Policy #: SP 07-21

Drafted By: Faculty Affairs Committee

Purpose: Modifications to bring document into compliance with CBA

Policy:

07-21 SUPERSEDES SP 06-11

CALIFORNIA STATE UNIVERSITY CHANNEL ISLANDS

UNIVERSITY RETENTION, TENURE, & PROMOTION POLICY

AND PROCEDURES

Index

A. RETENTION, TENURE, AND PROMOTION AND THE UNIVERSITY'S MISSION

California State University Channel Islands (CSUCI) is committed to providing high quality, student-centered instructional programs to all constituencies. Excellent faculty members, dedicated to continued intellectual and professional growth, are essential to fulfilling our commitment. All elements and standards of faculty performance evaluation recognize and reflect the University's Mission, including:

- placing students at the center of the educational experience;

- providing undergraduate and graduate education that facilitates learning within and across disciplines through integrative approaches;

- emphasizing experiential and service learning;

- and graduating students with multicultural and international perspectives.

B. APPLICATION OF THIS DOCUMENT:

1.   This document establishes policies and procedures that govern retention, promotion, and granting of tenure for probationary faculty, and the promotion of tenured faculty (RTP).

2.   This RTP Policy (and its associated appendices) applies to each faculty hired after the original adoption of this document in the 2003-04 Academic Year. Faculty members within the retention, tenure or promotion cycle at the time of this document's adoption may elect to continue under the RTP Policy in force at the time of their hire. If a faculty member receives tenure or promotion or both under the "old" RTP Policy (SP 01-44) and more than 6 years have passed since the faculty member's

> **Comment [RTC1]:** I'm suggesting removing this sentence, because with following sentence about 6 years passing makes the sentence I've deleted meaningless, and so this sentence might as well come out

last personnel action, they must submit their request for promotion under the current RTP Policy (SP06-11). If fewer than six years have passed since their last personnel action (tenure or promotion or both), faculty members may remain under the 'old' RTP Policy and submit their request and materials according to the 'old' RTP Policy (SP 01-44).

3. The policies in this document apply to teaching, counseling, and library faculty.

4. At California State University Channel Islands, all phases of the RTP process support faculty growth and development as well as serve as the formal means of evaluation. To further growth and development, it is important both to the University and to the faculty member that each faculty member establishes a plan to meet program and University standards, as reflected in this document, for RTP.

5. The policies and procedures of this document are subject to Board of Trustees policies; the California Administrative Code, Title 5; California Education Code; the Unit 3 Collective Bargaining Agreement (CBA); and other applicable State and Federal laws.

6. Throughout this document, the word shall indicates mandatory action; the word may indicates permissive action.

C. GENERAL STANDARDS FOR RETENTION, TENURE, AND PROMOTION

1. Each faculty member is expected to make suitable contributions in the three areas of: teaching and/or professional activities; scholarship and creative activities; and service. Retention, tenure, and promotion (RTP) require that levels of achievement be demonstrated in these three areas of performance. For the purpose of review, these levels shall be described with a five point scale, with five being the highest.

   5 = Significantly Exceeds Standards of Achievement
   4 = Exceeds Standards of Achievement
   3 = Meets Standards of Achievement
   2 = Does Not Meet All Standards of Achievement
   1 = Does Not Meet Minimum Standards of Achievement

D. RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITIES [ADAPTED FROM GENERAL PROGRAM PERSONNEL STANDARDS]

The University values and supports the development of a range of research, scholarship and creative activities, including the following kinds of scholarship:
- A **scholarship of discovery**: pursuing knowledge, covering all aspects of research and disciplinary discovery.

- A **scholarship of integration:** bringing knowledge and discovery into larger patterns and contexts and working in and across disciplines.
- A **scholarship of teaching and learning:** investigating and assessing teaching methods and practices and their impact on student learning outcomes.
- A **scholarship of engagement**: using research and knowledge to engage in problems that affect individuals, institutions, and society.

E. UNIVERSITY RTP COMMITTEE

The University RTP Committee shall include representation by faculty from each of the major disciplinary areas within the University (i.e. Arts and Humanities, Math and Sciences, Behavioral and Social Sciences, Business and Economics, Library and Counseling, Education, and one At-Large member).

F. PROGRAM PERSONNEL COMMITTEES (SEE ALSO SECTION X BELOW, RESPONSIBILITIES OF THE PROGRAM PERSONNEL COMMITTEE)

The Program Personnel Committee shall be constituted as follows:[1]
   a. Every Program Personnel Standards document shall specify whether the PPC will be formed for the program as a whole or for individual faculty members under review.
   b. Members of the program area faculty elect a three or five member PPC from a list of tenured faculty members compiled by program faculty, including the faculty member under review. The list may include faculty from the discipline and/or from related disciplines, and may include tenured faculty from comparable institutions.
   c. Some academic programs may have faculty to be evaluated for retention, tenure or promotion but have insufficient numbers of faculty within their disciplines to constitute a PPC. In these cases, the faculty member to be reviewed consults with his or her chair and other faculty from the discipline. This group then determines the list of possible PPC members for the faculty member's review. Inclusion in this list requires acceptance by the nominated tenured faculty members (from across the

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[1] CBA 15.38

The probationary and tenured faculty unit employees of the department or equivalent unit shall elect a peer review committee of tenured faculty unit employees for the purpose of reviewing and recommending faculty unit employees who are being considered for retention, award of tenure, and promotion. Probationary and tenured faculty unit employees shall elect tenured, full-time faculty unit employees to serve on higher level peer review committee(s). When there are insufficient eligible members to serve on the peer committee, the department shall elect members from a related academic discipline(s). At the request of a department, the President may agree to permit faculty participating in the Faculty Early Retirement Program to run for election for membership on any level peer review committee. However, these committees, may not be comprised solely of faculty participating in the Faculty Early Retirement Program.

university and possibly from tenured faculty members from other, similar institutions). The PPC is then constituted by vote of the faculty member under review, his or her chair, and other members of the program faculty.

d. Faculty members with joint appointments or whose work is interdisciplinary (in more than one program area) will choose a program area whose approved PPS will be used in evaluation or, if no approved PPS is appropriate, can use the General Program Standards (GPS). The faculty member will have representation on the PPC from other appropriate program area(s).

G. APPOINTMENT

This document addresses review processes for tenure-track probationary faculty as well as tenured faculty seeking promotion. Reviews of part-time and full-time lecturers are addressed in other documents. Appointments of tenure-track faculty are of two kinds:

1. Probationary

Normally, a probationary (tenure track) faculty member is given a two-year initial appointment.

All probationary faculty must be reviewed each year until tenured.

A review for reappointment, tenure, and/or promotion is a performance review. Any other review is a periodic review.

Probationary faculty members with two year initial appointment shall have a periodic review in their first year of probation (or second or third year of probation if it is the first year of service at Channel Islands) and performance reviews before they are re-appointed to second, third, fourth, fifth, and sixth probationary years or are granted tenure. A performance review is also required for promotion.

Appointment to probationary status implies that a faculty member will eventually be granted tenure if his or her performance demonstrates levels of achievement as described in this document and those of his or her approved Program Personnel Standards.[2]

Tenure-track faculty are considered probationary faculty until they are awarded tenure or terminated. Probationary faculty employment may be terminated by decision of the President at the end of their first year, if hired with an initial one year contract, or at the end of the second probationary year without further employment at the University.

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[2] "The normal period of probation shall be a total of six years of full time probationary service and credited service, if any. Any deviation from the normal six year probationary period shall be the decision of the President following his/her consideration of recommendations from the department or equivalent unit and appropriate administrators." (CBA 13.3)

Faculty who receive a termination notice during their third to sixth probationary year shall have a final, additional year of employment, called a terminal year.

2. Tenured

Tenured faculty members are subject to performance reviews when they apply for promotion.

H. RANKS

Probationary and tenured teaching faculty members are appointed as Assistant Professor, Associate Professor, or Professor. Probationary and tenured library faculty are appointed as Senior Assistant Librarian, Associate Librarian, or Librarian, equivalent to the ranks of Assistant Professor, Associate Professor, and Professor, respectively. Probationary and tenured counselor faculty are appointed as Student Services Professional-Academically Related (SSP-AR) levels one, two, or three, equivalent to the ranks of Assistant Professor, Associate Professor, and Professor, respectively.

I. SERVICE CREDIT: CREDIT FOR PRIOR EXPERIENCE

1. At the time of initial appointment, the President, upon recommendation by the personnel committee of the affected program or equivalent unit, Dean and Provost/Vice President of Academic Affairs (or appropriate administrator for librarians and counselors), may grant to a probationary faculty member up to two years of service credit for probation. Service credit shall be based on previous full-time service at a postsecondary education institution or comparable experience.

2. The initial appointment contract of a faculty member who is granted service credit shall specify the amount of service credit and shall indicate the effects on the RTP process of the granting of such credit.

3. Accomplishments during service credit years shall never be sufficient in and of themselves for the granting of promotion and/or tenure.

4. A faculty member may include accomplishments prior to CSUCI in his or her portfolio for tenure and promotion evaluation.

5. Service credit may count toward time in rank.

J. TENURE

1. Tenure establishes the right to continued permanent employment except when such employment is voluntarily terminated or is terminated by the University pursuant to the Collective Bargaining Agreement (CBA) or law.

2. Faculty shall normally be considered for tenure during the sixth

probationary year, regardless of the rank at which they were appointed.

3. A probationary faculty member may apply for tenure during her or his first year at CSU Channel Islands. Probationary faculty may be granted tenure at any time after their first year of appointment. A request for tenure that occurs in any year except the sixth probationary year shall be considered a request for early tenure.

4. The President may award tenure to any individual, including one whose appointment and assignment is in an administrative position, at the time of appointment. Other appointments with tenure shall be awarded only after an evaluation from the Program Personnel Committee (PPC), the appropriate program chair (if applicable), the Division Chair (if any), the appropriate Dean (or appropriate administrator for librarians and counselors), the Retention, Tenure and Promotion Committee (RTP), and the Provost/ Vice President for Academic Affairs (VPAA) or appropriate administrator for librarians and counselors.

K. PROMOTION

1. A faculty member may be considered for early promotion after completing at least one year of service in rank at CSUCI. A probationary faculty member shall normally be considered for promotion at the same time that he or she is considered for tenure.

   A tenured faculty member shall normally be considered for promotion during his/her fifth year in rank, with promotion effective at the beginning of the sixth year. Promotion consideration prior to having completed five years in rank shall be defined as "early."

2. This provision shall not apply if a tenured faculty member requests in writing that he or she not be considered.

L. PROFESSIONAL DEVELOPMENT PLAN

The Professional Development Plan (PDP) is the faculty member's agenda for achieving the professional growth necessary to qualify for retention, tenure and promotion. The plan, which is required and shall be prepared, reviewed, and approved by the end of the faculty member's first year of appointment, except for a faculty member hired as a tenured full professor, shall describe the activities and intended outcomes that the faculty member expects to achieve during the period of review for tenure and/or promotion eventually to full professor. While more focus and specificity will be given to planning for the first two years, the plan will address the entire period of review.

1. The purpose of the Professional Development Plan is to give a faculty member at CSU Channel Islands the opportunity to address with some concreteness and specificity how, given her or his background, experience, and interests, s/he would meet the university's and program's (or programs') requirements for tenure and/or promotion,

and to receive feedback from the program and Dean (or appropriate administrator for librarians and counselors) on the plan. It is intended to be a constructive learning process and not a formal agreement or contract. PDP narratives for teaching (professional activities for non-teaching librarians and counselors), scholarly and creative activities, and service shall not exceed 500 words each. These narratives shall describe the faculty member's professional goals, areas of interest, resources required and accomplishments s/he expects to achieve in each of the three areas evaluated in order to meet the program standards for tenure and/or promotion.

<u>Review</u>

The PDP will be reviewed by the PPC, the program chair (if not on the PPC), and the Dean (or appropriate administrator for librarians and counselors), each of whom will provide written feedback on a timetable to be determined by the Division of Academic Affairs [the Division of Student Affairs for counselors], but prior to the end of the faculty member's first full year of service.

The PDP shall be included with the self-assessment narratives in the faculty member's portfolio that is submitted for retention review during the second year in the tenure track position.

a) In the event the PPC, Program Chair, or the Dean (or appropriate administrator for librarians and counselors) does not approve the PDP, the faculty member shall revise it and resubmit it within two weeks.

b) After re-submittal, if the PPC, Program Chair, or the Dean (or appropriate administrator for librarians and counselors) makes further suggestions for modifications, the faculty member may, within two weeks, submit a revised PDP.

No subsequent revision of the Professional Development Plan is necessary. It is expected that faculty over the course of time may move into areas different than anticipated in this first year plan, but any changes should be addressed in the narratives describing faculty members' actual work required as part of the Portfolio

Faculty members who were hired under the original campus RTP policy may switch to this policy without including a Professional Development Plan in their initial portfolios.

M. Program Personnel Standards

    A.   For all RTP actions, performance shall meet established University and Program Personnel Standards (PPS) for a positive decision to be made. Program Personnel Standards, developed by program faculty, must be approved by a University RTP Committee elected by the CSUCI faculty as a whole and the Provost/ Vice President for Academic Affairs (Vice President for Student Affairs for counselors). Each program's PPS will

become effective upon approval by the elected University Retention, Tenure and Promotion (RTP) Committee and the Provost/VPAA. PPS documents will be reviewed by the RTP Committee and the Provost/VPAA (VPSA for counselors) on a rotating, five year basis, unless otherwise requested by Program Personnel Committees or the President.

Guidelines for the development of Program Personnel Standards (PPS) are included as an appendix to this document.

In the event a faculty member under review is not within a program area that currently has a PPS, the General Personnel Standards (GPS) shall serve as the guide for preparation and evaluation of the candidate's portfolio. It is strongly suggested that a candidate in that situation obtain advice from the Faculty Development Office, a faculty mentor, and/or his or her chair while completing the portfolio.

If the PPS changes, the faculty member under review may choose to be evaluated by the new PPS or the one in effect at the time the faculty member's initial appointment to a tenure track position at CSU Channel Islands.

N. Period of review

A. for reappointment, the period of review is the period since the last submission of the portfolio for reappointment.

B. for reappointment in the 3rd probationary year (or fourth for faculty hired with two years of prior service credit) the period of review is the entire probationary period, including years for which service credit is granted.

C. for tenure, the period of review is the entire probationary period, including years for which service credit is granted.

D. for promotion, the period of review is the time spent in rank, including accomplishments during time spent at that rank at other four-year or graduate-degree granting institutions.

E. for tenure and/or promotion, a faculty member may include accomplishments prior to the period of review as part of the portfolio.

O. Portfolio

A. The Portfolio is the functional equivalent of the Working Personnel Action File. It is a record that shall contain evidence of performance for the years under review, as well as various required forms. The portfolio is compiled by the faculty member to be evaluated. It is the responsibility of the faculty member to be sure the portfolio is current and complete before it is submitted to the PPC. Evaluations, recommendations, and rebuttals, if any, are added at the various levels of review. The portfolio is the basis for

RTP evaluations, recommendations, and actions. The portfolio shall be in two parts—the main body and an appendix.

The main body of the portfolio shall include the following items in the following order:

1. reserved sections for signature pages

2. checklist signed by the faculty member (see appendix A)

3. a table of contents of the portfolio;

4. a table of contents of the appendix;

5. a copy of the approved Program Personnel Standards (PPS) or General Personnel Standards (GPS);

6. a current and all previous Professional Development Plans (PDP) approved for the faculty member.

7. the faculty member's current curriculum vitae that covers his or her entire academic and professional employment history;

8. a narrative that shall contain a concise self-assessment of accomplishments in the areas of performance in teaching (professional activities for non-teaching librarians and counselors) to the applicable university standards as stated in this document and program standards as stated in the PPS (not to exceed 1000 words);

9. teaching assignments for period under review—list of classes with briefly described relevant information, including new preparations, etc.;

10. for teaching faculty, evidence of teaching effectiveness may include evidence of assessment of teaching practices and students' learning outcomes;

11. for teaching faculty, a minimum of one peer observation of classroom teaching from each probationary year;

12. for teaching faculty, statistical summaries of student evaluations;

13. a narrative that shall contain a concise self-assessment of accomplishments in the areas of performance in Scholarly and Creative Activities to the applicable university standards as stated in this document and program standards as stated in the PPS (not to exceed 1000 words);

14. a narrative that shall contain a concise self-assessment of accomplishments in the areas of performance in Service to the applicable university standards as stated in this

document and program standards as stated in the PPS (not to exceed 1000 words).

The appendix of the portfolio shall include the following items:

    I. a copy of the table of contents of the appendix;

   II. supporting materials directly relevant to the presentation in the portfolio and limited to the period under review. These may include items such as: copies of books, articles, essays, electronic materials, creative work, and others. Any or all of these may be presented in an electronic format;

  III. for teaching faculty, copies of syllabi for all courses taught during the period under review;

  IV. for teaching faculty, the narrative portions of the student evaluations for all student-evaluated courses for the period under review shall be available in the WPAF (copies do not need to be put in the Portfolio); no additional student evaluations may be included in the Portfolio;

   V. Documentation of performance as required by the applicable personnel standards.

a) Material may be added to the portfolio until the date it is due to be submitted, at which time the Portfolio shall be declared complete. Based on the CSUCI approved Portfolio Checklists, the faculty member's chair determines that the portfolio is complete before sending it to the PPC. After the deadline, material may only be added with the permission of the URPTC[3]; such permission may be granted until the first day of spring semester, after which no new material may be added to the portfolio.

b) If material that documents a substantial change in the status of an activity documented in the portfolio becomes available after the portfolio is declared complete, this material may be added with permission from the URTPC.

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[3] 15.12.b. A specific deadline before the recommendation is made at the first level of evaluation shall be established by campus policy, at which time the Personnel Action File is declared complete with respect to documentation of performance for the purpose of evaluation. Insertion of material after the date of this declaration must have the approval of a peer review committee designated by the campus and shall be limited to items that become 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.

c) Before consideration at subsequent levels of review, material added to the portfolio shall be returned for review, evaluation, and comment to the level at which it was initially evaluated.

B. Abbreviated portfolio for periodic reviews or reappointment review of 1st, 2nd and 3rd probationary year faculty in their first year of service at CSUCI

For a periodic review in the first year of appointment for any faculty member who has a 2-year probationary appointment, or for a reappointment review of 1st and 2nd year faculty in their first year of service at CSUCI, the Portfolio will only include:

1. a copy of the approved Program Personnel Standards or General Personnel Standards
2. a current curriculum vitae
3. one peer observation of classroom teaching from the semester
4. copies of syllabi for courses taught during the semester

C. Portfolio for Faculty without an approved Professional Development Plan

If a faculty member does not have an approved Professional Development Plan (Third year probationary faculty in their first year of service at CSU Channel Islands who do not have a 2-year appointment, faculty members in their first year at CSU Channel Islands going up for tenure or promotion) s/he can choose one of two alternatives:

a. The faculty member will submit a proposed Professional Development Plan as part of the Portfolio for their performance review. In addition to making a recommendation with respect to reappointment, tenure or promotion as part of the performance review, the Program Personnel Committee, the Program Chair (if not on the Committee), and the Dean (or appropriate administrator for librarians and counselors) will review and approve the proposed Professional Development Plan.
b. Working with his or her Program Chair and the Associate Vice President for Faculty Affairs to create a schedule, the faculty member will prepare and have reviewed and approved (by a Program Personnel Committee, the Program Chair (if not on the committee) and the Dean (or appropriate administrator for librarians and counselors), a Professional Development Plan for inclusion in their Portfolio for the required performance review.

P. REVIEW PROCESS AND LEVELS

The review of the portfolio takes place at various levels in the following order, with a letter of evaluation generated at each review level.

1. checklist approved by program chair (see appendix A);

2. the program personnel committee (PPC), which consists of three or five tenured faculty members;

3. the program chair (if not on the Program Personnel Committee)

4. the Dean (or appropriate administrator for library and counselor faculty);

5. The University RTP Committee shall review all tenure and promotion files. The University RTP Committee shall review retention files <u>only</u> if one or more of the following conditions apply:

    a) In the faculty member's third probationary year unless the faculty member was hired with one or two years service credit, in which case the faculty member's fourth probationary year.

    b. requested by the President

    c. lack of agreement (retention vs. non-retention) among prior levels

    d. all prior recommendations for retention negative

    e. requested by faculty member under review or prior review level

    f. no applicable program standards (PPS) are available

6. for tenure or promotion decisions—the Provost/ Vice President for Academic Affairs (VPAA) [Vice President for Student Affairs (VPSA) for counselor faculty],

7. the Provost/ Vice President for Academic Affairs (VPAA) [Vice President for Student Affairs (VPSA) for counselor faculty], shall review retention files <u>only</u> if one or more of the following conditions apply:

    g. requested by the President

    h. requested by faculty member under review

    i. requested by University RTP Committee

8. For retention, tenure and promotion decisions—the President shall review and consider the performance review recommendations and relevant material and make a final decision. (CBA 13.11)

Q. ELIGIBILITY TO PARTICIPATE IN THE PERSONNEL PROCESS

1. A chair may serve on either the PPC or write an evaluation as chair, but he or she cannot serve in both capacities on any individual review. A chair

may serve in one of the above capacities and still serve on the University RTP Committee, but he or she shall be recused during voting on portfolios he or she has already evaluated at a previous level.

2. In instances where the probationary faculty member's chair is outside the faculty member's discipline, the probationary faculty member may elect to select either a chair from another program or request that the Dean (or appropriate administrator for librarians and counselors) assume the chair's administrative responsibilities. The Dean (or appropriate administrator for librarians and counselors) shall write a review only at the dean's level, not as chair.

3. A faculty member, including the program chair, shall not serve in the personnel evaluation process if he or she is untenured or during any period in which he or she is the subject of a personnel review involving his or her own promotion.

4. In promotion considerations, peer review committee members shall have a higher rank or classification than those being considered for promotion.

R. REQUIREMENTS FOR RETENTION

1. The goal of the RTP process is to assist faculty in developing productive careers and therefore qualify for tenure after their probationary employment. To be retained during the probationary period, a faculty member is required to demonstrate progress toward tenure such that a positive tenure decision is likely.

2. The decision to retain a probationary faculty member is an affirmation that progress is being made toward tenure according to the faculty member's Program Personnel Standards and approved Personal Development Plan.

3. As indicated in the faculty member's Program Personnel Standards (or the General Personnel Standards if no discipline PPS is available), probationary faculty members are required to show appropriate accomplishments, growth, and promise in each of the three areas of assessment. Moreover, when weaknesses have been identified in earlier review cycles, a probationary faculty member is expected to address these weaknesses explicitly and show appropriate improvement.

4. Retention requires that the faculty member receive at least two "3—Meets Standards of Achievement" evaluations, one of which is in teaching (Professional Activities for non-teaching librarians and counselors).

S. REQUIREMENTS FOR TENURE

1. The granting of tenure is the most significant personnel action that the University takes, because it represents an affirmation that the probationary faculty member will be an asset to the University over his or her entire

career. Therefore, a positive tenure decision requires that the probationary faculty member has displayed accomplishments, growth, and future potential that meet the expectations stated in this document and Program Personnel Standards.

2. Tenure requires that performance in two areas be rated at "4—Exceeds Standards of Achievement"—for teaching faculty, one of these must be in the category of Teaching (professional activities for non-teaching librarians and counselors); for non-teaching faculty [librarians, counselors], one of these must be in category one of the PPS—and one category rated at least at "3—Meets Standards of Achievement" as stated in this document and Program Personnel Standards.

3. Early tenure requires that all expectations for the entire probationary period have been met and that performance in two areas be rated at "4—Exceeds Standards of Achievement"—for teaching faculty, one of these must be in the category of Teaching (professional activities for non-teaching librarians and counselors); for non-teaching faculty (librarians, counselors), one of these must be in category one of the PPS—and one category at least "3—Meets Standards of Achievement" as stated in this document and Program Personnel Standards.

4. The decision to grant tenure shall be based solely on an evaluation of the faculty member's performance as documented by the evidence contained in the portfolio.

T. REQUIREMENTS FOR PROMOTION

1. Promotion to Associate Professor and to Professor (or their equivalents) require that Performance in two areas be rated as "4—Exceeds Standards of Achievement"—for teaching faculty, one of these must be in the category of Teaching (professional activities for non-teaching librarians and counselors); for non-teaching faculty [librarians, counselors and coaches], one of these must be in category one of the PPS—and one category must be rated as at least "3—Meets Standards of Achievement" as stated in approved Program Personnel Standards for the appropriate rank.

2. Because the professoriate entails continual growth and reassessment, the University expects that tenured faculty will continue to strive for excellence in all three areas of performance, and that successful faculty members will display accomplishments, growth, and future potential throughout their careers. Therefore, the decision to grant promotion to the rank of professor shall be based on a record that indicates sustained vitality and commitment to the standards described in this document and in Program Personnel Standards.

U. PROCEDURES FOR RTP EVALUATIONS, RECOMMENDATIONS, AND

DECISIONS

1. GENERAL PRINCIPLES

   a) At all levels of review, those responsible for evaluating faculty and recommending actions shall evaluate each portfolio (which is the functional equivalent of the Working Personnel Action File) with clear and specific reference to the applicable personnel standards. The applicable personnel standards shall be the approved Program Personnel Standards (or, in the absence of such standards, the General Personnel Standards Document). Recommendations at each level of review, and the decision, shall be supported by written evaluations.

   b) Retention, tenure, and promotion of a faculty member shall always be determined on the basis of competence and professional performance and not on the basis of beliefs, or any basis that constitutes an infringement of academic freedom.

   c) The University RTP Committee is authorized to interpret both this document and Program Personnel Standards in cases of dispute.

   d) 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. The request must be approved by the President with the concurrence of the faculty member." [4]

   e) With an appointment during regular business hours, the faculty member and another person of the faculty member's choosing may inspect the faculty member's portfolio, except when the portfolio is under review.

   f) Service in the personnel evaluation process is part of the normal and reasonable duties of tenured faculty. Lobbying or harassing of such persons in the performance of these duties constitutes unprofessional conduct.

V. RESPONSIBILITIES OF FACULTY MEMBERS

1. The University shall provide each probationary faculty member with a copy of this document at the time of initial appointment to probationary status. It is the responsibility of all faculty members to familiarize themselves with this University RTP Policy. Faculty members are

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[4] "A request for an external review of materials submitted by a faculty unit employee 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 outside reviewer and (2) the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the President with the concurrence of the faculty unit employee." (CBA 15.12d)

encouraged to seek the aid of their department chairs, the Faculty Development Office, and/or their PPCs in understanding the University's personnel policies and in preparing their portfolios. CSUCI recognizes the responsibility of tenured faculty to act as mentors for faculty members who have not yet achieved tenure and encourages probationary faculty to seek out mentoring from tenured faculty in their own or other disciplines.

W. RESPONSIBILITIES OF PROGRAM CHAIRS

    A.   Chairs' responsibilities are as follows:

        a) The program chair shall ensure that probationary faculty members have received all documents relating to Program Personnel Standards (PPS) and Retention, Tenure and Promotion Policy and Procedures.

        b) The program chair shall consult with each faculty member for whom a personnel recommendation will be made to assure that the annual updating of the Portfolio has been initiated and that the compilation is proceeding according to the requirements of this document. Such consultation should be documented.

        c) The program chair shall assess whether the faculty member has included all the required elements in the Portfolio, and, where necessary, to counsel the faculty member concerning the contents of the Portfolio.

        d) The program chair shall forward the Portfolio to the program personnel committee (PPC).

        e) The program chair shall receive the evaluation report and recommendation of the PPC.

        f) The program chair shall provide the faculty member with a copy of the PPC recommendation.

    B.   At this time, the program chair shall ask the faculty member whether he or she wishes to add a response or rebuttal to the PPC recommendation to the Portfolio. If the faculty member does so wish, the Portfolio shall be held by the chair for ten (10) days while the faculty member does so. A copy of the response or rebuttal shall be forwarded to the chair of the PPC. Whether or not the faculty member chooses to add a response or rebuttal to the file, the chair shall require the faculty member to signify the option chosen by signing a signature form. Such a signature in no way indicates the faculty member's approval of the evaluations or recommendations, but only that these have been read and he or she has received a copy of the PPC recommendation.

    C.   <u>If so stated in the Program Personnel Standards</u>, the chair shall then evaluate the performance of the faculty member based upon the Portfolio. The chair shall add to the portfolio a signed evaluation and, when the current program chair is newly appointed, by the previous chair—in which case new chair shall make the final recommendation. The chair shall provide a copy of the recommendation to the faculty member and inform the faculty member of his or her option to respond to or rebut the

recommendation of the chair within ten (10) days.

D. To transmit the Portfolio and the recommendations to the Dean (or appropriate administrator for librarians and counselors).

X. RESPONSIBILITIES OF THE PROGRAM PERSONNEL COMMITTEE

1. To review and evaluate in writing the portfolio of each faculty member to be considered for retention, tenure, or promotion. In this evaluation, the PPC shall comment upon the candidate's qualifications under each category of evaluation. The evaluation report shall incorporate a discussion of all points of view held by members of the committee.

2. To formulate a recommendation which shall state in writing the reasons for the recommendation. The recommendation and evaluation report shall be approved by a simple majority vote of the PPC and signed by all members of the PPC. The vote tabulation shall be recorded on the recommendation form.

3. To sign the recommendation form in alphabetical order. The order of the signatures shall not indicate the way individual members voted.

1. To return the entire file, including the evaluation and recommendation, to the program chair, if the program chair is to do an evaluation, as stated in the PPS. If the program chair is not to do an evaluation (for instance, if the chair is a member of the PPC), the PPC will forward the file to the Dean (or appropriate administrator for librarians and counselors).

Y. RESPONSIBILITIES OF DEAN (OR APPROPRIATE ADMINISTRATOR FOR LIBRARIANS AND COUNSELORS)

1. To assume the responsibilities of the division chair (if any) when the division chair is ineligible to participate in the evaluation process. The Dean (or appropriate administrator for librarians and counselors), however, shall recommend only as dean and not in lieu of the division chair.

2. To assume responsibilities of the program chair when the program chair is ineligible to participate in the evaluation process or there is no division chair. The Dean (or appropriate administrator for librarians and counselors), however, shall recommend only as Dean and not in lieu of the program chair.

3. To make a recommendation in each case, including a written statement giving the reasons for the recommendation.

4. To provide copies of the recommendation to the faculty member.

5. To inform the faculty member of his or her right to response or rebuttal within ten (10) days, and of his or her obligation to indicate the option chosen on the signature form. If the faculty member wishes to respond or rebut, the Portfolio shall be held by the Dean (or appropriate administrator

for librarians and counselors) for ten (10) days.
6.   To forward the portfolio to the University RTP Committee.

Z. RESPONSIBILITIES OF THE UNIVERSITY RTP COMMITTEE
1.   To review and comment on proposed Program Personnel Standards, or revisions thereto, and recommend approval, disapproval, or amendments to the Provost/ Vice President for Academic Affairs (VPSA for counselors).
2.   To evaluate and make recommendations regarding tenure and promotion actions.
3.   To provide copies of the University RTP Committee's recommendations for delivery to the faculty member.
4.   To inform the faculty member of his or her right to response or rebuttal to the recommendation within ten (10) days and his or her obligation to indicate the option chosen on the signature form.
5.   To forward the Portfolio to the Provost/ Vice President for Academic Affairs (or appropriate administrator for library and/or counselor faculty).

AA. RESPONSIBILITIES OF THE PROVOST/VICE PRESIDENT FOR ACADEMIC AFFAIRS (OR APPROPRIATE ADMINISTRATOR FOR LIBRARY AND COUNSELOR FACULTY)
1.   To review each tenure or promotion portfolio and recommend action to the President.

2.   To provide copies of his/her recommendation and the basis for it to the faculty member.

3.   To inform the faculty member of his or her right to response or rebuttal within ten (10) days, and of his or her obligation to indicate the option chosen on the signature form. If the faculty member wishes to respond or rebut, the portfolio shall be held by the Provost (or appropriate administrator for librarians and counselors) for ten (10) days.

4.   To forward the Portfolio to the President.

BB. RESPONSIBILITIES OF THE PRESIDENT
1.   To confer with the University RTP Committee, if the president is considering a personnel action provided for in this document which is contrary to a majority vote of the University RTP Committee.
2.   To notify faculty in writing of the final decision in accordance with published deadlines. Copies of such notices shall be given to the faculty member, the Provost/VPAA, and to The Office of Faculty Affairs for placement in the Portfolio.

CC. CONFIDENTIALITY

1. California Law (Civil Code, Section 1798) provides that no personal records of state employees may be disclosed to others except under certain specified conditions. It is the explicit object of this legislation to protect the privacy of employees. Anyone participating knowingly in unauthorized disclosures of information from personnel records is subject to both civil and criminal penalties. The fact that an employee has himself or herself disclosed an item or information to others is not listed by the State as one of the specific conditions justifying the release of the file to others.

2. Every effort shall be made by everyone connected with this personnel process to safeguard the contents of portfolios and access to them.

Appendix A

Checklist (right margin, vertical)

California State University
Channel Islands Checklist for Faculty

Tenured/Tenure-Track Portfolio (except for faculty in their first or second probationary year in their first year of service at CSU Channel Islands)

The Portfolio is the basis for RTP evaluations, recommendations, and actions. Period of review (See Section N.A-E):

1. Normally, for reappointment, the period of review is the period since appointment or the last reappointment, whichever is later.

2. for reappointment in the 3rd probationary year (or fourth for faculty hired with two years of prior service credit) the period of review is the entire probationary period, including years for which service credit is granted.

3. for tenure, the period of review is the entire probationary period, including years for which service credit is granted.

4. for promotion, the period of review is the time spent in rank, including time spent at that rank at other four year institutions.

5. for tenure and/or promotion, a faculty member may include accomplishments prior to the period of review as part of the portfolio.

The following materials are required in the Portfolio as specified in Section O.A.1-14:

GENERAL

	Evaluation and Recommendation forms (leave empty, provided by the reviewers)
	Checklist
	Table of Contents of the Portfolio, initialed and dated by the faculty member
	Table of Contents of the Appendix to the Portfolio, initialed and dated
	A copy of approved PPS or GPS
	Approved Professional Development Plan
	Curriculum Vitae - Covering the entire academic and professional employment history

TEACHING

	Narrative Summary: Self assessment of accomplishments in teaching performance (limited to 1000 words)
	List of teaching assignments for each class, each semester, for entire period under review

	Peer Evaluations: a minimum of one peer observation of classroom teaching for each probationary year
	Statistical Summaries of Student Evaluations
	Evidence of Assessment of Teaching (optional)

PROFESSIONAL ACTIVITIES (For Librarians and Counselors only)

	Narrative Summary: Self assessment of accomplishments in professional activities (limited to 1000 words)
	List of primary professional activities for entire period under review
	Peer Evaluations: a minimum of one peer evaluation
	Optional: Statistical Summaries of Student Evaluations for credit courses, workshops, library sessions, etc.

SCHOLARLY/CREATIVE ACTIVITIES

	Narrative Summary: Self assessment of accomplishments in Scholarly and Creative Activities (limited to 1000 words)

PROFESSIONAL, UNIVERSITY AND COMMUNITY SERVICE

	Narrative Summary: Self assessment of accomplishments in Professional, University and Community Service (limited to 1000 words)

APPENDIX

An appendix containing supporting materials that are directly relevant to the presentation in the Portfolio as specified in O.A.I-!V.

	Table of Contents of the Appendix
	Supporting materials as specified in O.A.II
	For faculty with teaching assignments, copies of syllabi for all courses for the period of review.
	Documentation of performance as specified in O.A.V

Appendix B

CALIFORNIA STATE UNIVERSITY
PROGRAM PERSONNEL STANDARDS GUIDELINES

This document shall provide guidelines for development of Program Personnel Standards (PPS) for each program area. In the event a faculty member under review is not within a program area that currently has a PPS, the General Personnel Standards (GPS) shall serve as the guide for preparation and evaluation of the candidate's portfolio. It is strongly suggested that a candidate in that situation obtain advice from the Faculty Development Office, a faculty mentor, and/or his or her chair while completing the portfolio.

The following are not listed in order of relative importance.

A. APPROVAL AND REVIEW
   1. Each program's PPS will become effective upon approval by the elected University Retention, Tenure and Promotion (RTP) Committee and the Provost/VPAA (VPSA for counselors). PPS documents will be reviewed by the RTP Committee and the Provost/VPAA (VPSA for counselors) on a rotating, five year basis, unless otherwise requested by Program Personnel Committee or the President.
   2. Programs developing Personnel Standards shall make their PPS documents reflect the changing nature of CSUCI, a start-up university.

B. TEACHING/PRIMARY RESPONSIBILITIES
   1. Each program shall state in its standards the appropriate indicators of contributions to student learning consistent with the CSUCI University Retention, Tenure and Promotion Policy and Procedures document. Such standards shall address peer evaluation of pedagogical approach and methods, student responses to instruction, ongoing professional development as a teacher, and other such evidence as the program deems important.
   2. If the candidate teaches classroom courses, peer review includes written reports of classroom visitations by colleagues that shall address clarity of presentation, communication with students, student interaction, effective use of classroom time, and appropriateness of presentation methods. Reviews shall take into consideration the level and objectives of the courses.
   3. Letters of evaluation by external evaluators may be included.
   4. Faculty may contribute to student learning by such activities as development of new courses, innovative approaches to teaching and fostering student learning, supervision of student research or performance, delivering workshops for students, and other similar activities.

C. SCHOLARLY AND CREATIVE ACTIVITIES
   1. Each program shall state in its standards those scholarly and creative activities that are appropriate indicators of professional growth for its faculty.
   2. Documentation of scholarly and creative work is required and placed in the

appendix to the portfolio. This documentation shall include:

    i. a complete citation, in the style customary to the faculty member's discipline, to each of his or her scholarly and creative works;

    ii. a copy of each scholarly or creative work completed during the faculty member's period of review;

    iii. and copies of letters of acceptance for those completed works that are "in press" or otherwise in the process of publication.

    iv. For works presented in a medium other than print, the copy may be in a form suitable for evaluation as appropriate to the discipline (e.g. photographs, audiotape, video tape, CD-ROM, computer disks, etc. Candidates are encouraged to place as much information as possible on CD).

    v. Work that has been accepted for publication or presentation after a peer-review or juried process shall be distinguished from work that was not subject to a peer review or juried process.

    vi. Documentation of the peer review or juried process may be required by any level of review.

    vii. Documentation also should be provided for scholarly and creative work in progress. This documentation may include copies of intramural and extramural grant proposals, grant award letters, abstracts of papers presented at professional meetings, papers currently being reviewed for publication, copies of manuscripts in preparation, being a discussant of presented papers; etc. Care should be taken to distinguish work in progress from that already completed.

  b. For retention performance reviews, supporting material shall be limited to the period since the last full performance review. For full performance reviews where promotion or tenure are to be considered, case materials shall be submitted for the entire period under review.

  c. Scholarly or creative works are considered to have been completed when they have been accepted for publication or presentation without further revision.

  d. Faculty may further demonstrate their contributions with evidence of professional recognition of their contributions to the discipline. Evidence may include book or article prizes; non-refereed invited papers, exhibits, and performances; comments and replies; book reviews of the candidate's work; and citations of the faculty member's published work.

D. PROFESSIONAL, UNIVERSITY, AND COMMUNITY SERVICE

1. Maintaining and improving the quality of the learning environment, the profession, University, and community are dependent upon active participation of faculty in various organizations and governance tasks. All faculty are expected to take a continuous and active role in addressing the needs of the profession, University, and community through good citizenship and through application of their professional expertise.

2. Each program shall state in its standards those professional, University, and

community service activities that are appropriate indicators of service contribution for its faculty.

3. Documentation shall include lists and evidence of all activities with an assessment of their relevance and significance. Such assessment should include, when appropriate, peer and/or external evaluation.

4. All faculty shall contribute to faculty governance and participate in professional or academic organizations. Contributions may include serving as a member or leader of program, division, or University committees; organizing conference sessions; serving on organization boards or committees; being a discussant of presented papers; and participating in other related activities. Evaluation shall assess the quality and significance of service. Candidates should be encouraged to obtain letters from committee chairs.

5. Faculty may demonstrate further service contributions by engaging in such activities as:
    a. serving on system-wide committees,
    b. serving the faculty bargaining unit,
    c. serving the community through application of knowledge in the discipline,
    d. sponsoring student organizations,
    e. participating in educational equity and outreach efforts,
    f. being interviewed by the media,
    g. or authoring publications pertinent to the University's objectives.