

UP - FS

UNDERSTANDING AND IMPLEMENTING RTP POLICIES

Committee Training

Required Training (§15-7)

- 3.1 Procedures and principles for all personnel committees
- 3.1.1 Training. **All committee members must be thoroughly trained** in the use of the present university policies on Criteria and Standards and for Procedures for Retention, Tenure, and Promotion. Department chairs, college deans, and the Associate Vice President for Faculty Affairs shall arrange for appropriate training in the application of this policy.
- 3.1.2 Charge. Prior to deliberations, all members of a personnel committee shall **sign a statement** prepared by the Office of Faculty Affairs indicating that **they have been trained** appropriately, that they have read and understood the relevant policies, and that they will apply the policies fairly and accurately to the best of their ability. The statement shall also include their agreement to keep confidential all content of committee deliberations. The charge will be delivered by the AVP for Faculty Affairs, or the Dean, or the Chair, corresponding to the level of the committee. Committee members may not view dossiers or deliberate until after having signed the agreement.

Agreement

CONFIDENTIALITY AGREEMENT

As a member of an RTP Committee at San José State University, I understand that I may have access to confidential information about retention, tenure, and promotion deliberations for faculty candidates. This access to confidential information includes, but is not limited to, personnel discussions and voting during committee meetings.

By my signature below, I affirm that I have been advised of, understand, and agree to the following terms and conditions of my access to such information:

- I will use my authorized access to information (whether oral, written or electronic) only in the performance of the responsibilities as a member of the RTP Committee.
- I will avoid disclosure of information to unauthorized persons except as permitted under applicable University policy and/or Federal or State law.
- I understand and agree that my obligation to avoid such disclosure will continue even if and after I leave the employment of San José State University.
- I will exercise care to protect information against accidental or unauthorized access, modifications, disclosures, or destruction.
- When discussing information with other members of the RTP Committee, I will exercise care to keep the conversation private and not overheard by others who are not authorized to have access to such information.
- If I must recuse myself from a case, I will notify the chair (or if chair, other committee members) of my decision in advance. I will not access the dossier or participate in any discussion of that case.
- I will promptly report to the appropriate administrator if I become aware that others have broken the confidentiality covered by this Agreement.
- I understand that any violation of this Agreement or other University policies related to the appropriate release or disclosure of information may result in one or more sanctions including immediate termination of my access to that information, removal from membership on the RTP Committee, and/or disciplinary action as deemed appropriate by the appropriate administrator.
- I confirm that I have read and been trained in the RTP policies and guidelines, and that I understand and will apply them fairly and accurately to the best of my ability.

Evaluations-Types

- Evaluation of professors' accomplishments is an annual endeavor.
- Two types of reviews
 - Periodic --“Mini Reviews”
 - Less prep of materials
 - fewer review steps
 - cumulative perspective (prior reviews included)
 - Formative Steps
 - Department Committee
 - Chair (if not on committee)
 - Dean
 - Performance
 - Retention, Tenure, and Promotion
 - Dossier Review

Evaluations-Timing

A New Faculty Cohort, Probationary Evaluation Plan (\$15-7)

“Service Year”. Type. Stakes

SJSU Year	<u>New /No CR</u>	<u>1Yr CR</u>	<u>2Yr CR</u>
1	1. Periodic. Formative	2.Periodic. Formative	3.Periodic. Formative
2 Retention*	2. Periodic. Formative	3.Performance. Retention	4.Performance.
3	3. Performance. Retention*	4.Periodic. Formative	5.Periodic. Formative
4 Tenure & Promotion	4. Periodic. Formative	5.Periodic. Formative	6.Performance.
5	5. Periodic. Formative	6.Performance. Tenure & Promotion	
6	6. Performance. Tenure & Promotion		

* May Require extra performance review--usually 4th or 5th Yr Performance Review

- Tenure clock stops upon permission before or after leaves--See CBA
- **Service year 11** is when Associates may go up for full— Performance Review
- Early performance review is allowed.

Preparing Dossier Pre-Closing Date

Performance Evaluation Complete Process for RTP

University

Level

Department

Level

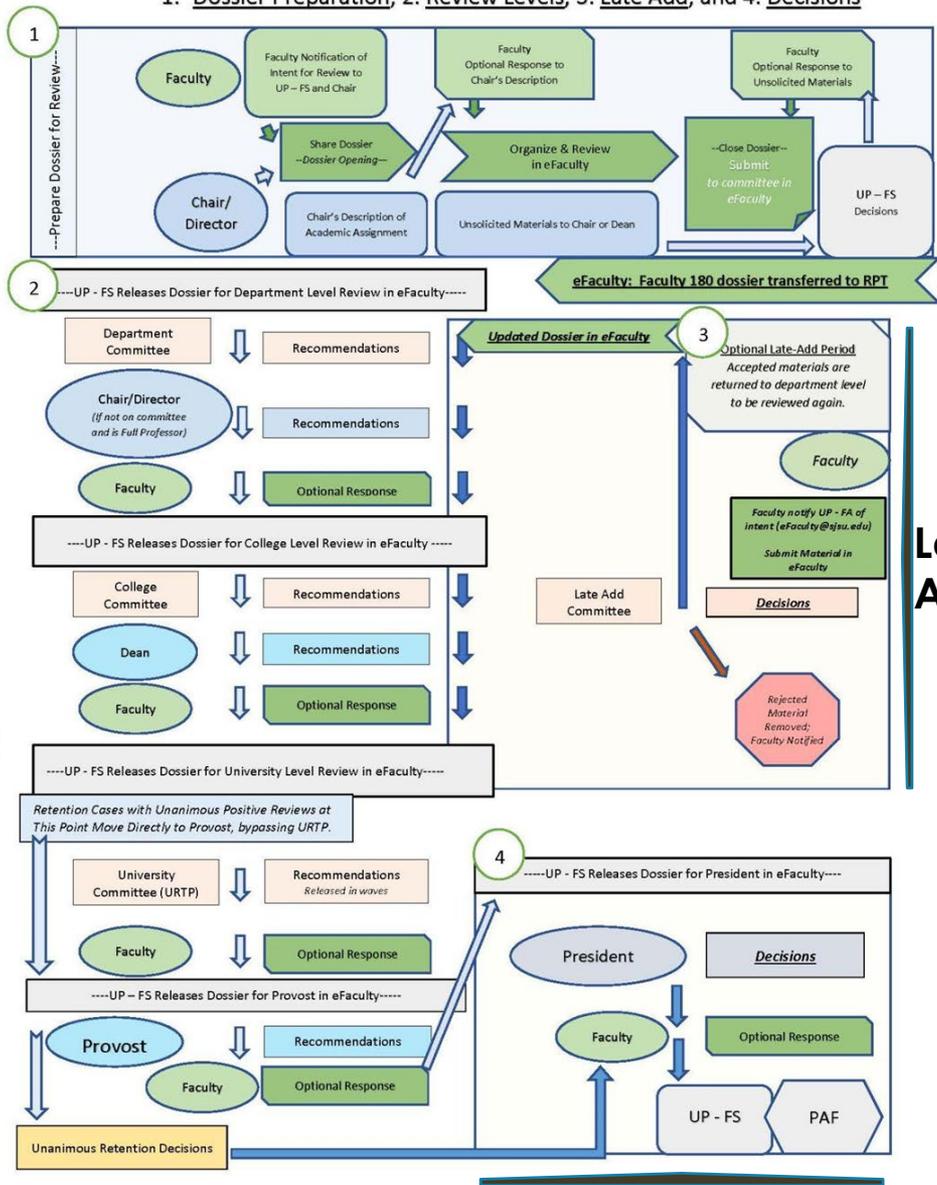
Dossier
Review

College

Level

RTP Performance Reviews

1. Dossier Preparation, 2. Review Levels, 3. Late Add, and 4. Decisions



Late Add

Decisions

Special Notes

- **Committees and evaluators receive higher-level reviews**
- **Optional Response/Rebuttal**
 - Written Statement
 - One each level
 - Option to consult
 - 10 Day window
- **Late Add**
 - Materials are limited to those that became accessible after the closing of the dossier
 - Statement that reports timeliness and pertinence to support improvement:
 - Level of achievement in category
 - Higher committee rating in category would affect outcome
 - Late-Add Committee determines which items among those submitted advance to review
 - New review at previous levels

“How can we
Make this fair
and
effective?”

Committee Elections

- Elected
 - by secret ballot
 - only tenured and tenure track faculty may vote
 - all eligible go on ballot
 - all elected serve
- S15-7,3.1.3.2

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

The Senior Director, Faculty Services is charged with supervising these committees to ensure compliance with RTP policies.

Committee Membership

- **Department T/TT faculty**

- Vote on number and structure of committee(s)
- Elect the Department Committee's' members
- Elect their representative to the college committee
- Promotion candidates may not serve on tenure or promotion committees (may serve on retention, mini review, and/or range elevation)

- **Chair**

- may be elected and serve
- If serving, no separate review
- Has right to not serve and write separate review

- **Committee members must**

- Be of higher rank than candidates
- Be trained
- Understand policies (on UP-FS website)
- Be on academic assignment fall and spring semesters
- Sign confidentiality, training, and conflict of interest statement
- Report membership and sign (electronic equivalent) affirmation of outcome
- Abstain and recuse in advance. Abstain is not a voting option.

Committee Reports

- Reasons for voting outcomes shall be written
- When personnel committee recommendations are not unanimous,
 - reasons shall be stated for all votes cast.
 - A statement of the reasons shall be included in a single report from the committee,
 - possibility of a separate "minority" report.
- In either case, the confidentiality of voting shall be maintained

Committees

- Elect their own chair
- No one can serve on more than one level
- Required to Conduct committee votes by secret ballot
- Small departments may:
 - supplement their committee with external faculty
 - provide a representative to a College level committee
 - elect representative from a related discipline
 - elect another department's elected rep to be their rep

Committees

- **FERP may serve if**
 - Are employed both semesters
 - Elected
 - Approved by UP – FS

- **No Department Chair/Director Evaluation**
 - Dept. Chair on committee
 - Chair as RTP candidate
 - Associate Professor Chair with Promotion to Full candidate

- **May need to conduct special review of recruited faculty or administrators for rank and/or tenure**
 - Substantial material must be reviewed
 - Up or down vote for rank and/or tenure

College Committees

- Colleges at-large elect University RTP Members
 - Departments nominate former college committee members
 - College RTP Committee selects at least 2 for ballot
 - Probationary and tenured faculty in the college elect the URTP representative from the slate
- College committees elect representative to Late-Add Committee
- CONFIDENTIALITY
 - *All Proceedings are deemed confidential*
 - *Absolutely no "reporting out"*
 - *Only positive outcomes may be publicly announced.*
 - *Violations (and belief there was an injustice) should be reported to UP – FS, not talked about*

Ethics — S15-8



- ❑ *It is the role of evaluators to judge the level of achievement regardless of the form it takes, while respecting the academic freedom and professional choices made by each candidate.*
- ❑ *Evaluators should not substitute their own preferences for policy and should recuse themselves if necessary to avoid the possibility (or the appearance) of bias.*
- ❑ *Evaluators who recuse themselves should abstain from voting and absent themselves from discussion of a case.*

Examples of attitudes that would **warrant recusal** include (but are not limited to):

- Hostility toward a candidate's **ideology** as expressed in a research agenda.
- Opposition to a candidate's **choice of pedagogy** when the pedagogy is exercised appropriately under curricular policy.
- Dislike of a candidate's **emphasis in professional development** when the emphasis is permitted by policy.
- Any **personal or professional conflicts-of-interest** such as those delineated in the University's policy on Academic Freedom and Professional Responsibility.

Recusal



- ❑ *The recused counts toward quorum for meeting. Then is excused.*
- ❑ *The recused does not count toward majority vote of Committee.*
- ❑ *Evaluators who recuse themselves should abstain from voting and absent themselves from discussion of a case.*

Examples of attitudes that would **warrant recusal** include (but are not limited to):

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- Opposition to a candidate's **choice of pedagogy** when the pedagogy is exercised appropriately under curricular policy.
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S15-7 Criteria for Review

A. Teaching

B. Research

C. Service

Vote: Consists of rating for each area

- Excellent
- Good
- Baseline
- Unsatisfactory

Principles of Evaluations

“How can we
Make this fair
and effective
and reward
success?”

1. *Fairness/Formative Evaluations/Improvement*
2. *Academic Freedom*
3. *Respect for disciplinary culture and goals (Department Guidelines)*
4. *Counting is not an assessment of quality*
4. *Holistic Evaluation*
5. *Synergies-Allows mention of accomplishment in more than one category*
6. *Advances SJSU's Campus Goals*
7. *High Impact Practices/Student Success*
8. *Promise of continued*
 - a) *Collegiality, good teaching, leadership in profession*
 - b) *University governance*
9. *T&P Emphasis: Teaching and/or Research*
10. *Full Prof Emphasis: Service*
11. *Evidence of Performance*
12. *Evaluators and Administrators trained, sign reports*
13. *Teaching evaluations—same policies*



Teaching: SOTE/SOLATEs

CBA and University Policy F12-6 have established that SOTE/SOLATEs:

1. May not be the only form of evaluation
2. Should be used in context
3. **All SOTEs = All classes ever SOTEd** must be in the dossier
 - a. *teaching 15 units per year may occasionally remove up to one class's from consideration in any AY*
 - b. *Excluded classes, e.g., internships, supervision may not be SOTEd*
4. Committee Members must understand the **SOTE/SOLATE Interpretation Guide on UP – FA website**, and other issues in policy
 - College variation
 - Course level
 - Course required by curriculum?
 - Potential bias
 - Validity/Reliability with sample dynamics

Do's & Don'ts

- **Do.** Student statements provided **outside regular evaluation process must be identified by name** to be included.
- **Don't.** **Unofficial student surveys** ... are unofficial and the **results may not be considered**.
- **Do.** Departments may allow **unbiased summaries of remarks**
 - Must be approved by the Department Chair or the AVP for IEA
 - May only accompany, not replace remarks
 - Use at discretion of the faculty member under review only
- **Do.** Chair may **remove remarks** completely **unrelated to teaching**, such as bigoted, hateful, based on appearance, or violate policies
- **Don't.** Quant. and Qual. SOTEs **NEVER** separated.
- **Do. Students**, if approved by department and dean, **may meet with department committee**

Direct Observations of Teaching

1. You may see **Department form/guidelines** 😊
 - a. approved by faculty vote
 - b. Chairs may discard/reassign reviewers if not followed

1. Frequency
 1. **Probationary, 1/AY** 😊
 2. **Associate to Full Dossier, 2 in period of review** 😊
 3. May include more by Department guidelines

3. Administered following policy:
 - a. **Equal, preferred higher rank reviewer** 😊
 - b. 5 days prior notice before observing class
 - c. Observed has 5 days to add rebuttal to file

4. Peer observers should:
 - a. **Review other course documents, not just observe** 😊
 - b. **Access as student when observing online classes** 😊
 - c. **Be critical in reporting teaching quality** 😊
 - d. Provide formative feedback—to improve instruction
 - e. Note contextual, mitigating circumstances

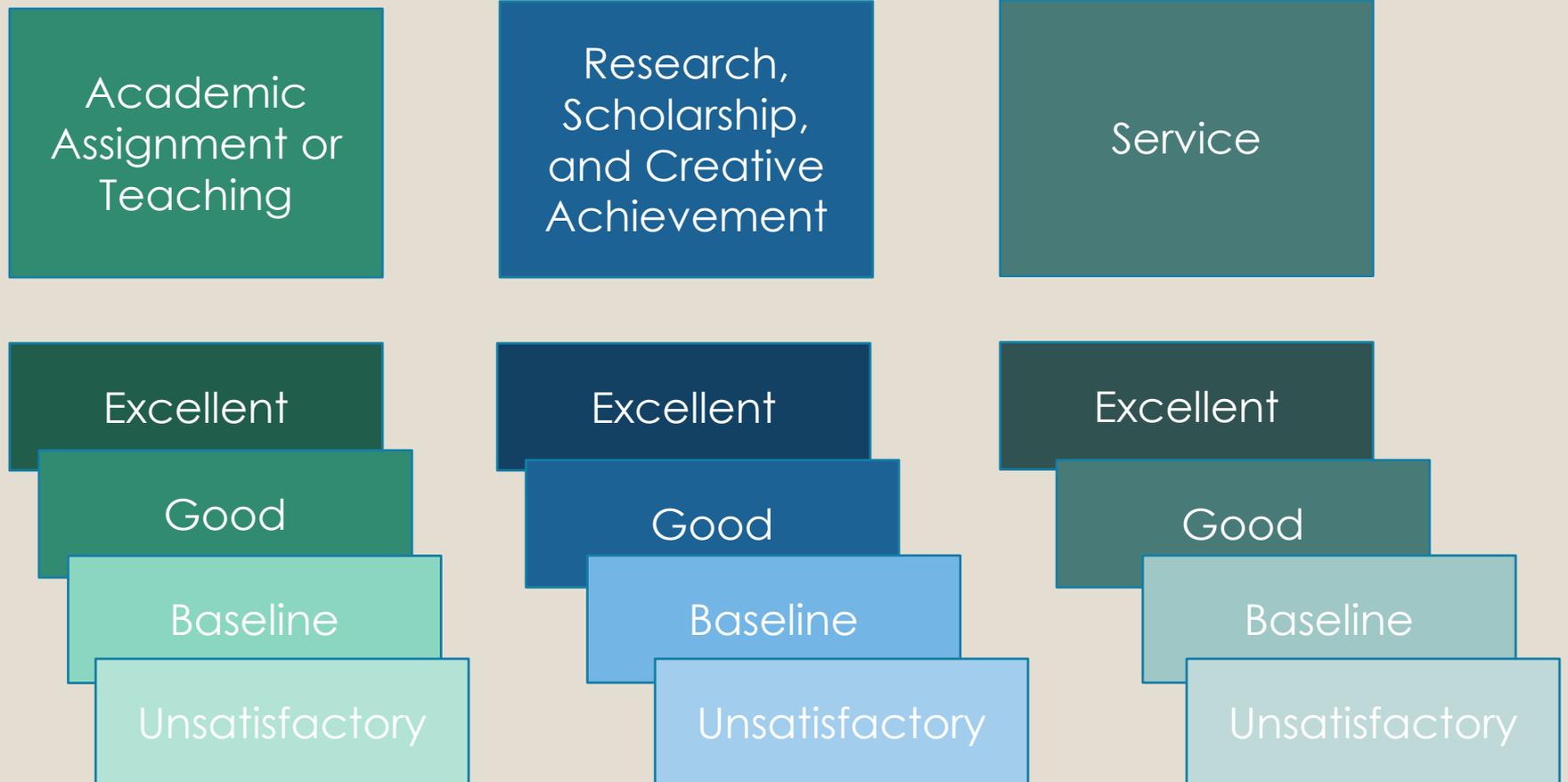
Other Teaching Materials

While Direct Observers will review other course materials... It is important that dossiers provide examples or evidence of good instructional techniques such as:

- Syllabi
- Course notes for students
- PPT Slides
- Assignments (with answers when appropriate)
- Videos
- Instructional plans
- Tests
- Anything else that impacts student learning

Those with other academic assignments will provide evidence of their activities and achievements.

S15-8, At each level of review, evaluators rate three separate categories
—With a rubric of 4 levels



Decision for each Area: Level of Achievement



Excellent

Descriptor
Defines this level

Task of committees and
administrative evaluators:

Match the
appropriate
**descriptor with
evidence** in the
dossier



Good

Descriptor
Defines this level



Baseline

Descriptor
Defines this level



Unsatisfactory

Descriptor
Defines this level

Department Guidelines Apply

Department Guidelines

Departments may *supplement* S15-8 Criteria

- To assist higher levels of review
- Provide more detail about the nature of the work expected
- Should not contradict S15-8, University Policy prevails in those cases

Descriptions are developed in departments to supplement criteria for

Unsatisfactory

Baseline

Good

Excellent

In one or more categories: 1. Teaching, 2. RSCA, 3. Service

Approval Process

1. Seek assistance of the Dean
2. Voted on by
 - a. Probationary and tenured faculty only
 - b. Secret ballot
3. Submit to:
 - a. Provost's Office
 - b. Chair of Professional Standards
4. Posted on UP – FA website after Provost's approval

Criteria

What does it mean to be excellent, etc.?



Descriptors, each level that reflect typical professorial experiences.
Cumulative in nature—explicit reference to prior levels.

RSCA - Unsatisfactory

The candidate has **not** created scholarly, artistic, or professional accomplishments that meet the baseline level as described below.

Unsatisfactory

Baseline

Criteria

RSCA - Baseline

The candidate has, over the course of the period of review, **created a body of completed** scholarly, artistic, or professional achievements and shows the **promise of continued growth and success** within his/her discipline.

Unsatisfactory

Baseline

Good

Criteria

Unsatisfactory

Baseline

Good

RSCA - Good

In addition to the baseline as described above, the candidate has created scholarly, artistic, or professional achievements that constitute **important contributions to the discipline** and that help to enhance the scholarly, artistic, or professional **reputation** of the candidate's department, school, college, SJSU, or the CSU more generally.

Excellent

Criteria

Unsatisfactory

Baseline

Good

Excellent

RSCA - Excellent

In addition to a good performance as described above, this level requires achievements of both sufficient quality and quantity to establish a **significant, important, and growing reputation** within the candidate's field. Excellence in scholarly, artistic, or professional achievement requires a body of work that is **recognized as significant within the discipline.**

Service Criteria

Unsatisfactory

The candidate has not documented service activities that meet the baseline level described below.

Baseline

The candidate has undertaken a **fair share of the workload required to keep the Department functioning** well. This includes activities such as work on department committees, the creation or revision of curricula, the assessment of student learning outcomes, or participating in department planning, accreditation, outreach, and advising. A baseline level of achievement **for promotion to Professor** will also include at least **some service at the University level.**

Good

In addition to the baseline described above, the candidate has also participated in significant service activities **beyond the department**. This will usually include **college-level service** and may include University level service, service in the community, or significant activities in a professional organization. In at least one facet of service, the candidate will have **demonstrated leadership resulting in tangible, documented achievements.**

Excellent

In addition to a good performance as described above, the candidate has documented **significant influence at a high level**, whether it be service to students, the University, the community, or the profession. Candidates who achieve an evaluation of “excellent” in service will generally have **occupied several elected or appointed positions of leadership** and will document **multiple specific accomplishments that have significance** for people **beyond the candidate’s department or college.**

Teaching Criteria

Unsatisfactory

The candidate has **not** documented teaching accomplishments that meet the baseline level as described below.

Baseline

The candidate has taught assigned courses that are **well crafted and appropriate** for the catalog description. The candidate has taken measures to **correct any problems identified** earlier in either direct observations or prior performance evaluations. Recent direct observations are supportive. Student evaluations, taking into account the nature, subject, and level of classes taught, are **generally within the norms by the end of the review period**, particularly for classes within the candidate's primary focus and any curriculum specifically identified in the appointment letter.

Good

In addition to the baseline as described above, the candidate has documented a degree of **innovation** within the teaching assignment. This could mean that the candidate has effectively taught an unusually **wide range of courses**, or that the candidate has created one or more **new courses to fill important curricular needs**, or that the candidate has documented the use of **high- impact practices** in teaching. Candidates meeting this level of achievement have **at least some student evaluations above the norms**, when taken in context of the nature, subject, and level of classes taught.

Excellent

In addition to a good performance as described above, the candidate has either engaged in a **higher level of curricular innovation** than described above, or documented **widespread positive impacts** for student success, or achieved both student and peer evaluations that are **consistently above the norms** when taken in context of the nature, subject, and level of classes taught. Excellent teachers may have received **recognition or awards** for their teaching, they may have **mentored other teachers**, or they may have **created curriculum that is adopted at other institutions**.

Standards for Promotion and Tenure at the Normal Time

Tenure and promotion to Associate Professor
Final rating must match these or better:

1.

Excellent

Baseline

Baseline

“But there is no excellent in Service”

Or

2.

Good

Good

Baseline

Various Profiles for Tenure and Promotion—Both or Neither

	Teaching	RSCA	Service
Excellent			 Excellent is Good
Good			
Baseline			
Unsatisfactory			

No Tenure or Promotion if unsatisfactory on any.

Candidate
 Candidate

= Tenure and promotion granted

 = Tenure and promotion granted

= Tenure and promotion granted
 = Tenure and promotion granted

Candidate = No tenure or promotion

Standards for Promotion and Tenure **Early**

Favorable early decisions require a significantly higher level of achievement

Excellent in two categories and Baseline or better in the remaining category.

There are three minima:

1.

Academic Assignment	Scholarly, Artistic, Professional Achievement	Service
Excellent	Excellent	
Good	Good	
Baseline	Baseline	Baseline
Unsatisfactory	Unsatisfactory	Unsatisfactory

2.

Academic Assignment	Scholarly, Artistic, Professional Achievement	Service
Excellent		Excellent
Good		Good
Baseline	Baseline	Baseline
Unsatisfactory	Unsatisfactory	Unsatisfactory

3.

Academic Assignment	Scholarly, Artistic, Professional Achievement	Service
	Excellent	Excellent
	Good	Good
Baseline	Baseline	Baseline
Unsatisfactory	Unsatisfactory	Unsatisfactory

Standards for Promotion to Professor – Normal Time

1. At least Excellent in two categories and at least Baseline in the remaining category.

Excellent

Excellent

Baseline

OR

2. At least Excellent in one category and at least Good in the remaining two.

Excellent

Good

Good

Standards for Promotion to Professor **Early**

Associates may be promoted to Full Professor prior to serving five years in rank if receive:

Excellent in two categories and Good in one or better.

There are three minima:

1.

Academic Assignment	Scholarly, Artistic, Professional Achievement	Service
Excellent	Excellent	
Good	Good	Good
Baseline	Baseline	Baseline
Unsatisfactory	Unsatisfactory	Unsatisfactory

2.

Academic Assignment	Scholarly, Artistic, Professional Achievement	Service
Excellent		Excellent
Good	Good	Good
Baseline	Baseline	Baseline
Unsatisfactory	Unsatisfactory	Unsatisfactory

3.

Academic Assignment	Scholarly, Artistic, Professional Achievement	Service
	Excellent	Excellent
Good	Good	Good
Baseline	Baseline	Baseline
Unsatisfactory	Unsatisfactory	Unsatisfactory

Voting: Level of Achievement for Each Category

To determine the level of achievement to assign for a category, committees will vote.

There will be **three votes**—one per category.

1. If committee members carefully read and apply the descriptors, there should not be wide disagreements about the appropriate levels of achievement.
1. The levels of achievement assigned by a committee will be the highest levels that receive a **majority of the votes**.

Voting

The level of achievement assigned by a committee will be the highest level that receives a majority of the votes. **(e.g., a 6-person committee)**

The levels	The vote:	Majority?
Excellent	2	2/6 No
Good	2	4/6 YES <i>Level Achieved</i>
Baseline	2	6/6 YES
Unsatisfactory	0	0/6 No

The outcome and why

The committee decision is "Good" since Good is the highest level to receive a majority of votes

Voting

(8 person committee)

The levels	The votes	Majority?
Excellent	1	1/8 No
Good	3	4/8 No
Baseline	4	8/8 YES Level Achieved
Unsatisfactory	0	0/8 No

The outcome and why

The committee decision is "Baseline" since Baseline is the highest level to receive a majority of votes.

4/8 is not a majority.

Voting

(5 person committee)

The levels	The votes	Majority?
Excellent	0	0/5 No
Good	1	1/5 No
Baseline	2	3/5 YES <small>Level Achieved</small>
Unsatisfactory	2	2/5 No

A committee cannot assign an "Unsatisfactory" rating unless a majority directly vote for the rating "Unsatisfactory."

Voting

(5 person committee)

The levels

The votes

Majority?

The outcome
and why

Excellent

0

0/5 No

Good

1

1/5 No

Baseline

1

2/5 No

Unsatisfactory

3

3/5 Yes

Level Achieved

The committee decision is “Unsatisfactory” since there is an absolute majority for unsatisfactory

Voting for a level of Achievement within any given category

(6 person committee)

The levels	The votes	Majority?	The outcome and why
Excellent	0	0/6 No	The committee is deadlocked since there is no majority for any outcome. 3 is not a majority of 6. This results in "No recommendation" and is listed as "split."
Good	1	1/6 No	
Baseline	2	3/6 No	
Unsatisfactory	3	3/6 No	

SPLIT