

REAPPOINTMENT, TENURE, AND PROMOTION PROCEDURES<sup>1</sup>  
College of Sciences<sup>2</sup>  
San Diego State University<sup>3</sup>

Effective Date: September 1, 2007

1.0 The College shall establish a Committee on Reappointment, Tenure, and Promotions (RTP).<sup>4</sup>

1.1 Committee Functions

1.11 The Committee shall evaluate those faculty members considered by the Departments for reappointment, tenure, and/or promotion. In this capacity, the Committee shall follow those procedures described in pertinent sub-divisions of the Faculty division of the University Policy File (UPF:F), related University documents and this document.<sup>1</sup>

1.12 The Committee shall advise the Dean of the College<sup>5</sup> on matters concerning RTP procedures and criteria within the College.

1.13 The Dean will provide the charge to the RTP committee at the first committee meeting.

1.14 The Committee shall prepare a summary report to the Dean and Faculty as specified in Paragraph 9.1 of this document.

1.2 Committee Membership

1.21 The RTP Committee shall consist of one external member (UPF:F – Promotion Procedures 2.61) and six tenured full professors of the College.

1.22 The Dean shall nominate one immediate past member of the Committee to the faculty for election to serve on the University Promotions and Tenure Review Panel. (UPF:F – Promotion Procedures 2.7)

1.23 The Dean shall nominate a sufficient number of faculty members to fill anticipated vacancies on the following year's College Committee.

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<sup>1</sup> The governing document for these procedures is the “Faculty” division of the University Policy File (UPF:F), especially sub-divisions: “Personnel Decisions, Procedures for;” “Promotion Procedures;” “Reappointment and Tenure Procedures;” and: “Reappointment, Tenure and Promotion: Criteria.”

<sup>2</sup> Referred to as the College or COS in this document.

<sup>3</sup> Referred to as the University in this document.

<sup>4</sup> Referred to as the Committee in this document.

<sup>5</sup> Referred to as the Dean in this document.

- 1.24 Ordinarily, the terms of service of the 6 College faculty members shall be two years, and the terms shall be staggered so that at least three but no more than four members of the Committee shall serve during the following year. The proposed committee members will be submitted to the probationary and tenured faculty of the College for ratification. Ratification requires 80% of those voting. If all the nominees are not ratified, the Dean shall nominate new individuals to complete the membership of the Committee. A second vote requiring 80% shall be held for ratification. If ratification is not complete in this vote, the still vacant positions shall be filled by individuals selected by the Chairs of the Department Promotions Committees in a meeting chaired by the Chair of the College RTP Committee.
- 1.25 The composition of the Committee should reflect the composition of the faculty of the College.

## 2.0 Criteria for Promotion

- 2.1 The basic criteria for promotion of faculty members of the University are described in UPF:F – “Reappointment, Tenure and Promotions: Criteria.” A necessary qualification for reappointment, tenure, or promotion is excellence of instruction at the undergraduate and graduate level.
- 2.11 The teaching ability of the faculty member is measured by command of the subject, diversity of subjects taught, skill in organizing and presenting material with force and logic, intellectual integrity and actual teaching performance. Actual teaching performance shall have been evaluated by various techniques of measurement (including student evaluations, evaluation of syllabi, and evaluations by faculty) applied in appropriate teaching situations (e.g., classroom teaching, laboratory teaching, seminars, public lectures). The results of student evaluation of instruction shall be used as one element in the evaluation of instruction but not as the sole indicator of instructional quality. Effectiveness of teaching is also measured by honors and distinctions received for excellence in teaching.
- 2.12 Inclusion of students in research programs may be considered as a criterion for excellence in teaching, as will the number of graduate students completing their degree programs. Research mentoring shall be considered as instruction.
- 2.2 Within the COS, every faculty member is also required to establish and maintain a focused and productive research program that attempts to answer significant questions in the field. The results of this program are to be communicated to the

appropriate peer audience. The evaluation of the candidate's research program will be based on creativity, innovation, depth, and significance of the communicated results. Typically, evidence is in the form of refereed publications, grant applications, success in procuring extramural support, and invited presentations of papers. However, the exact form of the evidence and its relative importance in the review process is determined by the candidate's particular professional program. Review must conform to the spirit of the Memorandum of Understanding between the California State University and the California Faculty Association. Specific criteria established by individual departments shall be based upon those of the University and the College and be clearly described in a department promotion document.

- 2.3 Each faculty member will demonstrate service to the University by active participation on department, college, and/or university committees, or other activities as described in UPF:F – “Reappointment, Tenure and Promotion: Criteria – 2.3.”
  - 2.4 The Working Personnel Action File (WPAF), consisting of a Personnel Data Summary (PDS) and a One-of-a-Kind File, is the primary source of information for department, college, and university promotion committees. “Instructions for Organizing the One-of-a-Kind File” and “Instructions for Completion of the Personnel Data Summary (PDS)” are available on the Faculty Affairs website.
  - 2.5 The Department RTP Document shall include the requirements stated in UPF:F – “Promotion Procedures 2.51”, and UPF:F – Reappointment, Tenure and Promotion: Criteria 2.1, 2.2, and 2.3.
  - 2.6 Letters of reference from external reviewers will be used as a criterion for tenure and promotion. Letters shall be requested from external reviewers who have expertise not available on campus and shall be in conformity with the MOU 15.12d and with the UPF:F – “Personnel Decisions, Procedures for” 3.4.
    - 2.61 The candidate and department committee shall jointly generate a list of internationally recognized experts in the appropriate discipline. The candidate shall review the entire list with veto power over anyone for reasons of potential bias. The final list should contain a minimum of 4 names. A minimum of 2 and preferably 3 external evaluators should then be selected from the approved list by the department committee without further input from the candidate.
    - 2.62 Letters from external reviewers are not confidential. The candidate will receive a copy of each letter.
- 3.0 Criteria for Tenure
    - 3.1 The criteria for tenure shall conform to those leading to promotion to

Associate Professor.

- 3.2 Possession of the doctorate shall be a requirement for tenure. This requirement may be waived by the Department only where there is specific and documented evidence the individual has attained a level of professional competence equivalent to a doctorate.

#### 4.0 Criteria for Reappointment

- 4.1 The criteria for reappointment shall conform to those leading to tenure. A positive recommendation by a department for the reappointment of an individual must include the Department's evidence that the individual is making satisfactory progress in meeting the requirements for tenure.

#### 5.0 Procedures

- 5.1 The Office of Faculty Affairs shall annually determine and inform the Colleges and Departments in writing of the pertinent dates by which those procedures required in the processes of RTP are to be completed. A copy of the notice shall be available on the Faculty Affairs website.
- 5.2 The list of faculty members to be considered for promotion will be prepared by the Associate Vice President of Faculty Affairs and will be distributed to the Dean's Office and the departments by September 15 of each year.
- 5.3 Immediately following the receipt of the list described in 5.2, each department shall notify those members of the Department eligible for reappointment, tenure, and/or promotion of their eligibility.
- 5.31 The Office of Faculty Affairs will set a closing date after which the WPAF is declared complete.
- 5.32 Insertion of material after the closing date may be done only in conformity with guidelines published by the Office of Faculty Affairs. Late material is limited to newly available items. See "Late Add – Instructions for Submitting Material to WPAF After the Deadline Date" on the Faculty Affairs website.
- 5.4 The Dean or the Dean's designee shall convene the first meeting of the Committee on or before October 10. The agenda will include:
- a. Selection of a chair
  - b. Scheduling of subsequent meetings
  - c. Discussion and/or adoption of procedures
  - d. Election of one of three assigned external members to serve on the college committee.

- 5.5 The College RTP Committee shall confer with the Department RTP Committee when the Committees' recommendations on tenure and/or promotion differ. If the difference is then not resolved, the College Committee may retain its own recommendations by a vote of a simple majority.
- 6.0 Notification and Appeal
    - 6.1 Notification of the recommendation made by the Department Committee shall be satisfied by means of a letter to the candidate.
    - 6.2 The Department Chair, the Committee Chair and the Dean shall individually notify, in writing, each candidate for reappointment, tenure and/or promotion of the respective recommendation made concerning the candidate. Notification of a "not recommended" decision shall include information on the reasons for the negative decision, as well as all routes of rebuttal available to the candidate within the University.
    - 6.3 Any candidate may submit a rebuttal. See "Response/Rebuttal Instructions" on the Faculty Affairs website.
  - 7.0 College of Sciences Research Centers: Faculty members of the various College of Sciences "Centers" may use their center-related activities (and the results of these activities) in support of their candidacy for RTP advancement. This is particularly the case if all or part of their salary is based on "Center" activities. The following limits and restrictions shall apply.
    - 7.1 RTP decisions and recommendations that are forwarded to the College of Sciences RTP Committee shall be the sole responsibility of the department in which the faculty member is appointed.
    - 7.2 Only material that is considered appropriate and in accordance with the University Policy File and the College of Sciences RTP document may be used during RTP procedures.
    - 7.3 A letter of recommendation from the Center Director/Chair is appropriate for inclusion in the candidate's One-of-a-Kind File.
  - 8.0 RTP Procedures and Criteria for Student Services Professional, Academic-Related Employees (SSPAR) employees
    - 8.1 Evaluation of an SSPAR employee for the purpose of recommending reappointment, tenure, and promotion shall require the candidate to complete and forward a PDS and One-of-a-Kind file to the Department Committee in accordance with the Calendar deadline.

- 8.2 SSPAR employees shall receive a college-level review by a specially constituted College of Sciences SSPAR Review Committee. This committee will consist of two SSPAR faculty members and one tenured faculty member. This committee membership will be ratified by the same means as the College RTP Committee.
- 8.3 The Departmental Peer Review Committee, the Department Chair and the Dean shall forward their recommendations to the candidate according to the Calendar deadline.
- 8.4 Evaluation Criteria for persons in SSPAR positions in the College: The basic qualification for reappointment, tenure and promotion is based on the employee's record of accomplishment during the review period on activities and expected accomplishments described in the annual Work Plan (See section 8.5). However, since any SSPAR position may by its intended nature involve unpredictable tasks, an SSPAR employee's annual Work Plan represents an initial estimate of the employee's goals for the year, rather than an immutable set of requirements. The employee's accomplishments are to be described in a PDS and supported by documents that are placed in a One-of-a-Kind File.
- 8.5 SSPAR Review Categories: The primary responsibility of a College of Sciences SSPAR employee is to provide service to the department or academic unit to which he/she belongs, possibly but not necessarily including, and not limited to: technical, managerial or administrative services; facilities development; preparation and submission of grant proposals for obtaining or enhancing shared research and teaching facilities; developing new departmental programs; mentoring and thesis supervision; and committee service. The following is a general outline of the four categories and possible types of activities.
- 8.51 Technical, Managerial or Administrative Services. An essential responsibility of an SSPAR employee is to render a highly sophisticated level of technical and managerial support to COS facilities (e.g., observatory, core research facilities, or specialized training programs). Individuals in these positions are also expected to supervise personnel, programs, and insure compliance with federal and state regulation. An SSPAR may also be required to manage budgets, stocks, schedules, etc., to insure the smooth operation of the facilities or services.
- 8.52 Professional Growth. Continuous growth in scholarship is essential to the professional development of every College of Sciences SSPAR employee. Evidence of this growth may include publications of merit; presentation of scholarly papers; awards, grants, and honors received; active participation in professional organizations; participation in seminars and institutes; research and development activity; activities of a creative nature which are appropriate to the candidate's area.
- 8.53 Effectiveness of Teaching. If teaching (including graduate student research direction) is identified in the Work Plan as one of the

candidate's responsibilities, the effectiveness of teaching will be evaluated for reappointment, tenure, and promotion. The teaching ability of the SSPAR employee is measured by the same standards as described for faculty in Section 2.1 of this document.

8.54 Service to the University and Community. SSPAR employees in the COS may be expected to assume responsibilities such as department and university committee work, holding office in university-associated organizations, scientific presentations to the public, contributions to newspaper articles or other public relations services, etc., and student advising.

8.6 Work Plan Requirements (to be described in the Candidate's Statement Section of the PDS)

8.61 Each year the SSPAR, together with the appropriate supervisor, will establish a clear set of activities and outcomes. The Work Plan should specifically reference each of the relevant review categories. For an SSPAR employee, significant differences between accomplishments during a review period and the formal Work Plan for that review period may actually be indicative of superior performance in successfully adapting to an unpredictable tasking environment.

8.62 Work Plans will always include responsibilities which entail professional growth and service to the University, and may or may not include teaching responsibilities. Any reimbursement of time to the department or academic unit from extramural funding must be detailed in the Work Plan. Promotion and/or granting of tenure will require demonstrable professional growth. The Work Plan should specify the types of professional growth activities required for this position.

9.0 Committee Report to the Dean and Faculty

9.1 The Dean, Department Committees, and College Faculty should be aware of the current standards for tenure and promotions recommendations as they apply to candidates during each evaluation period.

9.2 On or before September 15, the Committee will provide a summary describing as specifically as possible, without conflicting with privacy laws, those factors and their relative weights that the current Committee utilized in its recommendations and rankings. Specific factors that lead to unfavorable decisions should be included. This summary shall be distributed to all faculty members of the College.

10.0 Review and Modification of Procedures

- 10.1 This document may be modified only by a majority vote of the faculty of the College. Proposals for modification of this document must originate from one of the following sources: the Committee, the Dean, or a proposal signed by at least 10% of the full-time faculty of the COS.

In general, there will be but one opportunity per academic year to modify the document. All proposals for modification must be communicated in writing to the Dean prior to April 15, so they will be compiled and distributed to the faculty. The Dean shall call for an election which will allow at least ten work days to elapse subsequent to the date on which the proposals were distributed to the faculty.

- 10.2 Each department will keep a current copy of all its personnel documents on file in the College Office. The College Committee shall review the College and Department reappointment, tenure, and promotion procedure documents upon request of the Dean.

#### 11.0 Distribution of Document

This document together with appropriate Faculty Senate and department procedures will be available to all prospective faculty members prior to the issuance of formal offers of appointment. Copies of the document shall also be available to all officers and committees as required by currently existing Faculty Senate and College documents. All full-time College faculty members shall have this document available to them via the College website. This document will be posted on the College website, together with all subsequent revisions of College policy documents.

Revised: 4/10/89, 10/29/92, 7/23/07, 05/07/08