

1 **SAN JOSE STATE UNIVERSITY**  
2 **Academic Senate**  
3 **Professional Standards Committee**  
4 **April 27, 2015**  
5 **Final Reading**

**AS 1567**

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8 **POLICY RECOMMENDATION:**  
9 **RETENTION, TENURE AND PROMOTION**  
10 **FOR REGULAR FACULTY EMPLOYEES:**  
11 **PROCEDURES**

12 **Amends S98-8**

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14 **Resolved:** That all procedural portions of S98-8 be deleted, including Section III  
15 "General Procedures," V.A "Procedures for Retention/Tenure Decisions,"  
16 and VI.A "Procedures for Promotion Decisions." Be it further

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18 **Resolved:** That this policy be adopted effective for Fall 2016 Semester; be it further

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20 **Resolved:** The AVP for Faculty Affairs, in consultation with the Professional  
21 Standards Committee, shall determine a timeline for the conversion to  
22 electronic dossiers, but the conversion shall be completed no later (and  
23 preferably earlier) than the end of a five year phase-in period (AY 2020-  
24 21.) Be it further

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26 **Resolved:** That this policy shall be given a thorough review by the Professional  
27 Standards Committee at least once during each six year cycle; meaning  
28 no later than AY 2021-2022.

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30 **Rationale:** *Rationale: Prior to 1998, SJSU's ARTP policy was regularly revised*  
31 *every few years in response to changes in the Collective Bargaining*  
32 *Agreement, to problems encountered in implementation of the policy, and*  
33 *to changes in expectations and working conditions over time. In 2006 a*  
34 *major redraft of this policy was produced after 6 years of work, but it was*  
35 *never signed into effect. The Senate temporarily lost interest after the*  
36 *failed effort, but it became increasingly clear that the existing policy was*  
37 *accumulating problems and inconsistencies with every passing year.*

38  
39 *In AY 2012-13 the Professional Standards Committee decided to tackle*  
40 *the problem. In 2012-13 the Committee gathered information about the*  
41 *way the existing policy was working. We interviewed members of*  
42 *numerous RTP committees, interviewed the Provost, and distributed a*  
43 *campus-wide survey to t/tt faculty. What we discovered was troubling.*  
44 *Hundreds of responses from faculty at different stages of their careers*  
45 *reported concerns that the old policy lacked sufficient flexibility in choices*  
46 *related to professional development, that the criteria for tenure and*

47 *promotion were often unclear, and that the procedures used in*  
48 *implementing the process were sometimes unfair.*

49  
50 *In AY 2013-14 the committee spent the first half of the year exploring*  
51 *alternative policies, surveying both within and outside the CSU. In*  
52 *December 2013 the Senate endorsed a general approach to reforming the*  
53 *criteria and standards for RTP. Then, in AY 2014-15 the committee spent*  
54 *the year working on revised language, section by section and at times*  
55 *word by word.*

56  
57 *The policy reform of the criteria and standards are addressed in a*  
58 *separate policy. This policy concerns all the procedures necessary to*  
59 *implement an evaluation system for retention, tenure, and promotion.*

60  
61 *As part of the Professional Standards committee's efforts to modernize all*  
62 *parts of our University's largest and most complicated policy, it has*  
63 *decided to separate the procedures portion of the old ARTP policy for*  
64 *easier and more convenient use. The procedural details of RTP are of*  
65 *greater interest to committee chairs, department Chairs, and*  
66 *administrators, while the criteria and standards are of wider interest and*  
67 *are of particularly interest to new faculty and all evaluators.*

68  
69 *The draft of this appointment policy was previously circulated for a 1<sup>st</sup>*  
70 *Reading to the Senate as part of the larger ARTP policy on April 6.*

71  
72 *Approved: (April 20, 2015)*

73 *Vote: (9-0-0)*

74 *Present: (Peter, Green, Lee, Fatoohi, Riley, White, Dresser, Fujimoto, Mathur)*

75 *Absent: (Romero)*

76 *Financial Impact: Few direct impacts beyond the existing ARTP processes. There will*  
77 *be costs associated with conversion to electronic dossiers, but the specific price for*  
78 *various contracts and alternatives is currently unknown.*

79 *Workload Impact: Considerable education will be required to train both faculty*  
80 *committees and administrative evaluators in the application of the new policy.*

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82 **POLICY RECOMMENDATION:**  
83 **RETENTION, TENURE AND PROMOTION**  
84 **FOR REGULAR FACULTY EMPLOYEES:**  
85 **PROCEDURES**  
86

87 1.0 Introduction: This document is the policy of San Jose State University that  
88 organizes the evaluation system for retention, tenure, and promotion for all  
89 regular or tenure-track Unit 3 faculty in the university.

90 1.1 This document pertains to all regular tenure track/tenured faculty of the  
91 Unit 3 Collective Bargaining Agreement. This includes Professors,  
92 Librarians, and Counselors. When the document uses the term Professor,  
93 or Associate Professor, or Assistant Professor it applies to the equivalent  
94 titles in the other professions, such as Counselor, Associate Counselor,  
95 Assistant Counselor or Librarian, Associate Librarian, or Assistant  
96 Librarian.

97 1.2 When this document refers to colleges it means those colleges that  
98 administer departments which are home to Unit 3 tenure/tenure track  
99 faculty. This excludes the College of International and Extended Studies.

100 1.3 Interpretation and Implementation. The AVP for Faculty Affairs is  
101 responsible for interpreting this policy and supervising its implementation.  
102 When significant issues of interpretation arise, the AVP for Faculty Affairs  
103 will consult with the Professional Standards Committee.

104 2.0 Developmental Reviews and Retention

105 2.1 Purpose and Types of Reviews. Untenured (probationary) faculty will be  
106 reviewed in the years leading up to the final performance review for tenure  
107 and promotion. The primary purpose of these reviews is developmental--  
108 to provide the candidate with a formative review of all categories of  
109 achievement, so as to encourage professional growth that will merit the  
110 award of tenure and at least the level of Associate by the end of the  
111 review period. A secondary purpose of performance reviews is to  
112 determine whether a probationary faculty member should be retained to  
113 continue progress toward tenure and promotion.

114 2.1.1 Performance reviews. A performance review is a thorough review  
115 carried out at multiple levels, with characteristics specified in this  
116 policy and in the Collective Bargaining Agreement. Faculty may  
117 only be considered for tenure and promotion or retention through a  
118 performance review. In specified years prior to the tenure and  
119 promotion decision, faculty will undergo performance reviews to be  
120 considered for retention. Faculty who wish to be considered for

121 early tenure or promotion must submit materials for a performance  
122 review. SJSU also uses performance reviews to provide each  
123 candidate with a thorough formative assessment of progress  
124 toward tenure and promotion.

125 2.1.2 Periodic Review of the Annual Summary of Achievements. The  
126 Periodic Review is a less thorough review carried out at fewer  
127 levels, with characteristics specified in this policy and in the  
128 Collective Bargaining Agreement. The periodic review may not  
129 recommend promotion, tenure, or retention. These reviews will,  
130 however, provide probationary candidates with an annual  
131 assessment of the progress they have made toward tenure and  
132 promotion. Under circumstances described below, periodic reviews  
133 may also recommend that a candidate submit a full performance  
134 review in the following year.

135 2.2 Timing of developmental reviews

136 2.2.1 Normally, probationary faculty shall submit materials for  
137 performance reviews in their third year. One outcome of this third  
138 year review shall be the determination as to whether the candidate  
139 shall be scheduled for a fourth year review, a fifth year review, or  
140 no additional review beyond that which may be triggered by an  
141 annual summary review as per 2.2.3.

142 2.2.2 Normally, probationary faculty shall submit annual summaries of  
143 achievements for periodic evaluation every year in which they do  
144 not submit a full performance review. Department committees,  
145 department chairs, and college deans shall consider an annual  
146 summary of achievements prepared by the faculty member,  
147 evaluations of teaching, and the cumulative record of previous  
148 evaluations and recommendations by committees and  
149 administrators. Copies of their observations and suggestions shall  
150 be given to the faculty member; the original evaluation shall be  
151 placed in the official Personnel Action File, and copies included in  
152 subsequent years' dossiers.

153 2.2.3 If committees or administrators believe that it is in the best interest  
154 of the university or the candidate to require an additional  
155 performance review in a year when such a review would not  
156 normally be required, they may so recommend to the President. An  
157 additional performance review is warranted when a prior review  
158 raises concerns that a candidate is not making sufficient progress  
159 toward tenure and promotion to Associate, or when a candidate  
160 appears to be falling below baseline expectations in any of the  
161 categories. The recommendation for an additional performance  
162 review may be made either as a result of a periodic evaluation or a

163 prior performance review. Candidates may also request an  
164 additional performance review.

165 2.2.4 When the probationary period is extended by leave or preceded by  
166 service credit there will be a corresponding adjustment to the  
167 schedule for all reviews. Performance reviews shall not, however,  
168 be required for newly appointed faculty in their first year at SJSU  
169 who have been given service credit on appointment. Faculty  
170 appointed with two years of probationary credit will receive  
171 performance reviews in their fourth year.

### 172 3.0 Procedures for Retention, Tenure, and Promotion

#### 173 3.1 Procedures and principles for all personnel committees

174 3.1.1 Training. All committee members must be thoroughly trained in the  
175 use of the present university policy on Appointment, Retention,  
176 Tenure, and Promotion Criteria, Standards, and Procedures for  
177 Regular Faculty Employees. Department chairs, college deans, and  
178 the Associate Vice President for Faculty Affairs shall arrange for  
179 appropriate training in the application of this policy.

180 3.1.2 Charge. Prior to deliberations, all members of a personnel  
181 committee shall sign a statement prepared by the Office of Faculty  
182 Affairs indicating that they have been trained appropriately, that  
183 they have read and understood the relevant policies, and that they  
184 will apply the policies fairly and accurately to the best of their ability.  
185 The statement shall also include their agreement to keep  
186 confidential all content of committee deliberations. The charge will  
187 be delivered by the AVP for Faculty Affairs, or the Dean, or the  
188 Chair, corresponding to the level of the committee. Committee  
189 members may not view dossiers or deliberate until after having  
190 signed the agreement. .

#### 191 192 3.1.3 Election of RTP members

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194 3.1.3.1 Faculty elected to serve on RTP committees should  
195 consider that their participation affects the careers of  
196 colleagues as well as the well -being of students and the  
197 health of the University more generally. This service  
198 shall be their highest professional priority.

199  
200 3.1.3.2 Candidates should verify their ability to serve during the  
201 scheduled meeting times. If necessary and feasible,  
202 Deans and Chairs should adjust members' teaching  
203 schedules to accommodate their ability to attend the  
204 scheduled meetings. If an elected member has an

205 unresolvable conflict with the meeting schedule, that  
206 member should promptly notify the Dean and Chair who  
207 should arrange to replace the member via a special  
208 election prior to the beginning of committee deliberations.  
209

210 3.1.3.3 No one may serve during the same review cycle on more  
211 than one level of committee; membership on the  
212 University committee, a college committee, or a  
213 department committee precludes membership on the  
214 other two.  
215

216 3.1.3.4 All departments with four or more active Professors are  
217 expected to provide members/nominees to higher level  
218 committees. Departments with three or fewer active  
219 Professors may provide members/nominees to higher  
220 level committees by supplementing their department level  
221 committee with external faculty (if needed) as per 3.2.7.  
222 A department with insufficient faculty to provide a  
223 representative to a College level committee may elect a  
224 representative from outside its department in a related  
225 discipline, or it may elect another department's elected  
226 representative as a designee to explain the department's  
227 criteria and context to the College committee.  
228

#### 229 3.1.4 Quorums

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231 A simple majority of the full membership of the committee must be  
232 present to obtain a quorum necessary in order to conduct business.  
233 In all personnel recommendations, a simple majority of those voting  
234 prevails. A quorum is determined at the beginning of the meeting,  
235 prior to any members removing themselves for purposes of  
236 abstention.  
237

#### 238 3.1.5 Voting procedures for all decisions

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240 3.1.5.1 Voting. College and University committees and any  
241 Department committees consisting solely of tenured  
242 Professors may devise their own voting procedures.  
243 Department Committees with members of less than full  
244 rank shall always vote by written secret ballot.  
245 Regardless of the voting method, the results shall be  
246 immediately announced in the committee and recorded.  
247 If written secret ballots are used, they shall be retained  
248 and sealed and stored in the Department / College /  
249 AVP's office until after the following stage of review has  
250 been completed, then they shall be destroyed. Electronic

251 voting may not be used unless it is implemented in a  
252 manner that provides the same degree of secrecy and  
253 security as paper ballots. No member may vote  
254 (electronically or any other way) who has not participated  
255 in the full discussion of any case.

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257 3.1.5.2 Abstentions

258 3.1.5.2.1 Permitted reasons for abstention include if a  
259 member has a conflict of interest concerning the  
260 candidate, or if a member has failed to do due  
261 diligence in reviewing the dossier. Committee  
262 members shall not abstain simply because they  
263 find a case difficult to decide.

264 3.1.5.2.2 Committee members who abstain must declare  
265 their intention in advance and must absent  
266 themselves from committee deliberations.  
267 Abstaining members may not contribute to the text  
268 of the committee's explanation (majority or  
269 minority) for its decision.

270  
271 3.1.6 Voting for Tenure and Promotion

272  
273 3.1.6.1 For tenure and promotion decisions, committees will  
274 conduct separate votes to determine the candidate's  
275 level of achievement in each category of achievement.

276  
277 3.1.6.2 The final committee recommendation for tenure and  
278 promotion will be determined by applying the evaluation  
279 of the three levels of achievement agreed to by  
280 committee majorities to the standards described in the  
281 policy on Criteria and Standards.

282  
283 3.1.7 Voting for Retention

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285 For retention there will be one vote to "retain" or "do not retain."  
286 using the standards described in the policy on Criteria and  
287 Standards.

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289 3.1.8 Recording Committee recommendations. Committees shall write  
290 reports for each case stating the reasons for all votes cast. (An  
291 abstention is not considered a "vote" for this purpose.) A statement  
292 of these reasons shall be included in a single report from the  
293 committee, with the possibility of a separate "minority" report. In  
294 either case, the confidentiality of voting shall be maintained, and  
295 signatures on the report(s) shall not indicate how individual  
296 members voted when recommendations are not unanimous.

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3.1.9 Confidentiality. All personnel materials, proceedings, and recommendations are confidential, except (a) that positive final decisions may be announced; (b) that each faculty member shall have access to materials in his/her personnel files as provided by law, the Agreement, and Trustee policy; and (c) that any individual may voluntarily disclose materials from his/her personnel file at an appropriate proceeding, such as a grievance or court hearing.

3.1.10 Deadlines. Deadlines for the procedural steps provided herein shall be established at the start of the academic year by the Associate Vice President for Faculty Affairs. Deadlines shall include a specific closing date "at which time the Personnel Action File is declared complete with respect to documentation of performance for the purpose of evaluation," as required by the Agreement (Section 15.12.b). If any stage of the review has not been completed within the specified time, the performance review shall automatically be transferred to the next review level and the faculty member shall be so notified. The calendar with deadlines shall be communicated to all faculty subject in a given academic year to personnel actions governed by this policy.

3.2 Department Committees.

3.2.1 Departments will establish one or more committees to recommend retention, tenure, and promotion decisions. (For example, a department could establish one committee of Professors for reviewing promotions to Professor, and a committee of Associates and Professors for reviewing tenure and promotion to Associate.) Members of department committees will be elected by the vote of probationary and tenured faculty. Department decisions about committee structure shall also be made by vote of the tenured and probationary faculty of the department.

3.2.2 Membership on personnel committees for the purpose of deliberating or voting on personnel recommendations is limited to tenured full-time faculty members. Note that faculty who have been promoted but not tenured are not eligible to serve.

3.2.3 No faculty member shall serve on the department committee who will serve that year on a higher level committee.

3.2.4 Tenured faculty members, including department chairs, who are candidates for promotion may not serve on promotion committees.

3.2.5 No faculty member, including department chairs, may participate in promotion, tenure, or retention deliberations about colleagues of

- 339 equal or higher rank.
- 340 3.2.6 Participants in the Faculty Early Retirement Program may not serve  
341 on retention, tenure, or promotion committees.
- 342 3.2.7 In departments of sufficient size, personnel committees shall be  
343 composed of at least five (5) tenured full-time faculty members. In  
344 no case shall a personnel committee be composed of fewer than  
345 three (3) tenured full-time faculty members. In departments with  
346 fewer than three tenured full-time faculty members eligible to serve  
347 on the personnel committee, additional tenured full-time faculty  
348 members from related academic disciplines outside the department  
349 shall be selected to serve on departmental personnel committees  
350 as needed. A mutually acceptable list of nominees shall be selected  
351 by the college dean and the probationary and tenured faculty of the  
352 department; the probationary and tenured faculty shall elect the  
353 additional committee members from that list.
- 354 3.2.8 Administrators holding full-time positions outside the department or  
355 involved in making personnel recommendations at the college or  
356 university levels shall not participate in department committees.
- 357 3.2.9 The personnel recommendations of academic units containing no  
358 departments (e.g., Counseling and the Library) shall be considered  
359 initial recommendations and the rules for department level review  
360 will apply. To carry out a second level of review equivalent to a  
361 college level review, the tenure/tenure track faculty of the academic  
362 unit shall adopt one of the following methods as part of the unit's  
363 mandatory guidelines:
- 364 3.2.9.1 The first level committee and the Provost or his/her  
365 designee shall prepare a mutually acceptable list of  
366 nominees. The probationary and tenured faculty unit  
367 members shall elect the members of the second level  
368 review from that list.
- 369 3.2.9.2 The academic unit may designate the College RTP  
370 committee of another college as its second level review  
371 committee. This designation would be made as part of  
372 the unit's department guidelines. If this method is  
373 selected then the academic unit shall be entitled to elect  
374 a representative to that College RTP committee. The  
375 choice of college committee must be approved by the  
376 AVP for Faculty Affairs as part of the review of  
377 department guidelines.
- 378 3.2.9.3 Regardless of the method chosen, the administrative

379 head of the academic unit (Dean of the Library, Director  
380 of Counseling) shall function as the college Dean in the  
381 review process.

382 3.2.10 Department Chair participation. A Department Chair is eligible to  
383 serve on the department committee, and if elected to the committee  
384 the Chair of the Department shall serve as Chair of the committee  
385 and shall not write a separate Chair's recommendation. If the Chair  
386 is not elected to the department committee the Chair shall write a  
387 separate recommendation. The Chair of the Department may  
388 participate in either capacity only if he/she is of sufficient academic  
389 rank as per 3.2.5. Such recommendations shall be forwarded to  
390 the college level along with the recommendations of the department  
391 committee and any responses to the departmental level  
392 recommendation(s) supplied by the faculty member.

393 3.2.11 The department chair shall schedule any department personnel  
394 committee, which shall elect its own chair. If the Chair is not a duly  
395 elected member of the committee, then he/she may meet with the  
396 committee as a non-voting member only if invited to do so. The  
397 votes of the committee shall be recorded. A member of the  
398 committee shall be selected to write the evaluation of the faculty  
399 member for the committee, which shall be forwarded with the  
400 committee's recommendation to the college committee.

401 3.2.12 A faculty member shall have ten calendar days after notification of  
402 the department level recommendations in which to respond to or  
403 rebut those recommendations in writing. Responses or rebuttals  
404 should be addressed via the department chair to the next level of  
405 review (i.e., either to the college Retention and Tenure Committee  
406 or the Dean) but should be delivered to the department office for  
407 placement in dossier. A faculty member may also request a  
408 meeting be held to discuss with the department chair the  
409 recommendations within ten days after notification. Dossiers shall  
410 be forwarded to the next level on the eleventh day after notification,  
411 accompanied by any response or rebuttal materials.

### 412 3.3 College Level Review

413 3.3.1 The college retention, tenure, and promotion committee shall be  
414 composed of tenured full professors from departments within the  
415 college or, if augmentation is required, from related disciplines  
416 outside the college, and shall be elected by the probationary and  
417 tenured faculty unit employees of each department. Each college  
418 shall determine the number to be elected from each department  
419 and the minimum size required for department representation on  
420 the college committee. Department chairs and faculty serving on a

421 college committee may not serve on a departmental committee in  
422 that college or on the university committee. The college committee  
423 shall elect its own chair and prepare its own report.

424 3.3.2 The college dean shall schedule the college retention, tenure, and  
425 promotion committee, but shall not attend committee deliberations  
426 nor communicate opinions about any individual candidate to the  
427 committee. Committees may request that the college dean or  
428 his/her designee meet with the committee outside of deliberations  
429 to explain procedural matters.

430 3.3.3 The college dean shall write an independent evaluation of and  
431 recommendation for the faculty member under review.

432 3.3.4 Department representatives on the college retention, tenure, and  
433 promotion committee may participate in the deliberations and vote  
434 on all faculty under review including those from their department.

435 3.3.5 The recommendation of the college retention, tenure, and  
436 promotion committee, a statement of reasons for its  
437 recommendation and the recommendation and evaluation of the  
438 dean shall be included in the dossier, and a copy sent to the  
439 candidate and to the department chair and committee. The  
440 committee and/or the dean must thoroughly explain in writing any  
441 disagreement with the recommendation of the department  
442 committee.

443 3.3.6 A faculty member shall have ten calendar days after notification of  
444 the college level recommendations in which to respond to or rebut  
445 those recommendations in writing. Responses or rebuttals should  
446 be addressed via the college dean to the next level of review (i.e.,  
447 either to the University Retention and Tenure Committee or the  
448 President) but should be delivered to the college office for  
449 placement in dossiers. A faculty member may also request a  
450 meeting be held to discuss with the college dean the  
451 recommendations within ten days after notification. Dossiers shall  
452 be forwarded to the next level on the eleventh day after notification,  
453 accompanied by any response or rebuttal materials.

#### 454 3.4 University Level Review

455 3.4.1 The University Retention, Tenure, and Promotion Committee shall  
456 consist of one tenured full professor from each college and one  
457 from the General Unit as defined in Senate by-laws. No member of  
458 a department or college retention, tenure, or promotion committee  
459 shall serve concurrently on the university committee. The members  
460 of the committee shall serve for two-year, staggered terms, and the

- 461 committee shall elect its chair.
- 462 3.4.2 The members of the university committee will be elected by the  
463 probationary and tenured faculty unit employees from each college  
464 and the General Unit. Only faculty who have previously served on  
465 their College level committee are eligible to be elected. Each  
466 department in the college shall be informed of the pending selection  
467 and may nominate one person. Each college retention, tenure, and  
468 promotion committee will select at least two of those nominated to  
469 place before the electorate of its college. No one elected may serve  
470 as a member of a department or college retention, tenure, or  
471 promotion committee in the same Academic year.
- 472 3.4.3 The Associate Vice President for Faculty Affairs shall schedule the  
473 university committee. He/she may meet with the committee only if  
474 invited to do so.
- 475 3.4.4 The university committee shall review the following cases:
- 476 3.4.4.1 All candidates for promotion to Professor, to Associate,  
477 or for tenure.
- 478 3.4.4.2 Candidates for retention which have received any  
479 negative votes or recommendations at earlier levels of  
480 review.
- 481 3.4.4.3 When allocating its workload, the university committee  
482 should devote particularly thorough attention to cases  
483 that have resulted in divided votes or recommendations  
484 at earlier levels of review.
- 485 3.4.5 The recommendation of the University Retention, and Tenure, and  
486 Promotion Committee, and a statement of reasons for its  
487 recommendation, shall be included in the dossier, and copies sent  
488 to the candidate, the college dean and committee, and the  
489 department chair and committee.
- 490 3.4.6 The Provost shall make a recommendation in any case reviewed by  
491 the university committee, and that recommendation shall be made  
492 in writing and included in the dossier, with a copy sent to the  
493 candidate, the college dean and committee, and the department  
494 chair and committee. When the recommendation is contrary to the  
495 recommendation of the university committee, a statement of  
496 reasons shall also be given in writing.
- 497 3.5 Periods of Review
- 498 3.5.1 For retention and tenure candidates, the period of review shall

499 begin with appointment to probationary service and continue to the  
500 time of the review.

501 3.5.2 For promotion candidates, the period of review shall begin on the  
502 closing date specified for the last successful promotion, or, if there  
503 has been no prior promotion, on the date of the initial appointment  
504 to tenure-track service and continue to the time of the review.

505 3.5.3 The period of review shall include the years for which any service  
506 credit was awarded.

### 507 3.6 Decisions

508 3.6.1 Announcement of final decisions. Second-year probationary faculty  
509 shall be notified of the President's decision regarding retention by  
510 February 15. Other probationary faculty shall be notified of the  
511 President's decision by June 1; if terminated, third-through-sixth-  
512 year probationary faculty shall receive a terminal year appointment.

513 3.6.2 The President has the authority to make appointments, continue  
514 faculty members on probationary status, grant tenure, and grant  
515 promotions, though the President may choose to delegate this  
516 authority in whole or in part to the Provost.

517 3.6.3 The President shall notify the candidate in writing, giving the  
518 reasons for the decision. A copy of the decision shall be given to  
519 the faculty member and all review levels and shall be placed in the  
520 personnel file.

521 3.6.4 When the presidential action is not consistent with the  
522 recommendation of the university committee, the President shall  
523 meet with the committee to discuss the reasons for the action.

## 524 4.0 Department Guidelines for Achievement

### 525 4.1 Purpose of Guidelines

526 4.1.1 Individual departments may create guidelines that relate the  
527 university-wide policy on criteria and standards to the professional  
528 standards and breadth of activities of their particular discipline(s).  
529 While there is no specific provision for College guidelines, they may  
530 be created simply by act of the constituent departments developing  
531 and then approving common guidelines.

532 4.1.2 In the case of Departments that do not have approved guidelines,  
533 "levels of achievement" will be judged exclusively by the more  
534 general language of the policy on Criteria and Standards.

- 535 4.1.3 In the case of Departments that do have approved guidelines, the  
536 guidelines will serve as an aid for evaluating “levels of  
537 achievement” within the broader policy language of the policy on  
538 Criteria and Standards.
- 539 4.1.4 Non-teaching units are required to develop such guidelines for the  
540 category of “Academic Assignment.”
- 541 4.1.5 Guidelines should assist committees and administrators outside the  
542 department or college in understanding the standards appropriate  
543 to the applicant's profession and to ensure fair and equitable  
544 application of these standards to the broader procedures,  
545 standards, and criteria of the university policies. Such statements or  
546 guidelines may specify the sorts of documentation that are  
547 expected to be relevant to the evaluation of professional  
548 effectiveness of faculty in the particular academic area.
- 549 4.2 Content of Guidelines
- 550 4.2.1 Guidelines offer specific profiles of accomplishments that would  
551 warrant a given level of achievement within a given category as  
552 viewed by that specific discipline. They provide hypothetical  
553 examples of profiles that would warrant a given level of  
554 achievement, but they do not replace the criteria and standards of  
555 University Policy. When the accomplishments of candidates are  
556 similar to the accomplishments included in the guidelines, then the  
557 guidelines may serve as a fair scale to assist in evaluating the level  
558 of achievement attained by the candidate.
- 559 4.2.2 Guidelines are inclusive and not exclusive in nature. They shall not  
560 be used to exclude accomplishments from consideration that were  
561 unanticipated when the guidelines were created. When candidates  
562 submit genuine accomplishments that were not anticipated in the  
563 guidelines, the accomplishments will be assessed using the more  
564 general language of the policy on Criteria and Standards.
- 565 4.2.3 Departments are encouraged but not required to produce  
566 guidelines for Scholarly/Artistic/Professional Achievement. They  
567 may produce guidelines for two or all three categories of  
568 achievement if they believe their discipline's teaching or service  
569 profiles are sufficiently unique. They may also include in their  
570 guidelines notes on synergistic practices and accomplishments that  
571 span more than one category of achievement. Any category  
572 without guidelines will be evaluated exclusively with the general  
573 language of the policy on Criteria and Standards.
- 574 4.2.4 Departments which contain more than one discipline, or contain

575 very different subdisciplines, may produce more than one set of  
576 specialized guidelines. When this occurs, particular care must be  
577 taken to specify to which faculty each set of guidelines applies.  
578 The applicable guidelines should be specified in appointment letters  
579 and the Chair's description of assignment.

580 4.3 Approval of Department Guidelines

581 4.3.1 Department Guidelines must be approved by a vote of department  
582 probationary and tenured faculty, using secret ballots.

583 4.3.2 Guidelines must be approved by the Associate Vice President for  
584 Faculty Affairs in consultation with the Professional Standards  
585 Committee of the San Jose State University Academic Senate.  
586 Prior to making its recommendation, the Professional Standards  
587 Committee shall solicit the input both of the home department and  
588 of the corresponding college RTP committee.

589 4.3.3 Guidelines must be kept current. They shall be reviewed every five  
590 years and shall clearly display the date they were last approved by  
591 the AVP for Faculty Affairs. Guidelines that display a date more  
592 than five years old calculated from the time of the submission of the  
593 dossier shall be considered invalid, except as provided below in  
594 "Continuity of guidelines throughout review period."

595 4.3.4 Department guidelines should meet these conditions:

596 4.3.4.1 They provide inclusive examples of accomplishments  
597 within the discipline that represents the given levels of  
598 achievement.

599 4.3.4.2 They provide realistic estimates of the resources required  
600 to meet each given level of achievement.

601 4.3.4.3 They comport entirely with the principles, categories, and  
602 standards defined by the Criteria and Standards policy.

603 4.3.4.4 They are equitable across departments; they do not  
604 make it more or less difficult for faculty in similar  
605 departments to achieve tenure or promotion.

606 4.4 Publication, Distribution, and Use of Guidelines

607 4.4.1 All approved department guidelines shall be posted on the Faculty  
608 Affairs website (or equivalent) and shall display the date they were  
609 last approved..

610 4.4.2 Continuity of guidelines throughout review period.

611 Normally, any valid (current) guidelines must be included in each  
612 candidate's dossier. If, however, guidelines have changed during  
613 the candidate's period of review, the candidate shall have the right  
614 to choose to include either the old or the new guidelines. Similarly,  
615 if guidelines that were valid during a part of the candidate's period  
616 of review are no longer valid and have not been replaced, the  
617 candidate may choose between including the old guidelines or  
618 including no guidelines. Only one set of guidelines may appear in  
619 the dossier, and reviewers are restricted to only considering  
620 included guidelines.

621 4.4.3 Once approved and published, department guidelines must be  
622 applied when judging the level of achievement of all candidates to  
623 which they apply, bearing in mind the limits of such guidelines.

## 624 5.0 The Dossier

625 5.1 Formal name. Personnel recommendations for retention, tenure or  
626 promotion of each faculty member shall be based upon written information  
627 and documentation contained in his/her personnel file or dossier. (In the  
628 Agreement, the dossier is known as the Working Personnel Action File.)

### 629 5.2 Preparation of the Dossier

630 5.2.1 Candidate's responsibilities. Candidates shall be responsible for  
631 preparing their dossiers. It shall be the primary responsibility of the  
632 faculty member under review to gather the necessary evidence and  
633 to prepare an index to the material contained in the dossier. That  
634 index shall be placed in the faculty member's permanent personnel  
635 file at the close of the year's deliberations, to provide an accurate  
636 record of all materials reviewed.

637 5.2.2 Department Chair's responsibilities. The department chair or  
638 school or division director shall inform in writing faculty members  
639 who are to be reviewed of the nature of materials required by the  
640 retention and tenure committee and the date by which these  
641 materials must be received for the committee's consideration. It is  
642 the responsibility of the chair to ensure that a detailed description of  
643 the academic assignment of the faculty member for the period  
644 under review be placed in the dossier at least one week before the  
645 submission date of the dossier, in order to establish a frame of  
646 reference for evaluation of the candidate by persons from outside  
647 the department. The faculty member may attach a response to this  
648 statement, before the closing date; any such response shall also be  
649 included in the dossier. During the period that the dossier is open,  
650 it is the responsibility of the chair to ensure that the evidence  
651 necessary for a full and fair evaluation is contained in the dossier.

652 5.2.3 Mutual Responsibilities. The candidate should place in the dossier  
653 an accumulated record of all official evaluations undertaken during  
654 the period of review (e.g. the probationary period or the review  
655 period for promotion to Professor.) All recommendations and  
656 statements of reasons from previous years' committees and  
657 administrators shall be included in each subsequent dossier. This  
658 accumulated record of review from prior years of the review period  
659 shall be considered at all levels of review, beginning at the  
660 department level. All evaluators shall check to be sure that these  
661 documents are properly included.

662 5.3 Documentation of the Period of Review

663 5.3.1 The dossier shall contain material that documents achievements  
664 during the period of review and shall not document achievements  
665 that fall outside the period of review, with the exception that all  
666 important scholarly and professional accomplishments should be  
667 listed in a comprehensive vita.

668 5.3.2 Materials that were previously submitted as "late additions" for  
669 consideration under a previously successful review are considered  
670 to be outside the current review period and are excluded from the  
671 dossier except on a comprehensive vita.

672 5.4 Managing the Dossier

673 5.4.1 Closing Date. The accumulation and organization of materials  
674 within the dossier must be completed prior to a "closing date"  
675 established by the AVP for Faculty Affairs (see "Deadlines.")  
676 According to the Agreement, insertion of material after the date of  
677 this declaration other than by faculty and administrative evaluations  
678 generated during the evaluation cycle and responses or rebuttals  
679 by the faculty unit employee being evaluated is not normally  
680 permitted. (15.12b.)

681 5.4.2 Missing materials. According to the Agreement (Section 15.12.b.),  
682 if, during the review process, the absence of materials required by  
683 this policy is discovered, the dossier shall be returned to the level at  
684 which the requisite documentation should have been provided and  
685 the materials provided in a timely manner.

686 5.4.3 Late Add Materials. Insertion of material after the dossier has  
687 been officially closed (see "Deadlines") must have the approval of a  
688 committee consisting of one member elected from and by each  
689 college committee and shall be limited to items that became  
690 accessible after the dossier is closed. Material inserted in this  
691 fashion shall be returned to the initial personnel committee for

692 review, evaluation and comment before consideration at  
693 subsequent levels of review.

694 5.4.4 Unsolicited materials. In addition to materials required by policy  
695 and/or provided by the candidate, the Agreement (Section 15.8)  
696 permits the inclusion of additional information provided by faculty  
697 unit employees, students, external reviewers, and academic  
698 administrators. For such materials to be inserted into the dossier  
699 without the consent of the candidate, they must be submitted to the  
700 Department Chair or Dean before the closing date, and they must  
701 subsequently be inspected by the AVP for Faculty Affairs to  
702 determine a) if the insertion is allowed under the Collective  
703 Bargaining Agreement, and b) that the insertion is both germane to  
704 the criteria of this policy and neither prejudicial nor defamatory. If  
705 the insertion is allowed, then the candidate must be afforded at  
706 least seven days to insert a response to the material.

707 5.4.5 Format and organization

708 5.4.5.1 The AVP for Faculty Affairs in consultation with the  
709 Professional Standards Committee shall produce and  
710 maintain a format guide for the dossier. Before  
711 implementation, the format guide must be approved by  
712 the AVP for Faculty Affairs, the Professional Standards  
713 Committee, and by the University RTP Committee. The  
714 guide will specify the organizational structure of the  
715 dossier, will summarize all required materials, will specify  
716 its format, the length and types of appropriate  
717 documentation, required statements or narratives by the  
718 candidate, and any other required characteristics.

719 5.4.5.2 Dossiers shall be provided in electronic form in a manner  
720 that secures their confidentiality and integrity, that  
721 facilitates a full and fair review, and that minimizes  
722 workload on the part of preparers and reviewers.

723 6.0 Responses to Recommendations. Candidates shall indicate that they have read  
724 the recommendations of each committee and administrator.

725 6.1 If candidates disagree with any recommendation, they have the right to  
726 respond in writing to those recommendations within ten calendar days  
727 after receiving the recommendations. Responses should be addressed to  
728 the next higher faculty committee but should be delivered to the  
729 administrative office currently holding the dossier for placement in the  
730 dossiers.

731 6.2 Candidates may also request a meeting be held to discuss the

732 recommendation within ten days after receipt of the recommendation (see  
733 the Collective Bargaining Agreement 15.5.) If requested, the meeting  
734 should be held with the author of the particular recommendation in  
735 question, such as the Chair, Dean, or Provost, or with the Chair of the  
736 particular committee responsible for the recommendation.

737 6.3 Dossiers shall be forwarded to the next level no earlier than the tenth day  
738 after faculty unit members have been notified of the recommendations  
739 made. Responses or rebuttals received within the ten-day limit must  
740 accompany the dossiers.