



University Policy Statement

UPS 210.000
TENURE AND PROMOTION
PERSONNEL PROCEDURES

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I. DEFINITIONS

A. SCOPE

1. This document establishes the procedures that govern retention, promotion, and granting of tenure (RTP) for probationary faculty, and the review and promotion of tenured faculty. Recruitment and appointment of probationary faculty and tenured faculty is described in UPS 210.001.
2. The procedures in this document apply to teaching, library, and counselor faculty. Appropriate evaluative criteria for each group of faculty are specified in UPS 210.002.
3. The procedures of this document are subject to Board of Trustees policies; the California Administrative Code, Title 5; California Education Code; the Unit 3 Collective Bargaining Agreement (CBA); and other applicable State and Federal laws.⁴ Throughout this document, the word *shall* indicates mandatory action; the word *may* indicates permissive action.

B. SERVICE CREDIT

When prior service credit has been granted in accordance with UPS 210.001 Recruitment and Appointment of Tenure-Track Faculty, Performance Reviews for retention, tenure, and promotion shall include documentation of accomplishments during those specific years for which the service credit was granted.

C. PROBATIONARY YEAR STATUS

Probationary Year (PY) status is defined in accordance with a six-year probationary period. A probationary faculty member is normally hired with an initial two-year appointment and may be terminated for performance at the end of this appointment without further employment by decision of the President. After serving more than two years of probation, faculty who are not retained and/or denied tenure shall receive a terminal year appointment following the decision. The normal probationary period is six years with either tenure or a terminal year awarded by June 1 of the sixth year.

In the rare occasion when the probationary faculty member begins their service in spring, their PY status will be defined in accordance with a six-and-a-half year probationary period. Awarded service credit years are added to the PY status upon hire. Upon appointment, a probationary faculty member shall be designated with one of the following PY statuses: PY0 (those whose appointment begins in the spring semester); PY1 (typical appointment with no service credit who started in fall semester); PY1-1SC (those with one year of service credit who start in the spring semester); PY2-1SC (those with one year of service credit); PY2-2SC (those with two years of service credit who start in the spring semester); or PY3-2SC (those with two years of service credit). These statuses are summarized in the table below.

Probationary Year (PY) Status	
PY0	Appointment begins Spring semester; no service credit (SC)
PY1	Appointment begins Fall semester; no SC
PY1-1SC	Appointment begins Spring semester; one year SC
PY2-1SC	Appointment begins Fall semester; one year SC
PY2-2SC	Appointment begins Spring semester; two years SC
PY3-2SC	Appointment begins Fall semester; two years SC

At the beginning of the next academic year, the PY status increases by one. PY statuses are only repeated in instances in which a probationary period extension has been granted.

D. RANKS

Probationary and tenured teaching faculty members are appointed as Assistant Professor, Associate Professor, or Professor. Probationary and tenured library faculty members are appointed as Senior Assistant Librarian, Associate Librarian, or Librarian, equivalent to the ranks of Assistant Professor, Associate Professor, and Professor, respectively. Probationary and tenured counselor faculty are

appointed as Student Services Professional-Academically Related (SSP-AR) levels one, two, or three, equivalent to the ranks of Assistant Professor, Associate Professor, and Professor, respectively.

E. SERVICE SALARY INCREASES (SSI)

A Service Salary Increase (SSI) refers to upward movement on the salary schedule for the rank or classification. An SSI is awarded on the basis of eligibility (as defined in the Collective Bargaining Agreement or CBA) and satisfactory performance in all areas of performance as specified in approved Departmental Personnel Standards (DPS), or, in the absence of such standards, UPS 210.002. SSIs are awarded by a Dean or equivalent (Librarian for library faculty; Associate Vice President for Student Affairs for counselor faculty) during those fiscal years in which the CBA has specifically provided for the awarding of SSIs. The Dean (or equivalent) must consult with the Department Personnel Committee (DPC) and Department Chair before a decision is made not to award an SSI.

F. TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

1. The President may award tenure to any individual, including one whose appointment and assignment is in an administrative position, at the time of appointment. Appointments with tenure shall be awarded only after a recommendation based on applicable DPS criteria from the appropriate DPC, Department Chair, Dean or equivalent, and appropriate Vice President. If any level of evaluation issues a negative recommendation, the Faculty Personnel Committee (FPC) shall provide additional recommendation.
2. Tenure establishes the right to continued permanent employment except when such employment is voluntarily terminated or is terminated by the University pursuant to the CBA or law.
3. RTP recommendations shall be based solely on an evaluation of the faculty member's performance as documented by the evidence contained in the Working Personnel Action File (WPAF). Tenure is expected if the faculty member's accomplishments are of sufficient quality and meet expectations stated in the approved DPS, or, in the absence of such standards, UPS 210.002. When corrective feedback relevant to meeting RTP criteria has been provided in earlier review cycles, a candidate for tenure is expected to address the way(s) in which they have responded to this feedback.
4. Probationary faculty members shall normally be considered for tenure and promotion during the sixth probationary year, regardless of the rank at which they were appointed. A written request for tenure that occurs in any year except the sixth probationary year shall be considered a request for early tenure. Probationary faculty who do not receive early tenure may be reappointed to probationary status.
5. Early tenure may be granted in cases when a faculty member demonstrates a record of distinction in Teaching, Scholarly and Creative Activities, and Service and superior accomplishments significantly beyond what is expected for tenure on the standard timeline. The candidate's record must establish compelling evidence of distinction in all three areas and must inspire confidence that the pattern of strong overall performance will continue. To be considered for early tenure, the eligible faculty member shall apply in writing to Faculty Affairs and Records (FAR) on or before the end of the second week of classes of the fall semester.
6. Probationary faculty shall not normally be promoted during probation.
7. Probationary faculty shall normally be considered for promotion at the same time as the tenure decision. Under exceptional circumstances, and in accordance with an approved DPS document, a faculty member may be considered for early promotion after completing at least one year of service in rank at CSUF.

G. PROMOTION OF TENURED ASSOCIATE PROFESSORS

Promotion of a tenured faculty member to Professor shall normally be considered during their fifth year in rank, with promotion being effective at the beginning of the sixth year. A tenured faculty member may request that they not be considered for promotion during their fifth year in rank by submitting a written request to FAR no later than the end of the second week of classes of the fall semester. After requesting that they not be considered for promotion, the faculty member will undergo post-tenure review per UPS 210.020. Tenured faculty may request promotion consideration in a future academic year by submitting a written request to FAR no later than the end of the second week of classes of the fall semester.

A request for promotion consideration prior to having completed four years in rank shall be defined as "early." Early promotion to Professor requires that the faculty member has displayed excellence and sustained commitment to teaching, scholarly and creative activity, and service that promise future potential growth. Performance in all three areas of review shall be at the level of Excellent. Tenured faculty shall request early promotion by submitting a written request to FAR no later than the end of the second week of classes of the fall semester.

H. TENURE AND PROMOTION OF PROBATIONARY ASSOCIATE PROFESSORS

Probationary Associate Professors shall not be promoted to Professor without being awarded tenure as well.

I. PERSONNEL ACTION FILE

The term Personnel Action File (PAF) refers to the one official personnel file containing employment documents and information that may be relevant to personnel recommendations or personnel actions regarding probationary and tenured faculty unit employees. The PAF is maintained in the Office of FAR. Any material identified by source may be placed in the PAF; identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. All information to be placed into the PAF is subject to notification of the faculty member.

J. WORKING PERSONNEL ACTION FILE (WPAF)

The Working Personnel Action File (WPAF) is that portion of the PAF used during the time of Performance Review (see Section II.B.) or Periodic Evaluation (see Section II.C.). The WPAF is the file that is specifically generated for use in a given evaluation cycle. The WPAF shall include all required forms and documents, all information specifically provided by the employee being evaluated, and information provided by faculty unit employees, students, and academic administrators. It shall also include all faculty and administrative level recommendations from the current cycle, and all responses or rebuttal statements submitted. During the time of evaluation, the WPAF shall be incorporated by reference into the PAF.

Probationary faculty subject to Performance Review and tenured faculty applying for promotion shall prepare a WPAF, which is the basis for RTP recommendations and actions. A detailed description of the WPAF is provided in Section II.B. Appropriate administrators also have access to the entire PAF. Any document that is utilized for an evaluation or recommendation must be included in the WPAF.

Probationary faculty subject to Periodic Evaluation shall prepare an abbreviated WPAF as specified in Section II.C.

K. TIMING OF REVIEW CYCLES AND TYPES OF RECOMMENDATIONS

The annual timetables shall be specified by the first day of the academic year by the President, in consultation with the FPC.

Performance Reviews and Periodic Evaluations

Probationary faculty members are reviewed every year. The type of review depends on the probationary year status of the faculty member as defined in section I.C. Note that probationary faculty that begin their appointment in spring write their Prospectus (see II.A.) in the first full academic year of employment.

Performance Reviews: Probationary faculty members shall be subject to Performance Reviews during their second, fourth, and sixth years of service before they can be re-appointed (retained) to a third or fifth probationary year or granted tenure. For such Performance Reviews, the faculty member must prepare a WPAF covering the entire period of service.

Periodic Evaluation: Probationary faculty members not subject to Performance Reviews do not require reappointment and undergo Periodic Evaluation.

1. **First-Year Probationary Faculty beginning in Fall (PY1, PY2-1SC, or PY3-2SC)**

During the first full academic year of employment in a tenure-track position, the faculty member shall prepare a Prospectus (see II.A.) as the first Periodic Evaluation, whether or not they have received service credit.

- a. A faculty member in PY1, PY2-1SC, or PY3-2SC shall submit a Prospectus by February 28 (see II.A.). The Prospectus shall serve as the first Periodic Evaluation to be completed by May 1. The possible outcome is:
 - i. Faculty who complete the Prospectus will automatically continue on to their next probationary year (PY2, PY3, or PY4 status, respectively).

2. **First-Year Probationary Faculty beginning in Spring (PY0, PY1-1SC, or PY2-2SC)**

- a. New probationary faculty members appointed in Spring are not evaluated until their first full year of employment (and shall then be designated PY1, PY2-1SC, or PY3-2SC).

3. **Probationary Year 2 (PY2) Faculty**

Faculty members with PY2 status shall undergo a Performance Review. A faculty member with PY2 status may request to be considered for early tenure and/or promotion (see Section I.F.5.).

- a. Faculty with PY2 status shall submit their WPAF for the Performance Review by September 15. The evaluation of the WPAF and decision shall be completed by February 15. The possible outcomes can be:
 - i. An additional probationary year (PY3 status) with Periodic Evaluation
 - ii. An additional probationary year (PY3 status) with Performance Review
 - iii. Early tenure and/or promotion.
 - iv. Termination

4. **Probationary Year 3 (PY3) Faculty**

Faculty members with PY3 status shall undergo a Periodic Evaluation or Performance Review as required by the reappointment letter. A faculty member with PY3 status may request to be considered for early tenure and/or promotion (see Section I.F.5.).

- a. Faculty with PY3 status required to complete a Periodic Evaluation shall submit an abbreviated WPAF by October 1 to be completed by March 15. The possible outcome is:
 - i. An automatic granting of an additional probationary year (PY4 status).
- b. Faculty with PY3 status required to complete a Performance Review shall submit a WPAF by October 1. The decision shall be made by June 1 and the possible outcomes can be:
 - i. An additional probationary year (PY4 status) with Performance Review
 - ii. A terminal year.

- c. Faculty with PY3 status may request to be considered for early promotion and/or tenure (see Section I.F.5.). In this case, the faculty member shall undergo a Performance Review and submit a WPAF by October 1. The decision shall be made by June 1 and the possible outcomes can be:
 - i. An additional probationary year (PY4 status) with Performance Review.
 - ii. Early tenure and/or promotion.
 - iii. A terminal year.
- d. Faculty with PY3 status awarded 1 service credit year shall undergo their first Performance Review and submit a WPAF by September 15. These faculty may request to be considered for early tenure and/or promotion. The decision shall be completed by February 15 and the possible outcomes can be:
 - i. An additional probationary year (PY4 status) with Performance Review.
 - ii. Early tenure and/or promotion.
 - iii. Termination.

5. **Probationary Year 4 (PY4) Faculty**

Faculty members with PY4 status shall undergo a Performance Review. A faculty member with PY4 status may request to be considered for early tenure and/or promotion (see Section I.F.5.).

- a. Faculty with PY4 status shall submit a WPAF by October 1. These faculty may request to be considered for early tenure and/or promotion. The decision shall be made by June 1 and the possible outcomes can be:
 - i. An additional probationary year (PY5 status) with Periodic Evaluation
 - ii. An additional probationary year (PY5 status) with Performance Review
 - iii. Early tenure and/or promotion
 - iv. A terminal year.
- b. Faculty with PY4 status awarded 2 service credit years shall undergo their first Performance Review and submit a WPAF by September 15. These faculty may request to be considered for early tenure and/or promotion. The decision shall be completed by February 15 and the possible outcomes can be:
 - i. An additional probationary year (PY5 status) with Periodic Evaluation
 - ii. An additional probationary year (PY5 status) with Performance Review.
 - iii. Early tenure and/or promotion.
 - iv. Termination.

6. **Probationary Year 5 (PY5) Faculty**

Faculty members with PY5 status shall undergo a Periodic Evaluation or Performance Review as required by the reappointment letter. A faculty member with PY5 status may request to be considered for early tenure and/or promotion (see Section I.F.5.).

- a. Faculty with PY5 status completing a Periodic Evaluation shall submit an abbreviated WPAF by October 1 to be completed by March 15. The possible outcome is:
 - i. An automatic granting of an additional probationary year (PY6 status).

- b. Faculty with PY5 status required to complete a Performance Review shall submit a WPAF by October 1. The decision shall be made by June 1 and the possible outcomes can be:
 - i. An additional probationary year (PY6 status) with Performance Review
 - ii. A terminal year.
- c. Faculty with PY5 status may request to be considered for early promotion and/or tenure (see Section I.F.5.). In this case, the faculty member shall undergo a Performance Review and submit a WPAF by October 1. The decision shall be made by June 1 and the possible outcomes can be:
 - i. An additional probationary year (PY6 status) with Performance Review.
 - ii. Early tenure and/or promotion.
 - iii. A terminal year.

7. Probationary Year 6 (PY6) Faculty

Faculty members with PY6 status shall undergo a Performance Review.

- a. Faculty member with PY6 status shall submit a WPAF by October 1. The decision shall be made by June 1 and the possible outcomes can be:
 - i. Tenure and promotion
 - ii. A terminal year

8. Promotion of Tenured Faculty

- a. If a tenured faculty member is being evaluated for promotion to Professor or equivalent, they shall submit a WPAF by October 1, which shall be subject to a Performance Review to be completed by June 15.
 - i. Potential outcomes are promotion to Professor or equivalent or no promotion.
- b. A tenured faculty member applying for early promotion to Professor or equivalent shall submit a written request as noted in Section I.G.

A faculty member applying for early promotion shall submit a WPAF by October 1, a Performance Review of which shall be completed by June 15.

- i. Potential outcomes are early promotion to Professor or equivalent or no early promotion.

9. Faculty on Professional, Personal, or Medical Leave

Faculty members may be granted a leave of absence (paid or unpaid) for a variety of reasons (i.e., professional, sick, parental, or other purposes of a personal nature). The CBA indicates the procedures to request an extension of the probationary period and the conditions under which an extension shall be granted and under which an extension may be considered when a faculty member will be on a leave of absence. The type of leave (paid or unpaid) and time-base (full or partial) may impact service credit and, normally, faculty on personal leave do not accrue service credit toward probation, sabbatical, or difference-in-pay leaves, service salary increase eligibility or seniority. Faculty should consult with their Department Chair, Dean, FAR, and Human Resources, Diversity, and Inclusion when considering or having been granted a leave of absence.

L. REVIEW PROCESS

Probationary faculty shall be reviewed for retention, promotion, and/or tenure. Tenured faculty shall be reviewed for promotion.

1. Performance Reviews take place at the following levels:
 - a. the Department Personnel Committee (DPC),
 - b. the Department Chair or equivalent (if eligible, see Section III.D.),
 - c. the Dean or equivalent,
 - d. the Faculty Personnel Committee (FPC) [as appropriate, see Section III.G.],
 - e. the appropriate Vice President, who may also be the President's designee,
 - f. the President or their designee shall review the WPAF and shall issue a decision regarding retention, tenure, or promotion.
2. Periodic Evaluations, with the exception of the Prospectus, take place at the level of the DPC, the Department Chair (or equivalent, if eligible), and the Dean (or equivalent).
3. Department Personnel Committee members and Department Chairs or equivalent, if eligible, shall access materials for review (WPAF) using the electronic portfolio system. FPC members shall review materials using the same electronic portfolio system. The various stages of the review process take place during specified periods, as provided for in Section I.K. of this policy.
4. Colleges or divisions with programs not organized as departments, but having teaching faculty to be evaluated for retention, tenure and promotion, shall follow the procedures outlined for departments. Wherever this document calls for a Department Personnel Committee, a Division Personnel Committee shall act. In division structures where there are faculty chairs of programs, the faculty of the division may elect to have the faculty chairs evaluate and recommend in the same manner as prescribed for the Department Chair elsewhere in this document. The Division Chair in any case shall perform in an evaluation and recommendation role. Such action by the Division Chair shall take place immediately following final action by the Division Personnel Committee. The timetable for Department Chair action shall apply for the final action by the Division Chair.

M. EVALUATIONS AND RECOMMENDATION REPORTS

The Recommendation Reports written by the DPC, the Department Chair (if eligible), and the Dean (or equivalent) shall be provided to the faculty member by each review level and shall contain:

- 1) complete details on the particular case: candidate name, candidate department, candidate rank and status, name(s) of the evaluator(s), and the date that the report was completed.
- 2) an assessment of the faculty member's performance in each of the three areas of evaluation during the review period which provides rationale for the recommendation in accordance with DPS, or, in the absence of such standards, UPS 210.002.
- 3) a specific recommendation for action (see Section I.K.). At the level of Department Chair (if eligible), evaluations are distinguished from recommendation reports. An evaluation is a written assessment of a faculty member's performance. A recommendation report is a position on the personnel action for which the faculty member is being considered. The two shall be kept separate. An evaluation shall not include a recommendation for action. A recommendation shall state in writing both the recommended action and the reasons for the recommendation.

N. RESPONSIBILITIES OF FACULTY MEMBERS

The Division of Human Resources, Diversity, and Inclusion shall provide each probationary faculty member with a copy of UPS 210.000 and 210.002 at the time of initial appointment to probationary status.

Faculty members shall familiarize themselves with the format for preparation of the WPAF. They shall also familiarize themselves with approved DPS, if available, and the criteria that are used in evaluating the evidence. Approved DPS further specify types of evidence and criteria of judgment. Faculty members are encouraged to seek the aid of their fellow faculty, Department Chair, or the chair of the DPC in understanding the University's and department's personnel policies and the preparation of the WPAF.

O. FACULTY RIGHT TO RESPONSE OR REBUTTAL IN PERFORMANCE REVIEWS

At all levels of review, before Recommendation Reports are forwarded to a subsequent level of review, faculty members shall be given a copy of the document. The faculty member may submit a response or rebuttal statement in writing and/or request, in writing, a meeting to discuss the Recommendation Report within ten (10) calendar days following receipt of the evaluation and/or recommendation. A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to all previous levels of review. This section shall not require that evaluation timelines be extended.

Response or rebuttal statements should be concise, professional, and written with the subsequent evaluation stages in mind. While previous evaluators receive a copy, the response or rebuttal should be used by the candidate to make their best case to the remaining evaluators. It is not appropriate to include additional evidence or documentation as part of the response or rebuttal process (the added material process is described in section II.B.5.). All submitted response or rebuttal statements become part of the Personnel Action File and will be accessible to all evaluators in subsequent performance and periodic reviews of probationary faculty members.

II. DOCUMENTATION SUBMITTED BY THE FACULTY MEMBER

A. PROSPECTUS FOR FIRST-YEAR PROBATIONARY FACULTY

During the first year of employment in a tenure-track position, each probationary faculty member shall write a **Prospectus** as a first periodic evaluation that includes narratives for teaching, scholarly and creative activities, and service, not to exceed 500 words each. These narratives shall describe the faculty member's professional goals, areas of interest, resources required and accomplishments they expect to achieve in each of the three areas evaluated in order to meet the approved DPS, or, in the absence of such standards, UPS 210.002 for retention, tenure, and promotion. The Prospectus shall be submitted in digital format to the Department Chair via processes established by FAR by February 28. The Prospectus shall have no formal approval process nor shall it be the basis for tenure and promotion, but shall be reviewed by the Department/Division Chair and the Dean who shall each provide written feedback on a timetable to be determined by the colleges, but prior to May 1. The Prospectus shall be forwarded by the Dean to FAR to be filed. The original Prospectus, or an updated version, shall be included in the probationary faculty member's WPAF for all future Performance Reviews.

B. WPAF FOR PERFORMANCE REVIEWS

1. The WPAF, is the basis for RTP recommendations. The WPAF shall be submitted in an electronic format as defined by current FAR procedures.

For Probationary Faculty: The WPAF shall be cumulative and representative of performance, covering the period from the beginning of probationary service to the last day before the due date of the file to the Chair (September 15 for the second-year probationary review, and October 1 for all other Performance Reviews). In cases where prior service credit was granted, that time interval shall also be documented in the WPAF. Faculty shall not be required, though they may elect, to include teaching performance materials from Summer, Winter, or other special sessions, unless explicitly stated as a requirement in the DPS.

For Tenured Faculty: The WPAF and its Appendices shall be cumulative and representative of performance, covering the period since the submission of the file for promotion to Associate Professor to the last day before the due date of the file to the Chair (October 1). Faculty shall not be

required, though they may elect, to include teaching performance materials from Summer, Winter, or other special sessions, unless explicitly stated as a requirement in the DPS.

2. It is the responsibility of the faculty member submitting the WPAF to ensure its completeness and to submit their materials by the due date.
3. In the WPAF, faculty members shall describe and document significant accomplishments in the three areas of performance (teaching, scholarly and creative activities, and service for instructional faculty) for the period under review. Quality over quantity should be emphasized; a more limited number of appropriately documented high-quality accomplishments is generally more compelling than a compendium of all activities. Note, however, that all accomplishments should be listed in the Curriculum Vita (described in Section II.B.4.d.).

A clear connection between the narratives, the Table of Contents, and the WPAF documents shall be established.

4. The WPAF for instructional faculty shall be organized as follows:
 - a. Table of Contents of the WPAF. This is a list of each item under each of the following categories that the faculty member submits for the Performance Review. A filename convention with letters and/or numbers can be used to assist evaluators in locating specific items;
 - b. Approved DPS, or UPS 210.002 if none;
 - c. For probationary faculty members, the Prospectus prepared in the first year, not to exceed 500 words for each area of the three areas of review (Teaching, Scholarly and Creative Activity, and Service);
 - d. Curriculum Vita that covers the faculty member's entire academic and professional employment history and that lists accomplishments in all three areas of review (Teaching, Scholarly and Creative Activity, and Service). Peer-reviewed activities shall be listed separately from non-peer-reviewed activities. Activities should be listed in reverse chronological order;
 - e. Narrative Summary of Teaching Performance: a concise (1500 words maximum; may also include summary tables as an addendum that does not count toward word maximum) self-assessment of significant accomplishments in relation to the applicable DPS. Teaching innovations and efforts to increase student engagement and learning should be addressed. This narrative shall clearly indicate where supporting documentation can be found in the WPAF.
 - f. List of Classes Taught, which shows in reverse chronological order the session, course number, course title, and weighted teaching units (WTU) for all classes taught during the period under review. Some DPS may also require that SOQ statistics and grade averages be incorporated into this list;
 - g. Course Materials. Unless otherwise specified by DPS, sample syllabi, exams and other coursework should be included. It is not necessary to include every syllabus or every exam especially for multiple sections of the same course taught over the period of review; Syllabi for the same course should only be included when significant changes have been made over the course of the review period
 - h. Statistical Summaries of Student Opinion Questionnaires for each class taught (Course Reports) arranged in reverse chronological order. Some DPS may also require submission of instructor semester summaries and/or departmental semester summaries;
 - i. Comment Reports from Student Opinion Questionnaires for each class taught arranged in reverse chronological order;
 - j. Statistical Summaries of Grade Distributions (if required by DPS) for each class that the faculty member taught during the period under review. Arrange the one-page semester summaries in reverse chronological order (do not submit any lists of student names). Some DPS may also require submission of department semester averages;
 - k. Miscellaneous Evidence of Teaching Performance;

- l. Narrative Summary of Scholarly and Creative Activities: a concise (1500 words maximum; may also include summary tables in an addendum that does not count toward word maximum) self-assessment of significant accomplishments in relation to the applicable DPS. This narrative shall clearly indicate where in the WPAF supporting documentation can be found. It is the faculty member's responsibility to provide evidence of all scholarly and creative activities. If evidence is absent, evaluators may not count the activity;
- m. Peer-Reviewed Published and/or Exhibited/Performed Works and/or Engaged Scholarship with community projects. A copy of each significant item in the period under review shall be included in reverse chronological order followed by evidence of peer-review and quality. This may include: 1) evidence of the quality of the venue (acceptance rates, impact factor, or other measures of quality), 2) any available evidence of recognition in the field (citations, reviews, or other measures of recognition). Documentation of the unique and specific contribution of each author to the work for any co-authored activities is required (FAR has a sample co-authorship disclosure form that may be used);
- n. Non-Peer-Reviewed Published and/or Exhibited/Performed Works and/or Engaged Scholarship with community projects. A copy of each significant item in the period under review shall be included in reverse chronological order followed by evidence of quality. This may include: 1) evidence of the quality of the venue, 2) any available evidence of recognition in the field (citations, reviews, or other measures of recognition). Documentation of the unique and specific contribution of each author to the work for any co-authored activities is required (FAR has a sample co-authorship disclosure form that may be used);
- o. Accepted/Forthcoming Publications and/or Works to be Exhibited/Performed and/or Engaged Scholarship with community projects. A copy of each significant item in the period under review shall be included in reverse chronological order followed by 1) acceptance letter, 2) any evidence of peer-review, 3) any evidence of the quality of the venue (acceptance rates, impact factor, or other measures of quality), and 4) any available evidence of recognition in the field (citations, reviews, or other measures of recognition). Documentation of the unique and specific contribution of each author to the work for any co-authored activities is required (FAR has a sample co-authorship disclosure form that may be used);
- p. Presentations, Posters, Abstracts, and Conference Papers. A copy of each significant item in the period under review shall be included in reverse chronological order and may be followed by 1) any future plans for the item, 2) any evidence of peer-review, 3) any evidence of the quality of the venue (acceptance rates, impact factor, or other measures of quality), 4) any available evidence of recognition in the field (citations, reviews, or other measures of recognition), and 5) co-authorship documentation.
- q. Unpublished Works and Works-in-Progress. A copy of each significant item in the period under review shall be included in reverse chronological order (any future plans for the item(s) should be described);
- r. Miscellaneous Evidence of Scholarly and Creative Activities;
- s. Narrative Summary of Professional, University, and Community Service Activities: a concise (1500 words maximum; may also include summary tables as an addendum that does not count toward word maximum) self-assessment of significant accomplishments in relation to the applicable DPS. This narrative shall clearly indicate where in the WPAF supporting documentation can be found;
- t. Evidence of Professional Service Activities. For each significant activity, describe (and where possible document) level of participation, responsibilities, and any available evidence of working collaboratively and productively with professional colleagues;
- u. Evidence of University Service Activities. For each significant activity, describe (and where possible document) level of participation, responsibilities, and any available evidence of working collaboratively and productively with colleagues; and

- v. Evidence of Community Service Activities. For each significant activity, describe (and where possible document) level of participation, responsibilities, and any available evidence of working collaboratively and productively with community members.
5. Once the WPAF is confirmed to contain documents in each of the required sections by the Department Chair, material may be requested to be added by the candidate through the following process. All added material requests are to be submitted to FAR who shall prepare the eligible requests for the FPC. Approved added material shall be sent to all previous levels of review that have already issued a recommendation on the case. Each previous review level shall be granted seven calendar days to review the updated material and either reaffirm or change their original recommendation. The deadline for submission of added material requests is identified in the evaluation timetables each academic year.

The FPC shall consider requests to add updated material that became accessible to the candidate only after the WPAF was confirmed by the Chair and when that material represents a substantial change in the status of an activity already referenced in one of the narrative statements and sections of evidence within the WPAF.

If an accepted publication is approved and added to the WPAF of a probationary candidate being considered for promotion, that accomplishment shall not count again for promotion to Professor. Evidence of teaching performance during the Fall semester of the WPAF submission that becomes available later (e.g. SOQ reports, classroom observation reports, grade distribution reports, and letters of support from students) shall only be considered in a subsequent evaluation or review period.

6. The Office of FAR shall insert all evaluations, recommendations, responses and rebuttals (if any), and decisions for all previous Performance Reviews of probationary faculty into the WPAF.
7. When DPS require classroom observation reports to evaluate teaching performance, they shall be conducted in accordance with UPS 210.080. Candidates shall be responsible for submitting observation reports to the WPAF.

C. ABBREVIATED WPAF FOR PERIODIC EVALUATIONS

Faculty members deemed to be making adequate progress toward tenure in PY2 or PY4 Performance Reviews shall undergo Periodic Evaluation in PY3 or PY5. The Abbreviated WPAF consists of only two items: (1) all previous cycle evaluations/recommendations (these shall be provided by FAR) and (2) an updated Curriculum Vita. Faculty may also submit a summary (maximum of two pages) that outlines the most significant achievements during the period of review and future goals for teaching, scholarly/creative activities, and service to meet tenure requirements. When subject to Periodic Evaluation, the faculty member shall submit an Abbreviated WPAF by October 1, review of which shall be completed by June 1. Periodic Evaluations shall result in a written statement at each level of review (CBA - Article 15.22). The faculty member shall receive a copy of each written statement, and it shall be forwarded to FAR for placement in the faculty member's PAF. The faculty member, the Department Chair, or the appropriate administrator may request a consultation meeting to discuss the faculty member's progress.

III. PROCEDURES FOR PERSONNEL EVALUATIONS, RECOMMENDATIONS, AND DECISIONS

A. GENERAL PRINCIPLES

1. At all levels of review, those responsible for evaluating faculty and recommending actions shall evaluate each WPAF with clear and specific reference to the DPS, or, in the absence of such standards, UPS 210.002. The recommendations, and final decision by the President, shall be based on the DPS, or, in the absence of such standards, UPS 210.002, and shall be supported by written evaluations.
2. If a faculty member has a full-time non-instructional assignment during the evaluation period, evaluation of classroom teaching performance normally shall be waived for the period of the full-time

non-instructional assignment. The time frame(s) of the full-time non-instructional assignment must be documented via a form available from Faculty Affairs and Records (FAR).

3. Retention, tenure, and promotion of a faculty member shall always be determined on the basis of competence and professional performance and not on the basis of beliefs, or any basis that constitutes an infringement of academic freedom. Personal matters are relevant to retention, tenure, or promotion only when they clearly affect performance as a faculty member.
4. The FPC is authorized to interpret both this document and DPS in cases of dispute.
5. The possibility that lack of funds or lack of work may make a faculty position unavailable shall never be considered in applying the procedures described in this document. Layoff is entirely separate from retention, promotion, and tenure decisions.
6. Service in the personnel evaluation process is part of the normal and reasonable duties of tenured faculty. Lobbying or harassing of such persons in the performance of these duties constitutes unprofessional conduct.

B. CONFIDENTIALITY

1. All documents accessed and generated during the evaluation process and all proceedings are strictly confidential. Appropriate administrators and faculty members serving in an evaluation role shall only discuss their cases during official meetings and shall not disclose any of these details to other parties. Any notes or electronic files produced during the evaluation cycle should be securely disposed of by the end of the academic year. Student Assistants shall never handle or deliver personnel documents (e.g., notes related to RTP, SOQs, WPAF).
2. California Law (Civil Code, Section 1798) provides that no personal records of state employees may be disclosed to others except under certain specified conditions. It is the explicit object of this legislation to protect the privacy of employees. Anyone participating knowingly in unauthorized disclosures of information from personnel records is subject to both civil and criminal penalties. The fact that an employee has himself or herself disclosed an item or information to others is not listed by the State as one of the specific conditions justifying the release of the file to others.
3. Every effort shall be made by everyone connected with this personnel process to safeguard the contents of WPAFs and access to them.

C. PROCESS OF EVALUATION, RECOMMENDATION, AND DECISION

The levels of review shall include the Department Personnel Committee (DPC), the Department Chair (except when the chair is ineligible), the Dean (or equivalent), the Faculty Personnel Committee (FPC) [as appropriate], and the Vice President for Academic Affairs or Vice President for Student Affairs for counselor faculty. All levels recommend to the President or their designee, who is responsible for all RTP decisions.

The Department Chair shall receive the WPAF upon submission for confirmation. Then, the WPAF shall be forwarded to the Department Review stage in which the members of the DPC and the Department Chair have access. The DPC is to issue its Recommendation Report in accordance with the published timetable for that academic year and administer a response or rebuttal period. Then, the Department Chair is to consult the DPC Recommendation Report and any response or rebuttal statement as they prepare their Recommendation Report. After issuing their Recommendation Report in accordance with the published timetable, the Department Chair is to administer a response or rebuttal period. The Department Chair's Recommendation Report and any response or rebuttal statement submitted in reference to it shall be shared with the DPC. After the conclusion of the second response or rebuttal period, the Department Chair is to forward the WPAF to the Dean.

Eligibility to participate in the personnel process

1. No faculty member shall recommend in personnel decisions on any individual case at more than one level.

2. A probationary faculty member, including the Department Chair, shall not serve in the personnel evaluation process.
3. Tenured faculty members undergoing Performance Review for promotion shall not serve on the DPC.
4. In promotion considerations, DPC members and the Chair shall have a higher rank or classification than those being considered for promotion.
5. No faculty member shall serve on a DPC when that person will be on any type of leave during the year of service.
6. The department may make a request to the President that Faculty Early Retirement Program (FERP) participants who are employed in both fall and spring semesters of the same academic year may be eligible to run for election to the DPC. However, the committee cannot be comprised solely of FERP faculty.
7. Other CSUF or CSU policies may impact the ability of individuals to participate in the personnel process (e.g., CSU Nepotism Policy).

D. RESPONSIBILITIES OF DEPARTMENT CHAIRS

All Department Chairs shall meet responsibilities below.

1. To communicate the standards and criteria for RTP to all department faculty members at the beginning of the academic year.
2. To inform each new faculty member within two weeks after the assumption of official duties at the University of all personnel procedures including those covered by this document.
3. To provide guidance, advice, and support to assist probationary faculty in preparing the WPAF.
4. To provide the probationary faculty member with written feedback on the Prospectus prior to May 1. When the Chair is not eligible to participate, a member of the Departmental Personnel Committee shall provide written feedback on the prospectus.
5. To request a meeting, during the spring semester, with each probationary faculty member or faculty member who is eligible for a Performance Review during the following fall semester to assure that the annual updating of the WPAF has been initiated and that the compilation is proceeding according to the requirements of this document.
6. To confirm that each WPAF contains documents in each of the required sections.
7. To forward the WPAF to the Department Review stage so that the DPC gains access as well.
8. To be available for consultation to the DPC, though otherwise being absent from the committee's meetings during its deliberations.
9. To ensure that the DPC has completed its Recommendation Report, shared it with the candidate, share the Chair Evaluation with the candidate, and administer the first 10-day response or rebuttal period by the appropriate date each year.
10. To evaluate the performance of the faculty member based upon the WPAF, and in accordance with the DPS or, in the absence of such standards, UPS 210.002.
11. To prepare a Recommendation Report, share it with the candidate, and administer the second 10-day response or rebuttal period.
12. To alert the DPC that the Chair's Recommendation Report and Evaluation and any candidate responses are available for viewing.
13. To transmit the WPAF to the Dean.

E. RESPONSIBILITIES OF THE DEPARTMENT PERSONNEL COMMITTEE

1. To evaluate the performance of the faculty member based upon the WPAF, and in accordance with the DPS or, in the absence of such standards, UPS 210.002.
2. To prepare a Recommendation Report with a vote tabulation, share it with the candidate, and alert the Chair that the Recommendation Report is available for viewing.
3. DPC names shall be listed in alphabetical order and DPS shall not indicate the way individual members voted.
4. To inform the Chair when the Recommendation Report has been completed and when the response or rebuttal period is completed.
5. To receive the Recommendation Reports and any responses or rebuttal statements from the Chair and the Dean.

F. RESPONSIBILITIES OF DEANS

1. To assume responsibilities of the Department Chair when the Department Chair is ineligible to participate in the evaluation process. The Dean, however, shall evaluate and recommend only as Dean and not in lieu of the Department Chair.
2. To evaluate the performance of the faculty member based upon the WPAF (appropriate administrators also have access to the entire PAF), and in accordance with the DPS or, in the absence of such standards, UPS 210.002.
3. To prepare a Recommendation Report, share it with the candidate, and administer the third 10-day response or rebuttal period.
4. To share the Dean's Recommendation Report and any responses or rebuttal statements with the DPC and Chair.
5. To forward the WPAF to FAR.
6. To provide probationary faculty members undergoing their first Periodic Evaluation with written feedback on their Prospectus prior to May 1.

G. RESPONSIBILITIES OF THE FACULTY PERSONNEL COMMITTEE

1. To evaluate the performance of the faculty member based upon the WPAF, and in accordance with the DPS or, in the absence of such standards, UPS 210.002, when any of the following occur:
 - a. one or more of the recommendations from the DPC, Chair, Dean, and/or Vice President (when applicable) are negative and do not recommend retention, and/or tenure, and/or promotion.
 - b. the President or designee requests FPC evaluation and recommendation;
 - c. there are no approved DPS; or
 - d. the faculty member or any level of review makes a request.
2. To convene a conference involving all prior levels of review when necessary to clarify for the FPC interpretations of material in the WPAF or discuss points of disagreement. Each of the prior levels of review may, within five (5) working days after the conference, submit a revised Recommendation Report, in which case the reasons for any changes shall be stated in writing.
3. To prepare a Recommendation Report and send it to FAR who will: share the FPC Recommendation Report with the candidate, administer the 10-day rebuttal period, share the FPC Recommendation Report and any response or rebuttal statement with the previous levels of review.
4. To meet with the President or their designee if requested.

H. RESPONSIBILITIES OF THE VICE PRESIDENT (WHEN APPLICABLE)

1. To evaluate the performance of the faculty member based upon the WPAF (appropriate administrators also have access to the entire PAF), and in accordance with the DPS or, in the absence of such standards, UPS 210.002.
2. To prepare a Recommendation Report, share it with the candidate, and administer the 10-day response or rebuttal period.
3. To share the Vice President's Recommendation Report and any responses or rebuttal statements with the previous levels of review.
4. To forward the WPAF to FAR.

I. RESPONSIBILITIES OF THE PRESIDENT OR DESIGNEE

1. To request FPC evaluation if considering a negative decision when all of the previous recommendations are positive.
2. To invite the Department Chair involved and the FPC to a conference when considering a personnel action which is contrary to the majority vote (including a tie vote) of the FPC.
3. To notify faculty in writing, which shall in the instance of denial include the reasons, of the final decision in accordance with the following deadlines: retention (probationary faculty who have served less than two years), February 15; retention (probationary faculty who have served more than two years), June 1; tenure, June 1; promotion, June 15. Copies of such notices shall be given to the Department Chair, the DPC chair, the Dean (or equivalent) and the FPC chair.

J. RESPONSIBILITY FOR THE WPAF

1. Once submitted, the WPAF becomes by reference part of the PAF and the property of the University.
2. After completion of the review process, the WPAF is retained by the Office of FAR.

IV. DEPARTMENT RESPONSIBILITIES FOR THE PERSONNEL PROCESS OUTSIDE THE REVIEW CYCLE

A. GENERAL DEPARTMENT RESPONSIBILITIES

1. Election of a Department Personnel Committee;
2. Development and approval of DPS and Student Opinion Questionnaire forms (see UPS 210.002).

B. ELECTION OF THE DEPARTMENT PERSONNEL COMMITTEE

1. It is the responsibility of the Department Chair to arrange for the election of a Department Personnel Committee and alternate(s) and to refer all cases for which action is appropriate. The Department Chair shall also ensure that all members of this committee are familiar with their responsibility for evaluating the performance of those to be considered.
2. Each department shall determine the method of electing the members of its personnel committee; however, election of the personnel committee shall be by secret ballot.
3. No later than the end of the third week of classes of the fall semester, each department shall elect a personnel committee of not fewer than three members. These members shall have been granted tenure and shall not include the Chair of that department. All eligible, tenured faculty members shall appear on the ballot. The DPC shall normally be filled with department faculty before seeking members from related disciplines. If a department does not have the minimum number of eligible faculty required for the DPC, the department may elect one or more tenured faculty for its personnel committee from related disciplines including department chairs from other departments.
4. Departments shall elect, at the time of election of the regular personnel committee, at least one tenured faculty member, other than the Department Chair, to serve as alternate(s) for members of the

department committee. DPS shall set forth the conditions under which alternate(s) may serve. If a department does not have enough eligible, tenured faculty to provide a suitable alternate, it may elect an alternate for its personnel committee from a related discipline including department chairs from other departments.

5. Names of faculty members, including alternate(s) who will be serving on department committees, shall be transmitted by the Department Chair to the FAR and the appropriate Dean within five (5) working days after they are elected.

Source: Faculty Affairs Committee

EFFECTIVE DATE: May 8, 2023
Supersedes: UPS 210.000 dated 3-5-2019
and ASD 19-07