

Department of Government
California State University, Sacramento
(Revised 8/10/09)

APPOINTMENT, RETENTION, TENURE & PROMOTION POLICIES

I. HIRING PROCEDURES

- A. The Department Chair shall manage the Department's participation in the hiring of part-time faculty and full-time lecturers and probationary faculty under these procedures and the pertinent provisions of the UARTP Policy (PM 85-13), specifically sections 5.01 through 5.03, 6.01 through 6.12, and Article 12 of the MOU.
- B. Whenever filling a probationary position is anticipated, the Department Chair and the Department's Curriculum Committee shall jointly prepare the "Request for New Faculty Position" required by the current UARTP Policy.
- C. Criteria and Qualifications:
 - 1. All personnel actions shall be based solely on a candidate's ability, qualifications, experience, and fitness for the position.
 - 2. In the announcement of vacancies the following statement shall be added:

The earned doctorate is normally required for probationary appointment. However, in exceptional circumstances individuals without the earned doctorate may be appointed on the basis of academic preparation or professional expertness, or both, to be determined by the Government Department and the Office of Academic Affairs. Individuals not possessing an earned doctorate may receive a probationary appointment if completion of the degree within a specified period is made a condition of employment. Completion of the degree is normally required for tenure and/or promotion.
- D. The Hiring Committee shall consist of probationary and full-time tenured department faculty. The procedures for electing the Hiring Committee shall be as follows:
 - 1. The Chair shall initiate a call for volunteers to serve on the Committee and ask for nominations.

2. The Chair shall then distribute to all probationary and tenured faculty a ballot listing all probationary and full-time tenured faculty who have indicated their willingness to serve.
3. The ballot shall read: "Shall the following list of faculty to serve on the Hiring Committee be elected? Vote yes or no on each name."

As many as receive a majority of the votes of those casting a ballot shall be elected. The Department will ask whether any two of those elected will serve voluntarily as alternates. If no one volunteers, alternates will be chosen by random selection. The Hiring Committee shall consist of no fewer than three probationary and full-time tenured department faculty. At least one committee member must be a full-time tenured faculty member. The Committee shall elect one of its members to serve as Chair.

All substantive evaluations and final recommendations shall require the participation of all elected Committee members or duly elected alternates. No member shall vote to interview an applicant who has not attended each meeting at which applications were considered nor shall any member vote to recommend hiring an applicant, or to create a list of recommended applicants who has not reviewed each interviewed applicant's file and attended each meeting of the Hiring Committee at which any portion of the deliberations (including formal interviews) preceding the decisions to recommend or create a list has occurred.

- E. Prior to the first meeting of the Hiring Committee to consider applications, the Department Chair shall make the written applications and appropriate supporting materials available for review by every probationary and full-time tenured faculty member of the Department.
- F. The Hiring Committee shall adopt written screening criteria, selection criteria and interview questions to be used to decide whom to recommend.
- G. The Hiring Committee shall consider each application for the position in order to decide whether to interview the applicant. At least one third of the votes cast at a meeting of the Committee called to make these decisions shall be sufficient to include an applicant among those to be interviewed. The committee shall cease to consider applicants whom it decides not to interview.
- H. When the Hiring Committee has decided whom to interview, they shall interview the designated applicants at meetings called for that purpose. The Committee shall invite every probationary and full-time tenured Department faculty member to attend those meetings and to participate in the interviews. To facilitate comments by faculty members and students ineligible to participate in the formal interviews and the deliberations of the Hiring Committee, the Department Chair

may organize an informal event or events to which each applicant shall be invited. Consistent with University policy, each applicant shall be invited to the same type of event; but each need not be present at the same event. At the conclusion of these informal events, the Committee shall invite comments from the faculty members and students who participated in them for review by the Hiring Committee.

- I. When the Hiring Committee has completed their interviews, they will consider the applicants they have interviewed. After discussion, they will proceed as follows:
 1. It will decide by a majority vote of the participating probationary and tenured faculty, all Committee members or duly elected alternates being present, whether to recommend each applicant. An abstention shall count as a negative vote. Recommending one applicant will not preclude recommending others.
 2. If the Hiring Committee decides to recommend several applicants, they will create a list of as many places as recommended applicants. They will then decide by majority vote whether each applicant, taken in turn alphabetically, shall occupy each consecutive place on the list beginning with the last. An abstention shall count as a negative vote. A majority may assign a single applicant to more than one place. If the Hiring Committee does not assign an applicant to any place they will have rejected any further consideration of that applicant.
 3. If the Hiring Committee assigns more than one applicant to a place on the list, they shall proceed to break these "ties" as follows:
 - a. A member may move that one of the "tied" applicants have the place. Another member may move that one of the other "tied" applicants be substituted for it. A third may move a substitute to the substitute.
 - b. The Hiring Committee shall adopt or reject these motions until one applicant has the place.
 - c. If a fourth applicant is "tied" for a place, a motion to give him or her the place may be made as a substitute to the substitute as soon as the Committee has reduced the number of pending amendments to one. At no time shall more than two amendments be simultaneously before the Hiring Committee.
 4. A single applicant may hold more than one place on the list, but no more than one applicant may hold each place on the list.

- J. When the Hiring Committee has assigned no more than one applicant to each place on the list, the Department Chair shall recommend to the President of the University that offers be made to each succeeding applicant from first to last in the order determined by the Hiring Committee's list.
- K. Any recommendation to hire above the rank of assistant professor must be approved by a majority of the faculty present and voting at a meeting called to decide the question. Prior to the vote on the motion to approve, the Department Chair shall invite the comments of all full-time faculty of the Department.
- L. No offer of full-time employment shall be made by any other procedure.

II. PART-TIME EMPLOYMENT

See attached policy.

III. RETENTION, TENURE AND PROMOTION POLICIES AND PROCEDURES

- A. It shall be the responsibility of the Department Chair each academic year to initiate and supervise the operation of the following policies and procedures in accordance with the time schedule specified by the University and the School of Arts and Sciences. It shall also be the duty of the Department Chair to certify in writing that every member of the RTP committee has given written affirmation of having studied all of the files under consideration prior to discussing or acting on any of them. The Chair's written certification shall be placed in the Personnel Action File of each of the candidates under consideration. The Chair shall keep a log of all instances of access to the Personnel Action Files. Prior to the beginning of any evaluation, the Chair shall make available to every faculty member being evaluated, a copy of the evaluation criteria and procedures.
- B. The Department RTP Evaluation Committee shall be composed at most of five elected, tenured members of the department and the Department Chair serving as an ex-officio voting member. If one or two elected members become unable or ineligible to serve, the committee shall continue to function without a further election of members, but in no case shall the committee function with fewer than three elected members. If three or more elected members become ineligible to serve, the department shall hold an election to supply enough elected members to enable the committee to function. In every case, the elected members shall be chosen by a majority of all tenured and probationary faculty voting in an election called for that purpose. FERP faculty may serve during their employment in the department but not otherwise. In no case may the committee be composed entirely of FERP faculty. Each of the elected members shall hold an academic rank higher than that of the faculty members being evaluated. Even though the Department Chair shall serve as an ex-officio, voting member of the Committee,

the Department Chair may not be an elected member or Chair of the RTP Evaluation Committee. A faculty member may not serve on any primary or secondary ARTP committee during the cycle in which he or she is being considered for tenure or promotion.

1. Functions of the committee:

- a. To evaluate and make recommendations to the President about retention and tenure in accordance with the criteria and procedures established in C & D below;
- b. To evaluate faculty members' eligibility for promotion in accordance with the criteria and procedures established in C & D below and to recommend to the President a ranked ordering of those it finds deserving of promotion; and
- c. To prepare a written statement explaining the basis of each of its recommendations. This statement shall become a part of the Personnel Action File of each person considered for retention, tenure, or promotion.

2. Meetings.

- a. The Committee shall meet at the call of its Chair or at the request of the Department Chair.
- b. Meetings are open only to RTP committee members and the Department Chair, who serves ex-officio. State law and University policy guarantee to faculty the right of confidentiality. Consequently, substantive deliberations of the Committee having to do with retention, tenure and promotion are open only to RTP Committee members and the Department Chair, who serves ex-officio. Any violation of the confidentiality requirements of the ARTP process is "presumed to be unprofessional conduct."
- c. Every member and alternate member of the RTP Committee must participate in its deliberations. Participation includes studying the files under consideration prior to discussing or acting on any of them.

C. Expectations and Criteria for Retention, Tenure, and Promotion

- 1. The Department of Government has the following general performance expectations for retention, tenure, and promotion to all ranks.

a. Teaching Effectiveness

This factor must be given the greatest weight of any factor when evaluating candidates. The department considers good teaching to be the fundamental and essential task of all faculty members. In this context, greatest weight shall mean 60%.

- (1) Expectations. The department recognizes that there is no one model for good teaching. It is committed to a pluralism of teaching styles. The following expectations are included in teaching effectiveness:
 - (a) Content mastery and currency in the field. The faculty member being considered for retention, tenure, and promotion should demonstrate knowledge of his/her field, be well-organized, show evidence of periodic course redesign, and assign appropriate and current materials in the field.
 - (b) Student/faculty rapport. The faculty member should create an environment which motivates students to learn, stimulates intellectual curiosity and a love of the subject, and encourages students to become active learners. He/she should show respect for students, give attention to students as individuals, and be approachable within and outside the classroom.
 - (c) Good pedagogical practice. The faculty member should develop and use teaching techniques which facilitate communication of complex subjects and issues to the students. For each course there must be an appropriate assessment plan to demonstrate achievement of academic goals and student learning.
 - (d) Good classroom management. The faculty member should accept his/her professional responsibilities, including meeting all classes (unless ill or otherwise excused), keeping office hours, and undertaking student advising. There should be adequate and timely feedback on tests and other assignments.

b. Scholarly and Creative Achievements

All faculty have a responsibility to conduct scholarly work in research, teaching, or service in order to contribute to the body of knowledge in their field(s) and to enrich their teaching. In this context, such achievements shall be weighted at 20% when evaluating candidates.

- (1) Expectations. The department is committed to a broad definition of what constitutes scholarly and creative achievements. A scholar is, above all, someone who is dedicated to lifelong learning and inquiry. The department recognizes that there are many different expressions of scholarship. However, an active program of scholarly or creative work usually involves processes of discovery, integration, interpretation, and/or application of knowledge. And whatever its form, scholarship and creative activity must have a public dimension, which means that it should address an appropriate audience outside the classroom and there must be a product. For the most part, the department expects an active research agenda commensurate with rank.

c. Contributions to the Institution and to the Community. These achievements shall be weighted at 20% when evaluating candidates.

- (1) Expectations--the Institution. The department values faculty governance and expects its members to be collegial and take an active role in the affairs of the institution. The department expects its members to serve on department committees and to take responsibility for the well being of the department. Members are also encouraged to serve on active college and/or University committees and to participate in college and/or University programs and activities. For the most part, the department expects increased responsibility with increased time of service.
- (2) Expectations--the Community. The department encourages its members to volunteer their services to the community in ways which are consistent with the profession.

2. The Department of Government has the following criteria for evaluation of retention, tenure, and promotion for all ranks.

- a. Evaluation of Teaching Effectiveness. The department is committed to the use of multiple sources of data. The criteria for evaluation of teaching effectiveness should include the following evidence of support:
- (1) Material offered by the individual faculty member who is being considered for retention, tenure or promotion including at a minimum course syllabi, copies of examinations, study guides, and other instructional materials; evidence that the course materials are consistent with the stated course goals; evidence in the course materials of pedagogical development, and any teaching awards or honors.
 - (2) Results of assessment of student learning and samples of student work.
 - (3) Nature of teaching assignment: number of course preparations, variety of courses, class enrollment sizes, level of courses taught (lower, upper, graduate, required, code, elective).
 - (4) Departmentally approved standardized student course evaluations in all classes.
 - (5) Results of class visitations.
- b. Additional helpful evidence of teaching effectiveness may include:
- (1) Development of any new courses.
 - (2) Professional development related to instruction.
 - (3) Supervision of independent study projects and theses.
 - (4) Evidence of mentoring and student advising.
 - (5) Material offered by professional colleagues both on and off campus such as letters of evaluation and recommendation regarding teaching performance, teaching awards or honors, opinions, and/or evaluation of peers.
 - (6) Written student testimony including letters, emails, etc. submitted by the faculty member. The department also

invites, with posted notices, signed student testimony in addition to student evaluations. The department chooses not to receive student oral testimony.

- c. Evaluation of scholarly and creative achievements. Evidence may include:
 - (1) Publication in print or electronic media of articles, books, reviews, and research papers consistent with the mission of the University.
 - (2) Unpublished manuscripts
 - (3) Presentations at seminars, workshops, conferences, etc.
 - (4) Reports generated from grants or consultancies.
 - (5) Participation in the activities of professional organizations
 - (6) Recognition and awards in the profession.
 - (7) Scholarship using multimedia and the World Wide Web.
- d. Evaluation of contributions to the Institution and the Community.
 - (1) The Institution. Evidence may include:
 - (a) Service on active departmental, college, or University committees.
 - (b) Participation in program development or review or other special assignments.
 - (c) Peer coaching
 - (d) Extraordinary advising responsibilities
 - (e) Service to student organizations
 - (f) Work with alumni groups
 - (g) Other University activities.

- (2) The Community. Evidence may include:
 - (a) Any essentially volunteer or pro bono service to any governmental or related organizations.
 - (b) Educational lectures, speeches, participation in non-academic conferences, etc.
 - (c) Interviews with the media

D. Procedures for applying the criteria.

- 1. The RTP Committee shall base its evaluation exclusively upon the contents of the Working Personnel Action File. This file is defined as that portion of the Personnel Action File which is relevant to the decision to retain or promote the faculty member.

- a. Preparing for Evaluation

Each faculty member has the responsibility of gathering and submitting to his/her Personnel Action File the materials he/she judges to be a suitable basis of an evaluation in terms of the criteria set forth in Section C above.

The Department Chair shall alert the faculty in advance of the deadline by which they must submit materials to their Personnel Action File for inclusion in the basis of evaluation. The Department Chair shall remind eligible faculty of their right to submit material directly to the Personnel Action File and to include it physically, if practical, or by reference in the Working Personnel Action File without permission of the custodian of the file. On the request of a faculty member being evaluated, the Chair may assist the faculty member to develop his/her submissions to the Personnel Action File.

- b. The Personnel Action File.

If the Department Chair is designated as the custodian of the Personnel Action File, he/she shall maintain the file in the Department office.

- (1) The Personnel Action File shall include:
 - (a) A current resume.

- (b) A copy of the Statement of Professional Preparation and Experience.
 - (c) A copy of the letter of appointment.
 - (d) Copies of departmental recommendations on retention, tenure, or promotion.
 - (e) Copies of recommendations made by the department/school ARTP Committee and appropriate administrators regarding promotion, retention and tenure.
 - (f) An index of all materials submitted by the faculty member on each occasion of evaluation. The faculty member must prepare this index.
 - (g) Other communications or materials required by department/school/division policy.
- (2) The Personnel Action File may include physically, if practical, or by reference:
- (a) Data on qualifications for teaching, such as degrees, experience, etc.
 - (b) Data on teaching excellence such as personally devised student evaluations, letters of commendation, etc.
 - (c) Data on professional contributions, such as publications, research activities, etc.
 - (d) Data on contributions to the University, such as committee memberships, special assignments, etc.
 - (e) Any other pertinent material.
- (3) Any signed written communication may be placed in the Personnel Action File by-the custodian of the file. However, the custodian shall give the faculty member a copy of any material to be placed in his/her Personnel Action File at least five (5) days before such material is placed in the file. No unsigned communications shall be

placed in the file except the results of an evaluation based on a standardized instrument.

- (4) If, after examination of the Personnel Action File, the faculty member believes that any portion of it is not accurate, timely, relevant or complete, he or she may request in writing a correction of the material or a deletion of a portion of the material or both. Such a request shall be addressed to the custodian of the file, with copies to the appropriate faculty Committee, if such material was generated by a faculty Committee, and the appropriate administrator. The request shall include a written statement by the faculty member as to the corrections and/or deletions that he/she believes should be made, and the facts and reasons supporting such request.

Such request shall become part of the Personnel Action File, except in those instances in which the disputed material has been removed from the file.

- (5) If the custodian of the file denies the faculty member's request to correct material or delete it from the file, the faculty member shall have the right to submit the request to the President no later than seven (7) days after the date of such denial. Within twenty-one (21) days of such a request to the President, the President shall provide a written response to the faculty member. If the President grants the request, the record shall be corrected or the deletions made, and the employee shall be sent a written statement to that effect. If the President denies the request, his/her response shall include the reason(s) for the denial.

2. The Evaluation Committee shall in all cases review and make a written summary and evaluation of the materials in the Working Personnel Action File. The written summary and evaluation shall be placed in the candidate's Working Personnel Action File, which is the basis for all personnel actions.
3. The Evaluation Committee shall prepare and the Department shall adopt a standard, open-ended written student evaluation questionnaire. This questionnaire shall be administered under supervision of the Evaluation Committee each semester in all classes of all faculty members.

4. Early in each promotion cycle, the Committee shall specify a date by which faculty being considered shall have completed the preparation of the Working Personnel Action File. Normally, that date shall be as near as practical to the moment the Committee members each begin to examine the files. Thereafter, neither the faculty member nor the custodian shall add anything to the Working Personnel Action File unless each member of the Committee is notified of the fact and affirms in writing that he/she has examined the additional material and incorporated an evaluation of it into his/her evaluation of the candidate. The RTP Committee Chair shall certify in writing that every member of the Committee has given this additional written affirmation as provided in Item II A of these procedures.
5. After studying each Working Personnel Action File, each Committee member shall, in his/her own deliberation recommend to promote or not to promote each candidate. Each Committee member shall also, in his/her own deliberation, rank each candidate for promotion from I to X—depending on the number of candidates involved—within each of the three categories specified in III.C above using the relative weightings required. From these rankings each Committee member shall derive a general ranking. Each member's recommendations and general ranking shall be submitted to the Committee Chair on or before the established deadline.

After each Committee member submits his/her final rankings, the Committee Chair will add together the rankings for each candidate. If a committee member abstains from deciding to recommend a candidate or to assign him or her a place in the rank order of candidates, that abstention shall be counted as a decision not to recommend or to rank. The ranking produced by the sum of these rankings shall constitute the departmental ranking.

6. In the event one or more members of the Committee decline in their own deliberation to recommend a candidate for retention, tenure, or promotion, the Committee shall decide after discussion and a formal vote whether all candidates shall be recommended for promotion or whether any one or several candidates should not be so recommended. If a Committee member abstains from voting that abstention shall be counted as a negative vote.
7. The Committee Chair shall prepare the ARTP Summary Form to be submitted to the Arts and Sciences RTP Committee. The Evaluation Committee shall review the draft of each form at a meeting called for that purpose and shall approve it by a simple majority of the Committee. An abstention shall count as a negative vote.

Each candidate whom the Committee has evaluated must read and sign the completed ARTP form before it is submitted to the Arts and Sciences RTP Committee. This signature does not necessarily indicate agreement with the Department's ranking and recommendations. The custodian of the file shall place a copy of the ARTP Summary Form in the candidates Personnel Action File.

If a candidate wishes to respond to a recommendation arising out of an evaluation, he/she must respond or submit a rebuttal statement or response in writing no later than seven (7) days following receipt of a written copy of the recommendation and the reasons for it. A copy of the response or rebuttal statement shall accompany the Working Personnel Action File.

E. Recommendations

1. The Chair shall promptly forward the Evaluation Committee's recommendations, together with the Working Personnel Action File of every faculty member considered by the Committee to the President of the University via the School of Arts and Sciences ARTP Committee. If a faculty member requests in writing not to be considered for promotion, the Chair need not forward his/her file.
2. If the Evaluations Committee fails to complete its recommendations by the deadline established by the University, it shall be discharged from further deliberations and the Department Chair shall forward the Working Personnel Action Files of every faculty member under consideration to the next level of review. In this case, the Department Chair shall give written notice to each of the faculty members under consideration that their files have been forwarded.

F. Committee Options

1. The Evaluations Committee may recommend for or against retention, tenure or promotion.
2. Faculty hired after October 1, 1983, shall normally serve a probationary period amounting to six years of credited service or of full-time probationary service. The Evaluation Committee and appropriate administrators may recommend to the President an earlier termination of probation by an award of tenure.
3. The Evaluation Committee may recommend promotion of a probationary faculty member to the rank of associate.

4. The Evaluation Committee may recommend a faculty member for promotion to professor from a step lower than the highest step in the associate rank only if the faculty member applies for early promotion.