a. If the initial recommendation is *negative*, the candidate may request reconsideration, may submit a rebuttal letter, and is entitled to meet with the Committee to discuss the recommendation. The request for reconsideration and submission of the rebuttal letter and/or

request for a meeting with the Committee to discuss the recommendation must be made within ten (10) calendar days after the date of receipt of the letter of recommendation.

b. The *meeting* will be held as soon as possible, but normally not later than ten (10) academic working days after the Committee has received the request from the candidate. A rebuttal letter shall be read by members of the College Committee. Copies of the rebuttal letter shall be sent by the Chair of the Committee to the previous levels of review. If a meeting has been held and/or a rebuttal letter submitted, the Committee shall send, as soon as possible, a memorandum containing its subsequent recommendation to the College Dean, with copies to the candidate, the Department Committee, and the Department Chair.

11.2.8 The College Dean shall make a separate recommendation, and provide the faculty member with a copy of the letter no later than the deadline date for transmittal of WPAFs to the University level. Official date of receipt of the letter shall be defined as the deadline date.

a. If the recommendation is *negative*, the candidate may request reconsideration, may submit a rebuttal letter, and is entitled to meet with the Dean. The request for reconsideration and submission of the rebuttal letter and/or request for meeting with the Dean to discuss the recommendation must be made within ten (10) calendar days after the date of receipt of the letter.

b. The meeting will be held as soon as possible, but normally not later than five (5) academic working days after the Dean has received the request from the candidate. A rebuttal letter shall be read by the Dean. Copies of the rebuttal letter shall be sent by the Dean to the previous levels of review. If there has been a meeting and/or submission of a rebuttal letter, the Dean shall write a subsequent recommendation to be forwarded as soon as possible to the University level, with copies to the candidate, the College Committee, the Department Chair, and the Department Committee.

11.2.9 A candidate for retention who has received a *negative recommendation* from the College Dean and who believes that the decision has been influenced by bias on the part of any of the reviewing bodies, may request the University Committee to review the case and make its own recommendations to the President, according to the procedures specified in Section 12.2.4(b). The request for review by the University Committee must be in writing, must specify in detail the evidence supporting a charge of bias, and must be made within five (5) academic days of receipt of the College Dean's negative recommendations. Copies of the request must be provided to all persons against whom charges of bias are brought.

11.2.10 The candidate who has received an unfavorable recommendation on promotion at the College level may request in writing to the Department Chair that his or her case be withdrawn from consideration and that the dossier not be forwarded; on receipt of such a request the Chair shall take the necessary action to withdraw the candidate's case from further consideration during that academic year.

## **12.0 REVIEW BY THE UNIVERSITY AND THE PRESIDENT**

### **12.1 Formation of the University Committee**

12.1.1 The University Committee shall consist of five members elected from the Colleges in the Spring preceding the year of service. Representation shall be proportional to the number of members of the College Faculties (as defined in the Constitution of the University Faculty), provided that no College shall elect fewer than one nor more than two members. In the Winter quarter of each year the Provost and Vice President for Academic Affairs shall consult with the Faculty Affairs

Committee to determine the number of members of the University Committee to be elected from each College for service in the following academic year.

- 12.1.2 The College Dean shall arrange for the nomination and election of the member(s) of the University Committee from the College. The number of nominees shall be at least twice the number of members to be elected. Balloting shall be secret and conducted over a period of at least five academic days. This election shall be held no later than May 1. The College Dean shall exercise proper security measures over the ballots.
- 12.1.3 Those eligible to vote shall be the Regular Members of the College Faculty, in accordance with provisions of Section 3.6.2.
- 12.1.4 Those eligible to serve shall be the Regular Members of the College Faculty subject to the provisions of Section 3.6.3, and of Section 12.1.5 below.
- 12.1.5 The following are not be eligible to serve on the University Committee:
  - a. those faculty members who have served two previous terms on the University Committee during the preceding five years, including the year in which the election is being held;
  - b. those faculty members who have served on the University Committee in the previous term;
  - c. those faculty members who will not be teaching Fall, Winter, or Spring Quarters of the year of the term of service, unless a faculty member is available and willing to serve during the quarter or quarters in which he or she does not teach.
- 12.1.6 Should a vacancy occur on the University Committee, the affected College will elect an alternate, after all other elections for College and Department Committees have been completed, provided that the election of an alternate shall not be later than the fourth week of the Fall quarter. The names of the member(s) and the alternate elected by each College shall be reported to the Office of the President and to the Office of the Academic Senate.
- 12.1.7 An alternate shall serve on the University Committee only if the respective College member becomes ineligible or is unable to serve by reason of illness, death, or resignation.
- 12.1.8 The President or the President's designee shall act as convener of the Committee and shall convene its first meeting no later than November 1. The President or the President's designee shall at that time review with the Committee its responsibilities as herein detailed.
- 12.1.9 Acting on behalf of the President, the Provost and Vice President for Academic Affairs:
  - a. shall transmit the WPAFs to the Committee;
  - b. shall not serve as a member of the Committee nor participate in its deliberations.

## **12.2 Functions**

- 12.2.1 At its first meeting, the Committee shall elect one of its members to serve as Chair and another to serve as Secretary.
- 12.2.2 The Secretary shall keep such internal records as the Committee may require and shall record the vote on each candidate.
- 12.2.3 The responsibilities of the Chair of the Committee shall be to:
  - a. review, together with the Committee, the criteria for tenure and each promotional step;

- b. receive the WPAFs accompanying each candidacy and arrange, so far as possible, for their grouping and consideration by types of candidacy;
- c. inform the Committee that they may review the candidate's PAF and teaching evaluations on file at the department as part of their deliberations;
- d. examine, together with the Committee, all of the documentation in the candidate's WPAF and, should the Committee so desire, seek additional oral or written statements from the candidate or other members of the Faculty and make all materials available to the Committee;
- e. encourage full and frank discussion, in Committee session, of the strengths and weaknesses of each candidacy before voting takes place on that candidacy;
- f. transmit to the President the final recommendation on each candidacy; no recommendations will be transmitted until all the WPAF's have been evaluated or until the established deadline date for recommendation to the President;
- g. accept candidacy dossiers after the deadline, but only with a letter of explanation for such delay from the candidate's Department Chair and/or College Dean on approval by the University Committee.

12.2.4 The primary functions of the Committee shall be to:

- a. ensure consistency and appropriateness in the application of criteria and procedures within and among departments and/or Colleges;
- b. determine whether professional or personal bias has played a part in the making of recommendations at lower levels;
- c. carefully examine all documentation supporting each candidacy and make a recommendation in the form of a vote.

12.2.5 *In cases of special review for bias:*

- a. In order to make such a determination, the Committee may undertake a special review of the case to obtain such additional information as it deems necessary.
- b. If the Committee finds bias it may so note in making its own substantive recommendation to the President. Alternatively, the Committee may recommend to the President that the case be reconsidered at lower levels in such a way as to eliminate the source of bias, provided such reconsideration is possible under applicable deadlines.
- c. If the Committee determines, following receipt of a request for investigation under Section 11.2.9, that there is not sufficient evidence of bias to justify an investigation, it shall so inform the candidate, the College Dean, and the President.

12.2.6 *Regarding professional criteria:*

In making its recommendation, unless bias is at issue, the Committee shall decline to pass judgment on the specialized professional qualifications of the candidate but, rather, shall accept the judgment of those in the discipline of the candidate or in kindred disciplines regarding specialized professional qualifications. Members of the University Committee shall act as representatives of the entire University, rather than of a department or a College.

12.2.7 Each member of the Committee, including the Chair, shall vote. The voting option shall be "yes" or "no." The Committee's recommendation will be read as a favorable one only if a majority of

the total membership of the Committee votes "yes." All members of the Committee shall vote on each candidacy.

- 12.2.8 The Committee may return to any dossier and reopen discussion and voting up to the deadline date when final recommendations must reach the President.
- 12.2.9 A single letter from the Committee shall be included in the WPAF, stating the recommendation and summarizing both favorable and unfavorable views. In the absence of a unanimous vote, majority and minority opinions must be provided separately in the letter (see section 3.6.6). The letter as a whole must be signed by each member at the conclusion of the deliberations of the Committee, and submitted to the President via the Office of the Provost and Vice President of Academic Affairs.
- 12.3 Conclusion of University Review
  - 12.3.1 If the President does not endorse the recommendation of the committee, he or she may return the WPAF to the Committee for its reconsideration, and will meet with the Committee to discuss his or her reservations.
  - 12.3.2 If the President requests the Committee's reconsideration, the Committee will submit a final recommendation to the President in the same form as specified in Section 12.2.9.
  - 12.3.3 If the President does not endorse the Committee's final recommendation, the President will inform the Committee of the decision and the basis for it.
  - 12.3.4 After the completion of action at the University Committee and Presidential levels, the Committee shall, at its last meeting before dissolution, gather together the records of its work, including vote tallies, drafts of summary letters, and similar working materials. The Committee shall transmit these materials to the Provost and Vice President for Academic Affairs for safekeeping.
  - 12.3.5 For three years, the documents shall not be made available to anyone for any subsequent personnel decision except to a grievant to whom the documents apply. After three years, the Provost and Vice President for Academic Affairs shall destroy these materials, together with all original letters of recommendation received from all reviewing bodies.
  - 12.3.6 Records accumulated by individual members of the Committee shall be destroyed immediately after the Committee concludes its work.
  - 12.3.7 Action under 12.3 terminates current year tenure and procedures and any further action shall be considered a grievance or other appropriate procedure.
  - 12.3.8 After the President's decision and final action on the candidacy, the WPAFs shall be returned to the appropriate departments, where their contents will be dealt with in a manner consistent with the provisions of Section 3.3.5.

### **13.0 NOTIFICATION TO THE CANDIDATE REGARDING THE PRESIDENT'S DECISION**

- 13.1 The President shall notify each candidate for retention, tenure, and/or promotion of his or her decision in the case. Such notification shall be in writing, shall include the reasons for the decision, and, in cases of tenure and promotion, shall be accompanied by a copy of the University Committee's recommendation. Only a copy of the President's letter shall be provided to the Provost and Vice President for Academic Affairs, the College Dean, the Department Chair, and the Chairs of each of the Promotion and Tenure Committees which made a recommendation in the case.

- 13.2 A candidate denied tenure or promotion may request and shall receive from the President a copy of any request the President may have addressed to the Committee relative to the given case, and the Committee's response to any such request.
- 13.3 Within fifteen (15) academic days after notification by the President of a *negative* decision, a candidate denied reappointment as a probationary faculty member, or denied tenure or promotion, may request, in writing, that the President reconsider his or her decision. The request for reconsideration shall be forwarded to the President. In retention cases, a copy shall be sent to the College Dean; and in tenure or promotion cases, a copy shall be sent to the University Committee. In the event that the President declines to reconsider, or after reconsideration reaffirms his or her original negative decision, the candidate may then exercise his or her rights under the CBA.

#### **14.0 POST-TENURE REVIEW**

**Post-Tenure Review is governed by the current CBA and the University's "Procedures for Evaluation of Tenured Faculty."**

#### **15.0 INTERPRETATION OF THIS POLICY DOCUMENT**

Because no policy statement can cover all possible contingencies and all possible circumstances of individual cases, questions will inevitably arise about the meaning or applicability of provisions of this Policy and Procedures document. Faculty Committees and administrators involved in retention, tenure, and promotion decisions shall refer all such questions of interpretation or clarification of the document to the Faculty Affairs Committee.

**16. RETENTION, TENURE, AND PROMOTION TIMELINE**

	TENURE	PROMOTION	RETENTION	
			1st year 2nd year	3rd year 4th year 5th year
SUBMISSION OF CANDIDATE'S DOSSIER	Oct. 1	Oct.1	Nov. 10	Jan. 15
LAST DATE FOR SUBMISSION OF MATERIAL TO PAF AND DOSSIER	Oct. 23	Oct. 23	Nov. 15	Feb. 1
DEPARTMENT COMMITTEE	Nov. 15	Nov. 15	Dec. 1	Mar. 1
DEPARTMENT CHAIR	Dec. 10	Dec. 15	Dec. 15	Mar. 15
COLLEGE COMMITTEE	Feb. 10	Feb. 17	--	--
COLLEGE DEAN	Mar. 8	Mar. 15	Feb. 5	May 10
UNIVERSITY COMMITTEE	Apr. 15	May 1	--	--
NOTICE	June 1	June 10	Feb. 15	June 1
TYPE OF NOTIFICATION	Granted or Denied	Granted or Denied	Reappointed to another academic year or terminated at the end of the current year	Reappointed to an additional probationary year or terminated at end of subsequent college year; or granted tenure