CALIFORNIA STATE UNIVERSITY, EAST BAY
RETENTION, TENURE, AND PROMOTION POLICY AND PROCEDURES

(75-76 BEC 42/74-75 CFA 7: Senate Approved May 11, 1976;
President Approved, May 17, 1976)*

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RETENTION, TENURE, AND PROMOTION POLICY AND PROCEDURES

1.0 INTRODUCTORY STATEMENT

The retention, tenure, and promotion policy of the University is designed to assure, within the policies of the Trustees of the California State University and the Collective Bargaining Agreement, that (1) excellence in the educational function will be recognized and rewarded, and that (2) the quality of the

of the need to maintain a dossier and the kinds of evidence to be included in it. The Department Chair shall also file a copy of the appropriate policy document in the faculty member's dossier, together with the following statement signed by the new faculty member:

3.1.4 Having received the documentation and recommendations from lower levels, the President shall notify the candidate, in writing, of his or her decision. The President's notification shall be made in conformity with the appropriate deadline date as specified on the final page of this document.

3.2 Conflicts of Interest

3.2.1 *Regarding candidates for promotion*: The procedures for election of faculty Committees at each level are specified in Sections 10.1, 11.1, and 12.1 of this document. However, no faculty member who is a candidate for promotion shall serve in any capacity on any Tenure and Promotion Committee during the period between July 1 and June 30 when he or she is a candidate for promotion.

3.2.2 *Regarding Department Chairs:*

a. No Department Chair or College Dean who is currently a candidate for promotion shall write an official letter of evaluation in his or her own behalf.

b. No Department Chair shall write a letter of evaluation for any candidate in the department seeking promotion to a higher rank than the Department Chair currently holds. The Chair of the Department Committee shall include a notice in the WPAF of each affected candidate accounting for the absence of a letter from the Department Chair, and shall forward the recommendation of the Department Committee for each such candidate to the College Committee via the Office of the College Dean.

3.3 Candidate's Personnel Action File (PAF), Working Personal Action File (WPAF), Dossier, and Related Materials

3.3.1 Definitions of Terms

a. "Personnel Action File" (hereafter abbreviated as "PAF") refers to the official personnel file containing employment information and other information relevant to personnel recommendations or actions regarding a faculty unit employee. These materials normally

rtment, and other materials relating specifically to

during the cycle of evaluation and will be available to all levels of review. No material may be

b.

, in a cycle of evaluation. Folder

r of appointment and numerical teaching evaluations from the start of the period of eligibility; as well as all materials generated during the evaluation cycle, such as the dossier index, *curriculum vitae*, and evaluations by the faculty Committees, the Department Chair, and the College Dean. Other materials may be added during the cycle with the permission of the University Committee.

In cases of tenure and promotion, Folder # 1 refers to the tenure folder; and Folder # 2 refers to the promotion folder, which contains the same material as the tenure folder but in reference to promotion.

c. The "dossier" refers to the evidence provided by the candidate.

refers to the table of contents of the dossier, which forms the official record of the evidence in the dossier.

e. "Working Personnel Action File" (hereafter abbreviated as "WPAF") refers to Folder # 1 (and Folder # 2 where relevant) and the dossier *combined*, and is circulated to the different levels of review in an evaluation cycle.

refers to all materials in the WPAF

(5) All student evaluation materials for each course evaluated more than five academic years before the current consideration shall be returned to the candidate. This shall not preclude the candidate from adding these evaluations to the dossier.

3.4 Maintenance of a Uniform WPAF

In making recommendations neither the faculty Committees, nor the Department Chair, nor the College Dean, nor the President shall take into account evidence which has not been available to each of the reviewing bodies.

3.4.1 Ideally, a candidate's appeal at any level should be finished before the transmittal of the WPAF to the next level. In the event a deadline requires that the WPAF be sent forward before an appeal is concluded, the written responses to the appeal shall follow the WPAF as soon as possible.

3.4.2 The deadline for insertion of documentation into the PAF (for Folder # 1) and the dossier will be October 23 for candidates for promotion or tenure; November 15 for first and second year retention candidates; and February 1 for third, fourth, and fifth year retention candidates. Such documentation may include information provided by the candidate, faculty unit employees, students, academic administrators, and the President. Faculty unit employees and academic administrators may submit statements and opinions about the qualifications and work of the candidate provided by other persons identified by name.

3.4.3 Any new evidence submitted after the deadline shall be limited to items that became accessible after the deadline and must have the approval of the University Committee for inclusion. This new evidence will be submitted in proper sequence to each reviewing body so that each body in turn may indicate the extent, if any, to which the new evidence has modified its previous recommendation. WPAFs will not be returned for such reviews.

3.4.4 The candidate will receive copies of all materials submitted to the WPAF by any person other than himself or herself.

3.5 Retention, Tenure, and Promotion Committees

Tenure, and Promotion Committee; the College Tenure and Promotion Committee; and the University Tenure and Promotion Committee.

3.5.1 The Department Committee may be a single Retention, Tenure, and Promotion Committee; or a separate Retention Committee and a separate Tenure and Promotion Committee, depending on the availability of eligible faculty to serve.

3.5.2 The College Committee is a Tenure and Promotion Committee only, but may be asked to evaluate applications for retention under certain circumstances.

3.5.3 The University Committee is a Tenure and Promotion Committee only, but may be asked to evaluate applications for retention under certain conditions.

3.6 Committee Operations at All Levels

3.6.1 The Committees shall serve for a term of one year, from July 1 through June 30. Those eligible may not serve at more than one level simultaneously.

3.6.2 *Eligibility to vote*: Those eligible to *vote* for members of the Committees are the probationary and tenured Regular Faculty of Departments and Colleges as defined by the Constitution of the University Faculty. No person not a member of the faculty unit under provisions of the CBA shall be eligible to vote in elections for the Committees.

3.6.3

especially alert for this problem, and empowers it to undertake whatever special investigation may be necessary to evaluate the degree of bias at lower levels of review and to make appropriate recommendations to the President. A candidate for retention, notwithstanding the fact that his or her case does not ordinarily go to the University Committee, may have similar recourse to that Committee on charges of bias, as specified in Section 11.2.9 of this document.

3.10 Deadlines

3.10.1 Deadline dates for retention, tenure, and promotion proceedings are listed on the final page of this document. These deadlines are established not only for administrative convenience and legal requirements, but also to ensure equitable consideration of all cases.

3.10.2 The candidate must submit the completed dossier to the Department Chair and the dossier index by the specified deadline date. Upon written request of the candidate, the Department Chair may extend the deadline, but only for the most compelling reasons, and for no more than two weeks.

a. A candidate who submits the dossier after the established deadline will not be considered for promotion that year, and the Department Chair shall so notify the College Dean in writing, with a copy to the candidate.

b. If a candidate for retention or tenure fails to comply with the obligation to provide a dossier of materials within the established deadlines, then in accordance with Article 15.12 of the CBA, the evaluation will proceed on the basis of material deemed appropriate by the Department Chair after consultation with the College Dean.

3.10. 3 WPAFs shall be transferred to the next level of review or administrator as soon as possible, and in no case later than the deadline date. If a recommendation is unfinished by the deadline, the candidate shall be so notified, and a copy of the notification shall be attached to the WPAF. (See Article 15.44 of the CBA.) At any stage of the review process, if there are omissions of documentation, information, or recommendations, it may be returned for amplification. Such amplification shall be provided in a timely manner.

4.0 DEFINITION OF

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5.3.1 Each untenured probationary faculty member shall be evaluated for retention each year, in accordance with the procedures outlined in sections 3.0 and 10.0 of this document.

5.3.2 A faculty member who is serving in a terminal "notice" year may request that the previous negative decision on reappointment be reconsidered. The Department Promotion and Tenure Committee shall evaluate new evidence provided by the faculty member, and shall recommend that the request be granted or denied; it shall forward the WPAF, with the new evidence, to the Department Chair. The Department Chair shall recommend that the request be granted or denied; he or she shall then forward both the recommendations to the President. If the President grants the request, reconsideration shall be accomplished on the same basis and according to the same criteria as if it were a regular consideration for reappointment. A request for reconsideration will be denied if a grievance has been filed on the matter of reappointment and has not been withdrawn.

6.0 TENURE

6.1 Expectations

Tenure constitutes more than recognition of past teaching performance and scholarly work. It is a judgment by the faculty that the candidate will continue to contribute into the future to the development of the University. Tenure is a commitment (into the future) in anticipation of contributions to the University in the areas of instructional achievement, professional achievement, university service, and community service, and should only be granted within this framework.

6.2 Eligibility

Eligibility for tenure is governed by the CBA, Article 13. The major provisions follow.

6.2.1 A probationary faculty member is subject to review according to these procedures for the purpose of the award of tenure.

6.2.2

7.5.2 An Assistant Professor who has not completed the probationary period but has completed at least one year of full-time service to the University and wishes to be considered for early promotion must submit to the Department Chair a written letter titled "Request for Consideration for Early Promotion," which will be included in the candidate's WPAF. Such a request shall not be considered beyond the Department level unless a positive recommendation is received from the Department Committee or from the Department Chair.

7.5.3 To be considered for promotion under these circumstances, a candidate's dossier must contain evidence of extraordinary achievement or recognition under either the instructional or professional criteria while also satisfying the other criteria appropriate to that promotional level.

7.5.4 The calendar and sequence of evaluation for early promotion to Associate Professor will be the same as those for normal promotion to Associate Professor.

7.5.5 The Department Committee and the Department Chair, as well as the College Committee and the Dean, must each complete a

8.3.3 *University Service* (see Section 4.4).

8.3.4 *Community Service* (see Section 4.5).

8.4 Procedures

Evaluation for promotion at this level shall take place according to procedures specified in Sections 3.0, 10.0, 11.0, and 12.0 of this document.

8.5 Early Promotion to Full Professor

8.5.1 Promotion to Professor prior to attaining eligibility is exceptional and is reserved for those individuals who have demonstrated exceptional professional value to the University.

8.5.2 An Associate Professor who wishes to be considered for early promotion must submit to the Department Chair a written letter titled "Request for Consideration for Early Promotion," which will be included in the candidate's WPAF. Such a request shall not be considered beyond the Department level unless a positive recommendation is received from the Department Promotion and Tenure Committee or from the Department Chair.

8.5.3 To be considered for promotion under these circumstances, a candidate's dossier must contain evidence of extraordinary achievement or recognition under either the instructional or professional criteria while also satisfying the other criteria appropriate to that promotional level.

8.5.4 The calendar and sequence of evaluation for early promotion to Full Professor will be the same as those for normal promotion to Full Professor.

8.5.5 The Department Committee and the Department Chair, as well as the College Committee and the Dean,
separate letters that the candidate has demonstrated exceptional professional value to the University.

9.0 CANDIDATES WITH JOINT APPOINTMENTS, ADMINISTRATIVE APPOINTMENTS, RESEARCH GRANTS, AND/OR ASSIGNED TIME FOR PROFESSIONAL ACHIEVEMENT

9.1 Joint Appointments

9.1.1 Criteria

A candidate holding a joint appointment in any rank will be evaluated according to the uniform criteria in section 4.0 of this document.

9.1.2 Eligibility

The candidate will meet the same eligibility requirements as all other faculty.

9.1.3 Procedures

Procedures for candidates with joint appointment are the same as for all other faculty, with the following considerations:

a. The candidate will be evaluated in his or her designated home department;
b. The candidate may request an evaluation by his or her other department or departments;
c. The home Department Committee or Department Chair may request an evaluation of the candidate by his or her other department or departments.

9.2 Administrative Assignments

9.2.1 A candidate who is a regular member of a department faculty and who serves wholly or partially in an administrative assignment shall be judged for tenure and promotion upon his or her performance in both his or her administrative and faculty positions.

9.2.2 Candidates with administrative appointments will not be penalized for having fewer opportunities to demonstrate instructional achievement and for potentially providing fewer course evaluations in their WPAFs than other applicants for retention, tenure, and promotion.

9.2.3

judgment of the Committees, Department Chair, and Dean.

9.2.4 Procedures for a candidate with an administrative assignment are the same as for all other faculty, except that the candidate should include evidence in his or her dossier of work completed under the administrative assignment.

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9.3 Candidates with Research Grants

9.3.1 Candidates with research grants that fund assigned time will not be penalized for having fewer opportunities to demonstrate instructional achievement and for potentially providing fewer course evaluations in their WPAFs than other applicants for retention, tenure, and promotion.

9.3.2 Such candidates will be held to high standards of professional achievement.

9.4 Candidates with Assigned Time for Professional Achievement

9.4.1 Candidates with assigned time for professional achievement will not be penalized for having fewer opportunities to demonstrate instructional achievement and for potentially providing fewer course evaluations in their WPAFs than other applicants for retention, tenure, and promotion.

9.4.2 Such candidates will be held to high standards of professional achievement.

d. reviewing with the Committee the procedure, criteria and eligibility requirements appropriate to the cases before the Committee;

PAF and teaching evaluations on file at the department as part of their deliberations.

10.2.2 The Department Committee shall carefully examine all the documentation supporting each candidacy, and may seek additional relevant evidence and consult with other department faculty. Any additional evidence, with the exception of original student evaluations on file at the Department Office, must be approved by the University Committee for inclusion in the WPAF, in accordance with section 3.4 of this document.

10.2.3 The Committee shall make a recommendation, which shall be expressed in the form of a vote. The voting option shall be "yes" or "no." The Committee's recommendation will be deemed favorable only if a majority of "yes" votes is obtained. The total membership of the Committee, rather than those present, is to form the basis for determining a majority. All members of the Committee must vote on each candidate.
by the uniform criteria in this document, and the depa
professional achievement.

10.2.4 The Committee shall thereafter return each WPAF to the Department Chair. A single letter from the Committee shall be included in the WPAF, stating the recommendation and summarizing both favorable and unfavorable views relative to the recommendation. In the absence of a unanimous vote, majority and minority opinions must be provided separately in the letter (see Section 3.6.6). The letter as a whole must be signed by each member of the Committee. These signatures shall be obtained only after completion of the procedures described in Sections 10.2.1 and 10.2.2 above.

10.2.5 The Committee shall notify the faculty member of its recommendation and provide the faculty member with a copy of the Committee's letter of recommendation no later than the deadline date for transmittal of WPAFs to Department Chairs. Official date of receipt of the letter shall be defined as the deadline date.

a. If the recommendation is *negative*, the candidate may request reconsideration, may submit a

recommendation must be made within ten (10) calendar days after the date of receipt of the letter.

b. The *meeting* will be held as soon as possible, but normally not later than five (5) academic working days after the Chair has received the request from the candidate. A rebuttal letter shall be read by the Chair. A copy of the rebuttal letter shall be provided by the Chair to the Department Committee. If there has been a meeting and/or submission of a rebuttal letter, the Chair shall write a subsequent recommendation to be forwarded as soon as possible to the College level, with copies to the Department Committee and the candidate.

10.2.7 The candidate who has received *an unfavorable recommendation* on promotion may request in writing to the Department Chair that his or her case be withdrawn from consideration and that the dossier not be forwarded; on receipt of such a request the Chair shall take the necessary action to withdraw the candidate's case from further consideration during that academic year.

10.2.8 In retention cases where the Department Committee and the Department Chair disagree in their recommendations, the case shall be forwarded to the College Committee for its separate recommendation, in accordance with provisions of Section 3.1.2.

11.0 REVIEW BY THE COLLEGE

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Committee to determine the number of members of the University Committee to be elected from each College for service in the following academic year.

12.1.2 The College Dean shall arrange for the nomination and election of the member(s) of the University Committee from the College. The number of nominees shall be at least twice the number of members to be elected. Balloting shall be secret and conducted over a period of at least five academic days. This election shall be held no later than May 1. The College Dean shall exercise proper security measures over the ballots.

12.1.3 Those eligible to vote shall be the Regular Members of the College Faculty, in accordance with provisions of Section 3.6.2.

12.1.4 Those eligible to serve shall be the Regular Members of the College Faculty subject to the provisions of Section 3.6.3, and of Section 12.1.5 below.

12.1.5 The following are not be eligible to serve on the University Committee:

a. those faculty members who have served two previous terms on the University Committee during the preceding five years, including the year in which the election is being held;

b. receive the WPAFs accompanying each candidacy and arrange, so far as possible, for their grouping and consideration by types of candidacy;

PAF and teaching evaluations on file at the department as part of their deliberations;

d. examine, together with the Committee, all of the documentation in the candidate's WPAF and, should the Committee so desire, seek additional oral or written statements from the candidate or other members of the Faculty and make all materials available to the Committee;

e. encourage full and frank discussion, in Committee session, of the strengths and weaknesses of each candidacy before voting takes place on that candidacy;

f. transmit to the President the final recommendation on each candidacy; no recommendations will be transmitted until all the have been evaluated or until the established deadline date for recommendation to the President;

g. accept candidacy dossiers after the deadline, but only with a letter of explanation for such delay from the candidate's Department Chair and/or College Dean on approval by the University Committee.

12.2.4 The primary functions of the Committee shall be to:

a. ensure consistency and appropriateness in the application of criteria and procedures within and among departments and/or Colleges;

b. determine whether professional or personal bias has played a part in the making of recommendations at lower levels;

c. carefully examine all documentation supporting each candidacy and make a recommendation in the form of a vote.

12.2.5 *In cases of special review for bias:*

a. In order to make such a determination, the Committee may undertake a special review of the case to obtain such additional information as it deems necessary.

b. If the Committee finds bias it may so note in making its own substantive recommendation to the President. Alternatively, the Committee may recommend to the President that the case be reconsidered at lower levels in such a way as to eliminate the source of bias, provided such reconsideration is possible under applicable deadlines.

c. If the Committee determines, following receipt of a request for investigation under Section 11.2.9, that there is not sufficient evidence of bias to justify an investigation, it shall so inform the candidate, the College Dean, and the President.

12.2.6 *Regarding professional criteria*:

In making its recommendation, unless bias is at issue, the Committee shall decline to pass judgment on the specialized professional qualifications of the candidate but, rather, shall accept the judgment of those in the discipline of the candidate or in kindred disciplines regarding specialized professional qualifications. Members of the University Committee shall act as representatives of the entire University, rather than of a department or a College.

12.2.7 Each member of the Committee, including the Chair, shall vote. The voting option shall be "yes" or "no." The Committee's recommendation will be read as a favorable one only if a majority of

the total membership of the Committee votes "yes." All members of the Committee shall vote on each candidacy.

12.2.8 The Committee may return to any dossier and reopen discussion and voting up to the deadline date when final recommendations must reach the President.

12.2.9 A single letter from the Committee shall be included in the WPAF, stating the recommendation and summarizing both favorable and unfavorable views. In the absence of a unanimous vote, majority and minority opinions must be provided separately in the letter (see section 3.6.6). The letter as a whole must be signed by each member at the conclusion of the deliberations of the Committee

16. RETENTION, TENURE, AND PROMOTION TIMELINE

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                    RETENTION
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   1st year         3rd year
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