

Academic Senate Policy [#S94-120](#) augments this policy.

Please click on the link for the most current changes.

## **CHANGES IN RETENTION AND TENURE POLICY**

### **Academic Senate Policy #S88-120**

At its meeting of May 17, 1988, the Academic Senate approved changes to the [Faculty Manual](#)  
- Retention and Tenure Sections, formerly the Hiring, Retention, and Tenure Policy - F85-120.

#### **POLICY AND PROCEDURES FOR GRANTING OF CREDIT TOWARDS TENURE**

**Coverage.** This policy is in compliance with Article 13.4 of the Agreement.

**Policy.** Credit towards probation may be granted based upon previous service as a faculty member at another college or university, previous full-time CSU employment, or comparable experience.

The maximum credit allowable is two (2) years.

The awarding of service credit for probation will be approved by the department retention and tenure committee, the department chair, the dean, and the Dean of Faculty Affairs.

Criteria for the award of service credit towards probation:

- a. For service as a lecturer at San Francisco State University: Written documentation of the evaluation of the faculty member which is equivalent to that required for probationary service, and which covers the year(s) for which credit is being requested.
- b. For service elsewhere: Statement from the appropriate administrator at that institution that the prospective faculty member had been subject to evaluation during the year(s) for which service credit is being requested and that the results of the evaluation demonstrated the individual was performing competently, or written documentation of the performance of the faculty member which is equivalent to that required for probationary service and which covers the years for which credit is being requested.
- c. All requests for service credit towards probation should include evidence of teaching effectiveness and scholarly accomplishments related to the discipline for which the individual is being hired; normally, this evidence will be post-doctoral.

**Procedures.** All requests for service credit towards probation must accompany the recommendation for appointment of a new tenure-track faculty member from the department to the dean, and subsequently, to the Dean of Faculty Affairs. Documentation supporting the request for credit should accompany the appointment documents.

If the request for service credit is approved, the official letter offering employment at San Francisco State University will state the agreed upon probationary period.

Upon acceptance of the offer of employment, the tenure eligibility year will be adjusted in the Faculty Affairs office by the data entry supervisor.

The letter of acknowledgement from the dean to the new faculty member will constitute notification of the revised probationary period to the faculty member, department, college, and the official personnel action file.

In the initial year of employment on tenure-track status, the probationary faculty member will be evaluated for retention according to the time frames and procedures for the first, second, or third year of probation depending upon the amount of service credit awarded.

### **RETENTION AND TENURE COMMITTEE MEMBERSHIP**

Retention and tenure committees shall be elected by secret ballot by probationary and tenured faculty in the department from among the tenured full-time faculty.

Faculty being considered for promotion are ineligible to serve on tenure committees. Faculty on the Early Retirement Program are ineligible to serve on retention and tenure committees.

Faculty on leave are eligible to serve only if they are willing to serve throughout an academic year.

**Retention and Tenure Committee Structure.** Departments shall have committees which consist of at least three members. Retention and tenure committee members shall serve a three-year term of office and may be elected for subsequent terms. Provision shall be made to ensure continuity of membership so that in any year there will be carryover of at least one person on a three-member committee and at least two persons on a five-or-more-member committee. In the event a committee member cannot fulfill the term of office, a substitute shall be selected through the standard election procedures to fill out the remainder of the unfulfilled term.

When there are too few eligible faculty to serve on the retention and tenure committee within the department, the department shall elect members from among the tenured full time faculty in related academic disciplines.

Faculty holding joint appointments shall be reviewed by tenured faculty from each department in which the individual holds an appointment. The review may be conducted by each department separately or by one committee with representation from each department.

The department chair is ineligible to serve as a member of the retention and tenure committee, or to participate in committee deliberations. S/he shall make a separate and independent recommendation on each retention or tenure case under consideration.

### **GENERAL PRINCIPLES FOR RETENTION AND TENURE PROCEDURES**

These retention and tenure principles and procedures apply to all probationary faculty unit employees who are referred to as "faculty members."

All probationary faculty shall be evaluated according to the criteria and procedures contained in this University policy and the Agreement. Each year, prior to commencement of the annual evaluation, probationary faculty shall be informed in writing of any special procedures developed by retention and tenure committees for use in retention and tenure consideration. Special procedures, if any, developed by departments shall also be reviewed annually by each college dean and the Dean of Faculty Affairs to ensure that they are consistent with University policy and the Agreement. Departmental policies and the roster of the current year's retention and tenure committees shall be forwarded to the Dean of Faculty Affairs and the college dean according to the deadline on the Executive Calendar.

All deliberations regarding retention and tenure are confidential.

Recommendations regarding retention and tenure are confidential except that the affected faculty member, retention and tenure committee department chair, and appropriate administrators shall have access to the written reviews and recommendations for all levels of review.

The faculty member being reviewed is responsible for the preparation and submission of all materials he/she wishes to have considered by the deadline established by the retention and tenure committee. An index of all materials submitted shall be prepared by the faculty member and submitted with the materials. Materials for evaluation submitted by the faculty member are returned to the faculty member at the conclusion of the evaluation and are deemed incorporated into the Personnel Action File by reference to the index.

Retention and tenure committees, department chairs, and administrators are responsible for identifying materials related to the evaluation not provided by the faculty member and for placing these materials in the Working Personnel Action File prior to the date the file is closed. It is the obligation of every person involved in the evaluation process to make a diligent effort to obtain factual evidence, to verify the accuracy of data offered, and insofar as possible, to make a personal investigation and evaluation of the performance of the faculty under consideration. Class visitation, evaluation of publications or other creative works, gathering of relevant opinion data (including student and colleague opinions) are all parts of the data base from which evaluation should proceed.

The working portion of the Personnel Action File shall be defined as that file specifically generated for use in an evaluation cycle. It contains the faculty member's materials and index, student evaluations of teaching effectiveness, and all other information provided by faculty, students, academic administrators, and others who must be identified by name. The Working Personnel Action File also contains all faculty and administrative level evaluations and recommendations made during the current cycle and all rebuttal statements. Reviews and recommendations for the purpose of decisions relating to retention and tenure shall be based solely on material contained in the Working Personnel Action File. Copies of all materials placed in the Working Personnel Action File shall be made available to the faculty member.

The Working Personnel Action File shall be considered complete with respect to documentation of performance for the current cycle of review on the same day that the department retention and tenure committee signs its report and gives a copy to the faculty member. After this date, the insertion of new material into the Working Personnel Action File shall be limited to those items which became accessible only after this deadline and which have been approved for inclusion by the appropriate College Leave with Pay committee. Any material inserted after the deadline shall be returned to all earlier levels of review for evaluation and comment beginning with the retention and tenure committee before consideration at subsequent levels of review.

A request for an external review of the Working Personnel Action File may be initiated at any level of review by any party to the review. External review is defined as off-campus impartial evaluation of materials in the Working Personnel Action File. An external review may be initiated in the event of an unresolvable conflict or other special circumstances regarding the assessment of materials in the file. A request for external review shall document both the nature of the unresolvable conflict or other special circumstances and the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the President or designee with the concurrence of the candidate.

In the event the President or Provost makes a decision regarding tenure or retention for reasons other than those documented in the Working Personnel Action File, then these written reasons must be given to the faculty member and placed in the Personnel Action File.

## OPERATION, FORWARDING, AND REVIEW PROCEDURES FOR RETENTION AND TENURE RECOMMENDATIONS

The retention and tenure committee shall specify evaluation criteria and procedures, and the deadline for submission of the faculty member's materials, prior to the beginning of each annual evaluation process. These criteria and procedures must be adhered to throughout the process.

The retention and tenure committee shall assemble all information relevant to the evaluation. This information shall include the faculty member's materials with index, student evaluations, and any other information deemed relevant. All information considered by the retention and tenure committee, except routine student evaluations, must be identified by the name of the source.

The retention and tenure committee may receive written reports or hear testimony from other faculty members, from students and others as deemed appropriate, but such statements shall be taken in the presence of the committee alone to ensure confidentiality. No one but members of the retention and tenure committee may be present during its deliberations. Verbal testimony used by the committee must be put in writing, identified by name, and placed in the report.

Upon completion of its deliberations, the retention and tenure committee will prepare a written report summarizing the data sources used, the nature of its evidence, and its concluding recommendations. Each retention and tenure committee report and recommendations shall be approved by a simple majority of the membership of the committee. The retention and tenure committee shall give its report and recommendations to the faculty member prior to forwarding it to the next level of review. The faculty member shall, whenever possible, sign and date receipt of his/her copy. As of that date, no new material shall be added to the Working Personnel Action file except as a result of action by the College Leave with Pay committee.

The department chair shall prepare a separate recommendation. It shall be his/her duty to give a copy of this recommendation to the faculty member before forwarding it and the Working Personnel Action File to the dean.

Differences of opinion and problems of communication should be resolved to the extent possible at the level of origin before being forwarded to the next level of review. In the event of disagreement between the retention and tenure committee and department chair recommendations or between the dean and the retention and tenure committee or the chair, the dean shall attempt to secure resolution through consultation with the retention and tenure committee and the department chair.

The dean shall give a copy of his/her recommendation to the faculty member prior to forwarding the Working Personnel Action File and recommendation to the Provost.

At each level of review, the faculty member shall be given a copy of the recommendation prior to forwarding to the next level of review. At all levels of review, the faculty member shall have the right to respond or submit a rebuttal statement in writing no later than seven (7) calendar days following receipt of the recommendation. A copy of the response or rebuttal statement shall become part of the Working Personnel Action File prior to being forwarded to the next level, and shall be sent to any previous levels of review. Upon request, the faculty member may be provided an opportunity to discuss the recommendation with the recommending party. The right to rebut or to request a meeting shall not require alteration of the time-lines.

The decision for retention or tenure of candidates rests with the President, or designee. As the President's designee, the Provost may authorize reappointments in consultation with the college dean and others as required in each instance, except for cases wherein the granting or denial of tenure is involved. In tenure cases, formal review by the President is required in consultation with the Provost and the appropriate college. The President or Provost will forward a copy of the decision and the reasons thereafter to the probationary faculty member.

### **OPERATIONAL CALENDAR FOR RETENTION AND TENURE RECOMMENDATIONS**

Dates for submission of reviews and recommendations to the next level of review will be determined annually and published in the Executive Calendar. There shall be a minimum of two weeks for review at successive levels except in tenure cases. All cases involving tenure must allow a minimum of one month total for consideration by both the Provost and the President. All evaluations shall be conducted and completed within the period of time specified by the Executive Calendar. The Working Personnel Action File shall be forwarded in a timely manner to the next level of review.

#### **Notification of Retention and Tenure Decision**

Faculty in their first and second year of probation shall be notified of the final decision on retention by February 15. The decision shall be for retention or termination.

Faculty in their third, fourth, fifth, and sixth years of probation shall be notified of retention, appointment with tenure, or terminal year appointment by June 1.

Terminal year appointments are limited to probationary faculty who have served a minimum of three (3) years of probation.

#### **Retention and Tenure Recommendations**

There will be an annual review of each probationary faculty member by the retention and tenure committee, the department chair, and the dean for the purpose of recommending retention, termination, terminal year appointment, or tenure to the Provost.

The purpose of retention and tenure review is to assess the probationer's performance against University criteria in order to make personnel recommendations, and to provide helpful information to the candidate about performance expectations. The quality of the review is dependent upon the retention and tenure committee and chair taking full responsibility for conducting the review at the departmental level and upon the candidate's understanding that he or she is an integral part of the evaluation process and must provide requested information on time and in the format specified.

- a. The first year review will, of necessity, occur during the first semester of probation. This review shall be limited to a recommendation for retention or termination at each level with descriptive commentary as appropriate. Where they occur, problems should be identified and discussed with the probationary faculty member.
- b. The second year review will be based upon performance during the first year of probation. It shall contain an evaluation of teaching effectiveness and any other descriptive material or commentary relevant to the other retention criteria. The recommendation shall be for retention or termination.
- c. The third year review shall be an update of the second year review. The recommendation shall be for retention or reappointment for a terminal year.

- The fourth year review shall be a comprehensive evaluation of the first three and one-half years of probation
- d. addressing all criteria for retention. The recommendation shall be for retention or reappointment for a terminal year.
  - e. The fifth year review shall be an update of the fourth year review. This review will identify any recurring problems which must be resolved prior to a tenure decision. The recommendation shall be for retention or a terminal year appointment.
  - f. The sixth year review shall be a comprehensive summative evaluation of the preceding six years of probation according to all criteria for tenure. The recommendation shall be for tenure or a terminal year appointment.
  - g. The department reserves the right to perform a comprehensive evaluation in years when a comprehensive review is not required by this policy. The probationary faculty member may request a comprehensive evaluation in any year.

**Early Tenure** The President in special circumstances may award tenure earlier than the normal six-year probationary period. A recommendation for the award of early tenure shall be accompanied by a comprehensive evaluation of the entire probationary period according to all the criteria for tenure.

A probationary faculty member may request review for tenure in any probationary year.

**When credit toward probation is awarded**, the award is based upon a review of the faculty member's performance comparable to that required of probationary faculty at SFSU. Therefore, the year(s) for which service credit is granted will be counted as probationary years.

**A probationary faculty member on leave without pay for professional purposes** shall, when otherwise eligible, accrue a maximum of one (1) year service credit towards probation. The granting of full or partial leaves without pay to probationary faculty is at the discretion of the department and dean.

**If the maximum allowable credit towards probation has not been reached**, probationary faculty on partial professional leave without pay shall be evaluated for retention and tenure according to the same procedures, criteria and time frames in effect for all probationary faculty. When probationary faculty request full time professional leaves of absence without pay, approval of their request by the department and the dean shall constitute their recommendation that the year of full-time professional leave without pay shall count as a year of probation. No additional campus evaluation and recommendation for retention shall occur. However, if the professional leave occurs in the third year of probation, a comprehensive review shall occur in the year following return from leave. If the faculty member does not perform the work for which the professional leave was approved, credit towards probation granted at the beginning of the full or partial leave may be revoked by the Provost.

When probationary faculty have accumulated a total of one year's credit towards tenure for professional leave(s) without pay, all subsequent partial or full-time leaves (regardless of their purpose) shall not accrue credit towards tenure, and during the years in which they are taken no review for retention or tenure shall occur.

**Tenure at Time of Appointment.** The President in special circumstances may award tenure at the time of appointment. Appointments with tenure shall be made only after an evaluation and recommendation by the appropriate department and shall be based upon an assessment of performance prior to the time of appointment. The criteria to be used are the same as those for regular tenure and are described below.

## CRITERIA FOR RETENTION AND TENURE

An assessment of teaching effectiveness is required for every year of probation. The retention and tenure committee report for the third year review and the tenure year review must include, at a minimum, cumulative information and evaluation dealing with all of the following areas with specific headings and entries indicating that these areas of evaluation have been considered:

**TEACHING EFFECTIVENESS** Assessment of teaching effectiveness must be based on systematically gathered evidence. The department, in making its evaluation of teaching, must indicate the basis on which that judgment was made. Comparative data may be used but are not mandatory. To merit tenure, all candidates must meet that standard of excellence which is normally expected of faculty and which is required by the University. A faculty member must maintain an adequate scholarly level in providing instruction; must show commitment to high academic standards; must be successful in instructing students in the relevant disciplinary skills and subject matter; must be able, as a teacher, to guide and stimulate students; must be effective in advising; and must be willing to confer with students.

**Evidence of teaching effectiveness is to be obtained systematically from students and colleagues.** Such evidence should reflect variations in the department's need for the following: instruction at differing levels, individualized and specialized instruction as appropriate, and student advising. At a minimum, departments will provide for the gathering of written student opinion on teaching in two (2) courses each semester. Unless all classes are to be evaluated, those classes where student evaluations occur shall be jointly determined by the faculty member and the department chair. In the event of disagreement, each party shall select 50% of the total courses to be evaluated. The faculty of each department shall have the authority to increase the frequency of the gathering of written student opinion in teaching should they wish to do so. Any faculty member may request that the teaching of additional classes be evaluated.

Continuous study of the individual discipline or related disciplines, and the infusion of current materials into the curriculum being taught, are minimal requirements of all faculty.

**Primary Assignment** For those members of the faculty whose primary assignment is other than teaching: e.g., audio-visual or library, and who do not have a separate retention and tenure policy approved by the Senate, primary emphasis shall be on effectiveness in assignment. The candidate's assignment must be clearly explained and documented data provided on the quality of his/her performance.

**PROFESSIONAL ACHIEVEMENT AND GROWTH.** Professional achievement and growth may be exhibited in a variety of ways including research, publications, creative work, curricular development, unpublished manuscripts, or work in progress. Although in general, no one of the following vehicles (below) for professional growth and achievement is viewed as more important than others, more important than another within the framework of the department's needs and service to the students, and this emphasis shall be considered in the evaluations.

**Research and Publication.** Descriptions of publications, research projects or unpublished manuscripts, or copies of said works shall be submitted to the department retention and tenure committee. If scholarly evaluations of the works are available, these shall be included.

**Creative Work.** Creative works, such as musical compositions, paintings, sculptures, films, videotapes, literary or dramatic works, designs or inventions, exhibitions or performances shall be submitted to the department retention and tenure committee in whatever form or forms typically are employed for evaluation in the relevant field. Such forms may include presenting the creative work itself, a reproduction or replica of the work, or a description of the work together with whatever critical reviews may be available.

**Research and Curricular Development.** Research in the discipline, across disciplines, or for the benefit of general education may result in significant curricular developments. Such results should become part of the evidence supporting a candidate's retention or tenure.

The department retention and tenure committee should include in its report assessment of the quality of the candidate's work.

**COMMUNITY SERVICE.** Individuals may serve the University using their professional expertise to provide service at the community or city, state, or national levels. Such service must involve participation at a level which makes a contribution to community activities or projects, and which enhances relations between the University and the community. Emphasis should be placed on those community activities in which the academic expertise of the faculty member is directly applied. Descriptions of community service shall be submitted to the department retention and tenure committee.

**Professional Societies or Other Professional Activities.** Participation includes membership and offices held in professional societies, committee activities, participation on editorial boards or in refereeing, and services provided as a consultant.

**UNIVERSITY NON-TEACHING ACTIVITIES.** These include, but are not limited to, the following: administrative assignments, committee work, special advising assignments, program/curriculum development, sponsorship of student organizations, and direction of non-instructional activities and projects.

**PERSONAL COLLEGIAL RELATIONSHIPS AS A MEMBER OF THE FACULTY.** The candidate demonstrates professional ethics and principles, and accepts responsibility for working effectively with colleagues to achieve department, college, and University goals.

**HOW THIS FACULTY MEMBER FITS THE FUTURE PLANS AND NEEDS OF THE DEPARTMENT.** How the candidate can contribute to the long-term goals of the department, including but not limited to teaching flexibility and curricular planning.

**PROFESSIONAL EDUCATION AND/OR EQUIVALENCY AND EXPERIENCE.** Normally, the doctoral degree is required for tenure. In those disciplines where the doctoral is not the appropriate terminal degree, and in very rare cases of exceptional education or experiential background, the doctoral equivalency may be substituted for the doctoral degree.

The committee is free to arrange these criteria as it chooses.

The committee may add other criteria and commentary, and finally, its recommendations regarding retention or tenure.

## **TENURE**

"Tenure" means the right of a faculty member to continue at San Francisco State University unless voluntarily terminated or terminated for cause, lack of funds, or lack of work.

Decisions with respect to the award or denial of tenure to a probationary academic employee shall be on the basis of full-time service in accordance with the procedures established.

For those denied tenure following the final probationary year, a terminal year shall be awarded if the probationary faculty has served a minimum of three (3) years. A probationary academic employee shall not serve more than seven (7) successive full-time years.

Tenure at this University shall be effective at the beginning of the academic year following the year in which tenure is awarded.

**\*\*APPROVED BY PRESIDENT CHIA-WEI WOO ON AUGUST 12, 1988\*\***