

**Department of Recreation, Parks and Tourism Administration
College of Health and Human Services**

**POLICIES AND PROCEDURES ON APPOINTMENT,
RETENTION, TENURE AND PROMOTION**

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Notice: All citations to University ARTP Policy herein are to the Policy as it stood when the University last approved this document. Subsequent changes to the language and enumeration of University ARTP Policy sections may not be reflected in this document. The reader is therefore strongly advised and urged to consult the most recently adopted text and enumeration of cited sections of University ARTP Policy posted in the University Policy Manual on the University's website. Any discrepancy between the University policy and this document will be resolved in favor of the Collective Bargaining Agreement and University policy.

1.00 GENERAL REFERENCE

All criteria, policies and procedures in this document are intended to be consistent with and supplemental to the following documents:

- A. The University Appointment Retention, Tenure and Promotion (ARTP) Policy.
- B. The Retention, Tenure and Promotion (RTP) Policies and Procedures of the College of Health and Human Services.

2.00 RESPONSIBILITY FOR PERSONNEL MATTERS

The Department Chair shall be responsible for coordinating the appointment, retention, tenure, and promotion activity of the Department and for assuring that criteria, policies and procedures set forth herein are appropriately observed.

3.00 DEPARTMENT ARPT COMMITTEES

3.01 Search Committee for Probationary or Full-Time Temporary Faculty

- A. **Composition:** The committee shall consist of three (3) or more full-time members of the department faculty at the discretion of the department faculty. *The Department Chair will serve as a voting member of the committee.*

At the time that the size of the committee is determined, the department faculty shall also determine whether the selection process being initiated is a single process for which the committee composition shall not change or a two part process consisting of distinct and separate screening and final selection segments for which the composition of the committee may change. Should a member of the committee absent himself/herself from any portion of the

process involving substantive review of candidates, he/she shall be ineligible for the remainder of the process or segment of the process in which he/she is involved at the moment of the absence.

- B. **Selection:** The committee shall be elected, provided however, that if the department faculty chooses to serve as a "Committee of the Whole," the election to confirm that action shall constitute an election of committee members. All probationary and tenured members of the department faculty shall be eligible to vote for members of the committee.
- C. **Term of Office:** Members of the committee shall serve on an "ad hoc" basis.
- D. **Function:** The committee shall (1) recommend criteria for the position(s) to be filled, and (2) review and recommend individuals for appointment in accordance with provisions of this policy.

3.02 Retention, Tenure and Promotion (RTP) Committee

- A. **Composition:** The committee shall consist of three (3) regular members and one (1) alternate member who shall be tenured full-time faculty whose academic rank is higher than that of those under consideration by the committee for retention, tenure and promotion. A faculty member being considered for promotion shall be ineligible for service during promotion or tenure considerations by the RTP Committee. The alternate member shall be a working member of the committee in all policy and procedural matters and in all substantive reviews. He/she shall be present during all committee meetings and shall become a voting member when a regular committee member is unable to be present. Whenever either a committee member or an alternate misses a meeting, that person is removed from the committee for the duration of its work on the category of deliberations before it at the moment of the absence. *The Department Chair will serve as a voting member of the Committee.* No member of the Committee shall also serve as a member of the Retention, Tenure and Promotion Committee of the College of Health and Human Services.
- B. **Selection:** The committee shall be elected. All probationary and tenured members of the department faculty are eligible to vote for the members of the Committee. If the number of eligible faculty within the Department is not sufficient to staff the Committee and/or provide for an alternate, the department faculty shall elect qualified faculty from other departments/divisions within the College of Health and Human Services. When such an election is required, the Department Chair shall solicit nominations from

the department faculty, ascertain the willingness of such individuals to serve and conduct an election.

- C. **Term of Office:** Committee members shall serve for one (1) academic year.
- D. **Function:** The committee shall (1) complete a performance review for each department faculty member who is eligible for retention, early tenure, tenure, early promotion and/or regular promotion in accordance with criteria and procedures specified in this policy; (2) complete qualitative evaluations and rankings of department faculty members being considered for promotion; and (3) conduct a performance review for each full-time temporary member of the department faculty in accordance with criteria and procedures specified in this policy.

3.03 Committee for Periodic Review of Probationary Faculty Not Subject To Performance Review and Tenured Full Professors

- A. **Composition:** The Committee shall consist of three (3) tenured, full-time members of the department faculty who are not scheduled for evaluation during the current cycle. *The Department Chair or the chair's designee (in the event the chair is of a lower rank to that of the individual being reviewed) will make a separate evaluation.*
- B. **Selection:** The committee shall be elected. All probationary and tenured members of the department faculty are eligible to vote for the members of the committee.
- C. **Term of Office:** Committee members shall serve for one (1) academic year.
- D. **Function:** The committee shall evaluate probationary faculty not subject to performance review and tenured full professors in accordance with criteria and procedures specified in this policy.

3.04 Committee(s) for Periodic Review of Part-Time Temporary Faculty

- A. **Composition:** The committee(s) shall consist of three (3) tenured, full-time members of the department faculty. Separate committees may be designated to conduct reviews of specific faculty members or groups of faculty members at the discretion of the department faculty. The Department Chair will conduct a separate review of part-time, temporary faculty.

- B. Selection:** The committee(s) shall be elected. All probationary and tenured members of the faculty are eligible to vote for the members of the committee(s).
- C. Term of Office:** Committee members shall serve on an "ad hoc" basis.
- D. Function:** The committee(s) shall evaluate part-time temporary faculty in accordance with criteria and procedures specified in this policy.

4.00 PERSONNEL ACTION FILE

4.01 Definitions

- A.** The "Personnel Action File" shall be defined as the one (1) official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a member of the department faculty.
- B.** The "Working Personnel Action File" is that portion of the Personnel Action File used during the time of periodic evaluation or performance review of a member of the department faculty.

4.02 Custodian

- A.** In accordance with University policy, the Dean of the College of Health and Human Services shall be the custodian of the Personnel Action Files of full-time temporary, probationary and tenured members of the department faculty.
- B.** The Department Chair shall serve as custodian of the Personnel Action Files of part-time temporary members of the department faculty.

4.03 Submissions

- A.** Submission of materials to the Personnel Action Files and Working Personnel Action Files of members of the department faculty, regardless of their employment status, shall be governed by provisions of Article 4.03 of the

University ARTP Policy.

- B.** Each department committee responsible for performance review or periodic evaluation shall establish a deadline for a candidate's submission of material for review. The deadline shall be no sooner than three (3) weeks prior to the beginning of the committee's deliberations. Materials submitted after the deadline shall be considered in subsequent reviews.

4.04 As Basis of Evaluation

- A.** Personnel recommendations or decisions relating to retention, tenure, promotion, termination, or any other personnel action by any departmental committee or the Department Chair shall be based primarily on material contained in the Personnel Action File. If a personnel recommendation or decision is based on reasons not contained in the Personnel Action File, the party making the recommendation or decision shall commit those reasons to writing and this signed, written statement shall be placed in the Personnel Action File and provided to the member of faculty concerned.
- B.** Prior to completion of the substantive evaluation of a candidate, all material serving as the basis of the evaluation must appear in the Working Personnel Action File.

4.05 Right of Access

A member of the department faculty, regardless of employment status, shall have the right of access to his/her Personnel Action File in accordance with Article 4.05 of the University ARTP Policy.

4.06 Confidentiality

Personnel Action Files in the custodianship of the Department Chair shall be held in confidence. Access to such Personnel Action Files shall be limited to persons with official business. The custodian shall log all instances of access to a Personnel Action File and the log shall become part of the Personnel Action File.

4.07 Location of Other Files

Personnel Action files in the custodianship of the Department Chair shall indicate the location of other records regarding the faculty member kept on the campus to which the faculty member has access in accordance with statute.

4.08 Content of Personnel Action and Working Personnel Action Files

The content of Personnel Action and Working Personnel Action Files under the custodianship of the Department Chair or being used for performance evaluation committees of the department shall be consistent with provisions of Article 4.08 of the University ARTP Policy.

4.09 Time Limits on Use of Submitted Materials

Materials to be used in performance reviews and periodic evaluations of department faculty members shall be limited to those specified in Article 4.09 of the University ARTP Policy.

5.00 APPOINTMENT CRITERIA AND QUALIFICATION

5.01 In General

- A.** Appointments shall be based solely upon the candidate's ability, qualifications, experience and fitness for the position to be filled without regard to the race, religion, color, national origin, ancestry, sex, handicapped status, marital status, creed, age or sexual orientation of the applicant.
- B.** The faculty of the department shall consist of specialists qualified by education and experiences to give appropriate instruction in the authorized curriculum of the department.

5.02 For Probationary Faculty

- A.** The earned doctorate or equivalent attainment shall be the desirable qualification for appointment as a probationary member of the department faculty. Appointment of a candidate without an appropriate degree or its

equivalent may be made, however, recommendation for tenure and/or promotion of such candidate will be contingent upon attainment of the appropriate degree.

- B.** In making probationary appointments, the following factors shall be given primary consideration: (a) excellence in scholarship and preparation, (b) interest and skill in teaching and (c) promise of professional growth.

5.03 For Temporary Faculty

- A.** Temporary faculty in the department shall possess a combination of academic preparation, professional experience and teaching experience which is appropriate for anticipated teaching assignments. The goal of the department shall be to appoint temporary faculty members who have completed a graduate degree; have at least three (3) years of related professional experience and at least one (1) year of teaching experience which is appropriately related in terms of content areas and level. This goal shall, however, not preclude the department from making a recommendation for appointment of a candidate who does not meet all such criteria when it determines that special considerations exist.
- B.** The quality of related teaching experience of a candidate for temporary faculty appointment, as measured by the results of standard student evaluations, recommendations of colleagues and employers, an assessment of teaching materials and other appropriate inputs, shall be considered.

6.00 APPOINTMENT CONSIDERATIONS

6.01 In General

- A.** The appointment of relatives to administrative and faculty positions in the department shall be subject to provisions of Section 6.09 of the University ARTP Policy.
- B.** Granting an appointment to an individual serving in an academic-administrative assignment at the University shall be subject to provisions of Section 6.03 of the University ARTP Policy.

6.02 For Probationary Faculty

- A.** Initial probationary appointments and subsequent probationary appointments to the department faculty may be for a period of one (1) or more years.
- B.** Probationary appointments to the department faculty shall normally be made at the assistant professor level, however, the department may recommend appointment at a higher rank on the determination of merit consistent with Section 6.06.B of the University ARTP Policy.

6.03 For Full-Time Temporary Faculty

- A.** Appointment of a full-time temporary member of the department faculty normally shall follow the recruitment and selection procedures for probationary faculty appointments specified in Section 7.01 herein.
- B.** A full-time, temporary faculty member of the department shall not be appointed on a conditional basis.
- C.** Reappointment as a full-time temporary member of the department faculty or conversion from full-time temporary status to probationary status shall be subject to provisions of Section 6.04.B.2 of the University ARTP Policy.

6.04 Temporary Appointments

To complete a recommendation to appoint an applicant to a part-time or full-time temporary faculty position, the person or persons acting severally or jointly, simultaneously or sequentially to make the recommendation shall make each of two decisions in the following order; 1) the decision to select an applicant from the pool of applicants for the position, and 2) the decision to assign the selected applicant to a place within a range of salaries on the salary scale. In each instance of initial recommendation, these decisions shall be reached by a judgment that applies previously published criteria of decision to the facts defining the application under consideration based on evidence contained in a file.

A. Selection of applicant from the pool

Once the applications for temporary faculty appointments have been reviewed, the best qualified person shall be appointed on the basis of merit and

competence related to the teaching assignment or other department or equivalent unit need.

Criteria used in initial and subsequent selection shall include:

1. degrees earned in relevant disciplines
2. relevant teaching experience
3. relevant professional experience
4. recommendations or other documents including student and peer evaluations of teaching performance

B. Placement on the pay scale of an applicant selected for initial temporary appointment

The following guidelines shall normally determine the location on the pay scale at which an initial temporary appointment is made:

1. Lecturer L: Bachelor's degree in the discipline.
2. Lecturer A: Master's degree in the discipline or equivalent educational experience; or Bachelor's degree plus the equivalent of at least five years teaching or relevant professional experience.
3. Lecturer B: Doctorate or Master's degree plus the equivalent of at least five years teaching or relevant professional experience. Provide evidence of scholarly or creative achievements, contributions to the community, and contributions to the institution (see section 8.01.C.2-4 for criteria).
4. Lecturer C: Doctorate plus at least five years of teaching experience. Provide evidence of scholarly or creative achievements, contributions to the community, and contributions to the institution (see section 8.01. C.2-4 for criteria).
5. Lecturer D: Doctorate plus at least ten years of teaching experience. Provide evidence of scholarly or creative achievements, contributions to the community, and contributions to the institution (see section 8.01. C.2-4 for criteria).

Exceptions to these guidelines must be approved by the appropriate dean. (Additional criteria may be required by the department.) Within each salary range, the particular salary at which a person is appointed will depend on the extent to which the person's qualifications exceed the minimum requirements for the particular range.

C. Temporary Faculty Range Elevation

- a. "Temporary faculty range elevation" is a term employed in the

M.O.U. to refer to the decision, informed at a minimum by an evaluation of teaching performance, to compensate a temporary faculty member at a rate of pay equal to the first step of the salary range immediately above the range within which he or she was compensated during a prior appointment.

- b. Criteria for range elevation shall, at a minimum, include teaching performance as evidenced by recommendations or other documents including student and peer evaluations of teaching performance. Other criteria considered are those consistent with periodic evaluation outlined in 8.0.
- c. "Those eligible for lecturer range elevation shall be limited to lecturers who have no more SSI eligibility in their current range, and have served five years in their current range." (M.O.U. 12.16)
- d. "Criteria for range elevation for temporary faculty shall be appropriate to lecturer work assignments." (M.O.U. 12.17)
- e. "Denial of range elevations shall be subject to the peer review process pursuant to provision 10.11 except that the peer panel's decision shall be final." (M.O.U. 12.18)
- f. "On each campus the pool for funding successful lecturer range elevation appeals is limited to 4 steps per each 50 lecturer faculty eligible for range elevation." (M.O.U. 12.19)

6.05 For Adjunct Faculty

The Department shall encourage the use of adjunct faculty to formalize the relationship with a professional person in the community and shall use the title adjunct instructor or adjunct professor as appropriate. The provisions of Section 6.10 of the University ARTP Policy shall govern the appointment and supervision of adjunct faculty within the department.

7.00 RECRUITMENT AND SELECTION PROCEDURES

7.01 For Probationary and Full-Time Temporary Faculty

- A.** Positions will be advertised nationally in an attempt to meet affirmative action goals of the department and to secure the best qualified person for the position.
- B.** Applications shall include a letter of application, a current resume', official

transcripts of all college and university work and three letters of recommendation or names of three people who may be solicited for recommendation.

- C.** Receipt of applications will be acknowledged by the search committee.
- D.** Applications will be screened to determine if the applicants meet the criteria established for the position. The candidates deemed to be best qualified following the screening process will be interviewed.
- E.** All interview questions shall be approved by the Affirmative Action Officer of the University prior to the start of the interview process.
- F.** Recommendations of the search committee shall be approved by a simple majority of the committee members casting a vote. An abstention shall count as a negative vote.
- G.** In the event of a tie in rankings, consideration shall be given to the affirmative action goals of the department.
- H.** Following the interview process, the search committee shall prepare a ranked list of qualified candidates and forward it to the Department Chair.
- I.** The Department Chair shall forward the name of the candidate ranked first by the search committee to the Dean of the College of Health and Human Services. If the candidate ranked first by the search committee is offered the position and declines, the candidate ranked second by the search committee shall be recommended for appointment. This process shall continue through the ranked list until the position is filled.

Upon completion of its work, the chair of the search committee shall deliver to the Department Chair all ballots which have been used to make a determination regarding appointment. The ballots shall be identified and placed in the custody of the Department Chair for a period of three (3) years following the date of the balloting. A candidate who has been considered for appointment shall be entitled to have prompt access to the ballots cast in his/her behalf at any time, upon request, during the three (3) year period.

7.02 For Part-Time Temporary Faculty

- A.** An announcement of potential part-time temporary faculty vacancies shall be

distributed to (1) the Office of Faculty and Staff Affairs for inclusion in the University's announcement of vacancies, (2) incumbents of part-time faculty positions, (3) other individuals maintained in the applicant pool, (4) individuals who have inquired about potential vacancies, and (5) such other individuals or organizations as may be deemed desirable by the Department Chair.

- B.** The department shall maintain a pool of qualified applicants from which specific appointments of a part-time temporary nature shall be made in accordance with provisions of this policy.
- C.** The applicant pool shall be updated annually during the spring semester. The updating shall include, (1) an announcement of potential vacancies which shall be made in accordance with section 7.02.A. herein, (2) notice to incumbents of temporary faculty positions of the specific deadline by which they must notify the department of their desire to be considered for subsequent employment; and (3) notice to others maintained in the applicant pool that they are invited to submit updated applications by a specific deadline.
- D.** Applications from individuals not in the current applicant pool shall consist of a letter indicating the content area(s) or course(s) which the candidate feels qualified to teach and a current resume'. Applications from incumbents of part-time positions and others maintained in the current applicant pool shall consist of a letter indicating interest in subsequent employment or reconsideration and such other materials as may be required to update their file. The deadline for all applications shall be that deadline established by the University's Office of Faculty and Staff Affairs in its general announcement of anticipated part-time, temporary vacancies.
- E.** Applications shall be acknowledged, in writing, by the Department Chair. The acknowledgement shall request that the applicant complete and return the "Applicant Flow Information Questionnaire" in accordance with University affirmative action procedures.
- F.** A list of temporary faculty who have been evaluated by the department shall be maintained and copies of previous periodic evaluations shall receive careful consideration when such temporary faculty are considered for subsequent appointment.
- G.** The selection committee(s) shall screen the applications of new candidates for the applicant pool received by the application deadline to determine whether candidates possess minimum qualifications for further consideration. Following the screening process, qualified new applicants and applicant pool incumbents

who have not taught in the department within the past three (3) completed semesters shall be interviewed in person or by telephone. Upon completion of the interview process, the selection committee shall: (1) specify whether the candidate is or is not eligible for the part-time faculty applicant pool, (2) if the candidate is eligible, indicate the specific content area(s) or course(s) which the candidate is qualified to teach, and (3) make specific recommendations for appointment to temporary positions for the subsequent academic year.

- H.* Upon receipt of the report of the selection committee(s), the Department Chair shall notify each candidate, in writing, of his/her eligibility for the applicant pool and, if eligible, the content areas or specific courses which the candidate is qualified to teach. Candidates recommended for appointment to temporary positions for the subsequent academic year shall be advised that the department is recommending their appointment.
- I.* The Department Chair shall prepare recommendations for appointment of individuals recommended by the selection committee(s) and forward such proposals in accordance with University procedures.
- J.* In the event that a candidate recommended for appointment by a selection committee does not accept an offer for employment, the Department Chair shall make an alternate recommendation from the applicant pool and forward such recommendation in accordance with University procedures. If necessary, this procedure will continue until all positions have been filled.
- K.* The department shall make all reasonable efforts to fill part-time, temporary faculty positions from the applicant pool on an annual, academic year basis. However, if there is a determination by the department that the applicant pool is insufficient to meet its needs, the pool may be reopened during the academic year. When this is required, an announcement of potential vacancies shall be distributed and selection and appointment procedures initiated in accordance with provisions of this Section.

8.00 CRITERIA FOR EVALUATION

8.01 For Retention, Tenure, and Promotion

- A.* Although evaluative criteria are the same for retention and tenure, the evidence to support a recommendation to grant tenure shall be considerably more substantial than that to support a recommendation to retain a probationary

employee. If a probationary member of the department faculty is not likely to be awarded tenure, then he/she should not be reappointed. If he/she does not have the potential for promotion to associate professor and beyond, he/she should not be awarded tenure. However, the granting of tenure does not guarantee future promotion.

- B.** Normally, only tenured faculty or those recommended for simultaneous award of tenure shall be considered for promotion to the rank of professor. Promotion is not automatic and is not based on seniority. Recommendations shall be clearly substantiated through evaluation based on criteria enumerated herein below.
- C.** The following criteria are established by the Department for retention, tenure, and promotion. Criterion No. 1, "Competent Teaching performance," shall be given primary weight in the evaluation process. Substantiating evidence called for hereunder is not listed in order of importance.

1. Competent Teaching Performance

a. Evidence of competent teaching performance shall include:

- (1) Nature of teaching assignments (e.g. number of course preparations, frequency of teaching same preparations, level of courses-undergraduate vs. graduate, lower or upper division; required vs. elective courses; class size).
- (2) Submissions by the individual faculty member who is being considered for retention, tenure or promotion such as self-evaluations, course syllabi or outlines, instructional materials, exams, grading policies, teaching awards or honors.

The results of the department's standard course evaluation surveys which shall be used as one element in assessing the quality of instruction but not as the sole indicator of such quality and which shall be for all classes taught, excluding supervisory courses. Individual faculty members may choose how to administer the department's standard course evaluation surveys (e.g., on paper or online) for each class taught. However, regardless of administration method, individual faculty members may not alter the content of the department's standard course evaluation survey. The results of these evaluations shall be placed

in the faculty member's Personnel Action File.

Participation in continuing education instruction or workshops.

Development of community education relationships and liaison with community agencies.

Supervision/mentoring of student research experiences.

Curriculum development and evaluation.

- b. Evidence of competent teaching performance may include:
 - (1) Input from professional colleagues both on and off campus, such as letters of evaluation and recommendation regarding teaching performance, acknowledgement of teaching awards or honors, results of class visitations, a statement of teaching philosophy, and/or evaluation of peers. If employed, class visitations will be accomplished at the invitation of the faculty member being evaluated. All faculty must conduct at least one class research project per class; include instrument used (actual results need not be submitted).
 - (2) Written input from students other than the results of the application of a standardized departmental procedure which provides student opinions and/or evaluation of the faculty member's teaching performance.

2. Scholarly or Creative Achievements

- a. Evidence of scholarly or creative achievements may include:
 - (1) Accomplishments in research and/or creative projects.
 - (2) Publication of articles, books, review and research papers consistent with the mission of the university.
 - (3) Unpublished manuscripts.
 - (4) Membership and appropriate participation in activities of

professional organizations.

- (5) Presentation of professional lectures.
- (6) Evidence of enhancement of academic achievement beyond the level required by the University for consideration for promotion. (Shall be included in this section for promotion consideration only. For retention and tenure considerations such information shall be included under Section 5.a "Possession of Appropriate Academic Preparation.")
- (7) A statement describing the support, or lack of it (released time and/or funding) for the reported scholarly or creative achievements.

3. Contributions to the Community

a. Evidence may include the following contributions:

- (1) Office or directorship on a volunteer basis (national, state, local).
- (2) Volunteer or paid consultancy.
- (3) Participation on committees of agencies or organizations (national, state, local).
- (4) Participation in the mass media.
- (5) Community honors and awards.

4. Contributions to the Institution

a. Evidence of contributions to the institution may include:

- (1) Contributions to the department, school or university such as membership on a committee, chair of a committee, special assignments, curriculum development, or student advising.

8.02 For Early Tenure Recommendation

- A.** Recommendation for early tenure is recognition for qualifications and performance substantially beyond that required for the granting of tenure after the normal probationary period. Early tenure recommendation may be made for activities which bring widespread recognition to the individual and the University from the academic community and/or the general public. Consideration for early tenure is not a right. Recommendations for early tenure are made through the normal RTP channels.
- B.** To be considered for early tenure, a faculty member must demonstrate recognized outstanding performance in teaching effectiveness and possess appropriate academic preparation. In addition, recognized outstanding performance must be demonstrated in at least two of the remaining three university criteria for retention, tenure, and promotion: scholarly or creative achievement, contributions to the institution, and contributions to the community. The following serve as examples of performance which may be considered in evaluations for early tenure.
1. Demonstrated superior teaching skill. This might be supported by student evaluations, teaching awards received at another university, attendance at seminars on teaching, investigation into technology on teaching, special thought given to teaching, unusually innovative teaching methods.
 2. Unusual time and effort devoted to advising and counseling students outside class time (i.e., 199s/299s, 500s, 502s, special efforts in field consultation and liaison, etc).
 3. Exceptional efforts in the area of research.
 4. Outstanding record of publications (already published and accepted for publication).
 5. Exceptional service to the School and the University.
 6. Professional and community service of unusual scope and nature. This might be demonstrated by current participation on the national, regional, or state level in the National Recreation and Park Association or the California Park and Recreation Society, or developing new community service programs.
 7. Regional or national prominence in the field.

8. Demonstrated professional skill in obtaining grants for the Department or University.
9. Tenure awarded at another institution.

Successful teaching experience in a previous regular, full-time faculty appointment which, when combined with time here, would make the candidate eligible for consideration for tenure here.

8.03 For Promotion Recommendation Below Fifth Step

Promotion to Professor or Associate Professor from a step lower than 5th step in the candidate's present rank shall require evidence of greater merit than would be expected at the 5th step. Candidates who apply for promotion from step four (4) or below 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) department criteria for retention, tenure and promotion: scholarly and creative achievement, contribution to the institution, and contribution to the community.

8.04 For Faculty on Leave

A member of the department faculty on leave who is a candidate for promotion shall be considered as carefully as if he/she were not on leave. The candidate shall ensure that his/her Personnel Action File is up-to-date and shall advise the Department Chair of current and projected activities which might have a bearing on promotion.

8.05 For Faculty on Limited or Non-Teaching Assignments

In a performance evaluation of a department faculty member who is serving in a limited or non-teaching assignment and who is eligible for retention, tenure and/or promotion consideration, the primary RTP Committee shall use the criteria for retention, tenure and promotion specified in Section 8.01 herein but may vary the weights assigned to such criteria. The weights assigned shall be appropriate to the assignment of the candidate for consideration during the evaluation period.

8.06 For Full-time Temporary Faculty

Full-time temporary faculty shall be evaluated using the criteria for retention, tenure, and promotion of probationary faculty as specified in section 8.01 herein. Reviews shall be performance reviews only and shall include no recommendation regarding possible subsequent employment.

8.07 For Part-time Temporary Faculty

Part-time, temporary faculty shall be evaluated using criteria relative to "Competent Teaching Performance" as specified in section 8.01.C.1 herein. Reviews shall be performance evaluations only and shall include no recommendation regarding possible subsequent employment.

8.08 For Tenured Faculty Not in the Promotion Cycle

Tenured faculty who are not in the promotion cycle shall be evaluated using the criterion for competent teaching performance specified in section 8.01.C.1 herein.

9.00 EVALUATION PROCEDURES

9.01 In General

- A.** It shall be the responsibility of all who participate in evaluations at the department level to protect the process from abuse by the exercise of a professional concern for excellence and a respect for academic freedom.
- B.** In cooperation with the Department Chair, evaluation committees shall assure that evaluation criteria and procedures are made available to any department faculty member subject to periodic evaluation or performance review prior to the commencement of the evaluation process. There shall be no changes in criteria and procedures used to evaluate department faculty members during the evaluation process.
- C.** All deliberations of department committees conducting periodic evaluations or performance reviews shall be confidential.

- D.** All evaluation committees of the department shall provide an opportunity for students to submit comments regarding the performance of faculty members being evaluated. Such comments shall be in writing and shall be signed. An announcement that such comments are being received shall be made through the Department Newsletter and/or other channels which will assure that students become aware of their opportunity to participate in the evaluation process. Such announcement shall be made not less than two (2) weeks prior to the deadline for receiving such comments. Oral comments shall not be considered.

Written comments received by evaluation committees shall be placed in the Working Personnel Action File. The faculty member being evaluated shall be provided with a copy of any material to be placed in the Working Personnel Action File at least five (5) days prior to such placement. This provision shall not apply to material referenced in the Temporary Suspension or Disciplinary Action Procedure Articles referred to in Section 4.03.C of the University ARTP Policy.

- E.** *A department faculty member being evaluated may, at his/her request, be permitted to appear before the evaluation committee at the time of his/her periodic evaluation or performance review. At his/her election, the faculty member may be accompanied by a representative who shall not be a regular or alternate member of the committee conducting his/her evaluation. The faculty member may, during such an appearance, make a statement, discuss his/her Personnel Action File, or both. However, neither the faculty member nor the representative shall be present during the deliberations following such a presentation or appearance. Such deliberations shall be confidential as required by Section 9.01.C herein above.*
- F.** The result of a periodic evaluation or performance review shall be a written recommendation. Such recommendation, shall be placed in the Personnel Action File of the faculty member being evaluated.
- G.** Substantive evaluations and final recommendations in all periodic evaluations and performance reviews shall require the participation of all elected committee members or the duly elected alternate, when an alternate is required under provisions of Section 3.03.A herein. Participation shall include review of the Working Personnel File of each faculty member being evaluated and attending each and every meeting of the committee at which substantive deliberations take place or final recommendations are made, or both.
- H.** All members of evaluation committees shall vote on all committee actions. Voting will be conducted by open ballot in closed sessions after careful and

deliberate evaluation and discussion of evidence presented to the committee, unless a member of the committee requests a secret ballot.

- I.* Recommendations of committees conducting periodic evaluations or performance reviews shall be adopted by a simple majority vote. An abstention shall count as a negative vote.
- J.* Recommendations made pursuant to this section shall be confidential except that the affected faculty member, the Department Chair and members of the department peer review committee shall have access to written recommendations.
- K.* In periodic evaluation or performance review, before a recommendation is forwarded to the subsequent level of review, the faculty member being evaluated shall be given a copy of the recommendation which shall state, in writing, the reasons for the recommendation. Such reasons shall be based on criteria for evaluation specified in this policy. The faculty member shall have the right to respond or submit a rebuttal statement, in writing, no later than seven (7) days following receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the Working Personnel Action File and also be sent to any previous level of review. Upon request, the faculty member may be provided an opportunity to discuss the recommendation with the recommending party. This provision shall, however, not require that the timelines be altered.
- L.* If there are omissions of documentation, information or recommendations in the materials submitted for review at a subsequent level, the materials may be returned for amplification. Such amplification shall be provided in a timely manner.

9.02 For Probationary and Full-Time Temporary Faculty

- A.* Prior to the start of the annual performance review cycle established by the University, the Department Chair shall establish a list of department faculty for whom a regular performance review is to be conducted and forward such list to the Primary RTP Committee.
- B.* As soon as the list of those to be evaluated is received, the Primary RTP Committee shall develop timelines for completion of the evaluation process and provide a copy of the schedule to each faculty member to be evaluated.

- C.** A performance review shall normally be required for (1) retention of a probationary faculty member, (2) award of regular tenure to a probationary faculty member, and (3) promotion consideration for a faculty member at the fifth step in his/her current rank.
- D.** A faculty member at the fifth step of his/her rank shall be automatically considered for promotion unless he/she requests, in writing that he/she not be considered. Such request shall be directed to the Department Chair.
- E.** A performance review for early tenure consideration or for promotion consideration from the fourth or lower step of a rank may be requested by a faculty member who considers himself/herself qualified under criteria specified in Sections 8.01.E and 8.01.F, respectively, in this policy. Such request shall be directed to the Department Chair not later than the appropriate file closure date.
- F.** A full-time temporary faculty member shall be evaluated after completion of each two (2) full semesters of teaching. The performance review shall take place during the fall or spring semester immediately following the completion of the two semesters of teaching.
- G.** Faculty members who are on joint appointments, or limited or non-teaching assignments and on leave shall be evaluated by the Primary RTP Committee if they would normally be subject to evaluation during that performance review cycle.
- H.** The Primary RTP Committee shall rank order faculty members being considered for promotion. Such ranking shall serve as a recommendation to the President.
- I.** Upon completion of a performance review, the Primary RTP Committee shall forward its recommendation and the Working Personnel Action File to the Department Chair who shall be responsible for forwarding such materials to the Secondary RTP Committee via the Dean of the School. Prior to forwarding such materials, the Primary RTP Committee shall satisfy the provisions of Section 9.01.K of this policy.
- J.** If a performance review being conducted by the Primary RTP Committee has not been completed within the specified period of time, the performance review shall be automatically transferred to the Department Chair for his/her evaluation and recommendation and the faculty member being evaluated shall be so notified.
- K.** At the completion of each phase of the performance review cycle, the Chair of the Primary RTP Committee shall deliver to the Department Chair all the ballots which have been used to make any determination with respect to retention,

tenure or promotion. The ballots shall be identified and placed in the custody of the Department Chair for a period of three (3) years following the date of the balloting. A faculty member who has been evaluated shall be entitled to have prompt access to the ballots cast in his/her behalf at any time, upon request, during the three (3) year period.

9.03 For Periodic Evaluation of Probationary Faculty Not Subject to Performance Review and Tenured Full Professors

- A.** A probationary faculty member who is not subject to performance review for retention or tenure during any performance review cycle shall be subject to periodic evaluation. The evaluation shall be for the previous academic year.
- B.** Each tenured full professor in the department shall be subject to periodic evaluation at least once every five years. The evaluation shall be for the five academic years prior to the academic year in which the evaluation takes place or the period since the last evaluation; whichever is less.
- C.** The order in which tenured full professors will be evaluated shall be determined by length of tenure on the department faculty with the faculty member with the longest tenure being evaluated first. Selection shall then continue in order of seniority.
- D.** The evaluation of probationary faculty not subject to performance review and tenured full professors shall occur during the fall semester.
- E.** The Committee for Periodic Review of Probationary Faculty Not Subject to Performance Review and Tenured Full Professors shall establish a timeline for the evaluation process and provide a copy of such timeline to each faculty member to be evaluated.
- F.** Upon completion of the evaluation process, the evaluation committee shall forward its recommendations to the Department Chair who shall in turn, forward them to the Dean for inclusion in the Personnel Action Files of those who have been evaluated. Such recommendations shall not be forwarded, however, until provisions of Section 9.01.K of this policy have been satisfied.

9.04 For Periodic Evaluation of Part-Time, Temporary Faculty

- A.** Part-time, temporary faculty members shall be evaluated annually between

March 1 and April 30. The evaluation shall be based on performance during the five (5) years immediately preceding the semester during which the evaluation is conducted.

- B.** The Committee(s) for Periodic Evaluation of Part-Time Temporary Faculty shall establish a timeline for the evaluation process and provide a copy of such timeline to each faculty member to be evaluated.
- C.** Upon completion of the evaluation process, a committee shall forward its recommendations to the Department Chair for inclusion in the Personnel Action Files of faculty members who have been evaluated. Prior to forwarding its recommendations, a committee shall satisfy the provisions of Section 9.01.K of this policy.

9.05 Role of the Department Chair

The Department Chair may conduct an independent evaluation of each faculty member subject to performance review or periodic evaluation. The recommendations resulting from such an evaluation shall be forwarded to the next level of review or placed in the Personnel Action File of the faculty member being evaluated, as appropriate. Prior to forwarding a recommendation or placing it in the Personnel Action File, the Department Chair shall satisfy the provisions of Section 9.01.K of this policy.

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