



# CALIFORNIA STATE UNIVERSITY CHANNEL ISLANDS POLICY MANUAL

**Division of Academic Affairs**  
**Approved By:** Academic Senate  
April 17, 2018

**Policy Number:** SP 17-08  
**Effective Date:** Fall 2018  
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## **University Retention, Tenure, and Promotion Policy**

**DRAFTED BY:** Faculty Affairs Committee: José Alamillo, Stephen Clark, (co-Chair), Nina Clements, Neomie Congello, Hua Dai, Nancy Deans (co-Chair), Chuck Weis

### **PURPOSE:**

To bring the University Retention, Tenure, and Promotion (RTP) policy into compliance with the Collective Bargaining Agreement (CBA) regarding the constitution of Program Personnel Committees (PPC); to clarify and update the roles of the Provost and President in the RTP process; to clarify requirements for early tenure and promotion; to modify the calendar for review of first-year tenure-track faculty; and to clarify requirements related to the transition from paper to electronic portfolios prepared by faculty in the RTP process.

### **BACKGROUND:**

During the 2016-17 academic year, the Faculty Affairs Committee began to revise the RTP policy (SP 15-15) with regard to several of the issues mentioned above. In fall 2017 and spring 2018, the Committee continued to revise the policy upon learning that SP 15-15 was not in full compliance with the CBA. In the process of reviewing the entire policy, several sections were found that were deemed to be in need of updating, modification, and/or clarification.

### **POLICY:**

**Accountability:** Academic Affairs

**Applicability:** Applies to all tenure-track faculty except full professors beginning in fall 2018.

**Definition(s):** See definitions page of policy.

**Policy Text:** See below.



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SP 17-XX SUPERSEDES SP 15-15

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Appendix A: Checklist for Working Personnel Action File

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### DEFINITIONS

**Collective Bargaining Agreement (CBA):** The Collective Bargaining Agreement (Contract) between the California Faculty Association and the California State University

**CSU Channel Islands:** California State University Channel Islands (also referred to as “the University”)

**General Personnel Standards (GPS):** A set of guidelines that define the requirements for retention, tenure, and promotion to be used when a program area has not yet created Program Personnel Standards (PPS).

**Professional Development Plan (PDP):** A document developed by a faculty member that outlines how they will achieve the requirements outlined in Program Personnel Standards (PPS) or the General Personnel Standards (GPS), if no PPS have been created in their program.

**Personnel Action File (PAF):** The one official file containing employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee.

**Program Personnel Committee (PPC):** A committee created for the purposes of review of a faculty member for retention, tenure, and promotion.

**Program Personnel Standards (PPS):** A set of guidelines developed by a program area that define the requirements for retention, tenure, and promotion.

**Retention, Tenure, and Promotion (RTP):** The contractual process by which a faculty member is retained, tenured, and promoted.

**University Retention, Tenure, and Promotion Committee (URTPC):** A committee with college-level representation that is elected by the faculty for the purposes of university-wide review of a faculty member for retention, tenure, and promotion. The URTPC reviews and



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comments on proposed PPS, or revisions thereto, and recommends approval, disapproval, or amendments to the Provost/Vice President of Academic Affairs (Vice President for Student Affairs [VPSA] for counselors). The URTPC evaluates and makes recommendations regarding retention, tenure, and promotion actions.

**Working Personnel Action File (WPAF):** The Working Personnel Action File, also known as the “Portfolio”, refers to that portion of the Personnel Action File prepared by the faculty member and used during periodic evaluation or performance review of a faculty unit employee.



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

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

1. placing students at the center of the educational experience;
2. providing undergraduate and graduate education that facilitates learning within and across disciplines through integrative approaches;
3. emphasizing experiential and service learning; and
4. graduating students with multicultural and international perspectives.

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

### B. APPLICATION OF THIS DOCUMENT

1. This document establishes the policy for retention, promotion, and granting of tenure for probationary faculty, and the promotion of tenured faculty (RTP) at CSU Channel Islands. This policy is governed by the Unit 3 Collective Bargaining Agreement (CBA).
2. The policies in this document apply to teaching, counseling, and library faculty.
3. At CSU Channel Islands, all phases of the RTP process support faculty growth and development as well as serve as the formal means of evaluation. To further growth and development, it is important both to the University and to the faculty member that each faculty member establish a plan to meet program and University standards, as reflected in this document, for RTP.
4. The policies and procedures of this document are subject to CSU Board of Trustees policies; the California Administrative Code, Title 5; California



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Education Code; the Unit 3 Collective Bargaining Agreement (CBA); and other applicable State and Federal laws.

5. Throughout this document, the word “shall” indicates mandatory action; the word “may” indicates permissive action.
6. This document shall apply to all tenured and probationary faculty hired effective AY 2018–19. Faculty who started at CI prior to this academic year may elect to be governed by this document, but absent such election shall be evaluated according to the standards in effect at the time of their hiring

### C. GENERAL STANDARDS FOR RETENTION, TENURE, AND PROMOTION

Each faculty member is expected to make suitable contributions in three areas: Teaching and/or Professional Activities; Scholarly and Creative Activities; and Service. Retention, tenure, and promotion (RTP) require that levels of achievement be demonstrated in these three areas of performance. For the purpose of review, these levels shall be described with a five-point scale, with 5 being the highest:

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

### D. UNIVERSITY RETENTION, TENURE, AND PROMOTION COMMITTEE

1. The University Retention, Tenure, and Promotion Committee (URTPC) shall be composed of seven tenured full professors serving on rotating two-year terms.
2. The URTPC shall include representation by faculty from each of the major disciplinary areas within the University as outlined below.
  - a. Arts and Humanities (1)
  - b. Math and Sciences (1)



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- c. Behavioral and Social Sciences (1)
  - d. Business and Economics (1)
  - e. Library and Counseling (1)
  - f. Education (1)
  - g. At-Large Member (1)
3. All eligible faculty shall be considered for election to the URTPC and must serve, if elected, with the following exceptions:
- a. A faculty member who is on an approved leave of absence.
  - b. A faculty member with health problems that have been documented by evidence from a physician.
  - c. A faculty member who is on sabbatical.
  - d. A faculty member with less than one year of tenure at CSU Channel Islands.
  - e. A faculty member who is elected to the URTPC may not serve simultaneously on a Program Personnel Committee (PPC) for a faculty member undergoing review during a given cycle.
  - f. A faculty member who has served a full two-year term on the URTPC may choose to exempt him/herself from the next two annual election cycles. In order to be exempted from the election, the faculty member must notify Faculty Affairs before the election is scheduled. If a faculty member does not notify Faculty Affairs in advance of the election, the faculty member's name shall be placed on the ballot and, if elected, shall serve for an additional two-year term.
  - g. If there is only one eligible representative in the categories in 2a-f (above), that individual may opt out, and the position in question reverts to an At-Large position for that two-year term.
4. If a URTPC member has personal interests that are incompatible with his/her professional duties or believes that he/she cannot provide an unbiased



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recommendation regarding a candidate, he/she shall contact Faculty Affairs with a request to be recused from committee deliberations on that candidate. The administrator in charge of Faculty Affairs shall decide whether to approve the request. If recusal is approved, the remaining URTPC members shall deliberate and make the recommendation. The URTPC member who was recused from deliberations shall not sign the recommendation, but may participate in review of other candidates.

5. The election process for the URTPC shall be facilitated by Faculty Affairs. During the first month of each academic year, all tenured and probationary faculty shall vote from the list of eligible faculty in the representation categories listed above.

### **E. PROGRAM PERSONNEL COMMITTEES (SEE ALSO SECTION T BELOW, RESPONSIBILITIES OF THE PROGRAM PERSONNEL COMMITTEE)**

The Program Personnel Committee (PPC) shall be constituted as follows, in compliance with Article 15 of the Collective Bargaining Agreement (CBA):

Each academic year, the probationary and tenured faculty of each program or equivalent unit shall elect a three- or five-member Program Personnel Committee (PPC) of tenured faculty for the purpose of reviewing and recommending faculty who are being considered for retention, tenure, and promotion. When there are insufficient eligible members to serve on the PPC, the program shall elect members from a related academic discipline(s). At the request of a program, the President may agree to permit faculty participating in the Faculty Early Retirement Program (FERP) to run for election to membership on a PPC. However, these committees may not be comprised solely of faculty participating in the FERP. A Memorandum of Understanding shall determine PPC membership for joint-appointment faculty and shall also specify the PPS to be used for evaluation of joint-appointment faculty. The Memorandum of Understanding shall comply with the CBA language on constitution of PPCs for faculty holding joint appointments. (See CBA 15.13.)

### **F. APPOINTMENT**

Appointments of tenure-track faculty are of two kinds:



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### 1. Probationary Tenure-Track Faculty

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

All probationary faculty shall be reviewed after the first year of service and after each subsequent year until tenured.

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

Probationary faculty with a two-year initial appointment shall undergo performance reviews before they are reappointed to third, fourth, fifth, and sixth probationary years, or are granted tenure. A performance review is also required for promotion.

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

### 2. Tenured Faculty

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

## G. SERVICE CREDIT: CREDIT FOR PRIOR EXPERIENCE

1. Accomplishments during years for which service credit is granted shall never be sufficient in and of themselves for the granting of promotion and/or tenure.
2. A faculty member may include accomplishments prior to his/her employment at CSU Channel Islands in his/her WPAF for tenure and promotion evaluation.

## H. PROFESSIONAL DEVELOPMENT PLAN



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1. The Professional Development Plan (PDP) is the faculty member's agenda for achieving the professional growth necessary to qualify for retention, tenure and promotion. The plan, which is required and shall be prepared, reviewed, and approved by the end of the faculty member's first full academic year of appointment, except for a faculty member hired as a tenured full professor, shall describe the activities and intended outcomes that the faculty member expects to achieve during the period of review for tenure and/or promotion, eventually to full professor. While more focus and specificity shall be given to planning for the first two years, the plan shall address the entire period of review.
2. The purpose of the PDP is to give a faculty member at CSU Channel Islands the opportunity to address with some concreteness and specificity how, given her or his background, experience, and interests, s/he would meet the University's and program's (or programs') requirements for tenure and/or promotion, and to receive feedback on the plan from the program and Dean of the School or Unit (or appropriate administrator for librarians and counselors). The PDP is a planning document; it is not a formal agreement or contract. PDP narratives for Teaching (Professional Activities for librarians and counselors), Scholarly and Creative Activities, and Service shall not exceed (500) words each. These narratives shall describe the faculty member's professional goals, areas of interest, resources required and accomplishments s/he expects to achieve in each of the three areas evaluated in order to meet the Program Personnel Standards for tenure and/or promotion.
3. The approved PDP shall be included with the self-assessment narratives in the faculty member's WPAF that is submitted for retention review, and for tenure and promotion. For tenured faculty, the PDP shall be included in the WPAF when the faculty member applies for promotion.
4. The PDP shall be reviewed by the PPC, the Program Chair (if not on the PPC), and the Dean, each of whom shall provide written feedback on a timetable to be determined by the Division of Academic Affairs [the Division of Student Affairs for counselors], but prior to the end of the faculty member's first full year of service.



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- a. In the event that the PPC, Program Chair, or Dean (or Equivalent Administrator) does not approve the PDP, the faculty member shall revise it and resubmit it within two weeks.
- b. After re-submittal, if the PPC, Program Chair, or Dean (or Equivalent Administrator) makes further suggestions for modifications, the faculty member may, within two weeks, submit a revised PDP.
- c. Subsequent revision of the Professional Development Plan is not normally necessary, but if a faculty member's focus deviates from the PDP during the probationary period, an explanation regarding this deviation shall be provided in the narrative of the appropriate section of the WPAF.

### I. Program Personnel Standards

1. For all RTP actions, performance shall meet established University and Program Personnel Standards (PPS) for a positive decision to be made. Program Personnel Standards, developed by program faculty, must be approved by a URTPC elected by the CSU Channel Islands faculty as a whole and approved by the Provost/ Vice President for Academic Affairs (Vice President for Student Affairs for counselors). Each program's PPS shall become effective upon approval by the elected URTPC and the Provost/VPAA. PPS shall be reviewed by the URTPC and the Provost/VPAA (VPSA for counselors) on a rotating, five-year basis, unless otherwise requested by Program Personnel Committees or by the President or the President's designee.
2. Guidelines for the development of Program Personnel Standards (PPS) are included as an appendix to this document.
3. In the event that a faculty member under review is not within a program area that currently has a PPS, the General Personnel Standards (GPS) shall serve as the guide for preparation and evaluation of the candidate's WPAF. It is strongly suggested that a candidate in such a situation obtain advice from the Faculty Affairs Office, a faculty mentor, and/or his or her Chair while completing the



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WPAF.

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

### J. Period of Review

1. For reappointment, the period of review is the period since the last submission of the WPAF for reappointment.
2. Faculty whose appointments begin in a fall semester shall submit a PDP (see Section H) as well as at least one peer teaching observation (see Section K) during their first spring semester. Faculty whose appointments begin in a spring semester shall submit a PDP and at least one peer teaching observation during their second spring semester as probationary faculty.
3. For reappointment in the 3<sup>rd</sup> probationary year (or 4<sup>th</sup> year for faculty hired with one or two years of prior service credit), the period of review is the entire probationary period, including years for which service credit is granted.
4. For tenure, the period of review is the entire probationary period, including years for which service credit is granted. For example, if a probationary faculty member received one year of service credit at the time of hire, they would begin at CSU Channel Islands in their second probationary year.
5. For promotion, the period of review is the time spent in rank, including accomplishments during time spent at that rank at other four-year or graduate-degree granting institutions. For promotion of tenured faculty, the period of review is the time since tenure was granted.

### K. Working Personnel Action File

The Working Personnel Action File (WPAF), also known as the portfolio, is a record that shall contain evidence of performance for the years under review, as well as various



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required forms. The combined WPAF and PAF shall be reviewed as a whole during retention, tenure, and promotion decisions. The WPAF is compiled by the faculty member to be evaluated. Starting in academic year 2018-19, probationary faculty receiving a first performance review shall prepare an electronic WPAF for submission using the product selected by the campus. Other probationary faculty hired before academic year 2018-19 are strongly encouraged to use the electronic format for retention, tenure and promotion, but are not required to do so. Once moving to an electronic format, faculty may not return to paper submission in subsequent years. All faculty shall use electronic formats for WPAF materials by the 2023-24 academic year. It is the responsibility of the faculty member to ensure that the WPAF is current and complete before it is submitted to the PPC. Evaluations, recommendations, and rebuttals, if any, are added at the various levels of review. The WPAF is the basis for RTP evaluations, recommendations, and actions. The WPAF shall be in two parts: the main body and an appendix.

Material may be added to the WPAF until the submission deadline, at which time the WPAF shall be declared complete. Based on the CSU Channel Islands approved WPAF Checklists, the faculty member's Chair determines that the WPAF is complete before sending it to the PPC. After the deadline, material may only be added with the permission of the URTPC; such permission may be granted until the first day of spring semester, after which no new material may be added to the WPAF.

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

1. The main body of the WPAF shall include the following items in the following order
  - a. evaluation and recommendation forms (leave empty, provided by reviewers);
  - b. checklist signed by the faculty member (see Appendix A);
  - c. a distinct table of contents for the WPAF, initialed and dated;
  - d. a table of contents of the appendix, initialed and dated;



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- e. a copy of the approved Program Personnel Standards (PPS) or General Personnel Standards (GPS);
- f. approved Professional Development Plan (PDP);
- g. the faculty member's current curriculum vitae that covers his or her entire academic and professional employment history;
- h. a narrative that shall contain a concise self-assessment of accomplishments in Teaching (Professional Activities for librarians and counselors) in reference to the applicable University standards as stated in this document and program standards as stated in the PPS (not to exceed 1000 words);
- i. a list of teaching assignments for the period under review—a list of classes with briefly described relevant information, including new preparations, etc.;
- j. (optional item) for teaching faculty, evidence of teaching effectiveness may include evidence of assessment of teaching practices and student learning outcomes;
- k. for teaching faculty, a minimum of one peer observation of classroom teaching from each probationary year (for probationary faculty, the peer evaluation shall be provided by a tenured associate or full professor at CSU Channel Islands; for promotion, the peer evaluation shall be conducted by a tenured associate or full professor from CSU Channel Islands with a rank higher than the faculty member);
- l. a narrative that shall contain a concise self-assessment of accomplishments in Scholarly and Creative Activities in reference to the applicable University standards as stated in this document and program standards as stated in the PPS (not to exceed 1000 words);
- m. a narrative that shall contain a concise self-assessment of accomplishments in Service in reference to the applicable University standards as stated in this document and program standards as stated in the PPS (not to exceed 1000 words).

(for teaching faculty, student evaluations are included in the PAF and need not be



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included in the WPAF.)

2. The appendix of the WPAF shall include the following items:
  - a. copy of the table of contents of the appendix;
  - b. for teaching faculty, copies of syllabi for all courses taught during the period under review;
  - c. supporting materials directly relevant to the presentation in the WPAF and limited to the period under review. These may include items such as: copies of books, articles, essays, digital materials, creative work, and any other specific documentation of performance as required by the applicable Program Personnel Standards (PPS)

### L. REVIEW PROCESS AND LEVELS

The review of the WPAF and PAF takes place at various levels in the following order, with a letter of evaluation generated at each review level:

1. Checklist approved by Program Chair (see Appendix A);
2. The Program Personnel Committee (PPC), which consists of three or five tenured faculty members;
3. The Program Chair (if not on the Program Personnel Committee);
4. The appropriate Dean;
5. The University Retention, Tenure, and Promotion Committee (URTPC) shall review all tenure and promotion files;
6. The URTPC shall review retention files only if one or more of the following conditions apply:
  - a. it is the faculty member's third probationary year (unless the faculty member was hired with one or two years of service credit, in which case the retention review shall be conducted during the faculty member's fourth probationary



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- year);
- b. it is requested by the President;
  - c. there is a lack of agreement (retention vs. non-retention) among prior levels;
  - d. all prior recommendations for retention are negative;
  - e. it is requested by the faculty member under review;
  - f. it is requested by a prior review level.
7. The Provost/Vice President for Academic Affairs (VPAA) (Vice President for Student Affairs [VPSA] for counselor faculty) shall review all tenure and promotion files.
  8. The Provost shall review all retention files as the President's designee.
  9. The President shall review all tenure and promotion files.

### **M. ELIGIBILITY TO PARTICIPATE IN THE RTP REVIEW PROCESS**

In instances where the probationary faculty member's Chair is outside the faculty member's discipline, the probationary faculty member may elect to request that the Dean assume the Chair's administrative responsibilities. The Dean shall write a review only at the Dean's level, not as Chair.

### **N. REQUIREMENTS FOR RETENTION**

1. The goal of the RTP process is to assist faculty in developing productive careers and therefore qualify for tenure after their probationary employment. To be retained during the probationary period, a faculty member is required to demonstrate progress toward tenure such that a positive tenure decision is likely.
2. The decision to retain a probationary faculty member is an affirmation that progress is being made toward tenure according to the faculty member's Program Personnel Standards and approved Personal Development Plan.



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

The granting of retention requires that the faculty member receive at least two "3—Meets Standards of Achievement" evaluations, one of which shall be in Teaching (Professional Activities for librarians and counselors).

### O. REQUIREMENTS FOR TENURE

1. The granting of tenure is the most significant personnel action that the University takes, because it represents an affirmation that the probationary faculty member will be an asset to the University over his or her entire career. Therefore, a positive tenure decision requires that the probationary faculty member has displayed accomplishments, growth, and future potential that meet the expectations stated in this document and the Program Personnel Standards.
2. The granting of tenure requires that performance in two areas be rated "4—Exceeds Standards of Achievement"—for teaching faculty, one of which shall be in the category of Teaching (Professional Activities for librarians and counselors)—and that one category be rated at least "3—Meets Standards of Achievement" as stated in this document and Program Personnel Standards. Scores achieved during retention reviews during the probationary period shall not imply that similar scores will be achieved when applying for tenure. In other words, each RTP evaluation score is not necessarily predictive of future scores.
3. The granting of tenure before the normal six (6) years of full-time probationary service and credited service (as specified in the CBA) is rare, but may be considered under exceptional circumstances. Early tenure is normally reserved for those whose accomplishments have brought widespread recognition to the individual and the University from the academic community and/or the general



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public. In addition, the granting of early tenure requires that all expectations for the entire probationary period, as stated in the Program Personnel Standards, and confirmed by the PPC and the URTPC, have been met, according to section O-2. Finally, the length and breadth of the applicant's entire record—including, when appropriate, at the rank of lecturer for former CSUCI temporary faculty appointed as tenure-track assistant professors—may be considered so as to determine the likelihood that prior patterns of achievement and contribution will be sustained if early tenure is granted. According to section O, item 2.

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

### **P. REQUIREMENTS FOR PROMOTION**

1. Promotion to Associate Professor and to Professor (or their equivalents) requires that Performance in two areas be rated "4—Exceeds Standards of Achievement"—for teaching faculty, one of which must be in the category of Teaching (Professional Activities for librarians and counselors)—and that one category be rated at least "3—Meets Standards of Achievement" as stated in approved Program Personnel Standards for the appropriate rank. Scores achieved during retention reviews during the probationary period shall not imply that similar scores will be achieved when applying for promotion. In other words, each RTP evaluation score is not necessarily predictive of future scores.
2. Because the professoriate entails continual growth and reassessment, the University expects that tenured faculty will continue to strive for excellence in all three areas of performance, and that successful faculty members will display accomplishments and continued growth throughout their careers. Therefore, the decision to grant promotion to the rank of professor shall be based on a record that indicates sustained vitality and commitment to the standards described in this document and in Program Personnel Standards.
3. As stated in the CBA, probationary faculty shall normally be considered for promotion at the same time they are considered for tenure. As with early tenure, early promotion is normally reserved for those whose accomplishments have



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brought widespread recognition to the individual and the University from the academic community and/or the general public. In addition, the granting of early promotion requires that all expectations for the entire probationary period (or the period as tenured associate professor), as stated in the Program Personnel Standards, and confirmed by the PPC and the URTPC, have been met. Finally, the length and breadth of the applicant's entire record—including, when appropriate, at the rank of lecturer for former CSUCI temporary faculty appointed as tenure-track assistant professors—may be considered so as to determine the likelihood that prior patterns of achievement and contribution will be sustained if early promotion is granted. According to section P, item 1.

### **Q. PROCEDURES FOR RTP EVALUATIONS, RECOMMENDATIONS, AND DECISIONS**

1. At all levels of review, those responsible for evaluating faculty and recommending actions shall evaluate each WPAF with clear and specific reference to the applicable personnel standards. The applicable personnel standards shall be the approved Program Personnel Standards (or, in the absence of such standards, the General Personnel Standards document). Recommendations at each level of review, and the decision, shall be supported by written evaluations.
2. The URTPC is authorized to interpret both this document and Program Personnel Standards in cases of dispute.
3. Service in the RTP evaluation process is part of the normal and reasonable duties of tenured faculty. Lobbying or harassing of such persons in the performance of these duties constitutes unprofessional conduct.

### **R. RESPONSIBILITIES OF FACULTY MEMBERS**

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



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

### S. RESPONSIBILITIES OF PROGRAM CHAIRS

1. Program Chairs' responsibilities are as follows:
  - a. To ensure that probationary faculty members have received all documents relating to Program Personnel Standards (PPS) and Retention, Tenure and Promotion policy and procedures.
  - b. To consult with each faculty member for whom a personnel recommendation will be made to assure that the annual updating of the WPAF has been initiated and that the compilation is proceeding according to the requirements of this document. Such consultation should be documented.
  - c. To assess whether the faculty member has included all the required elements in the WPAF, and, where necessary, to counsel the faculty member concerning the contents of the WPAF.
  - d. To forward the WPAF to the Program Personnel Committee (PPC).
2. If so stated in the Program Personnel Standards, the Chair shall evaluate the performance of the faculty member based upon the WPAF according to the timelines published in the RTP schedules. The Chair shall add to the WPAF a signed recommendation. The Chair shall provide a copy of the recommendation to the faculty member and inform the faculty member of his or her option to respond to or rebut the recommendation of the Chair within ten (10) days.
3. To forward the WPAF and the recommendation to the Dean.

### T. RESPONSIBILITIES OF THE PROGRAM PERSONNEL COMMITTEE



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1. To review and evaluate in writing the WPAF of each faculty member to be considered for retention, tenure, or promotion. In this evaluation, the PPC shall comment upon the candidate's qualifications under each category of evaluation. The evaluation report shall incorporate a discussion of all points of view held by members of the committee.
2. To formulate a recommendation which shall state in writing the reasons for the recommendation. The recommendation and evaluation report shall be approved by a simple majority vote of the PPC and signed by all members of the PPC. The vote tabulation shall be recorded on the recommendation form.
3. To sign the recommendation form in alphabetical order. The order of the signatures shall not indicate the way in which individual members voted.
4. To forward the WPAF to the next level of review as specified in the published RTP schedules.

### U. RESPONSIBILITIES OF THE DEAN

1. To make a recommendation in each case, including a written statement giving the reasons for the recommendation.
2. To provide copies of the recommendation to the faculty member.
3. To inform the faculty member of his or her right to respond or rebut the recommendation within ten (10) days
4. To forward the WPAF to the next level of review as specified in the published RTP schedules.

### V. RESPONSIBILITIES OF THE UNIVERSITY RETENTION, TENURE, AND PROMOTION COMMITTEE

1. To review and comment on proposed Program Personnel Standards, or revisions thereto, and recommend approval, disapproval, or amendments to the Provost/Vice President for Academic Affairs (VPSA for counselors).



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2. To evaluate and make recommendations regarding retention, tenure and promotion actions.
  3. To provide copies of the URTPC's recommendations for delivery to the faculty member.
  4. To inform the faculty member of his or her right to respond or rebut the recommendation within ten (10) days and his or her obligation to indicate the option chosen on the signature form.
  5. To forward the WPAF to the next level of review as specified in the published RTP schedules.
- W. RESPONSIBILITIES OF THE PROVOST/VICE PRESIDENT FOR ACADEMIC AFFAIRS (OR APPROPRIATE ADMINISTRATOR FOR LIBRARY AND COUNSELOR FACULTY)
1. To review each WPAF file for retention.
  2. To review each tenure or promotion WPAF and recommend action to the President.
  3. To provide copies of his/her recommendation and the basis for it to the faculty member.
  4. To inform the faculty member of his or her right to response or rebuttal within ten (10) days.
  5. To forward the WPAF to the President for cases involving tenure and promotion.
- X. RESPONSIBILITIES OF THE PRESIDENT
1. To confer with the URTPC, if the President is considering a personnel action provided for in this document which is contrary to a majority vote of the URTPC.
  2. To notify faculty in writing of the final decision in accordance with published deadlines. Copies of such notices shall be given to the faculty member, the Provost/VPAA, and to the Faculty Affairs Office for placement in the PAF.



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### Y. CONFIDENTIALITY

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



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### Appendix A

## **California State University Channel Islands Checklist for Faculty Tenured/Tenure-Track WPAF (except for faculty in their first or second probationary year in their first year of service at CSU Channel Islands)**

The WPAF is the basis for RTP evaluations, recommendations, and actions. The period of review is as follows (See Section J):

1. For reappointment, the period of review is the period since the last submission of the WPAF for reappointment.
2. For reappointment in the 3<sup>rd</sup> probationary year (or 4<sup>th</sup> for faculty hired with one or two years of prior service credit), the period of review is the entire probationary period, including years for which service credit is granted.
3. For tenure, the period of review is the entire probationary period, including years for which service credit is granted. For example, if a probationary faculty member received one year of service credit at the time of hire, they would begin at CI in their second probationary year, and only the year immediately prior to starting at CSU Channel Islands would be considered for review.
4. For promotion, the period of review is the time spent in rank, including accomplishments during time spent at that rank at other four-year or graduate-degree granting institutions. For promotion of tenured faculty, the period of review is the time since tenure was granted.
5. For tenure, a faculty member may include accomplishments prior to the period of review as part of the WPAF.

The following materials are required in the WPAF as specified in Section K:



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### GENERAL

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

### TEACHING

	Narrative Summary: Self-assessment of accomplishments in Teaching (limited to 1000 words)
	List of classes taught during each semester for entire period under review
	Evidence of Assessment of Teaching (optional, see Section K, point 1 j)
	Peer observations: a minimum of one peer observation of classroom teaching for each probationary year

### PROFESSIONAL ACTIVITIES (For Librarians and Counselors only)

	Narrative Summary: Self-assessment of accomplishments in Professional Activities (limited to 1000 words)
	List of primary professional activities for entire period under review
	Peer observations: a minimum of one peer observation

### SCHOLARLY/CREATIVE ACTIVITIES

	Narrative Summary: Self-assessment of accomplishments in Scholarly and Creative Activities (limited to 1000 words)
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### PROFESSIONAL, UNIVERSITY AND COMMUNITY SERVICE

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

An appendix containing supporting materials that are directly relevant to the presentation in the WPAF as specified in Section K.

	Table of Contents of the Appendix
	Supporting materials as specified in Section K
	Supporting materials as specified in Section K See the addendum on the next page for guidelines on preparation and presentation of these materials.
	Supporting materials as specified in Section K
	Optional: Documentation of performance as specified in Section K

Signature \_\_\_\_\_



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### CHECKLIST ADDENDUM: Preparation and Presentation of Evidence of Scholarly and Creative Activities:

Documentation of scholarly and creative work is required and placed in the appendix to the WPAF. This documentation shall include:

1. a complete citation, in the style customary to the faculty member's discipline, for each of his or her scholarly and creative works;
2. a copy of each scholarly or creative work completed during the faculty member's period of review;
3. and copies of letters of acceptance for those completed works that are "in press" or otherwise in the process of publication.
4. For works presented in a medium other than print, the copy may be in a form suitable for evaluation as appropriate to the discipline.
5. Work that has been accepted for publication or presentation after a peer review or juried process shall be distinguished from work that was not subject to a peer review or juried process.
6. Documentation of the peer review or juried process may be required by any level of review.
7. Documentation also should be provided for scholarly and creative work in progress. This documentation may include copies of intramural and extramural grant proposals; grant award letters; abstracts of papers presented at professional meetings; papers currently being reviewed for publication; copies of manuscripts in preparation; being a discussant of presented papers; etc. Care should be taken to distinguish work in progress from that already completed.

**Glossary of RTP terms:**



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### Stages of Publication:

- **Published:** The publication has appeared in print and/or electronically and is available to the professional community.
- **Accepted for Publication/In Press:** The publisher has accepted the publication without further revisions required, but has not yet been published.
- **Submitted for Publication:** The publisher has provided written confirmation that the work has been received and 1) the work is being reviewed; 2) the publisher has asked that the work be resubmitted for review after revisions are made (“revise and re-submit”); or 3) the work has been reviewed and will be published when recommended changes are made.
- **In Progress:** A book or article is being worked on but has not been submitted to a publisher
- **Peer-Reviewed:** The publication is judged by an impartial panel of experts in the field, but external to the campus. The review is done by reviewers other than the editor of the publication (i.e., the editor is not the sole reviewer of the submission). The judgment criteria for any peer-reviewed article varies depending on the publication and subject matter.



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### Appendix B

#### CALIFORNIA STATE UNIVERSITY CHANNEL ISLANDS PROGRAM PERSONNEL STANDARDS GUIDELINES

The following are not listed in order of relative importance.

##### A. APPROPRIATENESS

Programs developing Personnel Standards shall make their PPS documents consistent with the Mission of CSU Channel Islands.

##### B. TEACHING/PRIMARY RESPONSIBILITIES

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

##### C. SCHOLARLY AND CREATIVE ACTIVITIES



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Each program shall state in its standards those scholarly and creative activities that are appropriate indicators of professional growth for its faculty

### D. PROFESSIONAL, UNIVERSITY, AND COMMUNITY SERVICE

1. Maintaining and improving the quality of the learning environment, the profession, University, and community are dependent upon active participation of faculty in various organizations and governance tasks. All faculty are expected to take a continuous and active role in addressing the needs of the profession, University, and community through good citizenship and through application of their professional expertise.
2. Each program shall state in its PPS those professional, University, and community service activities that are appropriate indicators of service contribution for its faculty.