1 **Amendment N to University Policy S15-7 University Policy, Retention, Tenure and**
2 **Promotion for Regular Faculty Employees: Procedures**
3
4 San José State University   AS 1879
5 Academic Senate
6 Professional Standards Committee
7 November 4, 2024
8 **First Reading**
9
10 Rationale: Amendments A through M to S15-8 Retention, Tenure, and Promotion for Regular
11 Faculty Employees: Criteria and Standards added language on the scholarship of
12 engagement, the scholarship of teaching, activities that enhance inclusion, educational equity,
13 and achievement, and so on. University RTP policy thus encompasses a broader range of
14 work being done across campus and greatly lessens the need for Department RTP Guidelines.
15 There has been uneven implementation of Department RTP Guidelines across campus;
16 initially, one college required its departments to create them but otherwise, only a handful of
17 departments have found Guidelines necessary. Professional Standards has observed that
18 many of the approved Department RTP Guidelines have expired and not been revised in
19 relation to recent Amendments to S15-8. Moreover, most of the Department RTP Guidelines
20 PS currently reviews tend to repeat University policy and do not follow the requirements for
21 content laid out in Section 4 of this policy. PS has also discussed the tremendous amount of
22 labor invested in developing Guidelines that often are returned to the Departments for
23 revision, requiring additional time-consuming process. Frequently, the Guidelines are never
24 resubmitted to PS for subsequent review, so there is no substantive outcome for all of the
25 labor. PS is aware of the unintended stress that the creation of Guidelines causes, particularly
26 among probationary faculty who have the sense that only perfect and fully inclusive
27 Department Guidelines will protect them during the RTP process. Finally, PS is concerned
28 that from an equity perspective, Guidelines may create additional barriers and constitute a
29 form of gatekeeping for faculty who are marginalized in their fields or the academy in
30 general. After significant consultation and deliberation on these issues, Professional
31 Standards strongly encourages Departments to phase out any current Guidelines per the
32 timelines established by Faculty Services in the second resolved clause. As a reminder,
33 allowances for the continuity of Guidelines across a faculty member's period of review are
34 articulated in §4.4.5, below. PS also ensures there will continue to be a process for
35 Departments that are not well-represented by University RTP policy in one or more of the
36 Categories of Achievement (Academic Assignment, Service, and/or
37 Scholarly/Artistic/Professional Achievement) to apply for authorization to create guidelines
38 for the relevant category or categories as well as a provision and process for academic units
39 required to have them, e.g. Counseling and Psychological Services and the University
40 Library. To implement reforms, including the development of a streamlined submission and
41 review process and to complete its work on Guidelines already awaiting review, PS requests
42 a temporary moratorium on the submission of Department RTP Guidelines.
43
44 Resolved:

1) A temporary moratorium on the submission of Department RTP Guidelines for review and approval will be effective [TBD depending on when this amendment passes: December 15, 2024, through September 1, 2025 for a one-semester moratorium].

2) Faculty Services will establish the following timelines for all currently approved Department RTP guidelines for Departments that are not required to have them:

   a. All Guidelines currently approved or approved during 2024-25 for Departments not required to have them will expire by the end of the 2029-30 academic year. This will allow any faculty who may have been recruited while guidelines were in place to use them throughout their probationary period. Departments may re-apply for pre-authorization to create new Guidelines per this policy after that date.

   b. Any Departments that have not yet submitted new or revised Guidelines for review, will be subject to the procedures in this proposed amendment and will have to begin the process after September 1, 2025 [TBD].

3) Amend section 4.0 to clarify the purpose and content of Guidelines and to

   a. Develop a process for the review of guidelines for specific departments required to have them, and

   b. Develop a process for departments to justify their need for and to seek pre-authorization to develop Department RTP Guidelines

4) Amend section 5.2.2 to update changes to the Chair's Description of Assignment relating to Department RTP Guidelines.

Approved: October 28, 2024
Vote: 8-0-0
Present: Magdalena Barrera, Caroline Chen, Sarika Pruthi, Farzan Kazemifar, Gilles Muller, Chima Nwokolo, Shannon Rose Riley (Chair), Gigi Smith

Absent: Priya Raman

Financial Impact: None anticipated

Workload Impact: We anticipate a reduction in workload at multiple levels involved in the creation and approval of guidelines that may not be necessary.

4. Department Guidelines for Achievement

   4.1. Purpose of Guidelines
      The purpose of guidelines is to assist committees and administrators outside the department in understanding the standards appropriate to the applicant's profession and to ensure fair and equitable application of these standards to the broader procedures, standards, and criteria of University policies. They are not a roadmap for tenure-line faculty nor do they replace a well-crafted narrative statement and supporting evidence in the dossier. [moved partly from 4.1.4]
      4.1.1. Non-teaching units are required to develop Department RTP guidelines for the category of "Academic Assignment." [moved up from 4.1.4] ~~Individual departments may create guidelines that relate the university-wide policy on criteria and standards~~

91 ~~to the professional standards and breadth of activities of their particular~~
92 ~~discipline(s). While there is no specific provision for College guidelines, they may~~
93 ~~be created simply by act of the constituent departments developing and then~~
94 ~~approving common guidelines~~.
95 4.1.2. All other Departments must seek pre-authorization from the Professional
96 Standards Committee and the Office of the Provost to develop Department RTP
97 Guidelines for Scholarly/Artistic/Professional Achievement, Academic Assignment,
98 and/or Service that relate University policy on Criteria and Standards to the
99 professional standards and breadth of activities of particular discipline(s). See
100 Section 4.3, below for additional information on pre-authorization and approval. ~~In~~
101 ~~the case of Departments that do not have approved guidelines, "levels of~~
102 ~~achievement" will be judged exclusively by the more general language of the policy~~
103 ~~on Criteria and Standards.~~
104 ~~4.1.3. In the case of Departments that do have approved guidelines, the guidelines will~~
105 ~~serve as an aid for evaluating "levels of achievement" within the broader policy~~
106 ~~language of the policy on Criteria and Standards.~~
107 ~~4.1.4. Non-teaching units are required to develop such guidelines for the category of~~
108 ~~"Academic Assignment."~~
109 ~~4.1.5. Guidelines should assist committees and administrators outside the department or~~
110 ~~college in understanding the standards appropriate to the applicant's profession and~~
111 ~~to ensure fair and equitable application of these standards to the broader procedures,~~
112 ~~standards, and criteria of the university policies. Such statements or guidelines may~~
113 ~~specify the sorts of documentation that are expected to be relevant to the evaluation~~
114 ~~of professional effectiveness of faculty in the particular academic area.~~ [divided into
115 intro under 4.0 and to 4.2.3]
116
117 **4.2. Content of Guidelines**
118 Guidelines have required elements and may include additional relevant information, as
119 indicated below.
120 4.2.1. If authorized, Department RTP Guidelines may be created for one or more of the
121 Categories of Achievement—Scholarly/Artistic/Professional Achievement,
122 Academic Assignment, or Service—in order to describe work not accounted for in
123 University policy as relevant to the Department. ~~Guidelines offer specific profiles of~~
124 ~~accomplishments that would warrant a given level of achievement within a given~~
125 ~~category as viewed by that specific discipline. They provide hypothetical examples~~
126 ~~of profiles that would warrant a given level of achievement, but they do not replace~~
127 ~~the criteria and standards of University Policy. When the accomplishments of~~
128 ~~candidates are similar to the accomplishments included in the guidelines, then the~~
129 ~~guidelines may serve as a fair scale to assist in evaluating the level of achievement~~
130 ~~attained by the candidate.~~
131 4.2.2. Department RTP Guidelines must offer at least two inclusive hypothetical sample
132 faculty profiles for each level of achievement (unsatisfactory, baseline, good, or
133 excellent per S15-8 §3.3 Criteria to be Used when Evaluating Candidates for
134 Promotion and Tenure) within a given Category of Achievement. Note that while
135 Department RTP Guidelines provide sample faculty profiles that would warrant a
136 given level of achievement, they do not replace the Criteria and Standards of

137   University Policy. Rather, they augment/supplement them. What follows is a sample
138   profile template to be used as a model–it is not intended to be used as an actual
139   profile. ~~Guidelines are inclusive and not exclusive in nature. They shall not be used~~
140   ~~to exclude accomplishments from consideration that were unanticipated when the~~
141   ~~guidelines were created. When candidates submit genuine accomplishments that~~
142   ~~were not anticipated in the guidelines, the accomplishments will be assessed using~~
143   ~~the more general language of the policy on Criteria and Standards.~~ [moved in part to
144   4.2.4].

4.2.2.1.   A sample profile contains a description of what kind of work qualifies for
146   a certain level of achievement, e.g.: "A faculty member achieving BLANK in
147   Scholarly/Artistic/Professional Achievement may have a published BLANK
148   during the period of review or may have produced a BLANK and BLANK.

4.2.3.   Guidelines may also specify the sorts of documentation that are expected to be
150   relevant to the evaluation of the professional effectiveness of faculty in the
151   particular academic area. ~~Departments are encouraged but not required to produce~~
152   ~~guidelines for Scholarly/Artistic/Professional Achievement. They may produce~~
153   ~~guidelines for two or all three categories of achievement if they believe their~~
154   ~~discipline's teaching or service profiles are sufficiently unique. They may also~~
155   ~~include in their guidelines notes on synergistic practices and accomplishments that~~
156   ~~span more than one category of achievement. Any category without guidelines will~~
157   ~~be evaluated exclusively with the general language of the policy on Criteria and~~
158   ~~Standards.~~

4.2.4.   Guidelines are inclusive and not exclusive. They shall not be used to exclude
160   accomplishments from consideration that were unanticipated when the guidelines
161   were created. When candidates submit genuine accomplishments that were not
162   anticipated in the guidelines, the accomplishments will be assessed using the ~~more~~
163   ~~general~~ language of University policy on Criteria and Standards. [moved in part
164   from 4.2.2] ~~Departments which contain more than one discipline, or contain very~~
165   ~~different subdisciplines, may produce more than one set of specialized guidelines.~~
166   ~~When this occurs, particular care must be taken to specify to which faculty each set~~
167   ~~of guidelines applies. The applicable guidelines should be specified in appointment~~
168   ~~letters and the Chair's description of assignment.~~ [moved in part to 4.2.7 and 5.2.2]

4.2.5.   They provide realistic estimates of the resources required to meet each given level
170   of achievement. [moved up from 4.3.4.2]

4.2.6.   They are equitable ~~across departments~~; they do not make it more or less difficult
172   for faculty ~~in similar departments~~ to achieve tenure or promotion. [moved up from
173   4.3.4.4]

4.2.7.   Departments that contain more than one discipline, or contain very different
175   subdisciplines, may request authorization to produce more than one set of
176   specialized guidelines. When this occurs, particular care must be taken to specify to
177   which faculty each set of guidelines applies; the applicable guidelines should be
178   specified in the Chair's Description of Assignment (*see* §5.2.2). [moved from 4.2.4]

4.3. Authorization and Approval of Department Guidelines
181   Departments that are required to have Guidelines do not request pre-authorization;
182   please skip to §4.3.2. All other Departments begin with §4.3.1.

4.3.1. Pre-Authorization: Departments interested in creating Guidelines must request pre-authorization from Professional Standards, which will develop a process to help both the Department and the Committee determine whether guidelines may be necessary. The determination will be made by Professional Standards in consultation with the Office of the Provost. ~~Department Guidelines must be approved by a vote of department probationary and tenured faculty, using secret ballots~~. [moved to 4.3.3.]

4.3.2. If authorized to proceed, Departments must create guidelines that closely follow the criteria laid out in section 4.2 Content of Guidelines as well as any advice provided by Professional Standards. ~~Guidelines must be approved by the Associate Vice President for Faculty Affairs in consultation with the Professional Standards Committee of the San José State University Academic Senate. Prior to making its recommendation, the Professional Standards Committee shall solicit the input both of the home~~ department and of the corresponding college RTP committee. [moved to 4.3.4]

4.3.3. The proposed Guidelines must be approved by a vote of department probationary and tenured faculty, using secret ballots. The vote tally and date shall be reported at the top of the Guidelines document at the time of submission of the Guidelines document to Professional Standards. ~~Guidelines must be kept current. They shall be reviewed every five years and shall clearly display the date they were last approved by the Senior Director, Faculty Affairs. Guidelines that display a date more than five years old calculated from the time of the submission of the dossier shall be considered invalid, except as provided below in "Continuity of guidelines throughout review period."~~[moved to 4.4.3]

4.3.4. Acceptable Guidelines shall be approved and authorized for use by the Provost, in consultation with the Professional Standards Committee. Before making its recommendation to the Provost, PS shall debate the proposed guidelines and solicit input from the ~~corresponding college RTP committee~~ Dean or corresponding Associate Dean, and/or the College Research Committee. The PS Committee's determination will be shared in writing with all involved parties by the PS Chair or the Provost's designee. [partly from 4.3.2]
~~Department guidelines should meet these conditions:~~
4.3.4.1. ~~They provide inclusive examples of accomplishments within the discipline that represents the given levels of achievement.~~
4.3.4.2. ~~They provide realistic estimates of the resources required to meet each given level of achievement.~~
4.3.4.3. ~~They comport entirely with the principles, categories, and standards defined by the Criteria and Standards policy.~~
4.3.4.4. ~~They are equitable across departments; they do not make it more or less difficult for faculty in similar departments to achieve tenure or promotion.~~

4.4. Publication, Distribution, and Use of Guidelines

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

4.4.2. ~~4.4.3~~ Once approved and published, department guidelines must be applied when judging the level of achievement of all candidates to which they apply, bearing in

229 mind the limits of such guidelines. [moved up to 4.4.2] ~~Continuity of guidelines~~
230 ~~throughout review period. Normally, any valid (current) guidelines must be included~~
231 ~~in each candidate's dossier. If, however, guidelines have changed during the~~
232 ~~candidate's period of review, the candidate shall have the right to choose to include~~
233 ~~either the old or the new guidelines. Similarly, if guidelines that were valid during a~~
234 ~~part of the candidate's period of review are no longer valid and have not been~~
235 ~~replaced, the candidate may choose between including the old guidelines or~~
236 ~~including no guidelines. Only one set of guidelines may appear in the dossier, and~~
237 ~~reviewers are restricted to only considering included guidelines.~~ [moved down to
238 4.4.5]

4.4.3. Authorized Guidelines must be kept current. The Department shall submit them to
Professional Standards for review every five years; Guidelines shall display the date
they were last <u>approved as well as the new vote results at the top of the document.</u>
[moved from 4.3.3]

4.4.4. Guidelines that display a date more than five years old calculated from the time of
the submission of the dossier shall be considered invalid, except as provided for in <u>§</u>
<u>4.4.5. Continuity of guidelines throughout the review period.</u> ~~4.4.2 Continuity of~~
~~guidelines throughout review period. Normally, any valid (current) guidelines must~~
~~be included in each candidate's dossier. If, however, guidelines have changed~~
~~during the candidate's period of review, the candidate shall have the right to choose~~
~~to include either the old or the new guidelines. Similarly, if guidelines that were~~
~~valid during a part of the candidate's period of review are no longer valid and have~~
~~not been replaced, the candidate may choose between including the old guidelines~~
~~or including no guidelines. Only one set of guidelines may appear in the dossier, and~~
~~reviewers are restricted to only considering included guidelines.~~ [moved to 4.4.5]

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

5.2.2   Department Chair's Responsibilities. The department chair or school or
division director shall inform in writing faculty members who are to be reviewed of
the nature of materials required by the retention and tenure committee and the date
by which these materials must be received for the committee's consideration. It is
the responsibility of the chair to ensure that a detailed ~~d~~<u>D</u>escription of ~~a~~<u>A</u>cademic
~~a~~<u>A</u>ssignment of the faculty member for the period under review be placed in the
dossier at least one week before the submission date of the dossier, in order to
establish a frame of reference for evaluation of the candidate by persons from
outside the department. <u>The Chair's Description of Academic Assignment must</u>

state whether there are Department RTP Guidelines in use and be sure that a copy is included in the dossier. In cases where a Department has more than one set of RTP Guidelines (per §4.2.7., above), the Chair's Description of Academic Assignment must specify which set of guidelines applies to the particular faculty member. The faculty member may attach a response to the Chair's Description of Academic Assignment ~~this statement~~ before the closing date; any such response shall also be included in the dossier. During the period that the dossier is open, it is the responsibility of the Chair to ensure that the evidence necessary for a full and fair evaluation is contained in the dossier.