

## **Reappointment, Tenure, and Promotion: Procedures**

### 1.0 Definitions and Eligibility

#### 1.1 Personnel Decisions

- 1.1.1 Personnel decisions shall include decisions regarding appointment, reappointment, tenure, and promotion.
- 1.1.2 Faculty participation shall be in accord with Title 5 of the California Code of Regulations, the Collective Bargaining Agreement (CBA), and university policy. University policy shall not contradict or be inconsistent with the Collective Bargaining Agreement. In the event of conflict between any university, college, or department/school policy and the Collective Bargaining Agreement. The Collective Bargaining Agreement shall govern.
- 1.1.3 Faculty employees, students, academic administrators, and the President may contribute information to the evaluation of a faculty employee. Only tenured faculty employees and academic department administrators shall engage in deliberations and make recommendations to the President (or designee) regarding the evaluation of a faculty employee.

#### 1.2 Probationary Period

- 1.2.1 The normal probationary period shall be six years of full-time probationary service. Probationary faculty may request consideration for tenure earlier than the sixth year if the faculty employee believes he or she has satisfied the criteria for tenure.
- 1.2.2 The President or designee may award tenure to a faculty employee before the normal six-year probationary period.
- 1.2.3 A first- or second-year probationary academic employee may be terminated with proper notice at the end of that academic year. Terminal year appointments shall be limited to probationary faculty who have served a minimum of three years of probation.
- 1.2.4 When the President or designee determines that credit toward tenure or tenure at San Diego State University shall be granted, the candidate's letter of appointment shall specify status with regard to tenure or credit toward tenure. In calculating the probationary period, a year of service shall commence with the first fall semester of the appointment.
- 1.2.5 A probationary faculty employee shall normally be considered for promotion when considered for tenure.

#### 1.3 Promotion

- 1.3.1 A tenured faculty employee shall normally be considered for promotion after having served four years in the same rank or classification, although upon application, a faculty employee may be considered for promotion to professor, librarian equivalent, or SSPAR Level III before serving this full period.
- 1.3.2 The list of faculty employees eligible to be considered for promotion shall be prepared by the Associate Vice President for Academic Affairs / Faculty Advancement and shall be distributed by June 15 annually to each college office. Each faculty member shall also receive notification of eligibility in their campus mail box. Questions concerning a

faculty employee's eligibility for promotion shall be directed to the Associate Vice President for Academic Affairs / Faculty Advancement.

- 1.3.3 Other tenured faculty employees whose names do not appear on the promotion eligibility list shall be considered for promotion by submitting a Working Personnel Action File 22 (PDS and One-of-a-Kind file) to the department or school peer review committee no later than the date established by the Office of Faculty Advancement.
- 1.3.4 The Associate Vice President for Academic Affairs / Faculty Advancement shall report by October 15 the statistical results of the promotion procedures for the two previous years. This report shall be sent to all personnel on the Executive Committee distribution list, its availability announced to the campus, and it shall be made available in all department or school and college offices. This report shall list by college (a) the number of eligibles, (b) the number of eligibles not considered, (c) the number of applicants not on the eligibility list, (d) the number of faculty recommended by the department and school committees, (e) the number of faculty recommended for simultaneous promotion and tenure by the department and school committees, (f) the number of faculty recommended by the college committees, (g) the number of faculty recommended by the University Promotions and Tenure Review Panel, (h) the number of faculty recommended by department chairs, school directors, deans, the University Promotions and Tenure Review Panel, and the Provost, and (i) the number of promotions awarded. This report shall also include the number of faculty currently eligible for promotions.

## 2.0 Criteria and Responsibilities

- 2.1 Recommendation and decisions concerning reappointment and tenure shall be based on demonstrated performance and acceptance of professional responsibilities. The responsibilities of a faculty member shall include (a) effectiveness of teaching, (b) professional growth, and (c) service to the university, profession and the community. Furthermore, the faculty member shall accept the high standards of professional conduct in these three categories. The results of student evaluations of instruction shall be important in evaluating instruction but not the sole indicator of instructional quality.
- 2.2 The department or school shall use the probationary period for evaluation of the new faculty member. Each probationary faculty employee shall be evaluated annually according to procedures determined by the tenured members of the unit in accordance with the established criteria. The chair or director shall promptly inform the faculty member in writing regarding strengths, weaknesses, and prospects for a future career in the unit as indicated by the evaluation.
- 2.3 All tenured and probationary faculty members of the department or school or of the college may recommend procedures and criteria, subject to limitations.
- 2.4 Department or school personnel documents shall respond at least to the following points:
  - 2.4.1 The documents shall specify the type of data to be gathered and the method(s) of gathering data and shall provide for the inclusion of the data with the final report.
  - 2.4.2 The documents shall provide clear standards by which faculty members may measure their performance in (a) teaching effectiveness, (b) professional growth, and (c) service.
  - 2.4.3 The documents shall specify how evaluation of faculty members is to be achieved (vis., who does the evaluation, what procedures are used to evaluate, where the evaluation is reported).

- 2.4.4 The documents shall indicate the actual relative weights that are to be assigned to teaching effectiveness, professional growth, and university service, and of the various ways in which these may be evidenced.
  - 2.4.5 The documents shall specify guidelines regarding procedures or criteria detailed by university and college regulations. These shall be clearly referenced and may be included verbatim. These guidelines shall not contradict or be inconsistent with the university criteria. In the event of conflict between university criteria and any department, school, or college guidelines, criteria, or procedures, the university criteria shall govern.
  - 2.5 Evaluation criteria and procedures shall be made available to the faculty member no later than 14 days after the first day of instruction of the academic term and to the evaluation committee and the academic administrators before the formal evaluation begins. Once the evaluation has begun, there shall be no changes in evaluation criteria or procedures.
  - 2.6 Written copies of the current procedures and criteria shall be filed with the Office of Faculty Advancement and shall be available to the University Promotions and Tenure Review Panel. The department chair or school director shall make available the current procedures and criteria to any faculty member.
- 3.0 Working Personnel Action File
- 3.1 Faculty employees are responsible for preparing a Working Personnel Action File (WPAF) consisting of a Personnel Data Summary (PDS) and a One-of-a-Kind file. The WPAF format for the current evaluation cycle must be used. An index of the One-of-a-Kind file is required. The WPAF shall be submitted to the department or school peer review committee no later than the date established by the Office of Faculty Advancement. Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation not provided by the faculty employee.
  - 3.2 Personnel Action Files shall be declared closed on a date determined by the Office of Faculty Advancement but no sooner than 10 working days after the deadline for submission. The department or school shall inform the faculty member of this requirement.
  - 3.3 Nonsubmission of these forms by a faculty member eligible for promotion shall be considered a withdrawal from the process.
  - 3.4 Departments, schools, and colleges shall adhere as closely as possible to the format for reappointment, tenure, and promotion materials that shall be distributed before the beginning of the academic year by the Associate Vice President for Academic Affairs / Faculty Advancement. Peer review committees and faculty may annually forward requests for revision of the PDS format to the Associate Vice President for Academic Affairs / Faculty Advancement or to the Committee on Faculty Affairs.
  - 3.5 The supporting documentation considered by a department or school peer review committee and forwarded to the college committee shall include (a) one copy of all verbatim student comments for the six most recent semesters in which each candidate taught (fewer than six semesters may be provided if the candidate has been on campus for fewer than six semesters), (b) peer evaluations of teaching available, (c) one copy of all tangible evidence of teaching, professional growth, and service specified in the PDS, and (d) previous letters of review by committees and administrators.
  - 3.6 At the conclusion of the reappointment, tenure, and promotion process, the One-of-a-Kind file shall be returned to the candidate. A copy of the PDS and of all recommendations shall be placed in the official personnel file.
- 4.0 Review Process

#### 4.1 Levels of Review

- 4.1.1 Peer recommendation on personnel decisions shall originate with the lowest organization level, usually the department or school.
- 4.1.2 There shall be three levels of review for reappointment, tenure, and promotion: department or school, college, and university. The department or school peer review committee and department chair or school director shall constitute the department level. The college committee and dean shall constitute the college level. The University Promotion and Tenure Review Panel shall constitute the university level, with the final decision being made by the President or designee on behalf of the university.
- 4.1.3 The Office of Faculty Advancement shall announce a schedule including dates by which members of the department or school peer review committee, the college peer review committee, and the University Promotion and Tenure Review Panel shall be elected.
- 4.1.4 Each evaluating committee or administrator shall review the WPAF and send its recommendation to the faculty employee according to the published time lines.
- 4.1.5 At all levels of review, the reviewing committee or individual shall use proper letter of recommendation format including a response/rebuttal date and copy notations. Before recommendations are forwarded to a subsequent review level, faculty employees shall be given a copy of the recommendation and the written reasons therefore. A faculty employee may rebut or respond in writing or may request a meeting to discuss the recommendation within ten days following receipt of the recommendation. A faculty employee submitting a response or rebuttal must include a completed response/rebuttal form. Attachments are not allowed. Only the faculty employee is allowed to submit a response or rebuttal. Departments/schools and colleges shall have procedures in place for processing responses/rebuttals. A copy of the response or rebuttal shall accompany the PDS and shall be sent to the previous levels of review. Evaluation time lines shall not be extended to accommodate the rebuttal process.
- 4.1.6 A request for external review of materials submitted by a faculty member may be initiated at any level of review by any party to the review. Such a request shall document (a) the special circumstances that necessitate an external reviewer and (b) the nature of materials needing the evaluation of an external reviewer. The President shall approve the request with the concurrence of the faculty member. At the department, school, or college level, the President's designee shall be the dean. At the level of the university Promotions and Tenure Review Panel or of the President, the Associate Vice President for Academic Affairs / Faculty Advancement shall be the President's designee.

#### 4.2 Formation and Composition of Peer Review Committees

- 4.2.1 For reappointment and tenure consideration, committee members must be tenured faculty employees of any rank.
- 4.2.2 In promotion considerations, peer review committee members shall have higher ranks than those being considered for promotion. Faculty employees being considered for promotion shall be ineligible for service on promotion or tenure review committees. An eligible faculty member who withdraws from promotion consideration may serve on a peer review committee.
- 4.2.3 Faculty members may serve on more than one committee as long as they do not review the same faculty employee at more than one level of peer review in one academic year.

- 4.2.4 A department chair or school director who makes a separate recommendation shall not participate as a member of the departmental peer review committee, but may serve as an external member of another department or college committee.
- 4.2.5 Members of a committee making personnel decisions shall regard all matters brought before the committee and all deliberations of the committee as confidential except as disclosure is permitted or required by other sections of the Policy File or by law.

#### 4.3 Departments and Schools

- 4.3.1 The probationary and tenured faculty employees of the department or school shall elect a peer review committee of tenured faculty employees that shall operate in accordance with written procedures consistent with college procedures to review and recommend faculty employees being considered for retention, tenure, or promotion. Each peer review committee evaluation report and recommendation shall be approved by a simple majority of the committee members.
- 4.3.2 When there are insufficient eligible members to serve on the peer review committee, the department shall elect members from related academic disciplines.
- 4.3.3 Excluding those who sit on peer review committees or who are candidates for promotion, each department chair or school director shall submit an independent recommendation regarding candidates for promotion.
- 4.3.4 When the response/rebuttal date to the department or school peer review committee and department chair or school director has passed, the letters of recommendation, along with 25 the response/rebuttal and forms from the candidate shall be added to the PDS before the WPAF is forwarded to the college level of review. The WPAF shall be forwarded to the next level of review in a timely manner. The evaluation timelines shall not be extended to accommodate the rebuttal process. College committees shall examine each candidate's supporting documentation to ensure that departments and schools have forwarded the necessary materials.
- 4.3.5 Favorable and unfavorable recommendations for tenure or reappointment shall be fully justified according to established criteria. This justification shall include (a) copies of annual letters to the candidate pointing out the strengths, weaknesses, and prospects for a future career in the department or school, (b) evidence that department or school expectations were made clear to the candidate at the time of appointment, and (c) all other relevant supporting documentation.

#### 4.4 Colleges

- 4.4.1 Each college shall establish a peer review committee for reappointment, tenure, and promotions by vote of probationary and tenured faculty employees within the college.
- 4.4.2 If recommendations for reappointment are positive from all levels, the college level of review shall forward the recommendations directly to the President or designee who shall review and consider the materials submitted.
- 4.4.3 College peer review committees shall establish and operate under written procedures ratified by the electorate of the college eligible to vote in Senate elections. A majority of those voting shall ratify the written procedures.
- 4.4.4 The college committee considering a recommendation on promotion different from a department or school committee's may proceed only after submitting to that committee notification in writing including the candidate's name, the tentative recommendation by

the college committee, and the area of concern if the tentative recommendation by the college committee is negative. The college committee should offer to meet with the department or school committee before making a final recommendation.

- 4.4.5 If any administrators other than the Deans are involved in the review and recommendation of candidates at the Dean level, their names shall also be included on the letter of recommendation.

#### 4.5 University

- 4.5.1 The University Promotions and Tenure Review Panel shall consist of one tenured faculty employee with the rank of Professor from each college. Members of the Panel shall serve two-year staggered terms. A term may be extended one year to assure sufficient overlap of membership. Each college shall establish procedures and criteria for electing one member, and the procedures shall include participation by probationary and tenured faculty employees. The elected member shall be chosen by a date established by the Office of Faculty Advancement. The Panel shall elect one of its members as chair. The chair shall be a voting member.
- 4.5.2 All recommendations regarding reappointment (except as specified in sec. 4.42) and tenure shall be reviewed by the University Promotions and Tenure Review Panel before the notification dates for probationary academic employees. Candidates for reappointment, tenure, and promotion shall be evaluated according to established criteria.
- 4.5.3 The University Promotions and Tenure Review Panel shall review WPAF's of all faculty employees who have received one or more negative recommendations for reappointment.
- 4.5.4 The Panel shall review all recommended promotions from each college to ensure equity throughout the university. Candidates who received all negative recommendations for promotion at the department and college level must write a letter of appeal to the Panel within seven days of receipt of the recommendation or the process stops and the WPAF is returned to the candidate.
- 4.5.5 The Panel shall make its recommendations based on individual merit by established criteria, together with the documentation and without regard for balancing among colleges. The Panel may recommend for promotion as many faculty members as it judges qualified.
- 4.5.6 When considering a recommendation on promotion different from a college committee's, the Panel may proceed only after submitting to that committee in writing including the candidate's name, the tentative recommendation by the Panel, and the area of concern if the tentative recommendation by the Panel is negative. The Panel should offer to meet with the college committee before making a final recommendation.
- 4.5.7 When the response/rebuttal date to the Panel has passed, the letters of recommendation, along with the response/rebuttal and forms from the candidate, shall be added to the PDS before the WPAF is forwarded to the President or designee for the final decision. The WPAF shall be forwarded in a timely manner to the next level of review. Evaluation time lines shall not be extended to accommodate the rebuttal process.
- 4.5.8 After the recommendation from the Panel is received, if the President's or designee's examination of the case leads to a preliminary decision different from the Panel's, the President or designee shall meet with the Panel to provide an opportunity for the Panel to inform the President or designee more fully of the evidence and considerations upon which its recommendation was based and to hear the President's or designee's response.

## 5.0 Notification

- 5.1 Each faculty employee not promoted by the President or designee shall be informed by the President or designee of his or her reasons for non-recommendation.
- 5.2 The President or designee shall send the final decision to faculty employees according to the published timeline. Official notification to a probationary faculty employee of a terminal year appointment shall indicate that the faculty employee has no further appointment rights. Terminal year appointments shall be limited to probationary faculty who have served a minimum of three (3) years of probation. If tenure is awarded, it is effective at the beginning of the academic year succeeding the year in which tenure is awarded. The decision of the President or designee is final.
- 5.3 Probationary academic employees shall be notified in writing concerning decisions on reappointment, tenure, or termination according to the following schedule:
  - 5.3.1 No later than February 15 of the first and second full-time probationary year if the employee is to be (a) terminated at the end of that academic year or (b) reappointed to an additional probationary year. If the reappointment is for an additional probationary year and the probationary academic employee requests or is recommended for tenure, the tenure decision for this employee shall be made at the same time as the tenure decisions for third or subsequent year probationary academic employees.
  - 5.3.2 No later than June 1 of the third year or subsequent full-time probationary year if the employee is to be (a) reappointed to a terminal year, (b) reappointed to an additional probationary year, or (c) reappointed with tenure.
  - 5.3.3 After all recommendations are complete and the President or designee has arrived at a decision, the President or designee shall inform in writing no later than June 1 the eligible faculty employees selected for promotion. The President or designee also shall inform in writing no later than June 1 the candidates not selected for promotion.
- 5.4 Failure to notify a probationary faculty employee by the notice date shall not constitute automatic reappointment or tenure. Both reappointment and tenure shall come only from notification from the President of the university or designee. The employee who does not receive notification of the decision by the notice date shall request a decision from the President or designee.