



University Policy Statement

UPS 210.000
TENURE AND PROMOTION
PERSONNEL PROCEDURES

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I. DEFINITIONS

A. SCOPE

1. This document establishes the procedures that govern retention, promotion, and granting of tenure (RTP) for probationary faculty, and the review and promotion of tenured faculty.
2. The procedures in this document apply to teaching, library, and counselor faculty. Appropriate evaluative criteria for each group of faculty are specified in UPS 210.002.
3. The procedures of this document are subject to Board of Trustees policies; the California Administrative Code, Title 5; California Education Code; the Unit 3 Collective Bargaining Agreement (CBA); and other applicable State and Federal laws.
4. Throughout this document, the word *shall* indicates mandatory action; the word *may* indicates permissive action.

B. APPOINTMENT

Appointments of faculty are of two kinds:

1. Probationary Status

A probationary faculty member is normally given a two-year appointment.

Tenure-track faculty members are considered probationary faculty until they are awarded tenure or terminated. Probationary faculty members may be terminated for performance by decision of the President at the end of their second probationary year without further employment at the University. Faculty members who receive a termination notice during their third to sixth probationary year shall have a final, additional year of employment, called a terminal year. The maximum probationary period is six years with either tenure or a final terminal year awarded before the end of the sixth year.

2. Tenured

Tenured faculty members are subject to Full Performance Reviews when they apply for promotion to Professor.

C. RANKS

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

D. SERVICE CREDIT

1. When prior service credit has been granted in accordance with UPS 210.001 Recruitment of Tenure-Track Faculty, Full Performance Reviews for retention, tenure, and promotion shall include documentation of accomplishments during those specific years for which the service credit was granted.
2. In evaluations for retention, tenure, and promotion, accomplishments during service credit years shall be weighed in reasonable proportion to those achieved during probationary years at CSUF. However, accomplishments during service credit years shall never be sufficient in and of themselves for the granting of promotion and/or tenure.

E. SERVICE SALARY INCREASES (SSI)

A Service Salary Increase (SSI) refers to upward movement on the salary schedule for the rank or classification. An SSI is awarded on the basis of eligibility (as defined in the Collective Bargaining Agreement or CBA) and satisfactory performance in all areas of performance as specified in approved Department Personnel Standards, or, in the absence of such standards, UPS 210.002. SSIs are awarded by

a Dean or equivalent (Librarian for library faculty; Associate Vice President for Student Affairs for counselor faculty) during those fiscal years in which the CBA has specifically provided for the awarding of SSIs. The Dean (or equivalent) must consult with the Department Personnel Committee (DPC) and Department Chair before a decision is made not to award an SSI.

F. TENURE

1. Tenure establishes the right to continued permanent employment except when such employment is voluntarily terminated or is terminated by the University pursuant to the CBA or law.
2. Faculty members shall normally be considered for tenure during the sixth probationary year, regardless of the rank at which they were appointed.
3. Probationary faculty members may be granted tenure at any time after their first year of appointment.
4. A written request for tenure that occurs in any year except the sixth probationary year shall be considered a request for early tenure. Probationary faculty who do not receive early tenure may be reappointed to probationary status.
5. The President may award tenure to any individual, including one whose appointment and assignment is in an administrative position, at the time of appointment. Appointments with tenure shall be awarded only after an evaluation and recommendation from the appropriate DPC, Department Chair, Dean or equivalent; Faculty Personnel Committee (FPC), and appropriate Vice President.

G. PROMOTION TO A HIGHER RANK

1. A probationary faculty member shall normally be considered for promotion at the same time as the tenure decision. Under exceptional circumstances, a faculty member may be considered for early promotion after completing at least one year of service in rank at CSUF.

Promotion of a tenured faculty member to Professor shall normally be considered during their fifth year in rank, with promotion being effective at the beginning of the sixth year. Promotion consideration prior to having completed four years in rank shall be defined as "early." A tenured faculty member may request that they not be considered for promotion during their fifth year in rank by submitting a written request to Faculty Affairs and Records (FAR) no later than the end of the second week of classes of the fall semester. After requesting that their file not be considered, tenured faculty may request promotion consideration in a future academic year by submitting a written request to Faculty Affairs and Records no later than the end of the second week of classes of the fall semester.

H. EARLY PROMOTION AND/OR EARLY TENURE

In order to be considered for early promotion or early tenure, the eligible faculty member shall apply in writing to Faculty Affairs and Records no later than the end of the second week of classes of the fall semester.

I. PERSONNEL ACTION FILE

The term Personnel Action File (PAF) refers to the one official personnel file containing employment information and information that may be relevant to personnel recommendations or personnel actions regarding probationary and tenured faculty unit employees. The PAF is maintained in the Office of Faculty Affairs and Records. Any material identified by source may be placed in the PAF; identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. All information to be inserted in the PAF is subject to notification of the faculty member.

J. WORKING PERSONNEL ACTION FILE (WPAF): PORTFOLIO AND REVIEW FILE

The Working Personnel Action File (WPAF) is that portion of the PAF used during the time of periodic evaluation (Abbreviated Review) or performance review (Full Performance Review). The WPAF is the file that is specifically generated for use in a given evaluation cycle. The WPAF shall include all required forms and documents, all information specifically provided by the employee being evaluated, and information provided by faculty unit employees, students, and academic administrators. It shall also

include all faculty and administrative level evaluations and recommendations from the current cycle, and all rebuttal statements and responses submitted. During the time of evaluation, the WPAF shall be incorporated by reference into the PAF.

The Portfolio and Its Appendices

Probationary faculty subject to Full Performance Review and tenured faculty applying for promotion shall prepare a Portfolio with Appendices. The Portfolio and Appendices are the functional equivalent of the WPAF and the basis for RTP evaluations, recommendations, and actions. The Portfolio summarizes the evidence for any RTP decision in the three areas of evaluation: Teaching, Scholarly and Creative Accomplishments, and Service. The Appendices to the Portfolio provide the documentation for the materials referred to in the Portfolio. A detailed description of the Portfolio and Appendices is provided in Section II.B.

The Review File

Probationary faculty subject to Abbreviated Review shall prepare a Review File, which is the functional equivalent of the WPAF. A detailed description of the Review File is provided in Section II.C.

K. TIMING OF REVIEW CYCLES AND TYPES OF RECOMMENDATIONS

In order to make workloads feasible, reviews of faculty members shall take place at different periods. The review cycles shall be specified annually by the President, in consultation with the Faculty Personnel Committee.

Full Performance Reviews and Abbreviated Reviews

Probationary faculty members are reviewed every year.

Full Performance Reviews: probationary faculty members shall be subject to Full Performance Reviews during their second, fourth, and sixth years of service before they can be re-appointed to a third or fifth probationary year or granted tenure. For such Full Performance Reviews, the faculty member must prepare a Portfolio and Appendices covering the entire period of service. The outcome of any Full Performance Review for probationary faculty can be retention, promotion, tenure, or termination. For tenured faculty, the outcome can be the awarding or denial of promotion. A Full Performance Review may be requested for any probationary faculty member at any level of review for probationary years three or five when, typically, only an Abbreviated Review would be required. If the President agrees and requires a Full Performance Review for a faculty member in probationary year three or year five, then the rules governing Full Performance Reviews apply.

Abbreviated Reviews: Faculty members with satisfactory evaluations in their full performance reviews during year 2 or year 4 would, in the following year (year 3 or year 5, respectively), submit a "Review File." The Review File comprises three items: (1) an updated curriculum vitae, (2) statistical summaries of Student Opinion Questionnaires, and (3) grade distributions for the period since the last full performance review. When subject to an abbreviated or periodic review, the faculty member shall submit the Review File by October 1, review of which shall be completed by June 1. The DPC, the Department Chair, and the Dean (or equivalent) shall provide a written statement with rationale. At a minimum, the signed rationale shall indicate that the file has been reviewed, evaluated, and the faculty member is making progress towards tenure according to the Department Personnel Standards, or, in the absence of such standards, UPS 210.002. The faculty member shall receive a copy of the signed written statement, and a copy shall be forwarded to Faculty Affairs and Records for placement in the faculty member's PAF. The faculty member, the Department Chair, or the Dean (or equivalent) may request a consultation meeting to discuss the faculty member's progress.

1. **First-Year Probationary Faculty**

During the first year of employment in a tenure-track position, each faculty member shall prepare a Prospectus (see III.A.), but is not otherwise reviewed, whether or not he or she has received service credit.

2. **Second-Year Probationary Faculty**

During the second year of employment in a tenure-track position, each faculty member shall submit a Portfolio and Appendices, whether or not service credit was received. These shall be submitted by September 15, and shall be subjected to a Full Performance Review, to be completed by February 15, at which time the faculty member shall be notified of the outcome.

Possible outcomes are:

- a. a third probationary year or termination at the end of the second year;
- b. a fourth probationary year or a fourth terminal year if one year of service credit was granted;
- c. a fifth probationary year or a fifth terminal year if two years of service credit were granted.

3. **Third-Year Probationary Faculty**

Each third-year probationary faculty member is typically subject to an Abbreviated Review by the Department Personnel Committee, the Department Chair, and the appropriate administrator. An Abbreviated Review can only result in an additional probationary year.

In cases where a third-year probationary faculty member is required to complete a Full Performance Review by the terms of the reappointment letter, then the possible outcomes can be a fourth probationary year or a terminal year.

A faculty member who requests to be considered for early promotion or tenure shall submit a Portfolio and Appendices and shall be subject to a Full Performance Review.

4. **Fourth-Year Probationary Faculty**

Each fourth-year probationary faculty member shall complete a Portfolio and Appendices by October 1, a Full Performance Review of which shall be completed by June 1. Possible outcomes are a fifth probationary year or a terminal year. A fourth-year probationary faculty member may request early promotion.

5. **Fifth-Year Probationary Faculty**

Each fifth-year probationary faculty member is typically subject to an Abbreviated Review by the Department Personnel Committee, the Department Chair, and the Dean (or equivalent). An Abbreviated Review can only result in an additional probationary year.

In cases where a fifth-year probationary faculty member is required to complete a Full Performance Review by the terms of the reappointment letter, then the possible outcomes can be a sixth probationary year or a terminal year.

A faculty member who requests to be considered for early promotion or tenure shall submit a Portfolio and Appendices and shall be subject to a Full Performance Review.

6. **Sixth-Year Probationary Faculty**

Each sixth-year probationary faculty member shall submit a Portfolio and Appendices by October 1, which shall be subject to a Full Performance Review, to be completed by June 1. Possible outcomes: tenure effective the following year or a terminal year.

7. **Promotion to Professor**

After a minimum of four years of service as an Associate Professor, a tenured faculty member shall normally be evaluated for promotion to Professor. If the faculty member is being evaluated for

promotion, they shall submit a Portfolio and Appendices by October 1, which shall be subject to a Full Performance Review to be completed by June 15.

8. Faculty Applying for Early Promotion

A faculty member applying for early promotion shall submit a written request as noted in Section I.I. A tenured faculty member applying for promotion to Professor shall submit a Portfolio by October 1, a Full Performance Review of which shall be completed by June 15. Second, fourth, and sixth year probationary faculty shall submit Portfolios and Appendices as noted in the retention, tenure, review timetable.

9. Faculty on Professional, Personal, or Medical Leave

Faculty members may be granted a leave of absence (paid or unpaid) for a variety of reasons (i.e., professional, sick, parental, or other purposes of a personal nature). The CBA indicates the procedures to request an extension of the probationary period and the conditions under which an extension shall be granted and under which an extension may be considered when a faculty member will be on a leave of absence. The type of leave (paid or unpaid) and time-base (full or partial) may impact service credit and, normally, faculty on personal leave do not accrue service credit toward probation, sabbatical, or difference-in-pay leaves, service salary increase eligibility or seniority. Faculty should consult with their Department Chair, Dean, Faculty Affairs and Records, and Human Resources, Diversity, and Inclusion when considering or having been granted a leave of absence.

L. REVIEW PROCESS

Probationary faculty shall be reviewed for retention, promotion, and/or tenure. Tenured faculty shall be reviewed for promotion.

1. Full Performance Reviews take place at the following levels:
 - a. the Department Personnel Committee (DPC),
 - b. the Department Chair,
 - c. the Division Chair [if any],
 - d. the Dean or equivalent,
 - e. the Faculty Personnel Committee (FPC) [as appropriate],
 - f. the appropriate Vice President, and
 - g. the President or designee.
2. Abbreviated Reviews take place at the level of the DPC, the Department Chair, and the Dean (or equivalent).
3. Department Personnel Committee members and Department Chairs shall access materials for review (e.g., Portfolios and Appendices) using the electronic portfolio system. Faculty Personnel Committee members shall review materials using the same electronic portfolio system. If the materials are available via paper copy only, the DPC and Department Chair shall review the materials in the department office and Faculty Personnel Committee members shall review materials in the Office of Faculty Affairs and Records. The various stages of the review process take place during specified periods, as provided for in Section I.K. of this policy.
4. Colleges or divisions with programs not organized as departments, but having teaching faculty to be evaluated for retention, tenure and promotion, shall follow the procedures outlined for departments. Wherever this document calls for a Department Personnel Committee, a Division Personnel Committee shall act. In division structures where there are faculty chairs of programs, the faculty of the division may elect to have the faculty chairs evaluate and recommend in the same manner as prescribed for the Department Chair elsewhere in this document. The Division Chair in any case shall perform in an evaluation and recommendation role. Such action by the Division Chair shall take

place immediately following final action by the Division Personnel Committee. The timetable for Department Chair action shall apply for the final action by the Division Chair.

M. EVALUATIONS AND RECOMMENDATIONS

At the DPC and chair levels of review, evaluations are distinguished from recommendations. An evaluation is a written assessment of a faculty member's performance. A recommendation is a position on the personnel action for which the faculty member is being considered. The two shall be kept separate. An evaluation shall not include a recommendation for action. A recommendation shall state in writing the reasons for the recommendation. A copy of the recommendation and the evaluation shall be provided to the faculty member at each review level. At the chair level of review, the faculty member will receive the chair's evaluation prior to receiving the chair's recommendation (see IV.D).

N. RESPONSIBILITIES OF FACULTY MEMBERS

Faculty Affairs and Records shall provide each probationary faculty member with a copy of UPS 210.000 at the time of initial appointment to probationary status.

Faculty members should familiarize themselves with the format for preparation of the Portfolio, including the evidence that should be present in the body of the Portfolio as well as the Appendices. They should also familiarize themselves with approved Departmental Personnel Standards, if available, and the criteria that are used in evaluating the evidence. Approved Departmental Personnel Standards further specify types of evidence and criteria of judgment. Faculty members are encouraged to seek the aid of their Department Chair or the chair of the DPC in understanding the University's and department's personnel policies and the preparation of the Portfolio and Appendices.

O. FACULTY RIGHT TO REBUTTAL OR RESPONSE

At all levels of review, before evaluations and/or recommendations are forwarded to a subsequent level of review, faculty members shall be given a copy of these documents. The faculty member may submit a rebuttal statement or response in writing and/or request, in writing, a meeting to discuss the evaluation and/or recommendation within ten (10) days following receipt of the evaluation and/or recommendation. A copy of the response or rebuttal statement shall accompany the portfolio and also be sent to all previous levels of review. This section shall not require that evaluation timelines be extended.

II. DOCUMENTATION SUBMITTED BY THE FACULTY MEMBER

A. PROSPECTUS FOR FIRST-YEAR PROBATIONARY FACULTY

During the first year of employment in a tenure-track position, each probationary faculty member shall write a **Prospectus** that includes narratives for teaching, scholarly and creative activities, and service, not to 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 approved Department Personnel Standards, or, in the absence of such standards, UPS 210.002 for retention, tenure, and promotion. The Prospectus shall be due in the Department Chair's office by February 28. The Prospectus will have no formal approval process, but will be reviewed by the Department/Division Chair and the Dean (or equivalent) who will each provide written feedback on a timetable to be determined by the colleges, but prior to May 1. The Prospectus shall be included in the faculty member's Portfolio for all Full Performance Reviews.

B. PORTFOLIO AND APPENDICES FOR FULL PERFORMANCE REVIEWS

1. The Portfolio, including its Appendices, is the basis for RTP evaluations, recommendations, and actions. The Portfolio and Appendices shall be submitted in hard copy and/or electronic format as defined by current Faculty Affairs and Records procedures.

For Probationary Faculty: The Portfolio and its Appendices shall be cumulative and representative of performance, covering the period from the beginning of probationary service to the last day before the due date of the file to the Chair (September 15 for the second-year probationary review, and October 1

for all other full performance reviews). In cases where prior service credit was granted, that time interval shall also be documented in the Portfolio and its Appendices.

For Tenured Faculty: The Portfolio and its Appendices shall be cumulative and representative of performance, covering the period since the submission of the file for promotion to Associate Professor to the last day before the due date of the file to the Chair (October 1).

2. It is the responsibility of the faculty member submitting the Portfolio and Appendices to ensure their completeness.
3. In the Portfolio and Appendices, faculty members shall describe and document significant accomplishments in the areas of teaching, scholarly and creative activities, and service for the period under review. Quality over quantity should be emphasized; a more limited number of appropriately documented high-quality accomplishments is generally more compelling than a compendium of all activities. Note, however, that all accomplishments should be listed in the Portfolio Vita (described in Section II.B.4.e).

A clear connection between the narratives, the Table of Contents of the Appendix, the Portfolio, and the documents or artifacts in the Appendix shall be established.

When submitted in hard copy, the Portfolio and accompanying Appendices shall normally be prepared using one small to medium-sized binder for each section – i.e., one binder for the main Portfolio and one for each section of the Appendix – Teaching Materials, Student Opinion Questionnaire forms, Scholarly and Creativity Activity, and Services. All binders should fit into one banker's box (approximately 10x12x16) typically provided by the college. Additional space may be required to house raw Student Opinion Questionnaires forms for faculty who have taught numerous courses. Materials submitted electronically in accordance with current Faculty Affairs and Records procedures shall not be limited in quantity.

4. The Portfolio shall be organized as follows:
 - a. Table of Contents of the Portfolio (Section 1.0);
 - b. Table of Contents of the Appendix to the Portfolio (Section 2.0);
 - c. Approved Departmental Personnel Standards (Section 3.0), or UPS 210.000 if there are no approved Departmental Personnel Standards;
 - d. Prospectus (Section 3.10) prepared in year one, not to exceed 500 words for each area of the three areas of review (Teaching, Scholarly and Creative Activity, and Service);
 - e. Portfolio Vita (Section 4.0) that covers the faculty member's entire academic and professional employment history and that lists accomplishments in all three areas of review (Teaching, Scholarly and Creative Activity, and Service). Peer-reviewed activities shall be listed separately from non-peer-reviewed activities. Activities should be listed in reverse chronological order;
 - f. Narrative Summary of Teaching Performance (Section 5.0): a concise (1000 words maximum) self-assessment of significant accomplishments in relation to the applicable personnel standards. This narrative shall clearly indicate where in the Portfolios or Appendices supporting documentation can be found;
 - g. List of Classes Taught (Section 5.10), which shows the session, course number, course title, and weighted teaching units (WTU) for all classes taught during the period under review.
 - h. A blank copy of the Student Opinion Questionnaire form(s) (Section 5.20) used by the department in evaluating student responses to instruction;
 - i. Statistical summaries of Student Opinion Questionnaires (Section 5.30) for each class taught for which students received credit during the period of review showing responses to all multiple-choice questions on departmental Student Opinion Questionnaire forms;
 - j. Statistical summaries of grade distributions (Section 5.40) for each class that the faculty member taught during the period under review for which students received University credit, as well as

any material which may help interpret these statistical summaries including department grade point averages distributed each semester by the Office of Institutional Research and Analytical Studies;

- k. Narrative Summary of Scholarly and Creative Activities (Section 6.0): a concise (1000 words maximum) self-assessment of significant accomplishments in relation to the applicable personnel standards. This narrative shall clearly indicate where in the Appendices supporting documentation can be found; and
 - l. Narrative Summary of Professional, University, and Community Service Activities (Section 7.0): a concise (1000 words maximum) self-assessment of significant accomplishments in relation to the applicable personnel standards. This narrative shall clearly indicate where in the Appendices supporting documentation can be found.
5. The Appendices to the Portfolio shall only include the documentation supporting the accomplishments referred to in the Narrative Summaries in the Portfolio. The Appendices shall only include documentation of significant activities, emphasizing quality over quantity.

Copies of *all* significant publications or creative activities for the period of review shall be included in the Appendices.

Documentation of Teaching and Service Activities should be limited to significant activities each year.

a. Appendix I: Teaching

1. Table of Contents of Appendix I.
2. Student Opinion Questionnaire: Raw data for each course taught, arranged conveniently for reference by reviewers.
3. Sample syllabi and coursework: Ordinarily representative samples are sufficient and a maximum of 10 over a five-year review period is sufficient. It is not necessary to include every syllabus or every exam or hand-out, especially for multiple sections of the same course taught over the period of review.
4. Other relevant information for activities such as those listed in II. B. not already included.

b. Appendix II: Scholarly and Creative Activities

1. Table of Contents of Appendix II.
2. For published, exhibited, or performed works, a copy of each significant item in the period under review shall be included.
3. For published, exhibited, or performed works, evidence of peer-review or lack of peer-review shall be provided for each item. Works that are not peer-reviewed shall be presented separately from those that are reviewed. Additionally, evidence of the quality of the venue shall be provided, e.g., acceptance rates, impact factor, or other measures of quality.
4. For work that has been accepted but not yet published, exhibited, or performed, a letter of acceptance, evidence of peer-review, and evidence of quality of the publishing or performance venue shall be provided.
5. For unpublished works and on-going activities, include any significant documentation that might assist reviewers in assessing quality.
6. For co-authored activities, documentation of the unique and specific contribution of each author to the work shall be included. FAR has a co-author disclosure form that may be used.
7. Other relevant documentation for any other activities referenced in the self-assessment narrative.

c. Appendix III: Professional, University, and Community Service Activities

1. Table of Contents of Appendix III.

2. For each significant activity, describe (and where possible document) level of participation and responsibilities. Do not include long documents prepared by committees.
3. Other relevant documentation for activities referenced in the self-assessment narrative.
6. Once the Portfolio and Appendices are declared complete by the Department Chair with respect to documentation of performance for the purpose of evaluation, material may be added only as follows:
 - a. if required documents are missing from the Portfolio or Appendices, they shall be provided in a timely manner and placed in the Portfolio by the Office of Faculty Affairs and Records; and
 - b. if material that documents a substantial change in the status of an activity referenced in one of the narrative summaries of the Portfolio becomes available after the Portfolio is declared complete, this material may be added with permission from the Faculty Personnel Committee. Before consideration at subsequent levels of review, material added to the Portfolio and Appendices shall be returned for review, evaluation, and comment by all previous levels.
7. The Office of Faculty Affairs and Records shall provide all evaluations, recommendations, responses and rebuttals (if any), and decisions for all previous Full Performance Reviews of probationary faculty.
8. Evidence submitted for promotion to Associate Professor shall not be considered for promotion to Professor.

C. ABBREVIATED “REVIEW FILES” FOR THIRD- AND FIFTH-YEAR PROBATIONARY FACULTY

Faculty members with satisfactory evaluations in their full performance review during year two (2) or year four (4) would, in the following year (year 3 or year 5, respectively), submit a “Review File.” The Review File comprises only three items: (1) an updated curriculum vitae, (2) statistical summaries of student opinion questionnaires, and (3) grade distributions for the period since the last full performance review. When subject to a periodic review, the faculty member shall submit the Review File by October 1, review of which shall be completed by June 1. The DPC, the Department Chair, and the appropriate administrator shall provide a signed statement indicating that the Review File was received, reviewed, and evaluated. The faculty member shall receive a copy of the signed statement, and a copy shall be forwarded to Faculty Affairs and Records for placement in the faculty member's PAF. The faculty member, the Department Chair, or the appropriate administrator may request a consultation meeting to discuss the faculty member's progress.

III. PROCEDURES FOR PERSONNEL EVALUATIONS, RECOMMENDATIONS, AND DECISIONS

A. GENERAL PRINCIPLES

1. At all levels of review, those responsible for evaluating faculty and recommending actions shall evaluate each Portfolio with clear and specific reference to the applicable personnel standards. The applicable personnel standards shall be the approved Departmental Personnel Standards, or, in the absence of such standards, UPS 210.002. The recommendations, and final decision by the President, shall be based on Departmental Personnel Standards, or, in the absence of such standards, UPS 210.002 and shall be supported by written evaluations.
2. Retention, tenure, and promotion of a faculty member shall always be determined on the basis of competence and professional performance and not on the basis of beliefs, or any basis that constitutes an infringement of academic freedom. Personal matters are relevant to retention, tenure, or promotion only when they clearly affect performance as a faculty member.
3. The Faculty Personnel Committee is authorized to interpret both this document and Departmental Personnel Standards in cases of dispute.
4. The possibility that lack of funds or lack of work may make a faculty position unavailable shall never be considered in applying the procedures described in this document. Layoff is entirely separate from retention, promotion, and tenure decisions.

5. The faculty member shall have access to the Portfolio at all reasonable times except when the Portfolio is actually being reviewed at some level. Formal written requests for photocopies of any material in the Portfolio or Personnel Action File (PAF) may be made at any time by the faculty member and shall be directed to Faculty Affairs and Records, which shall provide the copies.
6. Service in the personnel evaluation process is part of the normal and reasonable duties of tenured faculty. Lobbying or harassing of such persons in the performance of these duties constitutes unprofessional conduct.

B. CONFIDENTIALITY

1. California Law (Civil Code, Section 1798) provides that no personal records of state employees may be disclosed to others except under certain specified conditions. It is the explicit object of this legislation to protect the privacy of employees. Anyone participating knowingly in unauthorized disclosures of information from personnel records is subject to both civil and criminal penalties. The fact that an employee has himself or herself disclosed an item or information to others is not listed by the State as one of the specific conditions justifying the release of the file to others.
2. Every effort shall be made by everyone connected with this personnel process to safeguard the contents of Portfolios and access to them. The Department Chair or the Dean, when the Department Chair is ineligible to participate in the personnel evaluation process, is responsible for the security of the Portfolio except when it has been forwarded for review.

C. PROCESS OF EVALUATION, RECOMMENDATION, AND DECISION

The levels of review shall include the Department Personnel Committee (DPC), the Department Chair (except when the chair is ineligible), the Dean (or equivalent), the Faculty Personnel Committee (FPC) [as appropriate], the Vice President for Academic Affairs (Vice President for Student Affairs for counselor faculty), and the President. All levels recommend to the President, who is responsible for all RTP decisions.

D. RESPONSIBILITIES OF DEPARTMENT CHAIRS

All department chairs shall meet responsibilities in #1-5 below. Tenured chairs not seeking promotion shall also meet the responsibilities in #6 - 15.

1. To communicate the standards and criteria for RTP to all department faculty members.
2. To inform each new faculty member within two weeks after the assumption of official duties at the University of all personnel procedures including those covered by this document.
3. To provide guidance, advice, and support to assist probationary faculty in preparing their Prospectus.
4. To provide the probationary faculty member with written feedback on the Prospectus prior to May 1.
5. To request a meeting, during the spring semester, with each probationary faculty member or faculty member who is eligible for a performance review during the following fall semester to assure that the annual updating of the Portfolio has been initiated and that the compilation is proceeding according to the requirements of this document.
6. To assess whether the faculty member has included all the required elements in the Portfolio, and, where necessary, to counsel the faculty member concerning the contents of the Portfolio. To obtain confirmation that the faculty member has reviewed and submitted the entire Portfolio.
7. To evaluate the performance of the faculty member based upon the Portfolio independently of the DPC. The chair shall send a copy of this evaluation to Faculty Affairs and Records upon completion.
8. To add to the Portfolio a signed evaluation by the previous chair when the current Department Chair is newly appointed, and if the previous chair so desires. However, the new chair shall make the final recommendation.
9. To forward the Portfolio to the Department Personnel Committee (DPC).

10. To receive the evaluation and recommendation of the DPC and then to forward to the DPC the chair's evaluation.
11. To show both the committee's and the Chair's evaluations to the faculty member and to provide the faculty member with a copy of the DPC recommendation. At this time, the chair shall ask whether the faculty member wishes to add a response or rebuttal to the DPC recommendation to the Portfolio. If the faculty member does so wish, the Portfolio shall be held by the chair for ten (10) days while the faculty member does so. A copy of the response or rebuttal shall be forwarded to the chair of the DPC. Whether or not the faculty member chooses to add a response or rebuttal to the file, the chair shall require the faculty member to signify the option chosen by signing a signature form. Such a signature in no way indicates the faculty member's approval of the evaluations or recommendations, but only that these have been read and a copy of the DPC recommendation has been received.
12. To make a recommendation that shall be signed by the chair and which shall include in writing the reasons for the recommendation. The chair shall provide a copy of the recommendation to the faculty member and to the chair of the DPC. The chair shall again inform the faculty member of the option to respond to or rebut the recommendation of the chair within ten (10) days and of the obligation to signify the option chosen by signing the signature form. If the faculty member adds a response or rebuttal to the chair's recommendation, a copy shall be forwarded to the chair of the DPC.
13. To be available for consultation to the DPC, though otherwise being absent from the committee's meetings during its deliberations.
14. To ensure that the DPC completes its review and submits its recommendations to the Department Chair by the appropriate date each year.
15. To transmit the Portfolio and the recommendations and evaluations to the Dean.

E. RESPONSIBILITIES OF THE DEPARTMENT PERSONNEL COMMITTEE

1. To review and evaluate in writing the Portfolio of each faculty member to be considered for retention, tenure, or promotion by the appropriate date. In this evaluation, the DPC shall comment upon the candidate's qualifications based on the approved Departmental Personnel Standards, or, in the absence of such standards, UPS 210.002. 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 DPC and signed by the chair and all members of the DPC. The vote tabulation shall be recorded on the recommendation form.
3. To sign the recommendation form in alphabetical order. The order of the signatures shall not indicate the way individual members voted.
4. To return the entire file, including the evaluation and recommendation, to the Department Chair.
5. To receive the chair's evaluation.
6. To receive the chair's recommendation once the file has been forwarded to the Dean.

F. RESPONSIBILITIES OF DEANS

1. To assume responsibilities of the Department Chair as listed in IV.D. 6-15 (as appropriate) when the Department Chair is ineligible to participate in the evaluation process. The Dean, however, shall evaluate and recommend only as Dean and not in lieu of the Department Chair.
2. To review the Portfolio and make a recommendation in each case, including a written statement giving the reasons for the recommendation.
3. To provide copies of the recommendation to the faculty member and to all prior levels of review.

4. To inform the faculty member of the right to response or rebuttal within ten (10) days, and of the obligation to indicate the option chosen on the signature form. If the faculty member wishes to respond or rebut, the Portfolio shall be held by the Dean for ten (10) days.
5. To provide copies of any such responses or rebuttals to all prior levels of review.
6. To forward the Portfolio to Faculty Affairs and Records.
7. To provide the probationary faculty member with written feedback on his/her Prospectus prior to May 1.

G. RESPONSIBILITIES OF THE FACULTY PERSONNEL COMMITTEE

1. To evaluate and make recommendations regarding RTP actions when any of the following occur:
 - a. there is a lack of agreement among previous levels of review;
 - b. the President requests FPC evaluation and recommendation, or proposes action contrary to the college recommendation;
 - c. the Vice President for Academic Affairs (Vice President for Student Affairs for counselor faculty) makes a recommendation contrary to the college's;
 - d. all levels of recommendation within the college are negative;
 - e. there are no approved Departmental Personnel Standards; or
 - f. the faculty member or any prior level of review makes a request.
2. To convene a conference involving all prior levels of review when necessary to clarify for the FPC interpretations of material in the Portfolio or discuss points of disagreement. Each of the prior levels of review may, within five (5) working days after the conference, submit a new recommendation, in which case the reasons for any changes shall be stated in writing.
3. To provide copies of the FPC's evaluation and recommendation and all post-conference recommendations, if any, to the faculty member and to all previous levels of review.
4. To inform the faculty member of the right to response or rebuttal to the evaluation and recommendation within ten (10) days and of the obligation to indicate the option chosen on the signature form.
5. To provide copies of the response or rebuttal to all previous levels of review.
6. To forward the Portfolio to the Vice President for Academic Affairs (Vice President for Student Affairs for counselor faculty).

H. RESPONSIBILITIES OF THE VICE PRESIDENT FOR ACADEMIC AFFAIRS [VICE PRESIDENT FOR STUDENT AFFAIRS FOR COUNSELOR FACULTY]

1. To review each Portfolio and recommend action to the President.
2. To provide copies of the recommendation and the basis for it to the faculty member and all prior levels of review.
3. To inform the faculty member of the right to response or rebuttal within ten (10) days, and of the obligation to indicate the option chosen on the signature form. If the faculty member wishes to respond or rebut, the Portfolio shall be held by the Vice President for ten (10) days.
4. To provide copies of any such responses or rebuttals to all prior levels of review.
5. To forward the Portfolio to the President.

I. RESPONSIBILITIES OF THE PRESIDENT

1. To confer with the Department Chair involved and with the Faculty Personnel Committee, if the President is considering a personnel action provided for in this document in a way which is contrary to a majority vote (including a tie vote) of the FPC.

2. To notify faculty in writing, which shall in the instance of denial include the reasons, of the final decision in accordance with the following deadlines: retention (probationary faculty who have served less than two years), February 15; retention (probationary faculty who have served more than two years), June 1; tenure, June 1; promotion, June 15. Copies of such notices shall be given to the Department Chair, the DPC chair, the Dean (or equivalent) and the FPC chair.

J. RESPONSIBILITY FOR THE PORTFOLIO

1. Once submitted, the Portfolio becomes by reference part of the PAF and the property of the University and shall not be removed from the University.
2. During the review process, each level of review shall be responsible for retaining the Portfolio until it is forwarded to the next level of review.
3. After completion of the review process, the Portfolio is retained by the Office of Faculty Affairs and Records, but the Appendices are returned to the faculty member.

K. ELIGIBILITY TO PARTICIPATE IN THE PERSONNEL PROCESS

1. No faculty member shall recommend in personnel decisions on any individual case at more than one level.
2. An untenured faculty member, including the Department Chair, shall not serve in the personnel evaluation process.
3. Faculty members being considered for promotion shall not serve in the personnel evaluation process for retention, tenure, and/or promotion cases at any level.
4. In promotion considerations, peer review committee members and the chair shall have a higher rank or classification than those being considered for promotion.
5. No faculty member shall serve on a personnel committee when that person will be on any type of leave during the year of service.
6. The department may make a request to the President that Faculty Early Retirement Program (FERP) participants who are employed in both fall and spring semesters of the same academic year may be eligible to run for election to the DPC. However, the committee cannot be comprised solely of FERP faculty.
7. Other CSUF or CSU policies may impact the ability of individuals to participate in the personnel process (e.g., CSU Nepotism Policy).

IV. DEPARTMENT RESPONSIBILITIES FOR THE PERSONNEL PROCESS OUTSIDE THE REVIEW CYCLE

A. GENERAL DEPARTMENT RESPONSIBILITIES

1. Selection of a Department Personnel Committee;
2. Development of Departmental Personnel Standards;
3. Adoption of one or more standard forms for student opinions; and
4. Securing approval of the Departmental Personnel Standards and Student Opinion Questionnaire form(s), as required by this policy.

B. ELECTION OF THE DEPARTMENT PERSONNEL COMMITTEE

1. It is the responsibility of the Department Chair to arrange for the election of a Department Personnel Committee and alternate(s) and to refer to it all cases for which action is appropriate. The Department Chair shall also ensure that all members of this committee are familiar with their responsibility for evaluating the performance of those to be considered.
2. Each department shall determine the method of electing the members of its personnel committee; however, election of the personnel committee shall be by secret ballot.
3. No later than the end of the third week of classes of the fall semester, each department shall elect a personnel committee of not fewer than three members. These members shall have been granted tenure and shall not include the chair of that department. All eligible, tenured faculty members shall appear on the ballot. The DPC shall normally be filled with department faculty before seeking members from related disciplines. If a department does not have the minimum number of eligible faculty required for the DPC, the department may elect one or more tenured faculty for its personnel committee from related disciplines including department chairs from other departments.
4. Departments shall elect, at the time of election of the regular personnel committee, at least one tenured faculty member, other than the Department Chair, to serve as alternate(s) for members of the department committee. Departmental Personnel Standards shall set forth the conditions under which alternate(s) may serve. If a department does not have enough eligible, tenured faculty to provide a suitable alternate, it may elect an alternate for its personnel committee from a related discipline including department chairs from other departments.
5. Names of faculty members, including alternate(s) who will be serving on department committees, shall be transmitted by the Department Chair to the Faculty Personnel Committee, the Office of Faculty Affairs and Records, and the appropriate College Dean within five (5) working days after they are elected.

Source: Faculty Affairs Committee

EFFECTIVE DATE: March 5, 2019
Supersedes: UPS 210.000 dated 3-26-18
and ASD 18-07