

Amended by
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ACADEMIC COUNCIL POLICY RECOMMENDATION #S73-22

At its meeting of May 14, 1973, the Academic Council passed the attached "Personnel Policies and Procedures for Academic Employees" as presented by Dr. John Galm, Chairman of the Professional Standards Committee. This policy supersedes interim R/T/P procedures of October 1970 and subsequent amendments to those procedures.

ACTION BY UNIVERSITY PRESIDENT:

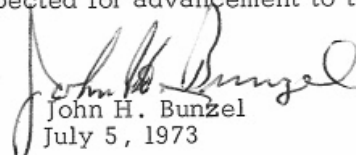
APPROVED, with the understanding that "Effectiveness in Academic Assignment" is a necessary, but not a sufficient, condition for tenure or promotion. Scholarly or creative achievement is also to be expected for promotion to associate professor and most especially for promotion to the rank of professor. Significant professional activity, however, may substitute for scholarly or creative achievement, particularly in those disciplines in which such activity is specifically appropriate. It will be the responsibility of each department and school, under the supervision of the Academic Vice President, to determine the general kinds and levels of scholarly, creative or professional activity appropriate to a discipline, which will be expected for advancement to tenure

Copies to: /and the senior ranks.

AVP
All Deans
All Department Chairmen

RECEIVED
MAY 18 1973

PRESIDENT
Cal State U, San Jose


John H. Bunzel
July 5, 1973

PERSONNEL POLICIES AND PROCEDURES FOR ACADEMIC EMPLOYEES

The quality of the faculty of California State University, San Jose, should be maintained through objective and thorough evaluation of colleagues by members of the faculty and of the administration. The purpose of such evaluation is to build and maintain an excellent faculty and to offer just recognition and encouragement of achievement.

Evaluation alone, no matter how just the procedures, cannot ensure a faculty of high quality. Each department in the University should have a program to encourage faculty development, either independently or in cooperation with the Office of Faculty Development and Instruction.

I. Bases for Evaluation of Faculty Members.

Faculty members shall be evaluated for retention, tenure, and promotion in the three areas listed below and according to the standards indicated below for the particular personnel action. Primary emphasis in evaluation should be on "Effectiveness in Academic Assignment." The University, however, does not ordinarily grant tenure or promotion to faculty members who do not show some strength in other areas. It should also be recognized that common sense and flexibility need to be used in the application of criteria. If a faculty member is truly outstanding in one area but less active or successful in the other two areas, he may well be contributing more to the University than someone who is adequate in all areas but outstanding in none.

A. Areas of Evaluation.

1. Effectiveness in Academic Assignment: Each candidate should be evaluated within the scope of his defined academic assignment. For most faculty members, judgment of "Effectiveness in Academic Assignment" will involve evaluation primarily of teaching, student advising, and related instructional activities. For others, such as department chairmen, coordinators, counselors, and field supervisors, part of all of their assignment is of a non-teaching nature, and should be evaluated accordingly.
 - a. Non-Teaching Assignments: For non-teaching assignments, evidence of effectiveness shall include evaluations by professional people, on or off campus, who are in a position to judge the faculty member's work.
 - b. Teaching Effectiveness: Evidence for teaching effectiveness shall include recent and systematic student evaluations, a list of courses taught, course materials, and reports of class visitations by the faculty member's colleagues. Evidence may also include, among other things, letters from present and

former students, reviews of public talks or lectures, and analyses of his student evaluations, teaching materials, and teaching methods by the faculty member himself. Contributions such as the development or initiation of new courses, involvement in Continuing Education programs, and carefully evaluated and properly supervised experimentation should also be recognized. All evidence should be explained and evaluated by the departmental committees reviewing the candidate.

- c. Other Responsibilities: Part of every faculty member's academic assignment is regular participation in the governing and policy-making processes of the University, and such participation should be included in this area of evaluation. The faculty member should be evaluated for participation or leadership on university, school, and departmental committees and other bodies, and for contributions to student welfare through membership on student-faculty committees, service as an adviser to students, student organizations, and related activities.

- 2. Scholarly and Creative Achievement: Scholarly and creative achievement includes (but is not limited to) research, artistic or literary production, technical or scientific contributions, publications, shows, concerts, public lectures, and papers read before professional groups.

Scholarly and creative achievement should be evaluated (by off campus authorities when possible), not merely enumerated. There should be evidence that scholarly and creative activity is a continuing part of the faculty member's professional life. Work in progress should be assessed whenever possible.

- 3. Professional Contributions and Activity: Faculty members should be evaluated for professional contributions and activity outside the University. Professional contributions and activity include active participation or leadership in professional organizations, and service to the community, state, and nation in a professional capacity by means of special lectures, staff memberships, consultations, and other related activities. Professional contributions and activities should be evaluated by off-campus authorities whenever possible.

5. Criteria for Specific Personnel Actions.

While all personnel decisions affect the quality and vitality of the University faculty, two are of the greatest importance: initial appointment and tenure. Candidates for initial appointment should be carefully reviewed so that new faculty members will not merely fill positions but will bring to the University new ideas and intellectual distinction. Tenure decisions should be based upon thorough review of faculty members during their probationary years. In granting tenure, the University makes a lifetime commitment to a faculty member, and he should show the promise of being a good teacher and a productive scholar or artist during his career at the University before such a commitment is made.

1. Initial Appointment: Initial appointment to a full-time, probationary position requires possession of, or significant progress toward completion of, the doctorate or appropriate terminal degree. (The Office of the Dean of the Faculty maintains a list of appropriate terminal degrees, by Teaching Service Areas, within the University.) Exceptions to this policy may be made in the instance of a candidate whose academic, scholarly, or professional achievement makes a unique capability available to the University. The basis of such an exception shall be made a permanent part of the faculty member's record, and shall be operative for retention and tenure decisions.

Whenever possible, evidence of teaching ability, as well as academic and scholarly achievement, should be used in deciding upon initial appointment.

2. Retention: Retention at the University requires evidence of "Effectiveness in Academic Assignment" and, in those cases in which the doctorate or terminal degree is not in hand, evidence of satisfactory progress toward the completion of the degree. Probationary faculty members should also show development of scholarly or creative ability and participation in professional activities.
3. Tenure: To be granted tenure at the University, a faculty member must have completed the doctorate or appropriate terminal degree, unless exceptions have been recorded at the time of initial appointment as noted in "B, 1" above.

Tenure should be granted only where there is evidence that a faculty member is, and will continue to be, an effective teacher and an active scholar or artist and member of his profession during his career at the University.

4. Promotion to Assistant Professor: Promotion from Instructor to Assistant Professor requires that a candidate meet the criteria for initial appointment and present evidence of teaching effectiveness.
5. Promotion to Associate Professor: To be promoted to Associate Professor a faculty member must be tenured, or receive tenure in the same academic year in which he is promoted. Normally, in addition to evidence of "Effectiveness in Academic Assignment," a candidate must present evidence of "Scholarly and Creative Achievement" and/or "Professional Contributions and Activities."
6. Promotion to Professor: To be promoted to Professor a faculty member must be tenured, or receive tenure in the same academic year in which he is promoted. Normally, in addition to evidence of increasing "Effectiveness in Academic Assignment," a candidate must present evidence of substantial "Scholarly and Creative Achievement" and/or "Professional Contributions and Activities."

• [Merit Salary Adjustments: 75 and above]

cedures for Recruitment, Retention, Tenure and Promotion.

Policies Governing All Personnel Committees.

Only tenured faculty members may participate in deliberations or vote on personnel recommendations. All tenured faculty members of a department constitute the official body for making initial personnel recommendations (with the exceptions noted under "D. Promotions"). However, the tenured faculty members of a department may delegate their responsibility to a committee and may decide whether they wish to establish separate committees for recruitment, retention and tenure, and promotion recommendations or to give one or more committees the responsibility for personnel decisions. Such departmental committees shall consist of at least five tenured faculty members for retention, tenure, and promotion deliberations and at least three for recruitment deliberations. Members of the committees shall be elected by procedures developed by each department or school. Administrators holding full-time positions outside the department or involved in making personnel recommendations at the school or university levels shall not participate in departmental personnel actions.

In departments with insufficient tenured faculty members, the Dean of the School shall appoint additional tenured faculty members to serve on departmental personnel committees as needed. In schools with insufficient tenured faculty members, the Academic Vice President shall appoint the necessary additional tenured faculty members.

The personnel recommendations of small schools containing no departments shall be considered initial recommendations and shall be forwarded to the Dean of the Faculty at the same time that departmental recommendations are forwarded to school committees. The Academic Vice President shall appoint a special committee to perform the function of the school review committee.

All personnel materials, proceedings, and recommendations are confidential, except that positive final decisions may be announced.

Recruitment.

1. All recruitment shall be carried out in accordance with the University's Affirmative Action policy.
2. Department recruitment committees shall be composed of tenured faculty members and shall be chaired by the department chairman.
3. Recruitment committees shall evaluate all candidates for appointments to regular or temporary positions and determine the order of desirability of available candidates.
4. Matters of emergency hiring of regular or temporary appointees shall be accomplished in cooperation with all available Recruitment Committee members, the department chairman, and the school dean.

5. Persons to be employed initially in academic-administrative assignments with retreat rights to a Teaching Service Area, shall be reviewed and positively recommended by the appropriate recruitment committee for the academic area in which tenure may be acquired. They shall be subject to review for retention and tenure in the same academic area.

C. Retention and Tenure.

The President has the authority to grant tenure and to continue faculty members in probationary status. He shall base his determination upon consideration of the recommendations of department, school, and university retention and tenure committees, and upon the recommendations of department chairmen, school deans, and the Academic Vice President.

1. Departmental Recommendations:

- a. The department chairman shall inform faculty members who are to be reviewed of the nature of materials required by the Retention and Tenure Committee and the date by which these materials must be received for committee consideration. The department chairman shall be responsible for preparing the dossier of each faculty member scheduled for review. He shall include in it a description of the faculty member's academic assignment and a resume' of his scholarly and professional achievements. It is the responsibility of the chairman to ensure that the evidence necessary for a full and fair evaluation is contained in the dossier, but it shall be the primary responsibility of the faculty member under review to gather the necessary evidence.
- b. The Retention and Tenure Committee shall be convened and chaired by the department chairman. He shall participate in the deliberations but shall have no vote on the final recommendation. The vote of the Committee shall be recorded. A member of the Committee voting with the majority shall be selected to write the evaluation of the faculty member for the committee. A minority report or reports may be written by any member or members of the committee, and shall be forwarded with the committee's recommendation to the school committee.
- c. The department chairman shall write his own evaluation of and recommendation for the faculty member under review and forward it with the committee evaluation.
- d. A decision regarding tenure shall normally be made during a faculty member's fourth year of full-time probationary service at the University, but the probationary period for persons appointed on or after September 1, 1971, may be extended by the President to a fifth or sixth year. Extension may be granted only a year at a time. Requests for an extension shall be made through the Department Retention and Tenure Committee to the President and shall be considered in conjunction with the regular tenure review. A recommendation for a year's extension

should be made only as a justified alternative to a recommendation against tenure and implies the latter in the event the extension is not approved.

In the case of outstanding probationary faculty members, department retention and tenure committees may recommend that tenure be granted prior to the end of the normal four year probationary period.

- e. In accordance with the policy on "Faculty Personnel Records," the faculty member shall indicate that he has read the recommendations of the departmental committee and the chairman. He shall have access to all materials forwarded to the school committee, except for confidential letters as defined in the "Faculty Personnel Records Policy." If he disagrees with the recommendation of the departmental committee or of the chairman, he shall have the right to appeal in writing to the school committee.

2. School Recommendations:

- a. The School Retention and Tenure Committee shall be composed of one tenured faculty member elected from each department within the school according to procedures established by the school. Department chairmen may not serve on the school committee.
- b. The school dean shall convene and chair the School Retention and Tenure Committee. He shall participate in the deliberations but shall not vote on the final recommendation.
- c. Departmental representatives on the School Retention and Tenure Committee can neither participate in deliberations nor vote on recommendations for persons from their own department. At its discretion, however, the school committee may solicit information from the departmental representative or others from the department of the faculty member under review.
- d. The school dean shall write his own evaluation of and recommendation for the faculty member under review and forward it with the committee evaluation.
- e. The school dean shall inform the faculty member under review of his recommendation and of the recommendation of the school committee.
- f. A faculty member shall have the right to appeal the school recommendations in writing to the University Retention and Tenure Committee.

3. University Committee Recommendations: The University Retention and Tenure Committee shall consist of one tenured full professor from each school with more than 25 FTE/F. No member of a School Retention Committee shall serve concurrently on the university committee. The

members of the committee shall serve for two-year, staggered terms, and shall be appointed by the President from persons nominated by the School Retention and Tenure Committees in consultation with their respective School Deans. Department chairmen may not serve on the university committee. The Dean of the Faculty shall be a voting member and Chairman of the University Committee.

If the university committee is the first review committee to recommend against tenure or retention, the school committee and the affected faculty member shall have the right to appeal in writing to the President.

D. Promotions.

Procedures for promotions will be the same as for retention and tenure with the following exceptions.

1. Persons to be Considered for Promotion: Every faculty member at the fifth step in rank shall be reviewed by his Department Promotions Committee, unless he asks not to be reviewed. In extraordinary cases a faculty member below step five in rank may be reviewed for promotion at the discretion of the department committee.
2. Committee Membership: No faculty member shall participate in promotion deliberations about colleagues of equal or higher rank. When a chairman is disqualified by reason of rank, the Promotions Committee shall designate someone to chair its meetings and write a chairman's report. Only tenured full professors may serve on the School Promotions Committee.
3. Recommendations: Recommendations shall be as follows: 1) Not Recommended at this time; 2) Recommended; and 3) Strongly Recommended.
4. University Promotions Committee: In consultation with the school deans, the President shall appoint an administrative committee to review recommendations on promotions and report to the President. The committee shall consist of one tenured full professor from each school with more than 25 FTE/F. Department Chairmen may not serve on the university committee.
5. University Review: Review by the university committee shall be limited to approximately twice as many candidates for promotion as there are promotions available. Early in the fall semester, the Academic Vice President shall, in consultation with the deans and chairmen of each school, determine the maximum number of faculty members who may be recommended for promotion by the school committee and reviewed by the university committee.

eals: A faculty member shall receive a promotion review at the university level at least once every five years. If for two successive years a school committee has not recommended a faculty member for promotion review at the university level, that faculty member shall have the right, in the second year and any year thereafter, to appeal in writing to the Academic Vice President to request a university review.

be considered as policy until signed by the President.)