

SPECIAL MEETING

A C A D E M I C S E N A T E

AGENDA

Wednesday, March 20, 1985

2:00 p.m.

Psychology 153

NOTE



AS 85-16, UARTP, Ex. UNIVERSITY ARTP POLICY

The Academic Senate approves as University policy the "Proposed University ARTP Policy," dated February 26, 1985.

[BRING YOUR COPY OF THE POLICY--distributed to all Senators on March 1, 1985.]

TABLE OF CONTENTS

	Page
1.00 <u>General References</u>	1
2.00 <u>Responsibility for Personnel Matters</u>	1
3.00 <u>University ARTP Committee</u>	2
3.01 Composition	2
3.02 Duties and Procedures	2
4.00 <u>Personnel Action File</u>	4
4.01 Definitions	4
4.02 Custodian	4
4.03 Submissions	4
4.04 Basis of Evaluation	5
4.05 Right of Access	6
4.06 Confidentiality	7
4.07 Location of Other Files	7
4.08 Order of Materials in the Personnel Action File.	7 ✓
4.09 Time Limits on the Use of Submitted Materials	9
5.00 <u>Criteria and Qualifications</u>	9
5.01 In General.	9
5.02 Probationary Appointments	10-9
5.03 Temporary Appointments.	11
5.04 Modification of Criteria to Govern Evaluation of Temporary Employees	12
5.05 Criteria for Retention, Tenure, and Promotion	13 12

5.06	Early Tenure.	17
5.07	Promotion from a Step Below Step Five	18 ¹⁷
5.08	Faculty on Limited or Non-teaching Assignments	18 ¹⁷
6.00	<u>Appointment</u>	18
6.01	Authority to Appoint	18
6.02	Official Notification.	18
6.03	Granting Retreat Rights.	19 ¹⁸
6.04	Temporary Appointments	19
6.05	Appointment of Director of Athletics and Athletic Coach	22
6.06	Probationary Appointments.	22
6.07	Appointment at Another Campus.	23
6.08	Vacancy Announcements.	23
6.09	Appointment of Relatives	24
6.10	Appointment of Adjunct Faculty	24
7.00	<u>Probation and Tenure</u>	26
7.01	Probation.	26
7.02	Tenure	29 ⁸
8.00	<u>Promotion</u>	30 ²⁹
8.01	In General	30 ²⁹
8.02	Faculty Unit Employees On Leave.	31
8.03	Retreat Rights of Faculty Unit Employees Serving as Appropriate Administrators.	31
9.00	<u>Evaluation</u>	32 ³¹
9.01	In General	32 ³¹
9.02	Representation Before a Peer Review Committee.	35

9.03 Periodic Evaluation 36

9.04 Periodic Evaluation of Temporary Faculty
Unit Employees ~~37~~ 36

9.05 Periodic Evaluation of Probationary Faculty
Unit Employees 37

9.06 Performance Review ~~38~~ 37

9.07 Recommendation Process for Performance
Review 38

9.08 Faculty in Terminal Year 41

10.00 Certification of Academic Employees to Continue
Employment Beyond Mandatory Retirement Age 41

10.01 Definition 41

10.02 Initial Certification. 41

10.03 Recertification. ~~43~~ 42

1.00 GENERAL REFERENCES

All criteria, policies, and procedures in this document are intended to be consistent with and supplemental to the following documents where not superseded by the Memorandum of Understanding between the California State University and Unit 3 Faculty:

- A. The laws of the State, especially Education Code, Division 8, Part 55, and interpretations thereof in California Administrative Code, Title 5;
- B. Regulations approved by the Trustees of the California State University, especially:
 1. The Report of the CSUC Ad Hoc Committee on the Procurement and Retention of a Quality Faculty (1971),
 2. The Report of the CSUC Ad Hoc Committee on the Procurement and Retention of a Quality Faculty (1975),
 3. The University and Colleges Administrative Manual (UCAM);
- C. Directives of the Chancellor of the California State University;
- D. The Constitution of the Faculty of California State University, Sacramento;
- E. The approved Affirmative Action Plan for California State University, Sacramento;
- F. Agreement between the Board of Trustees of the California State University and the California Faculty Association Unit 3 Faculty.

2.00 RESPONSIBILITY FOR PERSONNEL MATTERS

All personnel criteria, policies, procedures, and actions (appointment, retention, tenure, promotion) are the responsibility of the President, or designee, in keeping with procedures herein set forth.

3.00 UNIVERSITY ARTP COMMITTEE

3.01 Composition

A. The University ARTP Committee shall be composed of one student selected by the Student Senate, one member elected by the Library unit, and tenured faculty members elected by and from their tenured and probationary colleagues in each school. Each school shall elect one member of the University ARTP Committee for each 100 probationary and tenured faculty or fraction thereof assigned to that school as of the current year.

<u>FTEF</u>	<u>UARTP Representative(s)</u>
1 - 100	One member
101 - 199	Two members
200 - 299	Three members
300 - 399	Four members
400 - 499	Five members

The President's designee shall serve as a non-voting ex-officio member of the University ARTP Committee.

B. Any change in the composition of the University ARTP Committee shall be subject to recommendation by a vote of the entire faculty and the approval of the President.

C. It is imperative that the members of the University ARTP Committee be persons with such concern for the quality of the University and with the function of the University in its local, regional, and national setting, that they will be able to set aside the interest they will have in some particular part of the University, so that these special interests will not intrude upon the deliberations of the Univeristy ARTP Committee.

3.02 Duties and Procedures

A. In General

The University ARTP Committee shall serve as a committee of the Academic Senate. The committee shall:

1. forward any recommended changes in University ARTP policy through the Academic Senate to the President.

2. review and recommend directly to the President department, division, and school criteria, policies, and procedures applicable to the evaluation of faculty unit employees for the purpose of appointment, retention, tenure, and promotion.
3. advise the President on the allocation of all University promotion monies.
4. recommend to the President the annual ARTP calendar prior to the end of the spring semester.

B. Procedural Reviews

1. Each primary level (department or equivalent unit) ARTP committee shall be required to submit to the University ARTP Committee for review and recommendation to the President its criteria, policies, and procedures for appointment, retention, tenure, and promotion.
2. Each secondary level (school or equivalent unit) ARTP committee shall be required to submit to the University ARTP Committee for review and recommendation to the President its policies and procedures for appointment, retention, tenure, and promotion.
3. The University ARTP Committee shall review the criteria, policies, and procedures of departments (or equivalent units) and schools for consistency with applicable authority referenced in Section 1.00 of this document and with the University-wide criteria, policies, and procedures.
4. Proposed changes in the primary and/or secondary level criteria, policies, and procedures for appointment, retention, tenure, and promotion must be approved by the President upon recommendation of the University ARTP Committee prior to implementation in the next annual faculty evaluation cycle.

C. Allocation of Promotion Monies

1. The University ARTP Committee shall recommend to the President a plan for the University-wide allocation of promotion monies, based upon appropriate demographic data.

2. When the President has approved an allocation plan, the University ARTP Committee shall communicate the plan and the resulting allocation to the secondary level ARTP committees.

4.00 PERSONNEL ACTION FILE

4.01 Definitions

- A. "The Personnel Action File shall be defined as the one (1) official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee." (M.O.U. 11.1)
- B. The "Working Personnel Action File" is that portion of the Personnel Action File used during the time of periodic evaluation or performance review of a faculty unit employee (material such as absence requests having been removed because irrelevant to these proceedings).

4.02 Custodian

- A. "For each faculty unit employee, the President shall designate an office in which the Personnel Action File shall be maintained and shall designate a custodian for the Personnel Action File. It is the intent of the CSU to maintain accurate and relevant Personnel Action Files." (M.O.U. 11.1) (Note: The Personnel Action File includes the Working Personnel Action File.)
- B. The Personnel Action File shall be retained by the custodian of the file.

4.03 Submissions

- A. "A faculty unit employee shall have the right to submit additional material to his/her Personnel Action File and shall have the right to submit a written rebuttal to any material in his/her Personnel Action File." (M.O.U. 11.2)
- B. A faculty member may add materials to his/her Personnel Action File at any time. Each primary committee shall establish a deadline for the candidate's submission of material for review at all levels. The deadline shall be no sooner than three (3) weeks prior to the beginning of the primary committee's deliberations. Materials submitted after the deadline shall be considered in subsequent reviews.

- C. "Any material identified by source may be placed in the Personnel Action File. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material." (M.O.U. 11.3) The custodian shall decide which materials submitted by persons other than the faculty unit employee will be accepted for placement in the file.
- D. "The faculty unit employee shall be provided with a copy of any material to be placed in the Personnel Action File at least five (5) days prior to such placement. This provision shall not apply to material referenced in the Temporary Suspension or Disciplinary Action Procedure Articles of this Agreement." (M.O.U. 11.4)
- E. "Materials for evaluation submitted by a faculty unit employee shall be deemed incorporated by reference in the Personnel Action File, but need not be physically placed in the file. An index of such materials shall be prepared by the faculty unit employee and submitted with the materials. Such an index shall be permanently placed in the Personnel Action File. Materials incorporated by reference in this manner shall be considered part of the Personnel Action File for the actions set forth in provision 11.6 of this Article. Indexed materials may be returned to the faculty unit employee." (M.O.U. 11.5)
- F. "During the time of periodic evaluation and performance review of a faculty unit employee, the Working Personnel Action File, which includes all information, materials, recommendations, responses and rebuttals, shall be incorporated by reference into the Personnel Action File." (M.O.U. 11.6)

4.04 Basis of Evaluation

- A. "Personnel recommendations or decisions relating to retention, tenure, promotion, termination, or any other personnel action shall be based primarily on material contained in the Personnel Action File. If a personnel recommendation or decision is based on reasons not contained in the Personnel Action File, the party making the recommendation or decision shall commit those reasons to writing and this signed written statement shall be placed in the Personnel Action File and provided to the faculty unit employee." (M.O.U. 11.7)

- B. Prior to completion of the substantive evaluation of a candidate all material serving as the basis of the evaluation must appear in the Working Personnel Action File.
- C. Please see Section 9.01.U (Faculty Right to Copy of Recommendations) of this document.
- D. Please see Section 9.01.Y (Amplification of Materials) of this document.

4.05 Right of Access

- A. "A faculty unit employee shall have the right of access to all material in his/her Personnel Action File, exclusive of pre-employment materials. A faculty unit employee shall have access to pre-employment materials in instances when such materials are used in personnel actions." (M.O.U. 11.8)
- B. "A faculty unit employee may request an appointment(s) for the purpose of inspecting his/her Personnel Action File. Such appointment(s) shall be scheduled promptly during normal business hours. The manner of inspection shall be subject to reasonable conditions. The faculty unit employee shall have the right to have another person of the employee's choosing accompany him/her to inspect the Personnel Action File." (M.O.U. 11.9)
- C. "Following receipt of a faculty unit employee's written request, the appropriate administrator shall, within fourteen (14) days of the request, provide a copy of all requested materials. The faculty unit employee may be required to bear the cost of duplicating such materials." (M.O.U. 11.10)
- D. "If, after examination of the Personnel Action File, the faculty unit employee believes that any portion of the file is not accurate, he/she may request in writing a correction of the material or a deletion of a portion of the material, or both. Such a request shall be addressed to the custodian of the file, with copies to the appropriate faculty committee, if such material was generated by a faculty committee, and the appropriate administrator. The request shall include a written statement by the faculty unit employee as to the corrections and/or deletions that he/she believes should be made, and the facts and reasons supporting such request. Such request shall become part of the Personnel Action File, except in those instances in which the disputed material has been removed from the

file." (M.O.U. 11.11) (On this campus "accurate" includes "relevant," "timely," and "complete.")

- E. "If the request is denied by the custodian of the file, no later than seven (7) days after the date of such a denial, the faculty unit employee shall have a right to submit the request to the President. Within twenty-one (21) days of such request to the President, the President shall provide to the faculty unit employee a written response. If the President grants the request, the record shall be corrected or the deletions made, and the faculty unit employee shall be sent a written statement to that effect. If the President denies the request, the response shall include the reason(s) for denial." (M.O.U. 11.12)

4.06 Confidentiality

"The Personnel Action File shall be held in confidence. Access to a faculty unit employee's Personnel Action File shall be limited only to persons with official business. The custodian shall log all instances of access to a Personnel Action File. Such a log record shall be a part of the Personnel Action File." (M.O.U. 11.13)

4.07 Location of Other Files

"The Personnel Action File shall indicate the location of other records regarding a faculty unit employee kept on the campus to which the faculty unit employee has access in accordance with statute." (M.O.U. 11.14)

4.08 Order of Materials in the Personnel Action File

- A. Order of Personnel Action File (Divided into separate tabbed sections. Submitted by the custodian of the file):
1. Record of location of other files;
 2. Access log;
 3. Appointment information:
 - a. Appointment letter,
 - b. Statement of professional preparation and experience,
 - c. Evidence of appropriate academic preparation,
 - d. Appointment resume.

- 4. Results of standardized student evaluations;
- 5. Written student comments and summaries of oral student comments, if any;
- 6. Peer evaluation, if any;
- 7. Evaluation process material--inserted in Personnel Action File at the end of each evaluation cycle--filed by year:
 - a. Current resume,
 - b. Index of materials submitted by the faculty member,
 - c. RTP recommendations from all levels.

B. Order of material submitted by faculty member (Divided into separate tabbed sections):

- 1. Index;
- 2. Current resume. Annual report of activities prepared according to the prescribed department/school format, if required;
- 3. Material regarding teaching performance:
Evidence shall include those items mentioned in Section 5.05.C of this document.
- 4. Scholarly or creative achievements:
Evidence shall include those items mentioned in Section 5.05.D of this document.
- 5. Contributions to the community:
Evidence shall include those items mentioned in Section 5.05.E of this document.
- 6. Contributions to the institution:
Evidence shall include those items mentioned in Section 5.05.F of this document.
- 7. Miscellaneous:
Any other pertinent material.

C. Order of Working Personnel Action File:

1. Material submitted by the faculty member as directed in Section 4.08.B above.
2. Appropriate material from the Personnel Action File:

Items 3 (except c), 4, 5, and 6 of Section 4.08.A above. Instead of item 3.c, a statement of the decision about the appropriateness of academic preparation should appear.
3.
 - a. Evaluation/recommendation by Primary Committee;
 - b. Evaluation/recommendation by Secondary Committee;
 - c. Evaluation/recommendation of appropriate administrator;
 - d. President's decision, if any.

4.09 Time Limits on the Use of Submitted Materials

Materials used in evaluations shall be limited to those developed during the following periods:

Retention through Tenure: Materials submitted/received since date of initial appointment.

First Promotion: Materials submitted/received since date of initial appointment.

Subsequent Promotions: Materials submitted/received since date of last promotion.

Periodic Review of Tenured Faculty: Materials submitted/received since date of last evaluation.

Periodic Review of Temporary Faculty: Materials submitted/received during previous five years.

5.00 CRITERIA AND QUALIFICATIONS

5.01 In General

- A. All personnel actions shall be based solely upon the candidate's ability, qualifications, experience, and fitness for the position to be filled without regard to

the race, religion, color, national origin, ancestry, sex, handicapped status, marital status, creed, age, or sexual orientation of the applicant.

- B. The faculty of this university shall consist of specialists qualified to give instruction in each authorized curriculum. The earned doctorate or equivalent attainment shall be the desirable qualification for appointment as a faculty unit employee. Equivalent attainments may be accepted:
- (a) In those fields where the doctorate is not common.
 - (b) In vocational fields where experience may be substituted for academic preparation. (Title 5, 42711) (See Sections 5.02 and 5.05, Probationary and Temporary Appointments, below.)

5.02 Probationary Appointments (See also Section 5.05.G, below)

- A. "Probationary appointments are normally made at the assistant professor or equivalent librarian rank. The President may appoint a faculty unit employee at a higher rank on the determination of merit consistent with provision 12.10." (M.O.U. 12.11) (See Section 6.06.B, Probationary Appointments, of this document.)
- B. In making probationary appointments, the following factors shall be given primary consideration:
- (a) Excellence in scholarship and preparation.
 - (b) Interest and skill in teaching.
 - (c) Promise of professional growth.
- C. Disciplines in which the doctorate is the recognized terminal degree (all disciplines except those listed in D and E, below):

The earned doctorate is required for a probationary appointment in all disciplines for which it is recognized as the terminal degree. Individuals not possessing an earned doctorate may receive a probationary appointment if completion of the degree within a specified period is made a condition of employment. Completion of the degree is required for tenure and/or promotion.

- D. Disciplines in which the doctorate is not the recognized terminal degree ~~(Art, Home Economics, Journalism, Music, Theatre Arts, Nursing, Library):~~

Each department in a discipline in which the doctorate is not the recognized terminal degree shall include the following in its ARTP policy:

1. The appropriate academic preparation required for a probationary appointment. (Advertisements for such positions may indicate that a doctorate is preferred.)
 2. The types of scholarly or creative activity or experience which may be required for a probationary appointment in addition to academic preparation. At the time of appointment, additional scholarly or creative activities or experience required for either retention, tenure, or promotion shall be indicated.
 3. A department may require an earned doctorate for a particular position. This requirement shall be indicated in the position vacancy announcement.
- E. On the recommendation of the department and appropriate school committees, the President may, in ~~rare~~ *Special* circumstances, make exceptions to the qualifications set forth in Section 5.02.C above and the standards set forth in Section 5.02.D above if the appointment contributes significantly to the university.

F. Subdisciplines

There may be subdisciplines or areas of specialization within those disciplines mentioned in Section 5.02.C above in which the doctorate is not the recognized terminal degree. Such subdisciplines shall be identified in the primary ARTP document and are treated as in Section 5.02.D above.

5.03. Temporary Appointments

- A. The following guidelines shall normally determine the location on the pay scale at which an initial temporary appointment is made:
1. Assistant: Bachelor's degree in the discipline.
 2. Instructor: Master's degree in the discipline or equivalent educational experience; or Bachelor's degree plus the equivalent of at least five years teaching or relevant professional experience.

3. Assistant Professor: Doctorate or equivalent educational experience; or Master's degree plus the equivalent of at least five years teaching or relevant professional experience.
4. Associate Professor: Doctorate or equivalent educational experience plus at least five years of teaching experience.
5. Professor: Doctorate or equivalent educational experience plus at least ten years of teaching experience.

Exceptions to these guidelines must be approved by the appropriate dean. [Additional criteria may be required by the department.] Within each rank, the particular step at which a person is appointed will depend on the extent to which the person's qualifications exceed the minimum requirements for the particular rank.

- ED.*
- B. Once the applications for a temporary ^{if an appointment is made,} faculty unit employee position have been reviewed, the best qualified person shall be appointed on the basis of merit and competence related to department or equivalent unit need. Criteria used in selection shall include:

1. degrees earned in relevant disciplines
2. relevant teaching experience
3. relevant professional experience
4. recommendations or other documents including student and peer evaluations of teaching performance.

5.04 Modification of Criteria to Govern Evaluation of Temporary Employees

Subject to recommendation by the University ARTP Committee and the approval of the President, a department or equivalent unit may delete evaluation criteria, except teaching performance, required in the evaluation of probationary and tenured faculty (see Section 5.05, below) when, in their judgment, they are deemed inappropriate or irrelevant to full-time temporary faculty employees. The modified list of criteria shall apply to all full-time

performance of a faculty member being evaluated. The primary level committee shall summarize oral testimony and provide a copy of all summaries or written testimony to the faculty member to whom it pertains. Summaries of oral testimony shall be signed by the chair of the primary committee. All open-ended written testimony, whether submitted as part of a standardized evaluation questionnaire or presented directly to the primary committee, must not be summarized but must be maintained in its original form. The placement of any material in the Personnel Action File shall be governed by the pertinent parts of Section 4.00 (Personnel Action File) of this document.

- 2) Students presenting evaluative comments to a department chair shall be advised by the chair that to have them considered in the ARTP process, a student must present his/her comments to the primary level committee either orally, if the department permits, or by signed, written statement.
- 3) The absence of student reports in a faculty member's file shall not be considered as either positive or negative evidence during the RTP considerations.

D. Scholarly or Creative Achievements

Evidence may include:

1. accomplishments in research and/or creative projects.
2. publication of articles, books, reviews, and research papers consistent with the mission of the university.
3. unpublished manuscripts.
4. membership and appropriate participation in activities of professional organizations.
5. presentation of professional lectures.
6. a statement describing the support, or lack of it (released time and/or funding) for the reported scholarly or creative achievements.

E. Contributions to the Community

Evidence may include the following contributions; ~~however, more emphasis shall be given to community contributions directly related to the faculty member's discipline and subjects of instruction.~~

1. Office or directorship on a volunteer basis (national, state, local).
2. Volunteer or paid consultant.
3. Participation on committees of agencies or organizations (national, state, local).
4. Participation in the mass media.
5. Community honors and awards.

F. Contributions to the Institution

Evidence may include:

1. contributions to the faculty member's department such as membership on a departmental committee, chair of a departmental committee, special assignments, curriculum development, and student advising.
2. contributions to the faculty member's school such as membership on a school committee, chair of a school committee, special assignments, curriculum development, and student advising.
3. contributions to the university such as membership on a university-wide committee, chair of a university-wide committee, special assignments, curriculum development, and student advising.

G. Possession of Appropriate Academic Preparation

1. For faculty hired after January 1, 1984, academic preparation is considered at the time of hiring. If the initial appointment is conditioned upon the completion of academic preparation specified in the appointment letter, that specified preparation shall be a factor in the decisions to retain, grant tenure, or promote until it has been completed.
2. For faculty hired before January 1, 1984, whose academic preparation has been found appropriate

either through evaluation at the time of appointment or through subsequent evaluation processes, academic preparation shall not be a consideration in future retention, tenure, or promotion decisions.

3. For faculty hired before January 1, 1984, whose academic preparation has not been evaluated, or has been found to be incomplete, the primary committee shall resolve the issue of appropriate academic preparation at the next evaluation or any time prior to the next evaluation, either by making a recommendation that the academic preparation is appropriate or by indicating additional preparation expected for retention, tenure, and/or promotion. The recommendation shall be reviewed by the department chair, dean, and President. If the President determines that academic preparation is appropriate, this criterion shall not be considered in subsequent evaluations. If the President determines the contrary, then he/she shall indicate the additional preparation expected for retention, tenure, or promotion. This criterion shall be considered in subsequent evaluations until the indicated preparation is completed.

5.06 Early Tenure

- A. Notwithstanding any provision to the contrary, early tenure is recognition of qualifications and performance substantially beyond that required for the granting of tenure after the normal six (6) year probationary period. (See Section 7.01.C, Normal Probationary Period, of this document.) Early tenure is granted for attaining a professional standard that includes activities which bring widespread recognition to the individual and the university from the academic community and/or the general public. Early tenure is not a right.
- B. Recommendations for early tenure are made through the normal ARTP channels. To be considered for early tenure, a faculty unit employee must demonstrate recognized outstanding performance in teaching, which shall be given primary weight, and possess appropriate academic preparation. In addition, recognized outstanding performance must be demonstrated in at least two (2) of the remaining three (3) university criteria for retention, tenure, and promotion: scholarly or creative achievement, contribution to the institution, and contribution to the community.

- C. In circumstances described in Sections 5.06.A and 5.06.B above, the President may award tenure to a faculty unit employee before the normal six (6) year probationary period upon application and with a positive recommendation from his/her department.

5.07 Promotion from a Step Below Step Five

Candidates who apply for promotion from step four (4) or below shall demonstrate outstanding performance in teaching, which shall be given primary weight, and possess appropriate academic preparation. In addition, outstanding performance must be demonstrated in at least two (2) of the remaining three (3) university criteria for retention, tenure, and promotion: scholarly and creative achievement, contribution to the institution, and contribution to the community. (See Section 8.01.E of this document.)

5.08 Faculty on Limited or Non-teaching Assignments

Although the same criteria shall be applied when faculty on limited or non-teaching assignments are being evaluated, the weights assigned to the criteria shall, of necessity, vary from those used in the evaluation of other full-time, tenured faculty. Departments/schools shall consider these variations when developing their promotion policies and procedures to govern the evaluation of faculty serving as administrators. (Please see Section 8.03, Retreat Rights, of this document.)

6.00 APPOINTMENT

6.01 Authority to Appoint

"After considering the recommendations, if any, of the department or equivalent unit and the appropriate administrator, appointments of employees shall be made by the President. No employee shall be deemed appointed in the absence of an official written notification from the President." (M.O.U. 12.1)

6.02 Official Notification

"Official notification to a faculty unit employee of an appointment shall include the beginning and ending dates of appointment, classification, timebase, salary, rank when appropriate, employee status, assigned department or equivalent unit, and other conditions of employment."
(M.O.U. 12.2)

6.03 Granting Retreat Rights

The President may grant retreat rights in an appropriate department to a person who is to be appointed to an administrative position at the CSUS campus, or who is already serving full time in such an administrative capacity. The following conditions and procedures shall govern such an action:

1. The candidate, or a university official on behalf of the candidate, must formally apply seeking such rights in an appropriate department or discipline.
2. The candidate must meet the eligibility requirements for the academic rank sought for such rights.
3. The department shall consider such an application for probationary status through its normal appointment procedures and regular ARTP committee(s).
4. After due consideration of such an application, the department shall make an appropriate recommendation to the President for action.

5) *The President will only grant retreat rights in conformity with the departmental recommendation;*
 6.04 Temporary Appointments

A. In General

1. "Temporary appointments may be for periods of a semester, a quarter, parts of a year, or one (1) or more years. Following two (2) semesters or three (3) quarters of consecutive employment within an academic year, a part-time temporary employee offered appointment to a similar assignment in the same department or equivalent unit at the same campus shall receive a one (1) year appointment. Such appointment shall be subject to the limitations stated in provision 12.5." (M.O.U. 12.3) (In this document, provision 12.5 of the M.O.U. appears as Section 6.04.C.1.)
2. "The official notification to a temporary faculty unit employee shall also indicate that appointments automatically expire at the end of the period stated and do not establish consideration for subsequent appointments or any further appointment rights. No other notice shall be provided." (M.O.U. 12.4)
3. "Each department or equivalent unit shall maintain a list of temporary faculty unit employees who have been evaluated by the department or equivalent

unit, and copies of previous periodic evaluations and his/her application shall receive careful consideration. If a temporary employee applies for a subsequent appointment and does not receive one, his/her right to file a grievance shall be limited to allegations of a failure to give careful consideration. Such a grievance would constitute an allegation of a contractual violation and would not be a 'Faculty Status Matter' as defined in Article 10 of this Agreement." (M.O.U. 12.7)

4. There shall be no campus policies or practices that deny access to an applicant pool or prevent consideration of an applicant for a temporary faculty unit employee position solely on the basis of the number of years of previous service as a temporary employee. This does not in any way imply that an incumbent has a presumptive right to continue a temporary appointment presently held.
5. "Appointment of a temporary faculty unit employee in consecutive academic years to a similar assignment in the same department or equivalent unit shall require the same or higher salary placement as in his/her previous appointment." (M.O.U. 12.8)

B. Full-time

1. Appointment of full-time temporary faculty unit employees normally shall follow the recruitment and selection procedures for probationary faculty unit employees contained in Section 6.06 below. Any variation requires compliance with department procedures provided for such variation and also shall require a waiver from the Affirmative Action Officer.
2. Reappointment as a full-time temporary faculty unit employee:
 - a. Full-time temporary faculty unit employees who have been appointed for one year after an affirmative action search may receive two successive reappointments through the waiver process, provided the position was advertised originally with the proviso that the additional years may be included. The incumbent is eligible to reapply for the position when it is advertised. Full-time temporary faculty unit employees who have been appointed for one year without a regular affirmative action search may

not be reappointed without an affirmative action search. The incumbent is eligible to apply for the position when it is advertised.

- b. A full-time temporary faculty unit employee may be appointed as a probationary faculty unit employee without an affirmative action search, provided the position was originally advertised with the proviso of the possibility of conversion to a probationary appointment and provided the conversion occurs during the specified period of the initial appointment.
3. "Full-time temporary employees shall not be appointed on a conditional basis." (M.O.U. 12.6)

C. Part-time

1. "An appointment for a less than full-time temporary faculty unit employee may be on a conditional basis. The conditions established at the time of appointment may relate to enrollment and budget considerations. If a class is cancelled, the temporary faculty unit employee shall be paid for class hours taught. Classes may be cancelled any time prior to the third class meeting." (M.O.U. 12.5)
2. Departments or equivalent units shall develop procedures to govern the creation of applicant pools and the making of part-time appointments. Departmental or equivalent unit level procedures may authorize a peer review committee for part-time appointees and/or the department chair to carry out all or part of the primary level review and recommendation process for part-time faculty unit appointments. This peer review committee shall consist of tenured faculty unit employees.
3. Part-time temporary faculty unit employees shall be appointed, as required by the affirmative action guidelines, from the applicant pool which is established on an annual basis or by semester in those cases where the pool does not contain enough qualified candidates to cover the demands for the entire year. Incumbent part-time temporary faculty unit employees are responsible for notifying the department chair, by the specified deadline, of their wish to become part of the applicant pool for the semester or year in which they wish to be employed. A detailed statement of recruiting and

selection procedures, utilizing the applicant pool, shall be available in the department or equivalent unit office.

4. "Upon completion of twenty-four (24) academic units or the quarter equivalent in the same department or equivalent unit, temporary employees may request consideration for step movement on the salary schedule." (M.O.U. 12.9)
5. Part-time faculty unit employees are eligible to advance to the next higher rank after they have taught twenty-four (24) units at the top step of their current rank or after they have met additional specified departmental requirements for a higher classification. Advancement is not automatic but depends upon evaluation of performance and the budgetary constraints of the University. Recommendations should be made by the department peer review committee and the department chair and forwarded to the dean of the school. Recommendation for advancement in rank for part-time faculty unit employees is a separate process from that followed for promotion recommendations for full-time faculty unit employees.
6. Please see Sections 5.04, 9.04.A and 9.04.C (Evaluation) of this document.

6.05 Appointment of Director of Athletics and Athletic Coach

- A. Appointments to the classes of director of athletics or athletic coach shall be made by the President on either an academic year, ten-month or twelve-month basis, and may be renewed on a year-to-year basis, without acquisition of tenure.
- B. Individuals who have served without a break in service in the classes of director of athletics or athletic coach, or both, and who are appointed to positions in which academic tenure may be gained, may be credited with not more than two years of service in such positions as service required for tenure.

6.06 Probationary Appointments

- A. "Initial probationary appointments and subsequent probationary appointments may be for a period of one (1) or more years." (M.O.U. 12.11)

- B. "Recommendations regarding probationary appointments shall originate at the department or equivalent unit. Probationary appointment procedures shall include the following:" (M.O.U. 12.12)
1. "Each department or equivalent unit shall elect a peer review committee of tenured employees for the purpose of reviewing and recommending individuals for probationary appointments." (M.O.U. 12.12.a)
 2. "Each departmental peer review committee recommendation report shall be approved by a simple majority of the committee casting a vote. An abstention shall count as a negative vote." (M.O.U. 12.12.b)
 3. Each departmental peer review committee shall recommend candidates for faculty unit employment in an organized manner using procedures developed within the department or equivalent unit, consistent with University policy.
- C. The department chair may serve as an ex officio, non-voting member of the peer review committee and may submit an independent recommendation for appointment. If a department chair submits an independent recommendation, the chair shall provide the peer review committee with a written statement of it and the reasons for it and this statement shall become part of the Affirmative Action Process Summary.
- D. Recommendations for probationary appointment shall be forwarded to the appropriate school dean accompanied by the appropriate documentation. If the dean does not agree with the recommendation of the committee, he/she shall give reasons and may request additional documentation.

6.07 Appointment at Another Campus

- A. "An employee may apply for appointment at another campus in his/her field of expertise." (M.O.U. 12.14)
- B. "An employee shall not be involuntarily appointed at another campus within the CSU." (M.O.U. 12.15)

6.08 Vacancy Announcements

- A. "Vacancy announcements of probationary faculty unit positions shall be widely disseminated. Employees shall be informed of the location where all vacancy

- announcements for tenure track positions from all campuses may be examined." (M.O.U. 12.16)
- B. Every attempt shall be made to solicit applications from qualified minorities and women. The announcement approved by the Office of the Provost shall be distributed to a standard listing of institutions of higher education, government agencies, and professional associations. This listing, upon request, may be augmented at any time. In addition, departments or equivalent units should utilize other recruiting channels, as appropriate, such as professional journals, newspapers, and relevant community organizations and agencies.
- C. Vacancy announcements of temporary faculty unit positions shall be appropriately disseminated either through announcements for the development of applicant pools for potential temporary faculty unit positions or vacancy announcements of temporary faculty unit positions.
- D. "Vacancy announcements of temporary employee positions shall be available on the campus where such vacancies may exist. Employees and the CFA shall be notified of the location where such vacancy announcements may be examined." (M.O.U. 12.17)
- E. "The department or equivalent unit shall normally develop vacancy announcements. Such announcements shall be subject to approval by the appropriate administrator." (M.O.U. 12.18)

6.09 Appointment of Relatives

There shall be no bar to the appointment of close relatives in administrative, faculty, or staff employment categories, in the same or different units or departments, so long as the following standard is met: No CSU employee shall vote, make recommendations, or in any way participate in decisions about any personnel matter which may directly affect the selection, appointment, retention, tenure, compensation, promotion, termination, other employment status or interest of a close relative. For the purposes of this policy, "close relative" is defined as husband, wife, mother, father, son, daughter, sister, and brother.

6.10 Appointment of Adjunct Faculty

- A. When it can be demonstrated that it would be important to the university to formalize the relationship with a professional person in the community, such an

appointment may be made utilizing the title of adjunct instructor or adjunct professor as appropriate.

- B. Adjunct appointments must be carefully considered, and must be fully justified in writing by the school dean or division chair concerned. Such appointees will be granted certain faculty privileges such as the issuance of a faculty identification card, use of the library, and eligibility to purchase a faculty parking sticker. The use of laboratory facilities may be authorized when appropriate, and office space may be assigned when available. The use of campus facilities by such appointees must not in any way interfere with the instructional program or the teaching and research activities of regular faculty.
- C. Adjunct appointments may be made for persons fulfilling the following roles:

1. Collaborators in research and/or teaching:

It is recognized that there may be several professional scientists, scholars, emeritus faculty, teachers, etc. in the community who have a close working relationship with the faculty of this university, and that in certain instances it would be valuable to the university to formalize that relationship by an appointment as an adjunct instructor or adjunct professor. When such appointments are made in connection with grant-supported research, the principal investigator for the project must be a member of the regular faculty.

2. Assistants to Instructors:

Adjunct appointments may be made for a non-paid person to assist a regular, full-time instructor. In such cases, the regular employee must be the instructor of record and must assume the normal instructional responsibilities such as planning, determining requirements, and assigning grades.

3. Field Work Supervisors:

Although field work and/or project supervisors are not generally considered eligible for adjunct professor status, it may be desirable occasionally to recognize certain key professionals in community agencies who assist in student placement and supervision with an appointment as an adjunct instructor or adjunct professor, as appropriate.

When such an appointment is contemplated, the dean or division chair must investigate thoroughly and certify both as to the qualifications of the appointee and the value that the arrangement will have for the institution. Such supervisors must possess qualifications equivalent to those required for appointment to the university.

D. The following guidelines will apply:

1. Each appointment must be to the mutual benefit of the appointee and this university.
2. A person appointed must have qualifications equal to those of our faculty or must possess special and unique qualifications germane to the assignment. A resume must accompany the request for adjunct appointment and a full explanation of duties to be performed during the time of appointment, along with an explanation of the mutual benefit of the appointment.
3. Appointments will be for one semester or one year only and will be renewed only after review and by mutual consent.
4. Recommendations for appointment shall originate in the department and receive the same review as required for regular appointment. Overall supervision of such appointees will be the responsibility of the school dean or chair of the non-instructional division. All such recommendations will be reviewed by the Office of the Provost, and final approval or rejection will be made by the Provost on the basis of the above regulations.

7.00 PROBATION AND TENURE

7.01 Probation

- A. "The term probationary faculty unit employee refers to a full-time faculty unit employee appointed with probationary status and serving a period of probation." (M.O.U. 13.1)
- B. "A probationary period is the period of service, prior to the granting or denial of tenure, credited to a faculty unit employee who has received a probationary appointment." (M.O.U. 13.2)

- C. "The normal period of probation shall be six (6) years of credited service or full-time probationary service. Any deviation from the normal six (6) year probationary period shall be the decision of the President following his/her consideration of recommendations from the department or equivalent unit and appropriate administrator(s). This provision shall not affect the probationary period of faculty unit employees appointed prior to October 1, 1983." (M.O.U. 13.3)
- D. "The President, upon recommendation by the affected department or equivalent unit, may grant to a faculty unit employee at the time of initial appointment to probationary status up to two (2) years service credit for probation based on previous service at a postsecondary education institution, previous full-time CSU employment, or comparable experience." (M.O.U. 13.4)
- E. Such award of credit shall be considered a special condition of employment and shall be stated in writing to the employee at the time of initial employment.
- F. "The timelines for evaluation of probationary faculty unit employees shall be announced by the President after consideration of recommendations, if any, of the appropriate faculty committee(s)." (M.O.U. 13.5) (On this campus the appropriate committee is the University ARTP Committee.)
- G. "A year of service for a faculty unit employee in an academic year position is two (2) consecutive semesters or three (3) consecutive quarters of employment within an academic year. For an academic year faculty unit employee at a campus with a quarter system year-round operation (QSYRO), however, a year of service is any three (3) quarters in a period of four (4) consecutive quarters. A year of service for a faculty unit employee in a twelve (12) month position is any consecutive twelve (12) months of full-time employment. A year of service for a faculty unit employee in a ten (10) month position is ten (10) months of full-time employment within a twelve (12) month period of time. The ten (10) months of required service for each twelve (12) month period shall be determined by the President upon appointment of the faculty unit member." (M.O.U. 13.6)
- H. "The faculty unit employee's probationary period may be extended by the President for an additional year when such faculty unit employee is on Worker's Compensation, Industrial Disability leave, Nonindustrial Disability

leave, leave without pay, or paid sick leave for more than one (1) semester." (M.O.U. 13.7)

- I. A leave of absence without pay taken during a probationary period for an assignment determined by the President and the department to be of a nature valuable to the University shall not constitute a break in service for the purposes of acquiring tenure. One academic year or less of such leaves may, with the recommendation of the department and at the discretion of the President, be counted toward the required service for tenure. However, for a probationary period in a leave status to be counted toward eligibility for tenure, an appraisal of such relevant experience must be made by the department and included in the total appraisal of the individual concerned.
- J. "A faculty unit employee's application for Worker's Compensation, Industrial Disability leave, or Nonindustrial Disability leave shall not affect determinations regarding the award of tenure." (M.O.U. 13.8)
- K. The President, with the recommendation of the department, shall determine whether a leave of absence without pay, for reasons other than those described in Section 7.01.J above shall constitute a break in the probationary period.
- L. "A probationary faculty unit employee shall be subject to a Performance Review pursuant to Article 15, Evaluation, for the purpose of retention." (M.O.U. 13.9) (See Sections 9.06 and 9.07 of this document.)
- M. "The President shall review and consider the Performance Review recommendations and relevant material and make a final decision on retention." (M.O.U. 13.10)
- N. "The President shall notify a probationary faculty unit employee who has served fewer than two (2) years of probation of the final decision on retention no later than February 15." (M.O.U. 13.11)
- O. "The President shall notify a probationary faculty unit employee who has served more than two (2) years of probation of a final decision on retention, appointment with tenure, or a terminal year appointment no later than June 1. Official notification to a probationary faculty unit employee of a terminal year appointment shall indicate that the faculty unit employee has no further appointment rights. Terminal year appointments

shall be limited to probationary faculty unit employees who have served a minimum of three (3) years of probation." (M.O.U. 13.12)

7.02 Tenure

- A. "The term 'tenure' refers to the right of a faculty unit employee awarded tenure as a faculty unit employee at a campus to continued permanent employment at the campus as a faculty unit employee except when such employment is voluntarily terminated or terminated by the Employer pursuant to this Agreement or law." (M.O.U. 13.13)
- B. "A probationary faculty unit employee is subject to a Performance Review for the purpose of award of tenure, pursuant to the Performance Review provision in Article 15, Evaluation." (M.O.U. 13.14) (See Sections 9.06 and 9.07 of this document.)
- C. "The President shall review the Performance Review recommendations and relevant material and make a final decision as to the award or denial of tenure." (M.O.U. 13.15)
- D. "The President shall officially notify the probationary faculty unit employee 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 unit employee by June 1 of a subsequent probationary appointment or a terminal year appointment. Terminal year appointments shall be limited to probationary faculty unit employees who have served a minimum of three (3) years. Official notification to a faculty unit employee of the denial of tenure shall include the statement that he/she has no further reemployment rights." (M.O.U. 13.16)
- E. "Tenure shall be effective at the beginning of the academic year succeeding the academic year in which tenure is awarded." (M.O.U. 13.18)
- F. Written notification of all decisions regarding reappointment, nonreappointment, and the award or denial of tenure of faculty unit employees shall be signed by the President or his/her designee.
- G. Reappointment to a succeeding academic year, and the award of tenure, shall be accomplished only by notice from the President or his/her designee.

8.00 PROMOTION

8.01 In General

- A. "Promotion shall be the advancement of a probationary or tenured faculty unit employee who holds academic or librarian rank to a higher academic or librarian rank." (M.O.U. 14.1) *in the early years of service*
- B. In general, retention decisions rely heavily on a faculty unit employee's preparation and ability, while tenure, and promotion decisions place more emphasis on contribution and performance. *and later retention*
- C. "A probationary faculty unit employee shall not normally be promoted during probation. However, a faculty unit employee in the rank of instructor or librarian equivalent may be considered for promotion after completing one (1) year of service in rank. Probationary faculty unit employees shall not be promoted beyond the rank of Associate. A probationary faculty unit employee shall normally be considered for promotion at the same time he/she is considered for tenure." (M.O.U. 14.2)
- D. "Promotion of a tenured faculty unit employee shall normally be considered when he/she has reached the highest step of his/her rank as shown on the appropriate salary schedule in Appendix C. This provision shall not apply if the faculty unit employee requests in writing that he/she not be considered." (M.O.U. 14.3)
- E. "In some circumstances, a faculty unit employee may, upon application and with a positive recommendation from his/her department or equivalent unit, be considered for promotion to professor or librarian equivalent from a step lower than the top step in the individual's rank." (M.O.U. 14.4) (On this campus this section shall apply to those seeking promotion from assistant to associate as well as from associate to professor or librarian equivalent. For criteria, see Section 5.07 of this document.)
- F. "Timelines for the promotion process shall be announced by the President, after consideration of the recommendations, if any, of the appropriate faculty committee(s). Promotion applications shall not normally be accepted after the announced timeline for applications." (M.O.U. 14.5) (On this campus the appropriate faculty committee is the University ARTP Committee.)

- G. "Faculty unit employees shall be subject to a Performance Review for the purposes of promotion, pursuant to Article 15, Evaluation." (M.O.U. 14.6) (See Sections 9.06 and 9.07 of this document.)
- H. "Prior to the final decision, candidates for promotion may withdraw without prejudice from consideration at any level of review." (M.O.U. 14.7)
- I. "The President shall review and consider the Performance Review recommendations, relevant material and information, and the availability of funds for promotion. The President shall make a final decision on promotion." (M.O.U. 14.8)
- J. "The President shall notify the faculty unit employee in writing of the final decision on the promotion no later than June 15. Such response shall include the reasons for approval or denial and shall indicate the effective date of the promotion, if any." (M.O.U. 14.9)

8.02 Faculty Unit Employees on Leave

Faculty unit employees on leave who are candidates for promotion shall be considered as carefully as if they were not on leave. They must ensure that their Personnel Action Files are up-to-date. They should inform their department chairs of those of their current and projected activities which might have a bearing on promotion.

8.03 Retreat Rights of Faculty Unit Employees Serving as Appropriate Administrators

- A. When they meet eligibility requirements, faculty unit employees serving as appropriate administrators shall be governed by the same policies and procedures for retention, tenure, and promotion as other full-time faculty in the unit. Evaluation of administrative performance is the responsibility of the President.
- B. When a CSUS faculty member whose evaluations under existing retention, tenure, and promotion policies have resulted in positive recommendations and decisions is in an academic administrative position, the President may grant tenure or promote the individual following a positive recommendation from the affected department that he/she take that action. Such a promotion shall not be counted against the school's promotion allocation.

- C. To be considered for retention, tenure, and/or promotion, faculty serving as administrators should teach at least one (1) course per year on this campus and present evidence of teaching evaluations to the appropriate committees. Teaching performance shall be the primary criterion for evaluation.
- D. No faculty member serving in an administrative capacity shall be discriminated against for serving in this role. (Please see Section 5.08 of this document.)

9.00 EVALUATION

9.01 In General

- A. It shall be the responsibility of all who participate in evaluations to protect the process from abuse by the exercise of a professional concern for excellence and a respect for academic freedom.
- B. "The term 'evaluation' as used in provisions 15.1 - 15.15 of this Article shall refer to a periodic evaluation or a Performance Review." (M.O.U. 15.1)
- C. For the purposes of implementation on this campus, evaluation shall mean an analytical qualitative statement establishing an observable and valid relationship between the criteria/standards and the faculty member's performance in each of the prescribed categories (namely, teaching; scholarly/creative activities; university, school, department service; and community service) as evidenced in the Working Personnel Action File. The evaluative statement(s) should be specific enough to provide reinforcement on those aspects of performance in which the candidate has met or exceeded the prescribed criteria/standards as well as to provide guidance on other aspects which need improvement or further strengthening.
- D. "The term 'periodic evaluation' as used in this Article shall refer to the evaluative process pursuant to provisions 15.8 through 15.31." (M.O.U. 15.2) (See Sections 9.03 through 9.05 of this document.)
- E. "The term 'Performance Review' as used in this Article shall refer to the evaluative process pursuant to provisions 15.32 through 15.43." (M.O.U. 15.3) (See Sections 9.06 and 9.07 of this document.)
- F. "Faculty unit employees, students, academic administrators, and the President may participate in

the evaluation of a faculty unit employee. Only tenured full-time faculty unit employees and academic administrators may engage in deliberations and make recommendations to the President regarding evaluation of a faculty unit employee." (M.O.U. 15.4)

- G. "Evaluation criteria and procedures shall be made available to the faculty unit employee prior to the commencement of the evaluation process. There shall be no changes in criteria and procedures used to evaluate the faculty unit employee during the evaluation process." (M.O.U. 15.5)
- H. Written criteria, policies, and procedures to govern the evaluation of faculty unit employees shall be recommended to the President by the University ARTP Committee and, where required by this document, the Academic Senate.
- I. The written criteria, policies, and procedures shall include:
 - 1. The relative value of the criteria as determined by the evaluating unit. (See Section 5.05 of this document.)
 - 2. The data required by the department or school that must appear in the Personnel Action File in addition to those listed in Section 4.08 of this document.
 - 3. Procedures for evaluating faculty.
- J. Each secondary unit shall provide standardized evaluation forms to be used by the secondary level committee.
- K. All criteria, policies, and procedures shall require that the primary emphasis in evaluations be given to teaching performance.
- L. All criteria, policies, and procedures shall be consistent with the M.O.U. and University policy.
- M. All primary level procedures shall be consistent with school policies.
- N. The primary and secondary level criteria, policies, and procedures, including provisions covering persons on multiple academic assignments, if any, shall be developed by the respective department and school ARTP committees and submitted before implementation for the

approval of the President following recommendation by the University ARTP Committee.

- O. Because the primary level evaluation represents the best professional judgment by members of the candidate's own discipline, it shall in general be accorded the most significance.
- P. "The appropriate faculty unit committee may recommend timelines for conducting periodic evaluation and performance reviews. All reviews shall be conducted and completed within the period of time specified by the President. The separate Working Personnel Action File shall be forwarded in a timely manner to the next level of review or appropriate administrator or President." (M.O.U. 15.6) (On this campus, the appropriate faculty committees are the University ARTP Committee and the secondary and primary committees of the various units. The University ARTP Committee recommends university level ~~dead~~ ^{dead} timelines. The secondary and primary committees establish their respective ~~dead~~ ^{dead} timelines in keeping with the University calendar.)
- Q. "Personnel recommendations or decisions relating to retention, tenure, promotion, termination, or any other personnel action shall be based primarily on material contained in the Personnel Action File. If a personnel recommendation or decision is based on reasons not contained in the Personnel Action File, the party making the recommendation or decision shall commit those reasons to writing and this signed, written statement shall be placed in the Personnel Action File and provided to the faculty unit employee." (M.O.U. 15.12)
- R. All substantive evaluations and final recommendations shall require the participation of all elected committee members or duly elected alternates. Participation shall include reviewing the Working Personnel Action File of each candidate whose performance will be evaluated by the primary and secondary committee and attending each and every meeting of the committee at which substantive deliberations take place ~~and/or~~ final recommendations are made, ^{or both.}
- S. "Deliberations pursuant to this Article shall be confidential." (M.O.U. 15.13)
- T. "Recommendations pursuant to this Article shall be confidential except that the affected faculty unit employee, the appropriate administrator, the President,

and the peer review committee members in a Performance Review or a periodic evaluation shall have access to written recommendations." (M.O.U. 15.14)

- U. "At all levels of review, in periodic evaluation or Performance Review, before recommendations are forwarded to a subsequent review level, faculty unit employees shall be given a copy of the recommendation which shall state in writing the reasons for the recommendations. The faculty unit employee shall have the right to respond or submit a rebuttal statement or response in writing no later than seven (7) days following receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the Working Personnel Action File and also be sent to any previous levels of review. Upon request, the faculty unit employee may be provided an opportunity to discuss the recommendation with the recommending party. This provision shall not require that the timelines be altered." (M.O.U. 15.7)
- V. Reasons provided pursuant to Section 9.01.U shall include an evaluative statement in light of the University's ARTP criteria. (See Section 9.01.C of this document.)
- W. "An Administrative Level(s) Review shall be conducted by the appropriate administrator(s)." (M.O.U. 15.8)
- X. "The materials for evaluation submitted by the faculty unit employee shall be available for review by the President. The written evaluation, recommendations and relevant documentation shall be forwarded to the President from each level of review. Any response(s) or rebuttal statement(s) of the faculty unit employee submitted pursuant to this provision shall also be forwarded to the President. The President shall consider all materials, recommendations, and rebuttal statements and responses submitted." (M.O.U. 15.9)
- Y. "If there are omissions of documentation, information, or recommendations in the materials submitted for review, the materials may be returned for amplification. Such amplification shall be provided in a timely manner." (M.O.U. 15.15)

9.02 Representation Before Peer Review Committee

- A. The faculty unit employee may be permitted by the peer review committee to appear before it and at his/her election may be accompanied by a representative at the time of periodic evaluation or Performance Review. The

representative accompanying the faculty member shall not be a regular or alternate member of the faculty member's peer review committee at the department or the school levels. The faculty unit employee, during such an appearance, may make a statement ~~and/or review discuss~~ his/her Personnel Action File, ^{or both} ~~or~~ However, neither the faculty member nor the representative shall be present during the deliberations following such a presentation or appearance. Such deliberations shall be confidential as required by Section 9.01.S of this document.

- EP*
- ED*
- B. A faculty member who is ^{the appropriate administrator} permitted to discuss ^{the recommendation with} before the peer review committee as provided by Section 9.01.U above may be accompanied by his/her representative to such a discussion. However, neither the faculty member nor the representative shall be present during the deliberations following such a discussion. Such deliberations shall be confidential as required by Section 9.01.S of this document.

9.03 Periodic Evaluation

- A. "A periodic evaluation of a faculty unit employee shall normally be required for the following purposes:
- "1. Evaluation of temporary faculty unit employees.
 - "2. Evaluation of probationary faculty unit employees who are not subject to a Performance Review.
 - "3. Evaluation of tenured faculty unit employees who are not subject to a Performance Review for promotion." (M.O.U. 15.18)
- B. "Periodic evaluation procedures shall be approved by the President after consideration of recommendations from the appropriate faculty committee(s). Such procedures shall include, but not be limited to, student evaluations of teaching performance, peer review(s), and administrative review(s)." (M.O.U. 15.19) (On this campus, procedures shall be developed by primary and secondary committees and shall be reviewed by the University ARTP Committee in the case of the periodic evaluation of temporary and probationary faculty and by the Faculty Affairs Committee in the case of periodic evaluation of tenured faculty.)
- C. "The result of each stage of the periodic evaluation process shall be a written recommendation(s). Such

recommendation(s) with written rationale shall be placed in the Personnel Action File of the faculty unit employee pursuant to Article 11, Personnel Files." (M.O.U. 15.20) (See Section 4.00 of this document.)

9.04 Periodic Evaluation of Temporary Faculty Unit Employees

- A. "A temporary faculty unit employee appointed for six(6) months or less may be evaluated at the discretion of the President or upon the request of the department or equivalent unit." (M.O.U. 15.23)
- B. "A written record of periodic evaluation shall be placed in the temporary faculty unit employee's Personnel Action File. The temporary faculty unit employee shall be provided a copy of the written record of the evaluation." (M.O.U. 15.24)
- C. "Part-time temporary faculty unit employees shall be subject to periodic evaluations. Such evaluations shall include student evaluations of teaching performance, evaluations by appropriate administrators, and may include peer input from the department or equivalent unit." (M.O.U. 15.22)
- D. "Full-time temporary faculty unit employees shall be subject to periodic evaluations. Such evaluations shall include student evaluations of teaching performance, evaluations by peers from the department or equivalent unit, and evaluations by appropriate administrators." (M.O.U. 15.21)
- E. On this campus part-time and full-time temporary faculty unit employees shall be subject to annual evaluations.

9.05 Periodic Evaluation of Probationary Faculty Unit Employees

- A. "If a probationary faculty unit employee is subject to a Performance Review as provided for in this Article, the Performance Review shall serve as the evaluation of the probationary faculty unit employee." (M.O.U. 15.25)
- B. "In an academic year or work year in which a probationary faculty unit employee is not subject to a Performance Review for retention, the probationary faculty unit employee shall be subject to periodic evaluation." (M.O.U. 15.26)
- C. "Such periodic evaluations shall be conducted by the peer review committee of the department or equivalent

unit, and the appropriate administrator. There shall be consideration of student evaluations of teaching performance." (M.O.U. 15.27)

- D. "A written record of a periodic evaluation shall be placed in the probationary faculty unit employee's Personnel Action File. A probationary faculty unit employee shall be provided a copy of the written record of the periodic evaluation." (M.O.U. 15.28)

9.06 Performance Review

- A. "A Performance Review of a faculty unit employee shall normally be required for the following purposes:
- "1. retention of a probationary faculty unit employee;
 - "2. award of tenure; and
 - "3. promotion." (M.O.U. 15.32)
- B. "A Performance Review shall consist of a minimum of the following reviews:
- "1. evaluations of teaching performance;
 - "2. peer review(s); and
 - "3. administrative level(s) review." (M.O.U. 15.33)
- C. "Performance Review evaluation procedures shall be approved by the President after consideration of the recommendations of appropriate faculty committee(s)." (M.O.U. 15.34) (On this campus, procedures shall be developed by primary and secondary committees and shall be reviewed by the University ARTP Committee.)

9.07 Recommendation Process for Performance Review

- A. "The probationary and tenured faculty unit employees of the department shall elect a department peer review committee of tenured full-time 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 peer review committees of tenured full-time faculty unit employees to serve on higher level peer review committee(s)." (M.O.U. 15.35)
- B. Department peer review committees shall consist of no fewer than three (3) members.

- C. The primary level is either the department, division or an equivalent level in the case of schools not subdivided into departments. Such equivalent levels shall be determined by a vote of the faculty in the school concerned. There must be at least two (2) primary units in each school. However, very small units, or units difficult to divide, e.g., the library, may apply to the University ARTP Committee for an exception to this requirement.
- D. The primary level ARTP committee is responsible for evaluating all personnel under its jurisdiction, including those faculty members who are on joint appointments, those faculty on limited or non-teaching assignments, and those faculty on leave.
- E. The secondary level review is conducted at the school level unless an exception has been granted. Requests for such exceptions shall be made to the University ARTP Committee whose recommendations shall be forwarded to the President for a final decision. (For purposes of this document, the library is considered as a school.)
- F. The secondary level ARTP committee shall review the Working Personnel Action File of each candidate for promotion and make an evaluation of each candidate which gives due weight to the contents of the Working Personnel Action File, including the recommendation of the primary committee(s) and the appropriate administrator at the primary level. A secondary level review of candidates for retention or tenure may be required by individual school policy.
- G. The secondary level ARTP committee shall ensure that each primary level evaluation is the result of the proper application of approved department, school, and university criteria, policies, and procedures.
- H. The secondary committee shall recommend candidates for promotion. The cost of recommended promotions shall not exceed the promotion funds allocated to the school.
- I. In rare instances, the secondary committee may reorder ranked lists submitted by primary committees, in which case the secondary committee shall provide reasons for reranking.
- J. Reasons for each recommendation of the secondary ARTP committee shall be stated in writing and placed in the appropriate Working Personnel Action File in accord

with the file procedures of Section 4.00 of this document. Copies shall be forwarded to the department chair and primary committee chair.

- K. "Departmental chairs may make separate recommendations. Such recommendations shall be forwarded to subsequent levels of review." (M.O.U. 15.40)
- L. ARTP committees at all levels, whether department, division or school, shall retain all ballots which are used directly to make any determination with respect to appointment, retention, tenure, or promotion for a minimum period of three (3) years. These ballots shall be identified and placed under the custody of the appropriate administrator of the academic unit involved. The individual faculty member subject to the evaluation described above shall be entitled to have prompt access to the ballots cast in his/her behalf at any time, upon the individual's request, during the three (3) year period following the vote in his/her case.
- M. "A faculty unit employee shall not serve on more than one (1) committee level of peer review." (M.O.U. 15.36)
- N. "In promotion considerations, peer review committee members must have a higher rank/classification than those being considered for promotion. Faculty unit employees being considered for promotion are ineligible for service on promotion or tenure peer review committees." (M.O.U. 15.37)
- O. "Department and higher level peer review committee(s) may rank-order faculty unit employees being recommended for promotion. The end result of a promotion ranking shall serve as a recommendation to the President." (M.O.U. 15.38)
- P. "Each peer review committee evaluation report and recommendation shall be approved by a simple majority of that committee. An abstention shall count as a negative vote." (M.O.U. 15.39)
- Q. "The end result of each complete stage of the Performance Review shall be a written recommendation(s) based primarily on information in the Working Personnel Action File pertaining to the purpose of the Performance Review. Such recommendation(s) shall be placed in the Working Personnel Action File of the faculty unit employee pursuant to Article 11, Personnel

Files." (M.O.U. 15.41) (See Sections 9.01.U and 9.01.V of this document.)

- R. "If any stage of a Performance Review(s) has not been completed within the specified period of time, the Performance Review(s) shall be automatically transferred to the next level of review or appropriate administrator for recommendation evaluations and the faculty unit employee shall be so notified." (M.O.U. 15.42)
- S. "The President shall issue a decision regarding retention, award of tenure, or promotion. Such a decision shall be in writing and shall include the reasons for the decision. A copy of the decision shall be provided to the affected faculty unit employee and all levels of review. A copy of the decision shall be placed in the faculty unit employee's Personnel Action File in accordance with Article 11, Personnel Files." (M.O.U. 15.43) (See Sections 9.01.U and 9.01.V of this document.)

9.08 Faculty in Terminal Year

If a terminal year letter is received and if the faculty member wishes to grieve the issue, an evaluation through normal ARTP procedures shall proceed at the request of the faculty member. The faculty member may bring up to date the Personnel Action File with the addition of information as prescribed in the policy of the primary unit regardless of whether the faculty member is to be evaluated. If a person in a terminal year grieves and if the final determination is against the grievant, the evaluation process shall cease.

10.00 CERTIFICATION OF ACADEMIC EMPLOYEES TO CONTINUE EMPLOYMENT BEYOND AGE 70

10.01 Definition

"Certification of eligibility" is a determination which shall entitle a faculty employee who has reached age 70 to delay retirement and to continue employment for one year immediately following the certification's effective date.

10.02 Initial Certification

- A. During the academic year prior to that academic year in which a faculty employee shall reach age 70, the President or designee shall notify the academic employee in writing of the requirement to request

certification of eligibility. For the faculty employee who shall reach age 70 between academic years, the notice shall be given prior to the academic year immediately preceding the faculty employee's attaining age 70.

- B. A faculty employee who wants to receive certification of eligibility shall so notify the President or his/her designee in writing during the first full month of the academic year in which the faculty employee shall attain age 70. If a faculty employee shall reach age 70 on a day when the campus is between academic years, the faculty employee shall notify the President during the first full month of the immediately preceding academic year.
- C. At the department level, a committee of three or more tenured full professors shall be formed to serve as a review and recommending body. (Faculty on Pre-retirement Reduction in Timebase are to be deemed full-time personnel for purposes of this process.) The primary level peer review committee may be used for this purpose.
- D. The department chair shall serve as an ex-officio, non-voting member of the review committee.
- E. The committee shall make its recommendation primarily on the basis of competent teaching performance. The committee shall review:
 - 1. Course materials supplied by the faculty member.
 - 2. Standardized student evaluations.
 - 3. Written, signed peer input.
- F. A recommendation for certification requires a simple majority vote of the review committee that the faculty member's teaching ability is satisfactory or better. If performance is satisfactory or better, the committee shall recommend certification for one year. An abstention shall count as a negative vote.
- G. The department chair may make separate recommendations.
- H. Recommendations shall be forwarded through the dean or division chair for approval and transmittal to the President by December 15 of the academic year in which the employee requests certification of eligibility.

- I. The faculty employee shall be given a copy of all recommendations which shall state in writing the reasons for the recommendations.
- J. The President, by February 1 of the academic year in which the faculty employee requests certification of eligibility, shall notify the faculty employee in writing whether he/she has been granted a certification of eligibility.

10.03 Recertification

- A. A faculty employee who wants to delay retirement and continue employment after the termination of the initial or a subsequent certification period shall request recertification at least eight months prior to the termination of the current certification period.
- B. The procedures and requirements for recertification are the same as those for initial certification.

Section 9.03 B UARTP Draft

(On this campus, (1) procedures shall be developed by primary and secondary committees and shall be reviewed by the University ARTP Committee in the case of the periodic evaluation of probationary faculty; (2) procedures shall be developed by primary committees and shall be reviewed by the University ARTP Committee in the case of the periodic evaluation of temporary faculty; and (3) procedures shall be developed by primary committees and shall be reviewed by the Faculty Affairs Committee in the case of periodic evaluation of tenured faculty.)

Carried

Page 30, Section 8.01.B

in the early years of service

In general, ~~early~~ retention decisions rely heavily on a faculty unit employee's preparation and ability, while tenure and promotion and later retention decisions place more emphasis on contribution and performance.

Carried

A. L. Radimsky

*James
Garnett*

Conrad

Motion to Amend

Page 34: P.01E

All substantive evaluations and final recommendations shall require the participation of all elected committee members or duly elected alternates. Participation shall include reviewing the Working Personnel Action File of each candidate whose performance will be evaluated by the primary and secondary committee and attending each and every meeting of the committee at which substantive deliberations take place or final recommendations are made, or both. Any duly elected alternate shall review all files and be present at all of these meetings, but may not participate in discussions or decisions. If a member of the committee misses a meeting, an alternate shall replace the absent member for the remainder of the cycle.

Robbins / McFuell

Amendment 1

Section 5.02. Probationary Appointments

Y=15
N=11
A=3

defeated ②

D. Disciplines in which the doctorate is not the recognized terminal degree. (~~Art, Home-Economics, Journalism, Music, Theatre-Arts, Nursing, Library~~)

Each department in a discipline in which the doctorate is not the recognized terminal degree shall submit to UARTP and the ~~Vice~~ Provost the departmental ARTP procedures and policies ^{which contain} and substantiating materials to validate their position that the equivalency is recognized by other universities, professional organizations, and/or industry. These departments shall include specific criteria for meeting the equivalency requirement in their ARTP procedures.

Additionally, these departments shall include the following in their ARTP procedures.

1.
2.
3.

Amendment 2

where?

If above is passed, that the UARTP make necessary corrections throughout the document to reflect change.

Amendment 3

That the UARTP committee develop for Senate approval guidelines and forms for departments wishing to have consideration for doctoral equivalency.

That these applications be reviewed by the Vice Provost/UARTP before becoming part of that department's ARTP procedures to assure there will be uniformity across the campus with respect to level of accomplishment which denotes equivalency (e.g., education, exceptional experience, outstanding and continuing scholarly and creative contributions).

adopted

PROPOSED AMENDMENT TO ARTP DOCUMENT

Replace section 4.08 Personnel Action File with the following:

4.08 Personnel Action File

A. The Personnel Action File shall contain the following material submitted by the custodian of the file

1. Record of location of other files;
2. Access log;
3. Appointment letter and other relevant appointment information;
4. Results of standardized student evaluations;
5. Written student comments and summaries of oral student comments, if any;
6. Peer evaluations, if any;
7. All evaluations, recommendations, and decisions for the appropriate time periods as specified in Section 4.09;

B. The Personnel Action File shall contain the following materials submitted by the faculty member

1. Current resume
2. Annual report of activities prepared according to the prescribed department/school format, if required;
3. Index to materials submitted under items 4 through 8 below;
4. Material regarding teaching performance:
Evidence shall include those items mentioned in Section 5.05B of this document;
5. Scholarly or creative achievements:
Evidence shall include those items mentioned in Section 5.05C of this document;
6. Contributions to the community:
Evidence shall include those items mentioned in Section 5.05D of this document;
7. Contributions to the institution:
Evidence shall include those items mentioned in Section 5.05E of this document;
8. Miscellaneous:
Other pertinent material;

① The Personnel Action File may contain the following materials submitted by the faculty member.

D. The Working Personnel Action File shall contain

1. Material submitted by the faculty member as described in 4.08B above;
2. Appropriate material from the Personnel action file. Items 4, 5, 6 and 7 of Section 4.08A for the appropriate time periods as specified in Section 4.09

*Anderson
Staff*
Carried

PROPOSED AMENDMENT TO ARTP DOCUMENT

Replace section 4.08 Personnel Action File with the following:

4.08 Personnel Action File

A. The Personnel Action File shall contain the following material submitted by the custodian of the file

1. Record of location of other files;
2. Access log;
3. Appointment letter and other relevant appointment information;
4. Results of standardized student evaluations;
5. Written student comments and summaries of oral student comments if any;
6. Peer evaluations, if any;
7. All evaluations, recommendations, and decisions for the appropriate time periods as specified in Section 4.09;

B. The Personnel Action File shall contain ~~the following materials~~ ^{set} submitted by the faculty member ~~as described in Section 4.08A~~

1. Current resume
2. Annual report of activities prepared according to the prescribed department/school format, if required;
3. Index to materials submitted under items 4 through 8 below;
4. Material regarding teaching performance:
Evidence ~~shall~~ ^{may} include those items mentioned in Section 5.08A of this document;
5. Scholarly ~~and~~ creative achievements:
Evidence ~~shall~~ ^{may} include those items mentioned in Section 5.08B of this document;
6. Contributions to the community:
Evidence ~~shall~~ ^{may} include those items mentioned in Section 5.08C of this document;
7. Contributions to the institution:
Evidence ~~shall~~ ^{may} include those items mentioned in Section 5.08D of this document;
8. Miscellaneous:
Other pertinent material;

mandatory

~~MANDATORY~~
The PAF may include:

optional

C. The Working Personnel Action File shall contain

1. Material submitted by the faculty member as described in 4.08B above;
2. Appropriate material from the Personnel action file. Items 4, 5, 6 and 7 of Section 4.08A for the appropriate time periods as specified in Section 4.09