

COLLEGE OF HEALTH AND HUMAN SERVICES
SECONDARY RTP COMMITTEE
RETENTION, TENURE AND PROMOTION PROCEDURES
(Revised August 2004)

I. Functions and Duties

A. Functions

1. The Committee(s) charged with conducting the Secondary level of review in the College of Health and Human Services (CHHS) shall perform the following functions: 1) receive RTP recommendations from Primary committees within the College; 2) conduct a substantive evaluation of faculty, related to retention, tenure and promotion; 3) provide RTP recommendations to the President or designee; 4) ensure that sufficient evidence exists to justify a recommendation for retention, tenure or promotion in accordance with Division/Department criteria; and 5) review existing policies and procedures of the College annually and recommend desirable changes to the faculty of the College.
2. Functions of the Secondary RTP Committee may be distributed across two committees when the number of annual evaluations exceeds the capacity of a single committee. The decision to create two committees will be made by the Secondary RTP Committee in the Spring semester prior to the next review cycle.
3. When two committees are created, their functions are delineated in the following manner:
 - a. The Secondary Retention Committee (Committee A) conducts Retention reviews for faculty in Probationary years 2 and 4.
 - b. The Secondary Retention, Tenure and Promotion Committee (Committee B) conducts Retention reviews for faculty in Probationary years 3 and 5 and those requesting early or regularly scheduled tenure and promotion.
4. When two committees are convened, they will meet as a single, merged committee in the spring semester to conduct the annual review of Secondary RTP policies and procedures, make recommendations regarding changes, and determine the number of Secondary review committees for the next review cycle.

B. Duties of the Dean's Office:

1. Annually, at an appropriate time during the Fall semester, the Dean shall convene the Secondary RTP Committee(s) and facilitate the election of a Chair

by and from the Committee(s), who shall serve during the academic year.

2. Annually, upon receipt of necessary information from the University ARTP Committee, the Dean's Office shall distribute to all faculty within the College a timetable for RTP actions and a list of faculty eligible for retention, tenure and promotion.
3. Annually, before the start of the RTP cycle, the Dean's Office shall assure that each member of the College's faculty has been provided with an up-to-date copy of the College's RTP policies and procedures. Such policies and procedures shall not be changed during an academic year RTP cycle.
4. Early within each RTP cycle, the Dean's office will convene a meeting of candidates expecting a review for retention, tenure or promotion, Chairs of Primary Committees, and Chairs of Divisions/Departments. The purpose of the meeting will be to outline timelines and procedures and clarify instructions from the Secondary Committee(s).
5. The Dean's Office shall provide to the Divisions/Departments a standardized form for the Primary Committee to transmit its recommendation and evaluations to the Secondary Committee(s). (See Appendix A).
6. The Dean's Office shall provide a format for organization of the Working Personnel Action File (WPAF) (See Appendix B).

C. Duties of the Secondary Committees:

1. The Committee(s) shall ensure that sufficient evidence is in the Working Personnel Action File to justify the action being recommended by the Primary Committee. If the evidence supporting the recommendation of the Primary Committee is insufficient, the file shall be returned to the Primary Committee for amplification. The candidate shall be notified of this action, of his/her opportunity to participate in providing amplification, and of his/her right to be aware of the final contents of the file before it is resubmitted to the Secondary Committee.
2. The Secondary Committee(s) shall ensure that each Primary Committee evaluation and recommendation is the result of proper application of approved Division/Department criteria, policies and procedures. The Secondary Committee(s) shall apply no additional criteria beyond those used by the Division/Department and those mandated by the University.

3. The Secondary Committee(s) conduct(s) an independent evaluation of each faculty member.
4. After consideration of all candidates for retention, tenure, and/or promotion, the Secondary Committee(s) shall transmit their independent evaluation to the faculty member and to the personnel file after the appropriate time period has elapsed.
5. The Dean then completes an independent evaluation, which is transmitted to the faculty member and later to the personnel file. The Dean forwards the personnel file to the President or his/her designee for the final level of review.

II. Composition

- A. The Secondary Committee(s) shall be composed of one member elected by the probationary and tenured faculty of each Division/Department in the College.
- B. Each unit will elect an alternate representative to serve at the Secondary level in the event of a member's absence during a phase of the evaluation cycle.
- C. Members of the Secondary Committee(s) or their alternate(s) shall not serve simultaneously at the primary level of review.
- D. In the event that two Secondary Committees are constituted, members will be elected for each committee.
- E. A single alternate can serve on either of the two Secondary Committees, as needed.
- F. Members of the Committee(s) and alternates shall be tenured Full or Associate Professors on full-time status or faculty participating in the Faculty Early Retirement Program (FERP) who are employed during the term of committee service. The Committee(s) may not be comprised solely of FERP faculty.
- G. Faculty emeriti, faculty on paid or unpaid leave, and faculty who plan to terminate their employment during the term of service shall not be a member or alternate.
- H. If two committees are constituted, the composition of each will be:
 1. The Secondary Retention Committee (Committee A): members and alternates shall be tenured Full or Associate Professors on full-time

status or Full or Associate Professors participating in FERP who are employed during the term of committee service.

2. The Secondary Retention, Tenure, Promotion Committee (Committee B): members and alternates shall be tenured Full Professors on full-time status or Full Professors participating in FERP who are employed during the term of committee service.

- I. Divisions/Departments may elect Secondary Committee members and alternates from other units in the College or the University, if they have too few faculty to serve.

III. Term of Service

- A. Members shall serve two year, staggered terms.
- B. In the event that a committee member is unable to serve during a particular phase of the evaluation cycle, the alternate from the member's academic unit shall join the committee for that evaluation phase.

IV. Committee Policies

A. General Provisions

1. Retention, tenure and promotion deliberations and recommendations shall be confidential.
2. The faculty member being reviewed, the appropriate administrator, the President or designee, and those conducting the peer review at the Primary level shall have access to written recommendations of the Secondary Committee(s).
3. Before material is forwarded at any level of review, the candidate under consideration and the previous levels of review shall be so notified of the recommendations. In each case the candidate shall be given 7 days for review and rebuttal.
4. If any stage of a performance review(s) has not been completed within the specified period of time, the performance review(s) shall be automatically transferred to the next level of review and the appropriate administrator and the candidate shall be notified of the transfer.
5. Each faculty eligible for promotion will be evaluated unless he/she requests in writing not to be considered.
6. Substantive reviews and recommendations of the Committee(s) shall be based on information contained in the candidate's Working Personnel Action File.

7. No CSUS employee shall vote, make recommendations, or in any way participate in decisions about any personnel matter which may directly affect the selection, appointment, retention, tenure, compensation, promotion, termination, other employment status or interest of a close relative. For purposes of this policy, "close relative" is defined as husband, wife, mother, father, son, daughter, sister, brother, and domestic partner.
8. The Secondary Committee(s) may contact a Primary Committee and/or Division/Department Chair to seek additional information necessary to carry out its responsibilities. This request will be done in writing, with a copy to the affected faculty member.
9. The Secondary Committee(s) will observe the following procedures.
 - a. Each member of the Secondary Committee(s) will conduct an independent, substantive review of each Working Personnel Action File submitted for an RTP action to:
 - (1) determine the proper application of the primary level evaluation procedures, and
 - (2) determine the adequacy of the evidence contained in the Working Personnel Action File to support the resultant recommendation, and
 - (3) determine a recommendation for retention, tenure, and promotion (using the criteria as noted in I.C.2).
 - b. The Committee(s) will determine by secret ballot the recommendation to be forwarded to the appropriate administrator.

B. Transfer of WPAF to Secondary Committee

After application of approved Division/Department criteria and procedures, and in a timely manner, each Primary RTP Committee shall transmit to the Secondary Committee(s) the Working Personnel Action File, including the standardized form noted in Section I.B. for each candidate being considered for retention, tenure and promotion. Working Personnel Action Files shall be organized in accordance with the format noted in Section I.B.6.

C. Early Promotion

Probationary faculty who apply for promotion prior to receiving tenure and tenured faculty who are not yet eligible for promotion (See Section 8.01.C and D of the University ARTP Policy), shall demonstrate outstanding performance in teaching, which shall be given primary weight, and possess appropriate academic preparation. In addition, outstanding performance must be demonstrated in at least two (2) of the remaining three (3) university criteria for retention, tenure, and promotion: scholarly or creative achievement, contribution to the institution, and contribution to the community. (See Section 5.07 of University ARTP Policy.)

D. Early Tenure

1. Early Tenure is recognition of qualifications and performance substantially beyond that required for the granting of tenure after the normal six (6) year probationary period. It reflects attainment of a professional standard that includes activities, which bring widespread recognition to the individual and the university from the academic community and/or the general public.
2. Candidates for Early Tenure must demonstrate outstanding performance in teaching, which shall be given primary weight, appropriate academic preparation, and outstanding performance in at least two (2) of the remaining three (3) university criteria for retention, tenure and promotion. These are: scholarly or creative achievement, contribution to the institution, and contribution to the community. (See Section 5.06 of the University ARTP Policy.)

C. Role of Division/Department Chairs

1. The role of the Division/Department Chair is determined by faculty vote. The Chair serves either as a member of the Primary Committee, participating in their deliberations and written evaluations, or as an independent level of review. If the Chair performs an independent review, then he/she will submit to the Secondary Committee(s) an independent recommendation for each candidate for retention, tenure and promotion based on his/her best assessment of the evidence available for review in the Working Personnel Action File.

D. Role of Dean

1. The Dean shall conduct an independent review of each candidate for retention, tenure and promotion based on information contained in the candidate's Working Personnel Action File and shall submit a recommendation to the President or designee.

E. Voting and Participation of Committee Members and Alternates

1. Substantive reviews, deliberations and recommendations of the Committee(s) shall require participation of all Committee members or alternates.
2. All actions of the Committee(s) shall be subject to a simple majority vote of all Committee members. All votes on RTP recommendations shall be by secret ballot.

V. Criteria for Evaluation

- A. Teaching Effectiveness
- B. Scholarly or Creative Achievements
- C. Contributions to the University
- D. Contributions to the Community

VI. Definitions

- A. College: refers to the College of Health and Human Services
- B. Dean: refers to the person having administrative responsibility for the College of Health and Human Services
- C. Faculty: refers to all academic appointments in the College.
- D. Primary Level Evaluation: refers to a retention, tenure or promotion evaluation at the Division/Department level.
- E. Primary Level Committee: refers to the elected members of the retention, tenure or promotion committee in the Division/Department.
- F. Secondary Level Evaluation: refers to a retention, tenure or promotion evaluation at the College level.
- G. Committee(s): refers to the elected members of the Secondary retention, tenure or promotion committee in the College of Health and Human Services.
- H. Personnel Action File (PAF): refers to the official personnel file stored in the office of the College Dean. It contains employment information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee.
- I. Working Personnel Action File (WPAF): refers to that portion of the PAF and additional materials submitted in another binder(s) by a faculty member undergoing evaluation for retention, tenure or promotion.
- J. University ARTP Committee: refers to the elected faculty committee, which recommends to the Faculty Senate university policy pertaining to appointment, retention, tenure, and promotion, and is defined in Section 3.00 of University ARTP Policy.
- K. Memorandum of Understanding (MOU): refers to the agreement entered into pursuant to provisions of the Higher Education Employer-Employee Relations Act (HERRA) by and between the Trustees of the California State University and the California Faculty Association for the purpose of setting forth the wages, hours of employment, and other terms and conditions of employment.

COLLEGE OF HEALTH AND HUMAN SERVICES
APPENDIX A
Primary RTP Committee
Transmittal Sheet

_____ ACADEMIC YEAR

Candidate's Name: _____

Division/Department: _____

Action(s) Considered:

_____ Retention _____ Promotion _____ Tenure	_____ Early Promotion _____ Early Tenure
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Primary Committee Recommendation(s):

Yes/No		Vote	Yes/No		Vote
_____	Retention	_____	_____	Early Promotion	_____
_____	Promotion	_____	_____	Early Tenure	_____
_____	Tenure	_____			

Signature of Primary Committee Members:

Date	Signature

Recommendation of the Division/Department Chair:

If the Division/Department Chair does not function as a member of the Primary Committee, but rather conducts his/her own independent evaluation and submits a recommendation independent of the Primary Committee, then this section must be completed.

Recommendation: _____

An independent evaluation/recommendation statement is attached.

_____ Date	_____ Signature of Division/Department Chair
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Certification of Policies and Procedures:

We hereby certify that all approved Division/Department and College RTP policies and procedures were followed by the Primary Committee:

_____ Date	_____ Signature of Primary Committee Chair
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_____ Date	_____ Signature of the Division/Department Chair
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Signature of Faculty Member:

I have received and read a copy of the Primary Committee's summary and recommendation. My signature indicates neither agreement nor disagreement with the statements.

_____ Date	_____ Signature of Candidate
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I have received and read a copy of the Division/Department Chair's summary and recommendation (if applicable). My signature indicates neither agreement nor disagreement with the statements.

_____ Date	_____ Signature of Candidate
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Appendix B

PHYSICAL ORGANIZATION OF WPAF

Volume 1 (PAF) Contents

1. Access Log (Inserted by Dean's Office; only needed in Volume 1)
2. Verification Form (Inserted by Dean's Office—to be signed & dated by candidate)
3. Appendix A (Form inserted by Dean's Office, to be completed by Primary Committee & Chair)
4. Appendix B (Blank form inserted by Dean's Office)
5. Appendix C (Form inserted by Dean's Office, to be completed by Secondary Committee & Dean)
6. Current Year Evaluations from Review Levels
7. Previous Year's Evaluations from Review Levels
8. Student Evaluations
9. Other Evaluative Materials
10. Academic Preparation (Copies of diplomas, transcripts, license, certificate or credentials)
11. Index (From past evaluation cycles)
12. Resume or Curriculum Vitae (From past evaluation cycle)
13. Permanent Papers
 - A. Appointment letter
 - B. If Candidate does not possess the doctorate and a doctoral equivalency has been established, provide information to substantiate Division/Department equivalent requirements have been met or previously satisfied.
 - C. Other

COLLEGE OF HEALTH AND HUMAN SERVICES
APPENDIX C
Secondary RTP Committee
Transmittal Sheet

_____ ACADEMIC YEAR

Candidate's Name: _____

Division/Department: _____

Action(s) Considered:

_____ _____ _____	Retention Promotion Tenure		_____ _____ _____	Early Promotion Early Tenure
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Secondary Committee Recommendation(s):

Yes/No		Vote	Yes/No		Vote
_____	Retention	_____	_____	Early Promotion	_____
_____	Promotion	_____	_____	Early Tenure	_____
_____	Tenure	_____			

Signature of Secondary Committee Members:

Date

Signature

Certification of Policies and Procedures:

We hereby certify that all approved College/Division/Department RTP policies and procedures were followed by the Secondary Committee:

_____ Date	_____ Signature of Secondary Committee Chair
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_____ Date	_____ Signature of the Dean
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A copy of the Secondary Committee's summary and recommendation has been delivered to the Division/Department faculty mail box by:

_____ Signature	_____ Date
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Recommendation of the Dean:

Recommendation: _____

An independent evaluation/recommendation statement is attached.

_____ Date	_____ Signature of the Dean
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A copy of the Dean's recommendation has been delivered to the Division/ Department faculty mail box by:

_____ Signature	_____ Date
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