



ACADEMIC SENATE

POLICY 526

ISSUE DATE: REVISION DATE: 4/23/07	POLICY: RETENTION, TENURE & PROMOTION
REFERENCE:	
APPROVED: _____ President, California Maritime Academy _____ Chair, Academic Senate _____ Chair, Senate Policy Committee	

POLICY AND PROCEDURES

Table of Contents:

- I. Overview**
- II. Goals of the RTP Process and Policy**
- III. Policy Review and Application**
 - A. RTP Policy Review
 - B. Departmental Guidelines Review
 - C. Application of Procedures and Guidelines
- IV. Basic Areas of Evaluation**
 - A. Teaching Effectiveness
 - B. Service to the Academy and Academic Community
 - C. Scholarly, Creative and/or Professional Achievements

V. RTP Guidelines

- A. General Retention, Tenure and Promotion Guidelines
- B. Departmental Retention, Tenure and Promotion Guidelines

VI. Procedures for Performance Review and Periodic Evaluation

- A. Levels of Review
- B. Election and Composition of Faculty RTP Committees
 - 1. Senate RTP Committee
 - 2. Department RTP Committee
- C. General Procedures for Performance Review
- D. Specific Procedures for Performance Review
 - 1. Department Review
 - 2. Academy-Wide Reviews
 - 3. VPAA Review
 - 4. Presidential Decision
- E. Procedures for Periodic Evaluation

VII. Personnel Files

VIII. Retention

- A. Timelines for Retention
- B. Standards for Retention

IX. Tenure

- A. Timelines for Tenure
- B. Standards for Tenure

X. Promotion

- A. Timelines for Promotion
- B. Standards for Promotion
 - 1. Promotion to Associate Professor/MVI III
 - 2. Promotion to Full Professor/MVI IV

XI. Glossary

XII. Appendices

- Appendix A - WPAF Control Log
- Appendix B - WPAF Access Log
- Appendix C - Candidate Assessment Sheet
- Appendix D - Recommendation Ballot
- Appendix E - Classroom Visit Report
- Appendix F - Guidelines for Performance Review Summary and Recommendation
- Appendix G - Training Procedures for RTP Committee Members
- Appendix H - Periodic Evaluation Faculty Activity Report
- Appendix I - Periodic Evaluation Form
- Appendix J - General RTP Guidelines

Appendix K - Departmental RTP Guidelines

FACULTY SENATE POLICY NO. 526 RETENTION, TENURE & PROMOTION

I. OVERVIEW

The principles of academic freedom and their relationship to tenure are fundamental to our educational system. Those principles and tenure were established in order to insulate faculty members and their students from the repercussions of politics and political agendas inherent in many government institutions.

The implementation of academic freedom and tenure requires a high degree of trust between faculty and administrators and imposes a high degree of responsibility upon the faculty for whom it provides protection. Ultimately, faculty members are to be free from intrusive supervision so they may teach courses and conduct research, as they deem best. At the same time, however, they are responsible for pursuing excellence in teaching, teaching without bias, and reporting the results of research honestly and accurately.

The granting of tenure ensures academic freedom and, just as importantly, confers upon tenured faculty members the responsibility to continue to perform their duties at the same level of academic excellence they demonstrated and academic/professional development they achieved during their probationary period.

That which follows constitutes the policy of The California Maritime Academy concerning the retention, tenure, and promotion of all members of the probationary and tenured faculty. This policy is designed to assure, within the policies of the Trustees of the California State University, that educational achievement will be recognized and rewarded, and that the quality of the faculty at the Academy will be maintained at the highest possible level. This policy is organized by setting its goals, describing the methods by which evaluation criteria are applied, and describing the procedures to be followed in making retention, tenure and promotion recommendations.

This policy allows for flexibility in the Academy's approach to achieving the goals of the policy itself. The Academy seeks excellence within its faculty and accordingly seeks flexibility in the criteria and processes by which individual faculty members demonstrate educational effectiveness in furtherance of the Academy's mission. Thus, while all faculty members need not strictly conform to the same model, each candidate for retention, tenure, and promotion clearly must demonstrate appropriate levels of accomplishment within their academic assignment. Retention, tenure, and promotion recommendations are based on demonstrated achievement and educational effectiveness and are not automatic.

General retention, tenure, and promotion guidelines for the Academy are detailed in Appendix J. Individual departments are expected, but not obliged, to issue Departmental Guidelines, which relate the professional standards and/or the scope of activities within a particular discipline to the Academy-wide policy. Such guidelines, once approved by the Department, shall follow the same approval path as the Senate RTP Policy, namely signatures are required from the Academic Senate Chair, Senate Policy Chair, and

FACULTY SENATE POLICY NO. 526 RETENTION, TENURE & PROMOTION

President. The Senate Chair shall consult with the Senate RTP Committee in signing his or her approval. Approved Departmental Guidelines shall be appended to this policy in Appendix K.

No later than 14 days after the start of the semester, the Department Chair (or equivalent supervisor) shall provide each new Unit 3 faculty subject to this RTP Policy with a copy of this RTP Policy and any Departmental Guidelines in effect as of their appointment date.

The policies, procedures, and criteria described herein are intended to be in conformance with the current provisions of the Collective Bargaining Agreement between the Trustees of the California State University and the California Faculty Association, and to other operative provisions of Title V of the California Administrative Code of Education. These policies, procedures, and criteria shall apply to all recommendations relating to retention, tenure, and promotion. This policy supersedes all previous Academy policies on retention, tenure, and promotion and shall become effective upon acceptance by the Academic Senate and concurrence and approval by the President of the Academy. Should a conflict or inconsistency exist between this document and the Collective Bargaining Agreement, the Bargaining Agreement shall take precedence.

II. GOALS OF THE RTP PROCESS AND POLICY

Excellence in education is the Academy's primary goal. Achieving this goal is dependent, above all, upon the quality of the faculty. The Academy can provide an education of high quality only with faculty of high quality who themselves are committed to disciplinary and pedagogical currency and who have the capacity to contribute to the mission of the Academy.

A goal of this policy is to provide both recognition and encouragement of achievement for CMA faculty. The basic evaluation of a faculty member's potential, performance, and achievement shall be made by his/her peers, both within his/her own department and from outside his/her discipline.

Evaluations alone cannot ensure excellence in education. The goal of the evaluation process is to inform faculty members of assessment criteria, standards of excellence, and institutional expectations; to apprise them of their strengths and weaknesses; and to recognize those who have earned tenure or promotion for their achievements. To do this, the Academic Dean and Department Chairs shall arrange for regular meetings with individual faculty members, especially with probationary faculty, to discuss their performance, and if necessary, suggest possible means of improvement.

The Academy seeks a faculty who have achieved distinction both in their teaching and within their disciplines or professional communities. Developing a faculty with these qualities requires that we evaluate each other with certain standards of achievement in mind. These standards shall be defined by the Departmental Guidelines found in

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

Appendix K of this document, which are in keeping with the requirements of this policy and are approved by the Academy President.

III. POLICY REVIEW AND APPLICATION

A. RTP Policy Review

The RTP Policy will be reviewed for content and substance by the Senate RTP Committee on a five-year basis, unless otherwise requested by the President. The RTP Policy will be reviewed for contractual compliance by the Senate RTP Committee at each policy modification and any contract, side letter, or MOU renewal or revision. Additionally, if the results of CFA arbitration directly impacts the RTP practices on this campus, the CFA Chapter President will so notify the Academic Senate and review of all affected documents shall be conducted by the Senate RTP Committee to ensure compliance.

B. Departmental RTP Guideline Review

Departmental Guidelines, found in Appendix K, will be reviewed for content and substance by both the Department and the Senate RTP Committee on a five-year basis, unless otherwise requested by the Department and/or President. If no changes are needed, no further action is required and the Departmental Guidelines remain effective until the next review. Departmental RTP Guidelines will be reviewed for contractual compliance by both the Department and the Senate RTP Committee at each contract, side letter, or MOU renewal or revision. Additionally, if the results of CFA arbitration or grievance settlements directly impact the Departmental Guidelines and/or practices, review of all affected documents shall be conducted by both the Department and the Senate RTP Committee to ensure compliance.

C. Application of Procedures and Guidelines

In keeping with the provisions of the Collective Bargaining Agreement, RTP procedures must remain constant once the annual review cycle has begun. The annual review cycle is considered begun on the date of the conclusion of the RTP Training session, as scheduled in the RTP Timeline, and ends when the President's decision is received by the involved candidate.

However, in order to maintain a predictable RTP Process, RTP guidelines, applications, expectations and interpretations should remain constant during a candidate's entire review period. For probationary faculty, the review period is the probationary period. For faculty seeking promotion, the review period is the period of time at the current rank.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

Faculty being considered for retention, tenure, and or promotion shall be reviewed in accordance with the guidelines and historical expectations, both institutionally and departmentally, in place at the start of his or her review period. If the RTP Guidelines change during a candidate's review period, the faculty member under review may choose, via a written declaration submitted with the WPAF, to be evaluated according to the new guidelines.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

IV. BASIC AREAS OF EVALUATION

Faculty performance and achievement are evaluated within three basic areas. Presupposing that a candidate for retention, tenure, or promotion possesses an appropriate terminal degree, the successful petitioner for retention, tenure, or promotion must demonstrate:

A. Teaching Effectiveness

The academic assignment of most members of the faculty consists primarily, but not exclusively, of teaching. For these members teaching effectiveness is the most important element to be considered during retention, tenure, or promotion evaluations completed at the Academy. Guidelines for evaluating effectiveness in one's teaching and teaching related activities are defined by the Departmental Guidelines found in Appendix K (or by the General Guidelines of Appendix J in the case that Departmental Guidelines do not exist).

B. Service to the Academy and Academic Community

Academic assignments of the teaching faculty should also involve participation in Department and/or Academy governance. Accordingly, service to the Academy and its students must also be demonstrated to justify positive retention, tenure, or promotion recommendations. Guidelines for evaluating service on behalf of the students of the Academy, the Academy, and the greater academic community are defined by the Departmental Guidelines found in Appendix K (or by the General Guidelines of Appendix J in the case that Departmental Guidelines do not exist).

C. Scholarly, Creative and/or Professional Achievements

Academic assignments of the teaching faculty should also involve participation in scholarly, creative or professional pursuits. Accordingly, scholarly, creative, and/or professional achievement must also be demonstrated to justify positive retention, tenure, or promotion recommendations. When faculty members have made significant contributions to their discipline or to their professional community over a number of years, total contributions should be considered. Neither the existence of publications nor the lengths of any actual publications is, per se, a requirement for retention, tenure or promotion. Guidelines for evaluating scholarly, creative, and/or professional achievement are defined by Departmental Guidelines found in Appendix K (or by the General Guidelines of Appendix J in the case that Departmental Guidelines do not exist).

The guiding principle of all evaluations should be a commitment to thorough and candid evaluations designed to recognize and encourage achievement. Once clear-cut teaching effectiveness as defined by the faculty member's Departmental Guidelines has been established, noteworthy accomplishments related to the standards of performance described in the Departmental Guidelines for the other areas of one's academic assignment are sufficient justification for a positive recommendation of retention, tenure or promotion.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

V. RTP GUIDELINES

A. General Retention, Tenure and Promotion Guidelines

Candidates for retention, tenure and promotion shall be evaluated in the three basic areas in Section IV. If a probationary or tenured Unit 3 employee is not within a Department that currently has Departmental Guidelines, the General RTP Guidelines found in Appendix J shall serve as the basis for evaluation of the candidate. If a candidate's Department does not have guidelines it is strongly recommended that the candidate seek the advice of a tenured faculty mentor and/or his or her Department Chair when preparing the Working Personnel Action File for submission.

B. Departmental Retention, Tenure and Promotion Guidelines

Recognizing the diverse nature of teaching and working assignments and conditions between departments, departments may issue Departmental Guidelines, which relate the professional standards and/or scope of activities within a particular discipline to the Academy-wide policy. If a department has such guidelines, they will be the controlling standards by which candidates in that department shall be evaluated.

1. Changes to Departmental Guidelines must indicate the effective date and the rationale for such modifications.
2. Departmental RTP Guidelines shall not conflict with Academy-wide policy or the CFA/CSU Collective Bargaining Agreement, and may not require lower substantive levels of performance than those contained in the General Guidelines found in Appendix J.
3. Departmental Guidelines must address the Department's Mission Statement, if one exists, and articulate how each guideline addresses the general requirements for teaching effectiveness, service, and scholarly, creative, and/or professional activities and achievements within the context of the Department's Mission .
4. Each Department's RTP Guidelines, once approved at the Department level, will follow the same approval path as other Senate policies, and will become effective upon approval by the Chair of the Academic Senate, the Senate Policy Chair, and the President. The Senate Chair shall confer with the Senate RTP Committee before approving the Guidelines.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

VI. PROCEDURES FOR PERFORMANCE REVIEW AND PERIODIC EVALUATION

The formal evaluation for retention, tenure, and promotion is called a Performance Review. Probationary faculty will normally undergo a performance review for retention during their second and fourth probationary years and for tenure during their sixth probationary year. Faculty may apply at the beginning of any RTP cycle for early consideration. All evaluations for promotion are also performance reviews.

Less formal Periodic Evaluations will be conducted in accordance with Section VI-E for all probationary faculty during the years that a Performance Review is not required (normally, their first, third and fifth probationary years). The Periodic Evaluation only requires submission of a Faculty Activity Report (Appendix H).

The performance review process, for all candidates, is based solely on the contents of the Working Personnel Action File (WPAF). In determining what materials candidates may and should place into their Working Personnel Action File (WPAF), candidates should refer to Section VII (Personnel Files) as well as any applicable Departmental Guidelines.

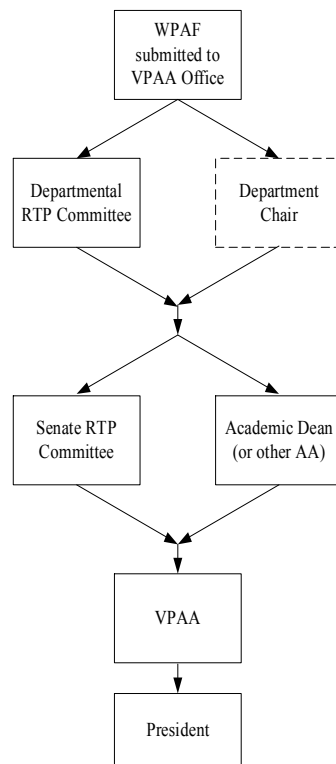
A. Levels of Review

The WPAF will be evaluated by the following levels of review prior to the President's decision:

1. Concurrent Department Reviews
 - a. Department RTP Committee
 - b. Department Chair (if he/she chooses to submit a separate recommendation)
2. Concurrent Academy-wide Reviews
 - a. Senate RTP Committee
 - b. Academic Dean or other appropriate academic administrator
3. VPAA Review

The process is depicted in the figure below, with concurrent reviews shown horizontally, and sequential reviews shown vertically. The dashed box around the Department Chair review indicates that it is an optional review.

FACULTY SENATE POLICY NO. 526 RETENTION, TENURE & PROMOTION



The end product of each review will be a written recommendation to the President. The recommendation from each level of review will be incorporated into the WPAF for the next level of review and a copy of each recommendation will be sent to the candidate. After the VPAA's review has been incorporated into the WPAF, the WPAF will be forwarded to the President for a final determination.

B. Election and Composition of Faculty RTP Committees

1. Senate RTP Committee

- a. The Senate RTP Committee shall consist of three tenured faculty at the rank of Full Professor or equivalent, each elected to serve a term of three academic years, with each term staggered by one year. Each department or equivalent academic unit may have no more than one representative on the Senate RTP Committee.
- b. During each spring semester, the Academic Senate Chair shall conduct an election for the expiring term. The election shall occur by secret ballot. All eligible faculty members shall be included on the ballot unless they request (in writing, to the Senate Chair) that their name be deleted from the ballot. All probationary and tenured Unit 3 faculty subject to the RTP

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

Policy are eligible to vote. Each voter may select one person on the ballot. The first place finisher shall serve on the Committee for the next three academic years. The runners up shall serve as alternates for the next academic year, as needed, in the order that they placed in the election.

- c. Senate RTP Committee members are ineligible to participate in lower levels of reviews.
- d. At the beginning of each academic year, the Senate Chair shall convene the Senate RTP Committee for the purpose of electing a Committee Chair for the academic year.

2. Department RTP Committee

- a. For each RTP candidate, and for each probationary faculty member subject to a periodic evaluation, there will be a Department RTP Committee of three tenured faculty elected by the tenured and probationary faculty of the candidate's department or equivalent unit.
- b. In general, for each department, a single committee will serve all RTP (and periodic evaluation) candidates with the same eligibility requirements for Committee membership. However, to satisfy different eligibility requirements (e.g. as occurs when a department has members up for retention or tenure as well as promotion to Full Professor), or in other extenuating circumstances, a department may elect a separate Committee for one or more of its RTP candidates.
- c. In Fall Semester, and prior to the RTP training, each Department Chair (or equivalent) shall administer the election(s) for the Department RTP Committee(s) for the RTP candidates in the department. For each election, a ballot shall be prepared which includes at least five eligible faculty members (see e below), including all eligible faculty from within the department. If there are less than five eligible faculty from within the department, the probationary and tenured faculty of the department shall nominate additional eligible and available faculty from a related discipline to be placed on the ballot.
- d. The vote shall proceed by secret ballot, with all probationary and tenured faculty of the department eligible to vote. Each voter may select up to three different persons on the ballot.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

The three persons receiving the most votes shall constitute the Committee. The runners up shall serve as alternates, as needed, in the order that they placed in the election.

- e. To be eligible to serve on the Department RTP Committee for an RTP candidate, a faculty member must be tenured and senior in rank to the current rank of the candidate, and must not be a participant in any other level of review for that candidate. A faculty member being considered for promotion is ineligible to serve on the Department RTP Committee for any candidate being considered for tenure or promotion. FERP faculty may be eligible under certain circumstances with presidential approval. Any faculty member who meets these eligibility requirements may, after consultation with the Department Chair, declare himself/herself unavailable to serve for compelling reasons.
- f. Prior to the RTP training (see below), Department Chairs shall ensure that Department RTP Committees have been elected to accommodate each RTP candidate within their department.
- g. The Department Chair shall convene the first meeting of the Department RTP Committee. As its first order of business, the Department RTP Committee shall elect one of its members Chair.

C. General Procedures for Performance Review

- 1. All timelines for submission of WPAFs, reviews, recommendations, and decisions, shall be in accord with the current Collective Bargaining Agreement between the California Faculty Association (Unit 3) and the California State University. In consultation with the CMA/CFA Chapter President, the Chair of the Academic Senate, and the VPAA, in collaboration, shall produce the timeline. The President of the Academy (or President's designee) shall approve the timeline and ensure its publication and distribution to all affected personnel.
- 2. Prior to September 15th, the Chair of the Senate, in consultation with the President of CFA/CMA and the Director of Human Resources will determine the list of Faculty members eligible for retention, tenure, or promotion. A copy of this document shall also be provided to the CFA Chapter President.
- 3. Prior to the end of September, the Senate Chair shall notify candidates for retention, tenure, or promotion, of their eligibility and

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

solicit requests for early tenure or promotion. The Senate Chair shall then invite all candidates to an RTP training session scheduled after October 15th. The President of CFA/CMA, the Chair of the Academic Senate, and the VPAA, jointly, shall share responsibility for ensuring that this training occurs. The RTP training marks the formal beginning of the review cycle.

4. Faculty members who are in consideration for promotion or early tenure may, at any time prior to a Presidential determination, exercise their prerogative and withdraw their application from further consideration.
5. The Chairs of the Department and Senate RTP Committees shall establish meeting dates and agenda such that the timelines announced by the President and the Academy can be met. The Committee Chairs shall preside at their respective meetings. They shall rule on matters of procedure and are responsible for ensuring that their Committee does not act in any manner that is inconsistent with the provisions of this policy or contrary to provisions of the Collective Bargaining Agreement.
6. Only members of the Department and Senate RTP Committees may be present during Committee deliberations. No substantive action may be taken by the Committees without all members participating.
7. It is the responsibility of the Department or Senate RTP Committee Chair to determine when it is necessary for an alternate member to replace a member of the Committee. Alternates shall be chosen according to the Committee election results. Once the alternate has been substituted for one of the original members of the Committee, the alternate shall participate in place of the absent regular member for the duration of the Committee's evaluation(s) of all candidates. The use of the alternate member does not preclude continuation of the process.
8. Candidates for retention, tenure, and promotion are primarily responsible for assembling their WPAF. Reviewing entities shall be responsible for identifying and providing materials relating to evaluation not provided by the employee, including the timely (i.e., prior to the WPAF "closing date") reporting of any required external review of scholarly work or solicitation of professional or other community input. This includes peer evaluations of teaching conducted by the Department Committee members, which must occur and be reported prior to the WPAF "closing date." No later than

FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION

14 calendar days prior to the WPAF closing date, all materials in the candidate's PAF that directly pertain to the evaluation process must be identified by the VPAA's office and copies of such documents given to the candidate for mandatory inclusion in the WPAF. In the final analysis, candidates should consult with their Department Chair to ensure their WPAF is complete in all respects, prior to the completion of the WPAF Index and the final WPAF "closing date."

9. Insertion of material by the candidate after the WPAF closing date must have the approval of the Senate RTP Committee and shall be limited to items that became accessible after this date. Material inserted in this fashion shall be returned to the Department level of reviews for review, evaluation, and comment before consideration at subsequent levels of review.
10. WPAF's shall be turned in to the VPAA's administrative assistant on, or before the due date indicated on the approved timeline. An index of all WPAF's submitted for consideration will be produced (Appendix A) and used to track checkout and check-in of the files. WPAF's are confidential documents and every effort shall be made to safeguard their confidentiality. The VPAA's administrative assistant shall be the custodian of the WPAF during the RTP process. All reviewers in the RTP process must check the WPAF out from the VPAA's office. Access to any WPAF requires both the signature of the reviewer and the date of review to be recorded in the appropriate access log (Appendix B).
11. Once the annual review cycle has begun, procedures and criteria may not be modified.
12. All committee work occurring during RTP review and evaluation shall be done confidentially. Recommendations, at all levels of review, are to be made confidentially.
13. Recognizing that the RTP process is part of the mentoring process, recommendations from faculty reviewing entities must articulate clearly how each candidate has met or failed to meet his or her Departmental Guidelines in each of the evaluated areas. Recommendation letters articulating weaknesses in the candidate's file must be detailed and specific enough to offer the candidate clear guidance towards a successful review in the future. Recommendations from administrative reviewers must clearly articulate how the faculty reviewing entities either correctly or incorrectly applied the Collective Bargaining Agreement, the Academy RTP Policy and all applicable Departmental Guidelines to

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

the candidate under review.

14. At all levels of review, before recommendations are forwarded to a subsequent review level, a faculty member being evaluated shall be given a copy of the recommendations of the reviewing entity. The candidate, upon his or her request, shall be given the opportunity to discuss the recommendation with the reviewing entity. The faculty member has the right to incorporate a written rebuttal in his or her WPAF to any recommendation made by any reviewing entity, within a CBA – specified period of time following receipt of the recommendation. A copy of any rebuttal shall be sent to all prior reviewing entities. This provision shall neither alter nor extend any RTP timeline, unless an extension of the timeline is agreed to by all reviewing entities.
15. If, during the review process, the absence of documents necessary for evaluation is discovered, the WPAF shall be returned to the level of review at which the requisite documentation should have been provided. The reviewing entity that found the WPAF deficient must declare in writing that all document deficiencies have been rectified. The faculty member being reviewed must be given express notice of the addition of any new documents to his or her WPAF. In all circumstances, a faculty member has the right to insert comments in clarification or rebuttal to any new material incorporated into their WPAF. Any party to the review, at any level of review, may initiate a request for an external review of materials submitted by a faculty member. The request must provide express justification for the external review and state specifically the materials to be reviewed.
16. Failure on the part of a reviewing entity to complete a performance review within the specified dates of the timeline will result in the automatic transfer of the process to the next level of review. The faculty member shall then be notified that this next level of review will make its evaluation and recommendation.
17. The President shall receive and review the complete WPAF, including response(s) and/or rebuttal statement(s) written by the candidate, and all written evaluations and recommendations generated at each level of review. The President has the authority to retain probationary faculty members, grant tenure, and grant promotions. Decisions made under this authority shall be communicated in writing to the candidate within the published timeline. These written communications shall describe the bases for the decisions made by the President. In a timely manner, a

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

copy of the President's written communication shall be provided to both the affected faculty member and all reviewing entities.

D. Specific Procedures for Performance Review

1. Department Review

The first level of review shall be the candidate's Department RTP Committee. This Committee shall be elected prior to October 15th according to the procedures of Section B-2 above. If the Department Chair wishes to make a separate review and recommendation, this shall occur concurrently with and separately from the Department RTP Committee Review.

a. Department RTP Committee

- i. For all performance review candidates whose primary academic assignment is teaching, the Department RTP Committee shall conduct at least one peer observation of the candidate's teaching, and as many as it feels is necessary. This shall occur prior to the WPAF closing date. A member of the Committee will observe the candidate during a teaching session and complete a Classroom Visit Report (Appendix E). The candidate and the observer will review the completed form prior to its being placed in the WPAF.
- ii. Members of the Department RTP Committee shall evaluate each candidate in accordance with the standards and criteria of the relevant performance review (retention, tenure or promotion) as described within this policy. The contents of the WPAF shall be evaluated in relation to these standards and criteria and with respect to the threshold of professional competence referred to in Appendix C. The written standards shall form the basis for the Committee's discussion of, and recommendation(s) for each candidate. Personnel recommendations relating to retention, tenure and promotion shall be based exclusively upon material contained in the WPAF.
- iii. The Department RTP Committee shall base all recommendations of retention, tenure, or promotion of candidates on the results of a secret ballot. A positive recommendation requires a majority vote of all committee members. The ballot represented in

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

Appendix D shall be used.

- iv. The Department RTP Committee Chair shall prepare a Review Summary and Recommendation using the guidelines of Appendix F. Statements in the report shall be referenced to an observable and valid relationship between retention, tenure and promotion evaluation standards and criteria and the faculty member's performance in each of the prescribed categories. Statements should clearly identify areas in which the candidate has met or exceeded the prescribed standards as well as areas in which the candidate may need to improve. The Review Summary and Recommendation shall include the balloting results and shall be placed in the candidate's WPAF.
 - v. Each member of the Department RTP Committee shall sign the Review Summary and Recommendation. The Committee Chair shall then forward the recommendation to the VPAA's administrative assistant.
- b. Department Chair
- i. The candidate's Department Chair may, but is not required to, conduct a separate review of the candidate and make a recommendation for retention, tenure or promotion. The Department Chair may conduct and submit a separate review and recommendation, even if he/she is of lower rank or not tenured. If the candidate's Department Chair chooses to conduct a separate review with recommendation, this shall occur concurrently with and separately from the Department RTP Committee review.
 - ii. If the Department Chair chooses to conduct a separate review and make a written recommendation, he/she may not participate in any other review of the candidate.
 - iii. His/her recommendation, summarizing both favorable and unfavorable assessments of a candidate's professional efforts, shall be based solely on the contents of the WPAF. The recommendation shall be forwarded to the VPAA's administrative assistant.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

The VPAA's administrative assistant shall place the recommendations from the Department RTP Committee and the Department Chair in the candidate's WPAF. In addition, he/she shall distribute copies of the recommendations to the candidate and all participants in the Department review(s).

2. Academy-Wide Reviews

The second level of review shall be concurrent and separate reviews by the Senate RTP Committee and the Academic Dean (or appropriate academic administrator).

a. Senate RTP Committee

The Senate RTP Committee's recommendation, summarizing both favorable and unfavorable assessments of a candidate's professional efforts, shall be based solely on the contents of the WPAF. Each member of the Committee must sign the recommendation. It shall then be forwarded to the VPAA's administrative assistant.

b. The Academic Dean (or Appropriate Academic Administrator)

In keeping with the spirit of RTP review, the appropriate academic administrator should be that administrator who works closest with the faculty subject to the RTP process. The Academic Dean shall be the academic administrator for the faculty of all academic departments. The Library Director shall be the appropriate administrator for all library faculty. The Athletic Director shall be the appropriate administrator for all athletic faculty. The Vice President for Marine Programs shall be the appropriate administrator for all Maritime Operations faculty. The academic administrator's recommendation, after a thorough review of the WPAF, summarizing both favorable and unfavorable assessments of a candidate's professional efforts, shall be based solely on the contents of the WPAF. The recommendation shall be forwarded to the VPAA's administrative assistant.

The VPAA's administrative assistant shall place the recommendations from the Academy-wide reviews in the candidate's WPAF. In addition, he/she shall distribute copies of the recommendations to the candidate and all participants in the Academy-wide and Department level reviews.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

3. VPAA Review

The VPAA shall conduct the third level of review for all candidates. The primary functions of the VPAA review shall be to:

- a. Evaluate the appropriateness and consistency in the application of RTP Guidelines in the recommendations from all previous reviewing entities.
- b. Ensure compliance at all levels of review with the Collective Bargaining Agreement and this RTP Policy.

In light of these considerations, the VPAA shall make a recommendation to the President. If, however, the VPAA discovers a procedural or policy violation prejudicial to the candidate, or he/she determines that any previous level of review misapplied RTP guidelines or policies, and/or displayed a lack of reasoned judgment in their recommendations, he/she may conduct a separate, independent review of the candidate's WPAF.

The VPAA's administrative assistant shall place the VPAA's recommendation in the candidate's WPAF. In addition, he/she shall provide a copy of the recommendation to the candidate and all previous reviewers.

4. Presidential Decision

Upon receipt of the WPAF and all recommendation letters and rebuttals, the President shall review the documents and make a decision. This decision will be transmitted, in writing, to the faculty member with copies to all participants in the review process. A faculty member denied retention, tenure or promotion has seven working days from receipt of the President's letter to request, in writing, that the President reconsider the decision. In the event that the President either declines to reconsider, or (after reconsideration) reaffirms the original decision, the faculty member may appeal the decision, in accordance with existing grievance procedures.

E. Procedures for Periodic Evaluation

For the probationary years in which a formal performance review for retention is not conducted, there will be a less formal, less substantive evaluation, called a periodic evaluation. Normally, periodic evaluations shall occur during the first, third, and fifth probationary years.

1. Periodic evaluations shall be conducted by the following levels of review, in succession:

FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION

- a. Department RTP Committee
 - b. Department Chair (if he/she chooses to include a separate evaluation)
 - c. Academic Dean (or appropriate academic administrator)
2. In general, the Department RTP Committee shall be the same Committee used to conduct performance reviews of RTP candidates within the Department.
 3. For the periodic evaluation, faculty shall submit a Periodic Evaluation Faculty Activity Report (Appendix H), to the office of the VPAA for custody purposes.
 4. For all periodic evaluation candidates whose primary academic assignment is teaching, the Department RTP Committee shall conduct at least one peer observation of the candidate's teaching. A member of the Committee will observe the candidate during a teaching session and complete a Classroom Visit Report (Appendix E). The candidate shall include a copy of the Classroom Visit Report in his/her WPAF for his/her next Performance Review.
 5. Each reviewing entity shall fill out and sign the appropriate area on the Periodic Evaluation Form (Appendix I), providing brief comments on how the faculty member is progressing toward their next performance review. The Periodic Evaluation Form and Periodic Evaluation Faculty Activity Report shall then be forwarded to the next level of review.
 6. The periodic evaluation shall not culminate in a recommendation for retention. The purpose of the periodic evaluation is to provide the candidate with an evaluation of how they are progressing toward their next performance review and how they might make specific improvements.
 7. The completed Periodic Evaluation Form shall be added to the candidate's PAF. Copies of the completed form shall be sent to the candidate, all reviewing entities, the VPAA and the President. Candidates shall include a copy of the Periodic Evaluation Form and associated Periodic Evaluation Faculty Activity Report in their WPAF for their next performance review.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

VII. PERSONNEL FILES

To facilitate review of candidates without compromising the security of the official Personnel Action File, a Working Personnel Action File (WPAF) will be utilized for the purpose of performance reviews. The WPAF will contain all materials pertinent to the evaluation process. The candidate, in coordination with his/her Department Chair and the appropriate reviewing entities (See Section VI-C-8), should ensure that appropriate materials are included in the WPAF prior to submission.

The WPAF shall include the following:

- A. Documentation associated with prior RTP cycle reviews, recommendations, responses/rebuttals and decisions, including associated WPAF indexes and earlier curricula vitae.
- B. Index of materials submitted
- C. Curriculum Vitae
- D. Applicable Department RTP Guidelines
- E. Self-study statement, beginning with the requested consideration (i.e., retention only, retention and tenure, promotion, etc...), and describing how the candidate has demonstrated he/she meets the standards defined in the Guidelines.
- F. Supplementary materials in support and documentation of the self-study. Such materials may include, but are not limited to:
 - I. Effectiveness in Teaching
 - a. A list of courses taught, sections and average section size
 - b. Student evaluations for the review period (mandatory)
 - c. Peer evaluations from classroom visits by teaching colleagues (mandatory)
 - d. Other instructional achievements
 - e. Information pertaining to student advising
 - f. Information pertaining to curricular development.
 - II. Service to Students, the Academy, and the Greater Academic

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

Community

- a. Information pertaining to operational activities (such as preparing the Training ship for cruise)
- b. Information pertaining to academic and career counseling
- c. Information pertaining to faculty governance
- d. Information pertaining to administrative activities such as scheduling, program coordination or other special assignments
- e. Information pertaining to service as Department Chair
- f. Information pertaining to committee service
- g. Information pertaining to involvement in activities that directly enhance the quality of student life on campus
- h. Information pertaining to activities that enhance the Academy's ability to serve the needs of a multi-ethnic and non-traditional student body
- i. Information pertaining to service on behalf of the community, state, nation, or international community in a capacity related to one's disciplinary expertise and requiring the application of one's professional knowledge or skills

III. Scholarly, Creative and/or Professional Achievement

- a. Scholarly Achievement
 - i. Abstracts of publications in professional journals or works published by publishing houses of repute, together with pertinent reviews of published works.
 - ii. List of critical contributions such as reviews for national periodicals, newspapers, or other communication media.
 - iii. List of contributions at professional conferences, seminars, workshops, institutes, or special programs.
 - iv. Evidence of an active program of scholarly or creative

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

work in progress, appropriate to the discipline.

- v. A list of software created for use within one's discipline.
 - vi. Curricula or curricular materials for one's disciplinary field, the development of which involved genuine scholarship.
 - vii. Scholarly achievement in the course of supervising student research, such achievement to be informed by genuine scholarship.
 - viii. Receipt of awards, prizes, fellowships, or grants.
- b. Creative Achievement
- i. Evidence of original works of fiction, drama, or poetry.
 - ii. Performances in the performing arts, together with pertinent reviews thereof.
 - iii. Patents or copyrights.
 - iv. Evidence of exhibitions in the graphic arts, together with pertinent reviews thereof.
- c. Professional Achievement
- i. Selection for participation or leadership in professional associations.
 - ii. Selection as a contributor to meetings, panels, activities or workshops.
 - iii. Acquisition of documented expertise in technical or academic aspects of a faculty member's discipline (licenses, certificates, college credit, etc.).
 - iv. Consulting.
 - v. Selection for service on editorial boards or as editor of a professional journal or reviewer for publishers or other agencies or associations.
 - vi. Professional honors and/or awards.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

VIII. RETENTION

A. Timeline for Retention

Normally, probationary faculty members shall be subject to a performance review for retention during their second and fourth years. A second year performance review is generally not required for newly appointed faculty members who have been given one or more years of probationary credit. However, the President may require performance reviews during the intervening years. During each probationary year in which performance reviews are not conducted, a periodic evaluation shall be completed.

B. Standards for Retention

The review process should be rigorous throughout the probationary period. To be retained, it is expected candidates will provide evidence of teaching effectiveness, as defined by Departmental Guidelines. For newer faculty who have not yet achieved satisfactory teaching effectiveness, evidence of increasing effectiveness in their teaching involving the utilization of a variety of instructional pedagogies, or consistent effectiveness and pedagogical versatility is required. In the case of individuals whose teaching is fully satisfactory from the start, evidence of continued effectiveness is required. Additionally, faculty members must establish a commitment to and an expanding involvement in service activities that inure to the benefit of their students, colleagues, Departments and ultimately, the entire Academy. Guidelines for appropriate service activities can be found in the Departmental Guidelines. Finally, successful candidates for retention will demonstrate the establishment of a program of scholarly, creative and/or professional development as defined by the applicable Departmental Guidelines. Candidates should not be retained if their efforts and accomplishments in teaching, service, and scholarly, creative and/or professional development are not sufficient to warrant a reasonable expectation that tenure will be granted at the end of the probationary period. Reviewing entities, in their recommendations, should indicate whether a faculty member's performance is sufficient to warrant a reasonable expectation that tenure will be granted at the end of the probationary period.

IX. TENURE

A. Timeline for Tenure

A tenure recommendation should normally be made during a faculty member's sixth probationary year. Faculty members may request early consideration for tenure based on their belief that they have achieved the levels of excellence in the criteria required for the award of tenure. It is incumbent on the candidate to provide clear

FACULTY SENATE POLICY NO. 526 RETENTION, TENURE & PROMOTION

and convincing evidence that they have met all requirements for the award of tenure. Any deviation from the normal six-year probationary period shall be the decision of the President following his/her consideration of recommendations from all reviewing entities.

B. Standards for Tenure

The tenure decision is perhaps the most important decision that the faculty and administration of the California Maritime Academy must make with respect to its probationary faculty. Tenure represents a commitment on the part of the Academy that will affect significantly the quality of education for generations of students. Therefore, the granting of tenure is more than a reward for outstanding teaching and professional growth during the probationary period. It is an expression of confidence that faculty members will continue to pursue academic excellence and professional growth during their careers. Tenure should be granted only to individuals whose record of teaching, service and contributions to their profession creates the unequivocal expectation that promotion to the rank of associate professor/MVI III will occur.

The award of tenure requires more than potential or promise on the part of the candidate. It requires the following:

1. Possession of the appropriate terminal qualifications and or terminal certification, as defined by the Departmental Guidelines, unless an exception to this requirement has been granted and noted in the letter of hire.
 - a. A Ph.D. in an appropriate discipline is normally the terminal qualification for members of the Business Administration, Global and Maritime Studies, Mechanical Engineering, and Sciences and Mathematics Departments.
 - b. A Master's Degree in an appropriate discipline plus an unlimited license is normally the terminal qualification for the licensed members of the Engineering Technology and Marine Transportation Departments.
 - c. A Bachelor's Degree in an appropriate discipline plus an unlimited license is normally the terminal qualification for members of the Maritime Operations Department.
2. Demonstrated effectiveness in one's academic assignment, including:

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

- a. A firmly established history of increasing effectiveness in one's teaching involving the utilization of a variety of instructional pedagogies, or consistent effectiveness and pedagogical versatility in the case of an individual whose teaching is fully satisfactory from the start. Guidelines for what constitutes teaching effectiveness can be found in the Department Guidelines.
- b. A multi-faceted record of service to students, teaching and administrative colleagues, Departments, and the Academy. Guidelines for appropriate service activities can be found in the Department Guidelines.
- c. Scholarly and/or creative contributions to one's professional community, which are of good professional quality and in accordance with the candidate's Departmental Guidelines. Evidence should be presented that establishes both a commitment to and the potential for continued development and accomplishment throughout one's career.

X. PROMOTION

A. Timeline for Promotion

Promotion is defined as the advancement from one academic rank to the next, i.e., assistant professor/MVI II to associate professor/MVI III or associate professor/MVI III to full professor/MVI IV. Probationary assistant professors/MVI II's will normally be considered for promotion to associate professor/MVI III in the review cycle during which they are being considered for tenure (i.e., during their sixth probationary year). Tenured faculty members (in general, associate professors/MVI III's) will normally be reviewed for promotion to full professor/MVI IV during their fifth year of service at that rank. If promoted, the promotion becomes effective at the beginning of the next academic year. Under extraordinary circumstances, a candidate may apply for early promotion to the next higher rank. If a member of the faculty believes his or her professional accomplishments while serving the Academy justify an application for early promotion, it shall be incumbent upon the candidate to provide clear and convincing evidence to all levels of review that he or she has satisfied all criteria for promotion.

B. Standards for Promotion

1. Promotion to Associate Professor/MVI III

Associate Professor/MVI III is the second highest academic rank, and promotion to it normally requires tenure or the simultaneous award of tenure. The rank of associate professor/MVI III presupposes that a faculty member

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

has considerable academic or professional experience and a significant record of accomplishments during the probationary period. Promotion to associate professor/MVI III requires a well-established, consistent pattern of effective teaching coupled with demonstrable professional competence in other areas of one's academic assignment. Normally, a candidate is expected to have contributed to the effectiveness of their Department and the Academy through curriculum development efforts, advising, committee work and other appropriate service on behalf of the students. In addition, there should be evidence that scholarly, creative, and/or professional achievement, in accordance with Departmental Guidelines, is a continuing part of one's professional life.

2. Promotion to Full Professor/MVI IV

The rank of full professor/MVI IV is the highest academic rank and should represent realized potential and genuine achievement. Promotion to full professor/MVI IV requires an extensive and ongoing history of exemplary teaching and clear and convincing evidence of professional effectiveness in all other aspects of one's academic assignment--for example, significant contributions to students, the department, and to the Academy through committee work or other appropriate service. In addition, it is required that candidates for promotion to full professor/MVI IV present evidence of substantial and continuing scholarly, creative, and/or professional achievement in accordance with their Departmental Guidelines.

FACULTY SENATE POLICY NO. 526 RETENTION, TENURE & PROMOTION

COMMENTS, GLOSSARY AND APENDICES

Article 11 of the Collective Bargaining Agreement contains information on the location and handling of Personnel Action Files. The information following is excerpted from Article 11 as it bears directly on the RTP process. In case of conflict, the current Collective Bargaining Agreement shall take precedence.

During the time of periodic evaluation or performance review of a faculty member, the WPAF--which includes all information, materials, recommendations, and rebuttals--is considered to be a part of the Personnel Action File, but need not be physically placed in that file. Instead, an index of elements contained within the WPAF shall be prepared by the faculty member and included in the WPAF. At the conclusion of the RTP review cycle, the WPAF index will be submitted to the Director of Human Resources for inclusion in the PAF. Indexed materials (the WPAF) shall be returned to the faculty member.

XI. GLOSSARY

ACADEMIC-ADMINISTRATIVE ASSIGNMENT A position of primarily supervisory activities that encompasses the possibility of retreat rights to a faculty teaching position.

ACCESS LOG A document that certifies that a reviewer has examined the Working Personnel Action File (WPAF) of a candidate for RTP (see below).

APPOINTMENT The initial hiring of a faculty unit employee.

CANDIDATE A faculty unit employee being evaluated for retention, tenure, or promotion.

COLLECTIVE BARGAINING AGREEMENT (CBA) See Memorandum of Understanding (MOU).

COLLOQUIA Informal conferences or group discussions, usually in the form of seminars that several lecturers take turns in leading.

CONTROL LOG A form to keep track of all WPAF'S turned in to the VPAA's office for the RTP process.

DEPARTMENT RTP COMMITTEE The elected committee of full-time tenured faculty unit employees from within a Department or related discipline whose purpose is to review and recommend faculty unit employees who are being considered for retention, tenure, and promotion.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

DEPARTMENT RTP COMMITTEE REVIEW SUMMARY Written assessment of a faculty member's performance written by the Department RTP Committee.

DEPARTMENTAL GUIDELINES Guidelines, approved by the President, which relate the professional standards and/or scope of activities within a particular discipline to the Academy-wide RTP policy.

EQUIVALENT UNIT Any unit of equivalent status to an academic department or library unit.

EX-OFFICIO MEMBER By virtue of office or official position.

EXTERNAL REVIEW A review from an outside independent source requested by a member of a level of review, with the consent of a candidate.

FACULTY (UNIT 3) Employees included in Bargaining Unit 3 (Including all tenured, probationary and temporary teaching faculty, Librarians, Counselors, and Coaches).

FERP Faculty Early Retirement Plan. See Memorandum of Understanding (MOU).

GRIEVANCE An officially filed allegation by a faculty member or the exclusive representative of the faculty member that there has been a violation, misapplication, or misinterpretation of a specific term or specific terms of a ratified agreement which has resulted in a direct wrong to the grievant.

LEVEL OF REVIEW Any stage in a performance review requiring examination of the Working Personnel Action File (WPAF) and, normally, a written report and recommendation. The three Levels of Review prior to the President's decision are the concurrent Department reviews (Department RTP Committee and Department Chair), the concurrent Academy-wide reviews (Senate RTP Committee and Academic Dean or other appropriate administrator) and the VPAA.

MEMORANDUM OF UNDERSTANDING (MOU) The Memorandum of Understanding, also known as the Contract or Agreement, is an agreement between the Trustees of the California State University and an exclusive representative of a unit of employees.

PERFORMANCE REVIEW The process of evaluating faculty for retention, tenure, or promotion which leads to formal reports, recommendations, and notice of results.

PERIODIC EVALUATION The process of evaluating faculty on the basis of probationary service in a year when retention is not an issue.

PERSONNEL ACTION FILE A file containing or referencing every record relevant to faculty professional status. It is maintained in Human Resources. It is the official personnel file containing employment information that may be relevant to personnel

FACULTY SENATE POLICY NO. 526 RETENTION, TENURE & PROMOTION

recommendations or personnel actions regarding a faculty unit employee. Campus medical and police records are not a part of the Personnel Action File. The basis for all personnel decisions resides in the Personnel Action File maintained by Human Resources. Material placed in the official Personnel Action File must be screened by Human Resources as to applicability and contractual compliance. Any material identified by source may be placed in the Personnel Action File. Employees have the right to review and rebut information placed in their file. It is the responsibility of the employee to check their personnel record for completeness and accuracy.

PROBATIONARY CREDIT The President, upon recommendation by the affected department or equivalent unit, may grant to a faculty unit employee up to two (2) years service credit for probation based on previous service at a post-secondary education institution, previous full-time CSU employment, or comparable experience.

PROBATIONARY FACULTY UNIT EMPLOYEE The status of a faculty member earning credit toward retention, tenure or promotion.

PROMOTION The advancement of a probationary or tenured faculty unit employee who holds academic or librarian rank to a higher academic or librarian rank, or advancement of a Counselor Faculty Unit Employee to a higher classification. In-step advancements within an academic or librarian rank are not promotions.

REBUTTAL STATEMENT A written statement intended to present opposing or clarifying evidence or arguments to recommendations resulting from a performance review.

RECOMMENDATION The expression of the wish of a reviewing entity at any level of review as to the action being considered; an explicit indication of an action said to be justified on the basis of relevant criteria and evidence.

RETENTION Authorization to continue in probationary status for another year.

RETREAT RIGHT The right granted to a person holding an academic-administrative assignment, which authorizes that person to return to a teaching faculty position. Such rights are granted within the criteria and standards of these RTP Policies and Procedures.

REVIEW CYCLE The annual review cycle is considered begun on the date of the conclusion of the RTP Training session as scheduled in the RTP Timeline, and ends when the President's decision is received by the involved candidate.

REVIEWING ENTITIES All groups participating in the review process, including members of Department RTP Committees, Department Chairs, the Senate RTP Committee, the Academic Dean or other appropriate administrator, and the VPAA.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

REVIEW PERIOD For probationary faculty, the review period is the probationary period. For faculty seeking promotion, the review period is the period of time at the current rank. RTP guidelines should remain constant during a candidate's review period.

RTP Retention, Tenure, and Promotion.

SENATE RTP COMMITTEE Three tenured faculty at the rank of Full Professor or equivalent having review authority for Department RTP Guidelines and all retention, tenure and promotion decisions.

TENURE The right to continued permanent employment at the campus as a faculty unit employee except when such employment is voluntarily terminated or is terminated by the Employer pursuant to the Memorandum of Understanding (MOU) or law.

TERMINAL QUALIFICATION For non-licensed faculty, an earned doctorate within an appropriate discipline; for licensed faculty, a masters degree within an appropriate discipline plus an appropriate professional license, for Marine Vocational Instructors, a Bachelor's degree plus appropriate license or certification. Appropriate licenses and certificates are established by the individual academic departments.

WORKING PERSONNEL ACTION FILE (WPAF) The collection of data, reports, and recommendations for a given cycle, which moves and grows from level to level toward a final decision in an evaluation or review. The WPAF is that portion of the Personnel Action File that is used during the performance review of a faculty unit employee. At the conclusion of a cycle it is dismantled, with various parts returned to the faculty member or made part of the Personnel Action File.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX A

WPAF CONTROL LOG

CANDIDATE'S NAME _____

WPAF RECEIVED _____
Custodian's Signature/Date

REVEIWER'S NAME & SIGNATURE	PURPOSE OF REVIEW	DATE CHECKED OUT/ CUSTODIAN'S INITIALS	DATE CHECKED IN/ CUSTODIAN'S INITIALS

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX B

WPAF ACCESS LOG

NAME OF REVEIWER	PURPOSE OF REVIEW	DATE CHECKED OUT	DATE CHECKED IN

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX C

**ASSESSMENT FORM FOR EVALUATION OF
RETENTION, TENURE, AND PROMOTION STANDARDS AND CRITERIA
FOR INDIVIDUAL CANDIDATES**

(Note: This form is designed to assist the members of an RTP Committee during their evaluation and assessment of requests for retention, tenure, and promotion consideration from individual candidates. This form is NOT to be retained in any permanent file or archive after the RTP Committee has completed its review of a candidate.)

Evaluation and Assessment Prompt:

The candidate has clearly and convincingly exceeded the threshold of professional competence to be satisfied in the performance category indicated.

	STRONGLY DISAGREE	DISAGREE	AGREE	STRONGLY AGREE
--	------------------------------	-----------------	--------------	---------------------------

Effectiveness in Academic Assignment

a. Teaching Effectiveness	_____	_____	_____	_____
b. Service to students, etc.	_____	_____	_____	_____
c. Scholarly, Creative, Professional Achievement	_____	_____	_____	_____

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX D

RECOMMENDATION BALLOT

for

CANDIDATE

PRESENTLY SERVING IN _____th YEAR OF PROBATION (OR TENURE)

SHOULD THE CANDIDATE BE GRANTED:

	YES	NO
___ RETENTION?	[]	[]
___ PROMOTION?	[]	[]
___ TENURE?	[]	[]

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX E

CLASSROOM VISIT REPORT

Faculty Member being observed: _____ Date: _____

Course: _____ Hour: _____

Class Size: _____ Number Present: _____ Visitor: _____

Note to Evaluator: In addition to this form, evaluators are required to provide a detailed written evaluation, with particular emphasis on areas listed as "excellent" or "improvement needed".

Area	Excellent	Good	Satisfactory	Improvement Needed
PREPARATION				
Syllabus and Course Outline				
Overall learning objectives clear				
Lesson Plan				
Handouts				
Use of classroom technology				
PRESENTATION				
Today's learning objectives clear				
Use of applications and examples				
Clarity of presentation				
Student involvement				
Enthusiasm/vigor				
Voice				
Pace				
Use of board, visuals				
Patience and persistence				
RECEPTION				
Students' attention				
Awareness of student reception				
Handling of student questions				
Providing answers to questions				
OTHER (Evaluators discretion)				

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX F

**GUIDELINES FOR PERFORMANCE REVIEW
SUMMARY AND RECOMMENDATION**

1. The Chair of the Department RTP Committee is responsible for producing the written performance review summary and recommendation. The members of the committee shall provide input and review the document provided by the Chair. All members shall sign the review summary and recommendation document.
2. The written review summary portion of the document shall include evaluative statements, which provide an observable and valid relationship between the criteria and the faculty member's performance in each of the prescribed categories.
3. These statements should clearly identify areas in which the candidate has met or exceeded the prescribed standards as well as areas in which the candidate may need improvement.
4. The review summary and recommendation document shall not contain any reference to corrective action.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX G

TRAINING PROCEDURES FOR RTP COMMITTEE MEMBERS

The Academic Senate Chair, in co-ordination with the Vice President, Academic Affairs and the President of CFA/CMA, shall ensure that all members of the Senate and Department RTP Committees have received training in the RTP procedures as set forth in this appendix.

1. Members of Senate and Department RTP Committees are required to first read the approved RTP Policy in its entirety.
2. The current Bargaining Agreement shall be reviewed for possible conflicts with the approved CMA RTP policy and procedures document. The President of CFA/CMA shall ensure that all such conflicts are resolved prior to commencement of the RTP process.
3. When all Department RTP Committee members have verified that they read the RTP Policy document, the Department Chair shall hold a meeting with the Committee members.
 - (a). The Department Chair shall ensure that each member of the Department RTP Committee is familiar with the provisions of the RTP policy as concern confidentiality of information.
 - (b). The Department Chair shall stress to each member of the Department RTP Committee that each candidate must be judged on the information included in the WPAF, and that it is the responsibility of the Department RTP Committee to ensure that all required documentation is included in each candidate's WPAF.
 - (c). The Department Chair shall ensure that each Department RTP Committee member understands that each candidate deserves a fair and impartial review, and that committee members must take into account the diversity of teaching assignments and maintain open-mindedness.
 - (d). The Department Chair shall ensure that each committee member understands the use of the appendix forms to help quantify the candidate's WPAF.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

4. When all Senate RTP Committee members have verified that they read the RTP Policy document, the Senate RTP Committee Chair shall hold a meeting with the Committee members.
 - (a). The Chair shall ensure that each member of the Senate RTP Committee is familiar with the provisions of the RTP policy as concern confidentiality of information.
 - (b). The Chair shall stress to each member of the Senate RTP Committee that each candidate must be judged on the information included in the WPAF, and that it is the responsibility of the Senate RTP Committee to ensure that all required documentation is included in each candidate's WPAF.
 - (c). The Chair shall ensure that each Senate RTP Committee member understands that each candidate deserves a fair and impartial review, and that committee members must take into account the diversity of teaching assignments and maintain open-mindedness, especially for candidates outside their discipline.
 - (d). The Chair shall ensure that each committee member understands the use of the appendix forms to help quantify the candidate's WPAF.

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX H

PERIODIC EVALUATION FACULTY ACTIVITY REPORT

Please provide the following information regarding your activities during the period since your last performance review:

1. Effectiveness in Teaching

Teaching Load: (courses, sections, enrollments)

Student Evaluations: (summary of evaluations since last Performance Review)

Pedagogical Growth and Development Efforts:

Other:

2. Service to Students and the Academy

Service to Students:

Service to the Department:

Service to the Academy:

Service to the Profession:

Other:

3. Scholarly, Creative & Professional Achievement

Scholarly Activities:

Creative Activities:

Professional Activities:

Other:

I attest that the above is accurate and true, to the best of my knowledge.

Signed: _____

Date: _____

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX I

PERIODIC EVALUATION FORM

Faculty Name:
Department:
Probationary Year:

Department RTP Committee Evaluation: (Please comment briefly on how the faculty member is progressing toward their next Performance Review)

Signature/Date

Signature/Date

Signature/Date

Department Chair Evaluation: (Please comment briefly on how the faculty member is progressing toward their next Performance Review)

Signature/Date

Academic Dean Evaluation: (Please comment briefly on how the candidate is progressing toward their next Performance Review)

Signature/Date

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

APPENDIX J

**GENERAL RTP GUIDELINES FOR REVIEW
IN LIEU OF DEPARTMENTAL GUIDELINES**

A. Effectiveness in Teaching

A faculty member's teaching effectiveness may be demonstrated by documentary evidence of the ability to select appropriate course materials, to present course content effectively, and to make significant demands upon the intelligence and industry of students. Such documentary evidence shall consist of impartially administered course and instructor evaluations completed by students. Documentary evidence shall also include reports of classroom visits by other faculty members, samples of student work evaluated by the candidate, course syllabi, examinations, and supplementary materials. Additional evidence of teaching effectiveness may include, but is not limited to:

1. Use of creative and/or innovative techniques to adapt course content to reflect changes and progress in the subject matter within an area
2. Initiation of and participation in student-oriented seminars, colloquia, workshops, exhibitions, design projects, dramatic performances, debates, forums, and the like
3. The development and presentation of new courses and activities as demonstrated by:
 - a. Specimen course outlines
 - b. Preliminary investigations into necessary library sources and equipment
 - c. Acceptance of the new courses or activities by faculty colleagues, students, or the Curriculum Committee
4. Advising and counseling effectiveness
5. Student achievement and the recognition thereof as demonstrated by awards, fellowships, publications, exhibits, performances, vocational employment or entry into professional training or graduate programs, when the student achievement derives, in part, from the faculty's guidance and instructional effectiveness
6. Supervision of undergraduate students engaged in independent study as evidenced by program reports

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

B. Service to Students, the Academy, and the Greater Academic Community

Faculty members shall also be evaluated based upon their record of service on behalf of their students, their department, the Academy, and the greater academic community, at large. Such service may include, but is not limited to:

1. Career and academic student counseling, advising and/or mentoring
2. Mentoring professional colleagues, related to their effectiveness within their academic or administrative assignments
3. Administrative activities such as scheduling, program coordination or other special assignments
4. Participation in the governance of the Institution (at the Department, Academy or system-wide level)
5. Service as a department chair
6. Service on committees, at the Department or Academy level
7. Operational activities (such mini-cruise)
8. Service to the community, state, nation, or international community in a capacity related to the faculty member's discipline and requiring the application of the faculty member's professional knowledge or skills, including, but not limited to:
 - a. Service on editorial boards or as editor of a professional journal or newsletter
 - b. Service on system-wide committees, task forces or inter-segmental associations or groups
9. Activities that enhance the Academy's ability to serve the needs of an ethnically diverse and non-traditional student body

C. Scholarly, Creative and/or Professional Achievement

Scholarly, creative, and/or professional achievement within a faculty member's discipline or professional community is required for a member of the faculty to receive a positive recommendation of retention, tenure, or promotion. The nature of the expected contributions will vary depending upon a faculty member's discipline, professional interests, and overall academic assignment. Scholarly, creative and/or professional achievement must be documented if it is to be

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

assessed properly and used in faculty personnel recommendations.

1. Scholarly Achievement:

Scholarly achievement may include, but is not limited to the following:

- a. Publication in professional journals or in the form of works published by publishing houses of repute, together with any pertinent reviews of published works
- b. Contributions in the form of critiques such as reviews for national periodicals, newspapers, or other communication media
- c. Contributions at professional conferences, seminars, workshops, institutes, or special programs
- d. An active program of scholarly or creative work in progress, appropriate to the discipline
- e. Creation of software, appropriate to the discipline
- f. Development of curricula or curricular materials for one's disciplinary field, such developments evidencing genuine scholarship
- g. Scholarly achievement in the course of supervising student research, such achievement reflective of genuine scholarship
- h. Receipt of awards, prizes, fellowships, or grants related to one's academic role
- i. Presentation of public lectures within a candidate's discipline

2. Creative Achievement

Creative achievement may include, but is not limited to the following:

- a. Creation of an original work of fiction, drama, or poetry
- b. Performances in the performing arts
- c. Exhibitions in the graphic arts

**FACULTY SENATE POLICY NO. 526
RETENTION, TENURE & PROMOTION**

- d. Patented inventions or discoveries; within one's discipline

3. Professional Achievement

Professional achievement may include, but is not limited to the following:

- a. Selection for leadership rolls on behalf of professional associations, meetings, panels, activities or workshops
- b. Acquisition of documented expertise in either the technical or academic aspects of a faculty member's discipline (licenses, certificates, college credit, etc.)
- c. Consulting within areas tied to one's professional discipline
- d. Selection for service on editorial boards or as editor of a professional journal or newsletter
- e. Selection as reviewer for publishers or other agencies or associations
- f. Receipt of honors and awards