

**AGENDA**  
**Executive Committee Meeting**  
**CSUSM Academic Senate**  
**Wednesday, April 15, 2015, 12:00 PM – 1:50 PM**  
**Provost's Conference Room – Kellogg 5207**

- I.      **Approval of Agenda**
- II.     **Approval of Minutes** (3/25/15 and 4/8/15)
- III.    **Chair's Report, [Laurie Stowell](#)**  
  
         **Referrals to Committee:**  
         - FAC: Brakebill Policy
- IV.    **Vice Chair's Report, [Debbie Kristan](#)**
- V.     **Secretary's Report, [Vivienne Bennett](#)**
- VI.    **Provost's Report, [Graham Oberem](#)**
- VII.   **Vice Provost's Report, [Kamel Haddad](#)**
- VIII.   **Discussion Items**
  - A.    **FAC: Changes to the University RTP Document: University-wide Policy/Procedures/Guidelines for PRC's in the Evaluation of Tenure-line Faculty** (attachment) Page 2
  - B.    **SAC: Engaged Education Definitions – DRAFT** (attachment) Page 41
  - C.    **FAC: Retention, Tenure, and Promotion Standards for the Department of Social Work** (attachment) Page 47
  - D.    **BLP/UCC: Cybersecurity Master of Science**
    - BLP Report: Cybersecurity Master of Science Page 61
    - UCC Report: Cybersecurity Master of Science Page 64
    - UCC: Catalog Copy -Cybersecurity Master of Science Page 65
  - E.    **UCC: Advice Regarding Convergent Journalism Minor**
  - F.    **Senate Officers: Flow of Business – If BLP or UCC Do Not Recommend a Program**
- IX.    **EC Members Concerns & Announcements**

*Upcoming Meetings:*

**Executive Committee**

4/22	11:30 AM – 12:50 PM	Commons 206
4/29	12:00 N – 1:50 PM	Kellogg 5207 (Provost's Conf. Rm.)
5/6	11:30 AM – 12:50 PM	Commons 206

**Senate Meetings**

4/22	1:00 PM – 2:50 PM	Commons 206
5/6	1:00 PM – 2:50 PM	Commons 206 (Joint Senate Meeting with newly elected Senators)

**FACULTY PERSONNEL PROCEDURES FOR RETENTION,  
TENURE & PROMOTION****POLICY  
FAC 022-91****Implementation Date: 08/20/2014**

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**FAC****University RTP Document-- CBA Changes**

*Changes in the new CBA (2014-2017) must be reflected in the university RTP document. FAC has approved the following three changes, which are marked with in the current document, marginal comments. Verbatim CBA language is highlighted in the document for the convenience of Senators. The complete CBA articles are listed below. Senators will see that FAC sought to effectively integrate the new contract language into the current document.*

(1)

*“B. Working Personnel Action File (WPAF), 1” updated to reflect new CBA language.*

15.12 a. Prior to the beginning of the review process, the faculty unit employee subject to review shall be responsible for the identification of materials s/he wishes to be considered and for the submission of such materials as may be accessible to him/her. Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation not provided by the employee.

(2)

*“B. Working Personnel Action File (WPAF), 4” updated to reflect new CBA language:*

15.12.b A specific deadline before the recommendation is made at the first level of evaluation shall be established by campus policy, at which time the Working Personnel Action File is declared complete with respect to documentation of performance for the purpose of evaluation. Insertion of material after the date of this declaration other than faculty and administrative evaluations generated during the evaluation cycle and responses or rebuttals by the faculty unit employee being evaluated must have the approval of a peer review committee designated by the campus and shall be limited to items that became accessible after this declaration. Copies of the added material shall be provided to the faculty unit employee. Material inserted in this fashion shall be returned to the initial evaluation committee for review, evaluation and comment before consideration at subsequent levels of review. If, during the review process, the absence of required evaluation documents is discovered, the Working Personnel Action File shall be returned to the level at which the requisite documentation should have been provided. Such materials shall be provided in a timely manner.

(3)

**FACULTY PERSONNEL PROCEDURES FOR RETENTION,  
TENURE & PROMOTION**

**POLICY  
FAC 022-91**

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**Implementation Date: 08/20/2014**

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*New article on classroom visits added to "IV.B.5 Departmental Standards"*

15.14 When classroom visits are utilized as part of the evaluation of a faculty unit employee under this Article, the individual faculty unit employee being evaluated shall be provided a notice of at least five (5) days that a classroom visit, online observation, and/or review of online content is to take place. There shall be consultation between the faculty member being evaluated and the individual who visits his/her class(es) regarding the classes to be visited and the scheduling of such visits.

Next year FAC will amend its Guidelines on Department RTP Standards to encourage departments (or equivalents) to address this new article about classroom visits.

**FACULTY PERSONNEL PROCEDURES FOR RETENTION,  
TENURE & PROMOTION****POLICY  
FAC 022-91****Implementation Date: 08/20/2014**

**Definition:** The process for decisions regarding promotion, tenure and retention of faculty unit employees of CSU San Marcos shall be governed by the Faculty Personnel Procedures for Promotion, Tenure and Retention.

**Authority:** The collective bargaining agreement between The California State University and the California Faculty Association.

**Scope:** Faculty unit employees of CSU San Marcos

\_\_\_\_\_  
Karen S. Haynes, President

\_\_\_\_\_  
Approval Date

\_\_\_\_\_  
Graham Oberem, Provost and VP for Academic Affairs

\_\_\_\_\_  
Approval Date

Fifteen Revision: 8/20/14

Fourteenth Revision: 3/17/2014

Thirteenth Revision: 09/04/2013

Twelfth Revision: 09/05/2012

Eleventh Revision: 08/25/2010

Tenth Revision: 08/17/2007

Ninth Revision: 08/21/2006

Eighth Revision: 08/23/2005

Seventh Revision: not approved

Sixth Revision: not approved

Fifth Revision: 07/08/2002

Fourth Revision: 07/01/1997

Third Revision: 01/10/1997

Second Revision: 10/31/1991

First Revision: not approved

Implemented: 04/17/1991

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**I. PERSONNEL FILES****A. *Personnel Action File (PAF)***

1. Each faculty member shall have a Personnel Action File (PAF). This is a confidential file with exclusive access of the faculty member and persons with official business. (11)
2. The President of the University designates where such files will be kept and who will act as Custodian of the File (COF). The COF will keep a log of all requests to see each file. The COF shall monitor the progress of all evaluations ensuring that proper notification of each step of the evaluation is given to the Candidate, each committee and administrator as specified in these procedures. (11)
3. The PAF is the one official personnel file for employment information relevant to personnel recommendation or personnel actions regarding a Candidate. Faculty members may review all material in their PAF, including pre-employment materials. Faculty members may submit rebuttals to any item in the file, except for pre-employment materials. Faculty may request the removal of any letters of reprimand that are more than three years old. (18) Material submitted to the PAF must be identified by the source generating the material. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. (11)
4. Contents of Personnel Action File (PAF). The PAF contains the following materials:
  - All recommendations and decision letters that have been part of the RTP process.
  - All indices of all WPAFs.
  - The file concerning initial appointment.
  - A curriculum vitae from each review.
  - The Candidate's summaries for each RTP-related review.
  - All rebuttals and responses.
  - Letters of commendation.
  - Letters of reprimand, until removed under CBA Article 18.
  - All fifth year post-tenure reviews.
  - Documentation of any merit awards or salary adjustments.<sup>1</sup>

**B. *Working Personnel Action File (WPAF)***

1. During periods of evaluation, the Candidate shall create a WPAF specifically for the purpose of evaluation. It shall contain ~~all required forms and documents, all information provided by the Candidate, and information provided by faculty unit employees, students, and academic~~

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<sup>1</sup> Documentation of any merit awards or salary adjustments is an optional element in a PAF and WPAF except as required by previous contracts.

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administrators. The WPAF is deemed incorporated by reference in the Personnel Action File (PAF) during the period of evaluation. (15) materials they wish to be considered, as well as materials required by campus policy. Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation required by campus policy but not accessible to the Candidate. The WPAF is deemed incorporated by reference in the Personnel Action File (PAF) during the period of evaluation. (15)

Comment [c1]: New CBA 15.12.a

1.—

2. The WPAF is part of the review process. All parties to the review shall maintain confidentiality regarding this file. (15)
3. The President, Peer Review Committee members, Department Chair (only if the Chair completes a separate Department Chair review), Promotion and Tenure Committee members, Custodian of the File and persons with official business shall have access to the file. (11)
4. The WPAF shall be complete by the deadline announced in the RTP Timetable. Any material added after that date (e.g., a publication listed as “in press” and subsequently published, a grant application funded after the WPAF submission date, course evaluations unavailable at time files were due, or conference proposals accepted after file has been submitted) other than faculty and administrative evaluations generated during the evaluation cycle and responses and rebuttals by the faculty unit employee being evaluated must have the approval of the Peer Review Committee and must be material that becomes available only after the closure date. Copies of the added material shall be provided to the faculty employee. New materials must be reviewed, evaluated, and commented upon by the Peer Review Committee and the Department Chair (if applicable) before consideration at subsequent levels of review. Once approved by the PRC, the Dean and subsequent reviewers shall be notified simultaneously and they have the option of changing recommendations. (15)
5. Guidance on the WPAF:
  - a. An item in the WPAF may be included in whichever category the Candidate sees as the best fit. However, a single item may not be inserted in two different categories.
  - b. The emphasis of the WPAF will be on the accomplishments of the Candidate since the beginning of the last university-level review and not included as part of that review, i.e., items can only be considered in one promotion review. For retention review, the emphasis will be on the time period since the last retention review. For promotion to Associate Professor /Associate Librarian/SSP II AR or tenure, the emphasis will be on the time period since hiring. For promotion to Professor/Librarian/SSP-AR III, the emphasis will be on the time period since the review for the Candidate’s last promotion or since hiring if hired as an Associate Professor /Associate Librarian/SSP II AR.

Comment [c2]: New CBA 15.12.b

Comment [13]: New CBA 15.12.b

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- c. If service credit was awarded, the Candidate should include evidence of accomplishments from the other institution(s) for the most recent years of employment.
  - d. This procedures document does not specify standards. Each Department may develop its own standards, including guidance on criteria in that unit, in accordance with the "Guidelines for Department RTP Standards" (September 28, 2009). It is the responsibility of the Candidate to seek out and understand these standards. See V.A.1. and V.B.5. below.
  - e. In constructing the WPAF, the Candidate should be selective, choosing documents, texts, or artifacts that are most significant and representative of their work. The WPAF should be focused and manageable. In order for a Candidate to make the best case while minimizing file size, statements such as "available upon request" may be used. Materials mentioned as "available upon request" or cited in reflective statement and/or curriculum vitae are considered part of the WPAF. Reviewers at any level can obtain such documentation during the time of the review directly from the Candidate or directly from the cited source, without the notification of any other level of review. Information in the public domain relevant to the material presented in the WPAF, but not specific to the Candidate (e.g., journal acceptance rates, publication peer-review process, and/or publisher information), are considered part of the WPAF and can be accessed by reviewers at any level without notification.
  - f. The evidence of success in Teaching, Research/Creative Activity and Service shall consist of up to 30 items total in the WPAF that are representative of the work described in the narrative. The Candidate will determine how to distribute the items among the three categories; however, each category will contain evidence.
  - g. The reflective statements included in the WPAF shall not exceed 15 pages in combined length. The Candidate will determine how many pages to devote to each statement. The statements will describe the Candidate's contributions in the areas of Teaching, Research/Creative Activity, and Service.
  - h. The Candidate shall be notified of the placement of any material in her/his WPAF, and shall be provided with a copy of any material to be placed in the WPAF at least five days prior to such placement. (11)
    - Material inserted into the WPAF by reviewing parties is subject to rebuttal or request for removal by the faculty member undergoing review.
    - Required or additional material relevant to the review may be added during the initial period of "review for completeness" by the faculty member undergoing review or other parties to the review.
6. The WPAF, when submitted by the Candidate, shall contain:
    - a. The "WPAF Checklist" (see Faculty Affairs website), completed and signed by the Candidate.



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- b. A Memorandum from the Candidate stating the action the Candidate is requesting:
- periodic review (typically 1st/3rd/5th)
  - 2nd Year Retention
  - 2nd Year Retention with optional tenure and/or promotion review
  - 4th Year Retention (3rd or 5th year for faculty off-cycle)
  - 4th Year Retention w/ optional Tenure and/or Promotion Review (3rd or 5th year for faculty off-cycle)
  - Tenure and/or Promotion Review
- If applicable, the memorandum shall state any special conditions of initial appointment, such as award of years of service credit or completion of terminal degree.
- c. A current curriculum vitae including all the accomplishments of the Candidate's career.
- d. For faculty applying for periodic reviews; retention, tenure, or tenure and promotion, all personnel reviews since hire. For faculty applying for promotion after the award of tenure (or tenure and promotion), all personnel reviews beginning with the previous promotion review or original appointment materials. For faculty applying for tenure after promotion, all personnel reviews beginning with original appointment materials. Personnel reviews (including recommendations, rebuttals and responses) are defined as:
- periodic reviews
  - retention, tenure and promotion reviews
  - five-year post-tenure reviews
- e. A reflective statement for each section: Teaching, Research/Creative Activity, and Service.
- i. **Evidence of teaching success** (for all faculty unit members who teach) and equivalent professional performance based on primary duties assigned in the job description (for non-teaching faculty).<sup>2</sup>
- The reflective statement on teaching.
  - The complete university-prepared reports of the Student Evaluations of Instruction for all courses taught (15.)
  - Selected items (a minimum of 1 item) documenting the teaching accomplishments discussed in the reflective statement, such as:
    - Peer evaluation
    - Self-evaluation
    - Videotape of class session
    - Instructional materials (e.g., syllabi, lesson plans, lecture notes, multimedia presentations, course assignments)
    - Product of your teaching/Evidence of student learning (e.g., completed student assignment, paper, thesis, exam, project, performance)

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<sup>2</sup> Non-teaching faculty include librarians and SSP-ARs.

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- Teaching award, fellowship or honor
- Other relevant items chosen by the faculty member

**ii. Evidence of success in research and creative activity** (for teaching faculty and librarians) and continuing education/professional development (for SSP-ARs).

- The reflective statement on research and creative activity.
- Selected items (a minimum of 1 item) representing research and creative activity, such as:
  - Publications
  - Publications in press or under review (with documentation)
  - Creative performances (dance, music performance art, theatre), exhibits, videos, slides, recordings, CD-ROMS, multimedia, performance texts, installations, photographs, musical scores, directing or choreography, curating, producing
  - Presentations at professional meetings
  - Funded grants
  - Research/creative activity in progress
  - Instructional material development
  - Applied research/scholarship
  - Invited address
  - Research/creative activity award, fellowship or honor
  - Editing of a journal, book, or monograph
  - Unpublished research
  - Unpresented/Unperformed creative activity
  - Unfunded grant proposal
  - Refereeing of a book, journal article, monograph, conference paper
  - Other relevant items chosen by the faculty member

**iii. Evidence of success in service.**

- The reflective statement on service.
- Selected items (a minimum of 1 item) representing service to the campus, system, community, discipline, and/or profession, such as:
  - Committee activity
  - Consultantship to community organizations
  - Advising a student group
  - Mentoring of faculty and/or students
  - Office held and participation in professional organizations
  - Service award, fellowship or honor
  - Editing of a journal, book, or monograph
  - Refereeing of a book, journal article, monograph, conference paper
  - Other relevant items chosen by the faculty member
- Department/Unit/College/Library/School/SSP-AR standards for retention, tenure and promotion.

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- A complete index of the material contained in the WPAF. (This should be located at the beginning of the WPAF.)

7. The WPAF may also be submitted in electronic format. Guidelines for electronic submission may be obtained from the office of the AVP of Faculty Affairs.

**II. REVIEW PROCESS SCHEDULE****A. Tenure and Promotion to the Rank of Associate Professor/Associate Librarian/SSP-AR II**

1. All probationary (non-tenured) faculty members shall undergo annual review. The normal review process schedule depends on the probationary status of the Candidate. If the Candidate's initial appointment is on the tenure track at the rank of Assistant Professor, Senior Assistant Librarian (which normally requires a doctorate or other appropriate terminal degree), or SSP-AR I without credit for prior years of service, the review process schedule is as follows:
  - First, third, and fifth years: PRC level and Dean/Director review
  - Second and fourth years: PRC, Dean/Director and President review
  - Sixth year: Mandatory review for promotion and tenure by Department Chair,<sup>3</sup> Peer Review Committee, Dean, and Promotion and Tenure Committee with a recommendation to the President
2. Tenure-track probationary faculty may be given credit for a maximum of two years of service at another institution. The amount of credit allowed shall be stipulated at the time of employment and documented in a letter to the faculty member. This letter should be included in the file. If one or two years of credit are given, the review process begins with the first year level review. The mandatory promotion and tenure decision is shortened by the number of service credit years given. (13)
3. If a probationary faculty member without a doctorate or appropriate terminal degree is hired at the rank of Instructor, Assistant Librarian, or SSP-AR I, the Candidate may choose not to count the time as Instructor/Assistant Librarian/SSP-AR I toward the mandatory sixth year tenure and promotion review. The Candidate must stipulate her/his choice at the time of initial appointment to a tenure track position.
4. Normally, a probationary faculty member shall not be promoted during the probationary period of six years of full-time service. A probationary faculty member shall normally be considered for promotion at the same time they are considered for tenure. Probationary faculty members shall not be promoted beyond the rank of Associate. (13, 14)

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<sup>3</sup>In cases when the Department Chair elects to make separate recommendations on the Candidates in her/his Department.

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5. At the request of the Candidate or on the initiative of the Department, a Candidate may be considered for Promotion and Tenure prior to the sixth year of service. (13, 14) In that event, the sixth-year-level review substitutes for the annual review. Promotion or tenure prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion or tenure as specified in University, College/Library/School, and Department standards. Prior to the final decision, Candidates for promotion before the mandatory sixth-year review may withdraw from consideration without prejudice at any level of review. (14)
6. Mandatory sixth-year consideration entails recommendations to the President for the Candidate's tenure and promotion. (13)

***B. Tenure for Probationary Faculty Hired at the Ranks of Associate Professor /Associate Librarian/SSP-AR II and Professor/Librarian/SSP-AR III***

1. Non-tenured Associate Professors/Professors, Associate Librarians/Librarians, and SSP-AR II/SSP-AR IIIs shall be reviewed annually according to the following schedule:
  - First, third, and fifth years: PRC level and Dean/Director review
  - Second and fourth years: PRC, Dean/Director and President review
  - Sixth year: Mandatory review for tenure by the Department Chair,<sup>4</sup> Peer Review Committee, Dean, and Promotion and Tenure Committee recommendation to the President.
2. Tenure-track probationary faculty may be given credit for a maximum of two years of service at another institution. The amount of credit allowed shall be stipulated at the time of employment. (13) The appointment letter shall be included in the WPAF
3. Normally, a probationary faculty member shall not be promoted during the probationary period of six years of full-time service. (14) A probationary faculty member shall normally be considered for promotion at the same time they are considered for tenure. (13)
4. At the request of the Candidate or on the initiative of the Department, a Candidate may be considered for Promotion and Tenure prior to the sixth year of service. In that event, the sixth-year-level review substitutes for the annual review. The President may award tenure to a faculty unit employee before the normal six year probationary period. (13, 14) Promotion and tenure prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion or tenure as specified in University, College/Library/School, and Department standards. Prior to the final decision,

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<sup>4</sup> In cases when the Department Chair elects to make separate recommendations on the Candidates in her/his Department.

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Candidates for promotion before the mandatory sixth-year review may withdraw from consideration without prejudice at any level of review. (14)

5. Tenure review for probationary Associate Professor /Associate Librarian/SSP-AR II is separate and distinct from review for promotion to the rank of Professor /Librarian/SSP-AR III. Probationary faculty shall not be promoted beyond the rank of Associate. (14) In other words, Associate Professors/Associate Librarians/SSP-AR IIs must be awarded tenure before they are eligible to apply for promotion to Full Professor/Librarian/SSP-AR III.

***C. Review of Tenured Faculty at Rank other than Professor/Librarian/SSP-AR III Ranks***

1. Except for early promotion considerations, review for promotion to the rank of Professor, Librarian, or SSP-AR III follows the standard sequence of review for tenure: Department Chair (at the Department Chair's discretion) and Peer Review Committee, Dean/Director, Promotion and Tenure Committee making recommendations to the President.
2. Only tenured faculty unit employees with rank of Professor/Librarian/SSP-AR III can make recommendations regarding promotion to these ranks. (Professors/Librarians/SSP-AR IIIs may make recommendations for promotion across these positions.)
3. The promotion of a tenured faculty unit employee normally shall be effective the beginning of the sixth year after appointment to their current academic rank/classification. In such cases, the performance review for promotion shall take place during the year preceding the effective date of the promotion. This provision shall not apply if the faculty unit employee requests in writing that they not be considered. (14.3)
4. The promotion of a faculty unit member to the rank of Professor, Librarian, or SSP-AR III that will be effective prior to the start of the sixth year after appointment to their current academic rank/classification is considered an "early promotion." Promotion prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards. For early promotion, a sustained record of achievement should demonstrate that the Candidate has a record comparable to that of a Candidate who successfully meets the criteria in all three categories for promotion in the normal period of service.

***D. Except for denial of tenure in the mandatory sixth-year review, denial of tenure and/or promotion does not preclude subsequent review.***

1. Probationary faculty denied tenure prior to the sixth year may be considered in any subsequent year through the mandatory sixth-year review.

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2. Tenured Assistant/Associate Professors, Senior Assistant/Associate Librarians, and SSP-AR I/IIIs denied promotion may be reviewed in any subsequent year.

**III. RESPONSIBILITIES OF THOSE INVOLVED IN THE REVIEW CYCLE****A. Responsibilities of the Candidate**

1. Preparation of the WPAF
  - a. Prior to the beginning of the review process, the Candidate shall be responsible for reviewing these procedures, as well as the Department/Unit/College/Library/School/SSP-AR evaluation criteria and review procedures that have been made available, including the CSUSM RTP timetable.
  - b. Prior to the beginning of the review process, the Candidate shall be responsible for consulting campus resources relevant to the review process (e.g., the CBA, Academic Affairs, Faculty Center resources and workshops, and colleagues).
  - c. Prior to the beginning of the review process, the Candidate shall be responsible for the identification of materials the Candidate wishes to be considered and for the submission of such materials as may be accessible to the Candidate. (15)
  - d. The Candidate shall be responsible for the organization and comprehensiveness of the WPAF.
  - e. If the Candidate is requested to remove any material from the WPAF, the Candidate can either remove the material or add explanations to the reflective statement about the relevance of the material.
  - f. If the Candidate chooses to withdraw a request for early tenure, then the Candidate shall notify the Custodian of the File. The COF will then notify all levels and designate the evaluation as the regularly-scheduled review. All levels of reviewers would then need to conduct a review of the WPAF, starting with the PRC. The recommendations for the early tenure review shall be withdrawn and would not be placed in the PAF.
  - g. If the Candidate is denied, the recommendations will be placed in the PAF.
2. The Candidate is responsible for submission of the WPAF in adherence to the RTP Timetable.
3. The Candidate is responsible for preparing, as necessary, a timely rebuttal or response at each level of the review according to the RTP Timetable.
4. The Candidate is responsible for requesting a meeting, if wanted, at each level of the review according to the RTP Timetable. No formal, written response is required subsequent to this meeting.

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5. The Candidate may request and an external review. (15) The process for initiation and selection of external reviewers is set forth in Appendix C.

**B. Responsibilities of Department Chairs and Faculty Governance Units**

1. In academic units with a Department Chair, the Chair shall ensure that there is an election of a PRC. This entails: identifying eligible members of the Department or equivalent academic unit, College/Library/School, or the entire University faculty, when necessary, who are willing to serve; consulting with faculty in the Department about names to place on the ballot; sending out the ballot one week before the election date; ensuring that ballots are counted by a neutral party; and announcing the results to the Department and to the Candidates. The Department Chair shall convene the first meeting of the PRC and ensure that a chair is elected.
2. In academic units with no Department Chair, the appropriate faculty governance group shall ensure that there is an election of a PRC. This entails: identifying eligible members of the Department or equivalent academic unit, College/Library/School, or the entire University faculty, when necessary, who are willing to serve; consulting with faculty in the Department about names to place on the ballot; sending out the ballot one week before the election date; ensuring that ballots are counted by a neutral party; and announcing the results to the Department and to the Candidates. The appropriate faculty governance group shall convene the first meeting of the PRC and ensure that a chair is elected.
3. The Department Chair may submit a separate recommendation concerning retention, tenure, and/or promotion under the following conditions: The Department Chair must be tenured and the Department Chair must be of equal or higher rank than the level of promotion requested by the Candidate.<sup>5</sup> The Department Chair's review runs concurrently with the PRC review. When a Department Chair chooses to make a separate recommendation in a given year, the Chair must do so for all Candidates in the Department in that year for which the Chair is eligible to submit a recommendation. In this case, Department Chairs shall have the additional responsibilities indicated below. If the Department Chair is a member of the PRC, the Chair may not make a separate recommendation.
  - a. During the time specified for this activity, the Department Chair shall review the file for completeness. Within seven days of the submission deadline the Department Chair shall:

<sup>5</sup> When the Department Chair is eligible to write recommendations for some Candidates and not others (e.g., Department Chair is a tenured Associate Professor eligible to submit separate recommendations for tenure and promotion to Associate Professor, but not for full Professor/Librarian), the Department Chair will notify the Custodian of the File. The Custodian of the File will insert a letter into the WPAF of those Candidates for whom the Department Chair is ineligible to make recommendations that explains the reason that no Department Chair letter was submitted to the file.

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- 541                   i. Submit a letter to the Custodian of the File outlining material that is lacking.  
542                   The custodian notifies the faculty member.
- 543                   ii. Add any existing material missing from the file that the faculty member did  
544                   not add. The Department Chair must add the required evidence, but may  
545                   choose not to add the non-mandatory additional evidence requested.
- b. The Department Chair may determine whether to request external review of the  
file. In the case of external review request, see Appendix C for responsibilities  
and timetable.
- c. Consistent with the CBA, the Department/Unit/College/Library/School/SSP-AR  
RTP documents and the RTP Timetable, the Department Chair shall review and  
evaluate the WPAF of each Candidate for retention, tenure, and promotion.
- d. The Department Chair may write a recommendation with supporting arguments to  
“The file of [the faculty member under review].” The Department Chair’s  
recommendation is a separate and independent report from that of the PRC.  
i. The recommendation shall be based on the contents of the WPAF. (15.12.c)  
ii. The recommendation clearly shall endorse or disapprove of the Candidate’s  
retention, tenure, and/or promotion.
- e. The Department Chair shall submit the recommendation to the Custodian of the  
File by the deadline specified in the RTP Timetable.
- f. The Candidate may request a meeting with the Department Chair within ten (10)  
days of receipt of the Department Chair’s recommendation (15). If a meeting is  
requested, the Department Chair shall attend the meeting. No formal, written  
response is required subsequent to this meeting.
- g. The Department Chair may respond to a Candidate’s written rebuttal or response  
within ten (10) days of receipt. No formal, written response to a Candidate  
rebuttal or response is required.
- h. Should the P & T Committee call a meeting of all previous levels of review, the  
Department Chair shall attend and revise or reaffirm her/his recommendation.  
The Department Chair shall then submit in writing her/his recommendation to the  
Custodian of the File consistent with the RTP Timetable.
- i. The Department Chair shall maintain confidentiality of the file, of deliberations  
and recommendations. (15)
- j. When Department Chairs submit a separate recommendation for Candidates in  
their Departments, they are ineligible to serve on Peer Review Committees in



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their respective Departments, but may serve on PRC's in other Departments. Department Chairs, like other parties to the review, may not serve at more than one level of review.

4. If a Department Chair chooses not to make a separate recommendation, then the Chair may serve on any Peer Review Committees within her or his academic unit.
5. If any stage of a Performance Review has not been completed according to the RTP Timetable, the WPAF shall be automatically transferred to the next level of review or appropriate administrator and the Candidate shall be so notified. (15)

**C. Election and Composition of the Peer Review Committee (PRC)**

1. The Department or appropriate academic unit is responsible for determining the size and election conditions of the PRC. The Department Chair shall ensure that there is an election of a PRC. Where no Department Chair exists, the department or appropriate faculty governance unit will ensure that there is an election of a PRC. (See IV.B.1. and 2. above.)
2. The PRC shall be composed of at least three full-time tenured faculty elected by tenure-track faculty in the Candidate's department (or equivalent), with the chair elected by the committee. That is, if there are enough eligible faculty members in a department or program, members of the Peer Review Committee are elected from these areas. If not, the department or program shall elect Peer Review Committee members from eligible university faculty in related academic disciplines. (15)
3. In the case of a faculty member with a joint appointment, the Peer Review Committee shall include when possible representatives from both areas with a majority of members on the committee elected from the Department or program holding the majority of the faculty member's appointment. If a faculty member holds a 50/50 joint appointment, the committee will have representatives from both departments.
4. Peer Review Committee members must have higher rank/classification than those being considered for promotion.
5. Candidates for promotion are ineligible for service on promotion or tenure Peer Review Committees.
6. Each College/Library/School/SSP-AR shall adopt procedures for electing a Peer Review Committee from the eligible faculty. These procedures must follow the guidelines of the CBA. (15)

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***D. Responsibilities of the Peer Review Committee (PRC)***

1. The PRC shall review the WPAF for completeness. Within seven days of the submission deadline the PRC shall:
  - a. Submit a letter to the Custodian of the File outlining material that is lacking. If no WPAF has been submitted, the PRC shall submit a letter to the Custodian of the File within the same deadline indicating that the WPAF is lacking.
  - b. Add any existing required material missing from the WPAF that the Candidate has not added via the COF. (15)
  - c. Add any additional existing material with written consent of the Candidate.
  - d. Request any irrelevant material to be removed from the WPAF.
2. The PRC shall determine whether to request external review of the WPAF. In the case of an external review request, see Appendix C for responsibilities and timeline.
3. Consistent with the CBA, the Department/College/Library/School/SSP-AR RTP standards/ documents, the University RTP document, and the RTP Timetable:
  - a. The PRC shall review and evaluate the WPAF of each Candidate for retention, promotion, and/or tenure.
  - b. Each committee member shall make an individual evaluation prior to the discussion of any specific case.
4. The PRC shall meet as an entire committee face-to-face. In these meetings, each member shall comment upon the Candidate's qualifications under each category of evaluation.
5. The PRC shall write a recommendation with supporting arguments to "The file of [the faculty member under review]." (See Appendix E.) The PRC's recommendation is a separate, independent report from that of the Department Chair.
  - a. The recommendation shall be based on the contents of the WPAF. (15)
  - b. The recommendation clearly shall endorse or disapprove of the retention, tenure, and/or promotion.
6. Each recommendation shall be approved by a simple majority of the committee. To maintain confidentiality, the vote for recommendations shall be conducted by printed, secret ballot. (See Appendix D.) The report of the vote shall be anonymous. Committee members may not abstain in the final vote. The vote tally shall not be included in the letter. Dissenting opinions shall be incorporated into the text of the final recommendation. When the vote is unanimous, the report shall so indicate. All members of the committee shall sign the letter. (See Appendix E.)
7. The PRC shall submit the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.

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8. Should the Candidate call a meeting within ten (10) days of receipt of the PRC's recommendation, the PRC shall attend the meeting. (15) No formal, written response is required subsequent to this meeting.
9. The PRC may respond to a Candidate's written rebuttal or response within ten (10) days of receipt of rebuttal. No formal, written response to a Candidate rebuttal or response is required.
10. Should the P & T Committee call a meeting of all previous levels of review, the PRC shall attend and revise or reaffirm their recommendation. The PRC shall then submit in writing their recommendation to the Custodian of the File consistent with the RTP Timetable.
11. The PRC shall maintain confidentiality of the file, of deliberations and recommendations (15).
12. The WPAF shall be automatically transferred to the next level of review or appropriate administrator and the faculty unit employee shall be so notified. (15)

***E. Responsibilities of the Dean/Director***

1. The Dean/Director shall review the file for completeness. Within seven days of the submission deadline, the Dean/Director shall:
  - a. Submit a letter to the Custodian of the File outlining material that is lacking.
  - b. If the requested missing material is not added, the Dean/Director shall have the COF insert that material. (15)
  - c. Request any irrelevant material to be removed from the WPAF.
  - d. The Custodian of the File shall notify the faculty member of any material added to the file.
2. The Dean/Director shall determine whether to request external review of the file. In the case of an external review request, see Appendix C for responsibilities and timeline.
3. The Dean/Director shall review and evaluate the WPAF of each Candidate for retention, tenure, and/or promotion, consistent with the CBA, Department/Unit/College/Library/School/SSP-AR RTP document, the University RTP document, and the RTP Timetable.
4. The Dean/Director shall write a recommendation with supporting arguments addressed "To the file of [the name of the Candidate]."
  - a. The recommendation shall be based on the contents of the WPAF. (15)
  - b. The recommendation shall clearly endorse or disapprove retention, tenure and/or promotion.

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5. The Dean/Director shall submit the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
6. Should the Candidate call a meeting within ten (10) days of receipt of the Dean/Director's recommendation (15), the Dean/Director shall attend the meeting. No response is required.
7. Should the Candidate submit a rebuttal or response, the Dean/Director may respond to the rebuttal in writing within ten (10) days of receipt. No formal, written response to the Candidate's rebuttal or response is required.
8. Should the Promotion and Tenure Committee call a meeting of all the previous levels of review, the Dean/Director shall attend and revise or reaffirm her/his recommendation. The Dean/Director shall then submit, in writing, her/his recommendation to the Custodian of the File.
9. The Dean/Director shall maintain the confidentiality of deliberations and recommendations (15)

***F. Composition of the Promotion and Tenure (P & T) Committee***

1. The University Promotion and Tenure Committee shall be composed of seven members: six tenured Full Professors and one tenured Full Librarian elected in accordance with the rules and procedures of the Academic Senate. Candidates for election to the Committee shall be voting members of the Faculty as defined in the by-laws of the CSUSM Academic Senate.
2. The six Professors shall be elected as follows: One (1) from the College of Education, Health, and Human Services; one (1) from the College of Business Administration; two (2) from the College of Humanities, Arts, Behavioral and Social Sciences (these must come from different Divisions within the College), one (1) from the College of Science and Mathematics; and one (1) university-wide at-large member. When SSP-ARs are under review a member of SSP-AR III will be added to the P & T Committee for the SSP-AR review only.
3. For various reasons of ineligibility, the Promotion and Tenure Committee may lack the full set of members. If Committee membership falls below five, the Senate shall hold a replacement election or an at-large election as appropriate to ensure a minimum of five members for the Committee. Faculty with specified roles in assessing, directing, or counseling faculty in relation to their professional

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responsibilities are ineligible for service (e.g., Director of General Education, Director of the Faculty Center).

4. Each year, the members of the Committee shall elect the Chair. They will hold this election during the spring semester preceding the year of service on the Committee.
5. Members of the Promotion and Tenure Committee are ineligible to serve at any other level of review. That is, they cannot make recommendations as Department Chairs or members of Peer Review Committees for any Candidates during their term as members of the Promotion and Tenure Committee.

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***G. Responsibilities of the Promotion and Tenure Committee***

1. The P & T Committee shall review for completeness each file from all Candidates for promotion and/or tenure. In order to complete this review within seven days of the submission deadline, the Chair shall assign two members of the Committee to each file. These members will report their findings to the Chair within the specified deadline.
2. The P & T Committee shall identify, request and provide existing materials related to evaluation which do not appear in the file and request that any irrelevant material be removed from the file. In cases where the Committee members request that the Candidate add or remove material to the file, this request shall be made in writing to the Custodian of the File within the specified deadline. In cases where the Committee members add material to the file via the COF, they shall do so within the specified deadline. The Custodian of the File shall inform the Candidate of this addition.
3. The P & T Committee shall determine whether to request external review. The members assigned to review each file for completion shall arrive at an independent assessment of the need for external review. The full Committee shall meet at the end of this initial review period to determine the need for external review. The Committee shall conduct a simple majority vote to determine whether or not an external review shall be requested. In the case of external review, see Appendix C for External Review.
4. Consistent with the CBA, the Department/Unit/Library/School/SSP-AR RTP standards/documents, the University RTP document and the RTP timetable, the P & T Committee shall review and evaluate the WPAF of each Candidate for tenure and/or promotion. Each committee member shall make an individual assessment prior to the discussion of any specific case.
5. The P & T Committee shall meet as an entire committee face-to-face concerning each of the WPAFs. In these meetings, each member shall comment upon the Candidate's qualifications under each category of evaluation.
6. The P & T Committee shall write a clear recommendation, addressed "To the file of [the Candidate]" with supporting arguments. (See Appendix E.) Each recommendation shall be approved by a simple majority of the committee. The Chair shall vote. Because the CBA states that "[t]he end product of each level of a Performance Review shall be a written recommendation," (15) a report of a tie vote does not constitute an acceptable action of the Committee. The P & T Committee must recommend for or against promotion and/or tenure.
7. The report of the vote shall be anonymous. Committee members may not abstain in the final vote. The vote tally shall not be included in the letter. Dissenting opinions

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shall be incorporated into the text of the final recommendation. When the vote is unanimous, the report shall so indicate. All members of the committee shall sign the letter.

8. The P & T Committee shall provide a copy of the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
9. Should the Candidate call a meeting within ten (10) days of receipt of the P & T Committee's recommendation, the P & T Committee shall attend the meeting. (15)  
No formal written response is required subsequent to this meeting.
10. Should the Candidate submit a rebuttal or response, the P & T Committee may respond to the rebuttal or response in writing within ten (10) days of receipt. No formal written response to the Candidate's rebuttal or response is required.
11. When there is disagreement in the recommendations at any level of review, the P & T Committee shall call a conference involving all levels of the review, i.e., the Department Chair, the Peer Review Committee, the Dean, and the Promotion and Tenure Committee itself. The P & T Committee shall schedule this meeting within seven days after the designated deadline for the Candidate to respond to the Promotion and Tenure Committee's recommendation. All members of the P & T Committee shall attend this meeting.
12. Subsequent to such a meeting, the P & T Committee shall revise or reaffirm their recommendations. The P & T Committee shall then submit in writing their recommendation to the Custodian of the File consistent with the RTP Timetable.
13. The P & T Committee shall maintain confidentiality of the file, of deliberations and recommendations, (15).
14. If the P & T Review has not been completed according to the RTP Timetable, the WPAF shall be automatically transferred to the next level of review and the faculty unit employee shall be so notified. (15)

***H. Responsibilities of the President or Designee***

1. The President shall announce the RTP Timetable after recommendations, if any, by the appropriate faculty committee. (14, 15)
2. The President shall follow the specific deadlines outlined for various personnel actions in Articles 13 and 14 of the CBA.
3. The President may review for completeness each file from all Candidates for promotion and/or tenure.

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4. The President may identify, request and provide existing materials related to evaluation which do not appear in the file and request that any irrelevant material be removed from the file. In cases where the President requests that the Candidate add or remove material to the file, this request shall be made in writing to the Custodian of the File within the specified deadline. In cases where the President adds material to the file via the COF, it shall be done within the specified deadline. The Custodian of the File shall inform the Candidate of this addition.
5. The President shall consider a decision in relation to external review. Both the President and the faculty member undergoing review must agree to external review.
6. The President shall review and consider the Performance Review recommendations and relevant material and make a final decision on retention, tenure, or promotion. For probationary employees holding a joint appointment in more than one Department, the President shall make a single decision regarding retention, tenure, or promotion. (13, 14, 15)
7. The President shall review and consider the Performance Review recommendations and relevant material and information, [and the availability of funds for promotion – not in the CBA]. (14)
8. Should the President make a personnel decision on any basis not directly related to the professional qualifications, work performance, or personal attributes of the individual faculty member in question, those reasons shall be reduced to writing and entered into the Personnel Action File and shall be immediately provided the faculty member. (11)
9. The President shall provide a written copy of the decision with reasons to the Custodian of the File, who will provide it to the faculty member undergoing review and to all levels of review.
10. The President shall maintain confidentiality of the file, of deliberations and of recommendations, pursuant to articles (15).

***I. Responsibilities of the Custodian of the File***

1. The Custodian of the File shall notify all Candidates, Department Chairs, and Deans one semester in advance of the scheduled required for reviews for retention, reappointment, tenure and/or promotion. In May, the COF shall notify all faculty members and the Deans/Director of the CSUSM RTP Timetable for the following academic year. The COF shall notify all Candidates that the Faculty Center, the Deans, Department Chairs or equivalents and other appropriate resources are available to provide advice, guidance, and direction in constructing their WPAF.



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2. The COF shall provide each new faculty unit employee no later than fourteen (14) days after the start of fall semester written notification of the evaluation criteria and procedures in effect at the time of her/his initial appointment. In addition, the faculty unit employee shall be advised of any changes to those criteria and procedures prior to the commencement of the evaluation process. (12, 15)
3. The COF shall receive the initial file, and date and stamp the initial page of the file.
4. The COF shall maintain confidentiality of the files.
5. Only when dire circumstances exist may a WPAF be turned in late. The COF will determine what constitutes dire circumstances.
6. Within two working days of the end of the review for completeness, the COF shall notify the Candidate of the need to add required and additional documentation requested by the Department Chair, review committee chairs, or administrators. If the Candidate fails to submit the required materials and a reviewing party submits the materials, the COF will notify the Candidate of materials that others add to the file.
7. In cases where the Department Chair wishes to submit a separate recommendation, but is ineligible to make recommendations for all Candidates, the Custodian of the File will place a form letter into the WPAF of the Candidates not receiving a separate recommendation that explains the reason that no Department Chair letter was submitted to the file.
8. The COF shall notify the Candidate of any other additional items to be added to the file along with the Candidate's right to rebut or request deletion.
9. If a Candidate scheduled for review submits no WPAF, the COF shall place a letter in a file folder stating that no file was submitted. A copy of the letter will be sent to the appropriate Dean and the Candidate.
10. The COF shall ensure that all who review a file sign in each time they review the file. The COF shall maintain a log of action for each file.
11. If any party of the review process, including the Candidate, indicates that they want an external review, the COF shall administer the process as outlined in the CBA (15) and the University Retention, Tenure, and Promotion (RTP) documents. That is, the COF shall advise the President of the request and, if the request is approved by the President with the concurrence of the Candidate, the Custodian of the File shall administer the process.

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12. The COF shall receive, process, and hold all recommendations and responses and/or rebuttals during each step of the process.
13. The COF shall monitor the progress of all evaluations ensuring that proper notification is given to the Candidate, each committee, and the appropriate administrators as specified in these procedures. The COF shall provide copies of the evaluations and recommendations to the Candidates and the reviewing parties. The COF shall document each notification.
14. If the COF becomes aware of a possible violation of either of the CBA or RTP policy, the COF may advise the relevant parties as necessary and when appropriate.

#### **IV. PRINCIPLES FOR THE REVIEW PROCESS**

##### **A. General Principles**

1. Faculty shall be evaluated in accordance with the Unit 3 CBA as well as standards approved for their Departments or equivalent units (when such standards exist), standards approved by their College/Library/School/SSP-AR, and in accordance with this policy. In case of conflict between the Department and College/Library/School/SSP-AR standards, the College/Library/School/SSP-AR standards shall prevail. The policies and procedures in this document are subject to Board of Trustees policies, Title 5 of the California Administrative Code, California Education Code, the Unit 3 CBA, and other applicable State and Federal laws.
2. Faculty members will present the relevant evidence in each category of performance. Each level of review is responsible for evaluating the quality and significance of all evidence presented.
3. Everyone, at all levels of review, shall read the Candidate's file.
4. Committee members shall work together to come to consensus.
5. Retention, tenure, and promotion of a faculty member always shall be determined on the basis of performance of professional responsibilities as defined by the CBA (20) and the University and Department/Unit/ College/Library/School/SSP-AR documents, demonstrated by the evidence in the WPAF. In the evaluation of teaching performance, student evaluation forms shall not constitute the sole evidence of teaching quality. No recommendation shall be based on a Candidate's beliefs, or on any other basis that would constitute an infringement of academic freedom.
6. The Candidate shall have access to her/his WPAF at all reasonable times except when the WPAF is actually being reviewed at some level.

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7. Prior to the final decision, Candidates for promotion may withdraw, without prejudice, from consideration at any level of review.
8. Maintaining confidentiality is an extremely serious obligation on the part of committee reviewers and administrators. All parties to the review need to be able to discuss a Candidate's file openly, knowing that this discussion will remain confidential. All parties to the review shall maintain confidentiality, respecting their colleagues, who, by virtue of election to a personnel committee, have placed their trust in each other. Deliberations and recommendations pursuant to evaluation shall be confidential. (15) There may be a need for the parties to the review to discuss the Candidate's file with other levels of review when all levels do not agree. Also, the Candidate may request a meeting with parties to the review at any level. These particular discussions fall within the circle of confidentiality and comply with this policy. Otherwise, reviewing parties shall not discuss the file with anyone. Candidates who believe that confidentiality has been broken may pursue relief under the CBA. (10)
9. Service in the personnel evaluation process is part of the normal and reasonable duties of tenured faculty, Department Chairs, and administrative levels of review. Lobbying or harassment of parties to the review in the performance of these duties constitutes unprofessional conduct. Other University policies cover harassment as well. The statement here is not intended to restrict the University in any way from fulfilling the terms of other policies that cover harassment.
10. When a probationary faculty member does not receive tenure following the mandatory sixth year review, the University's contract with the individual shall conclude at the end of the seventh year of service, unless the faculty member is granted by the President a subsequent probationary appointment or a terminal year appointment. (13)

***B. Standards Applied in Different Types of Decisions***

1. Review for Retention of Probationary Faculty
  - a. Whenever a probationary faculty member receives reappointment, CSUSM shall provide to the Candidate a review that identifies any areas of weakness.
  - b. To the extent possible and appropriate, the University should provide opportunities to improve performance in the identified area(s).
2. Review for Granting of Tenure
  - a. The granting of tenure requires a more rigorous application of the criteria than reappointment.

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- b. A Candidate for tenure at CSUSM shall show sustained high quality achievement in support of the Mission of the University in the areas of teaching, research and creative activity, and service (for teaching faculty and librarians) or in the primary duties as assigned in the job description, continuing education/professional development, and service (for Librarians and SSP-ARs).
  - c. Normally, tenure review will occur in the sixth year of service at CSUSM or one or two years earlier in cases where the Candidate has been granted service credit. Tenure review prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for tenure as specified in University, College/Library/School, and Department standards.
  - d. An earned doctorate or an appropriate terminal or professional degree that best reflects the standard practices in an individual field of study is required for tenure. In exceptional cases, individuals with a truly distinguished record of achievement at the national and/or international level will qualify for consideration for purposes of granting tenure. An ad hoc committee consisting of three members jointly appointed by the Chair of the Promotion and Tenure Committee and the Department Chair shall judge all exceptions. This ad hoc committee shall make a recommendation to the President for or against awarding tenure.
3. Review for Promotion
- a. Promotion to Associate Professor, Associate Librarian or SSP-AR II requires a more rigorous application of the criteria than reappointment.
  - b. Promotion to the rank of Professor, Librarian or SSP-AR III shall require evidence of substantial and sustained professional growth at the Associate rank as defined by University, College/Library/School/SSP-AR, and Department standards.
  - c. In promotion decisions, reviewing parties shall give primary consideration to performance during time in the present rank. Promotion prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards. For early promotion, a sustained record of achievement should demonstrate that the Candidate has a record comparable to that of a Candidate who successfully meets the criteria in all three categories for promotion in the normal period of service.
4. College/Library/School/SSP-AR Standards
- a. A College or equivalent unit shall develop standards for the evaluation of faculty members of that College or equivalent unit.

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- b. College or equivalent unit standards shall not conflict with law, the Unit 3 CBA or University policy. In no case shall College standards require lower levels of performance than those required by law or University policy.
  - c. Written College or equivalent unit standards shall address:
    - i. Those activities which fall under the categories of Teaching Performance, Scholarly and Creative Activity, and Service;
    - ii. A description of standards used to judge the quality of performance;
    - iii. The criteria employed in making recommendations for retention, tenure, and promotion.
  - d. These standards shall be reviewed by the Faculty Affairs Committee for compliance with university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been verified, the College/Library/School/SSP-AR standards will be recommended to the Academic Senate for approval.
5. Departmental Standards
- a. A Department or equivalent unit may develop standards for the evaluation of faculty members of that Department or equivalent unit.
  - b. Department or equivalent unit standards shall not conflict with law or University policy. In no case shall Department standards require lower levels of performance than those required by law or University policy.
  - c. Written Department or equivalent unit standards shall address:
    - i. Those activities which fall under the categories of Teaching Performance, Scholarly and Creative Activity, and Service;
    - ii. A description of standards used to judge the quality of performance;
    - iii. The criteria employed in making recommendations for retention, tenure, and promotion.
  - d. The Dean/Director of the College/Library/School/SSP-AR shall review the Department standards for conformity to College/Library/School/SSP-AR standards. If the Dean finds it in conformance, the Dean will forward the Department standards to the Faculty Affairs Committee. The Faculty Affairs Committee has the responsibility to verify and ensure compliance with university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been verified, the Department standards will be forwarded to the Provost for review. The Provost will provide the Faculty Affairs Committee with a recommendation (with explanation) regarding approval of the Department standards. The Faculty Affairs committee will base its approval of the standards on its own review and the recommendation of the Provost. Once approved, Department standards will be forwarded to Academic Senate as an information item. Departments or

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equivalent units shall follow this approval process each time they wish to change their standards.

- e. When classroom visits are utilized as part of the evaluation of a faculty unit employee under Article 15.14, the individual faculty unit employee being evaluated shall be provided a notice of at least (5) days that a classroom visit, online observation, and/or review of online content is to take place. There shall be consultation between the faculty member being evaluated and the individual who visits his/her class(es) regarding the classes to be visited and the scheduling of such visits.

Comment [14]: New in CBA 15.14

**C. Joint Appointments**

1. **Appointment:** A “Joint Appointment” is an appointment made jointly in more than one academic department or equivalent unit. [CBA 12.1] Criteria for individual Joint Appointments shall be set forth in a Memorandum of Understanding (MOU), in accordance with the “Instructions—Memorandum of Understanding for Joint Appointment.”
2. **Evaluation:** For faculty with a Joint Appointment, reviews shall be conducted by a committee with representation from each department in which the individual holds an appointment. [CBA]
3. **Election of Joint Appointment Peer Review Committee (PRC):**

The Joint Appointment PRC shall consist of three eligible faculty members. The election of the Joint Appointment PRC members shall adhere to established Department/Unit PRC election procedures as much as possible.

The Joint Appointment PRC requires that one eligible faculty member be selected by the tenure-track faculty in each Department/Unit party to the joint appointment, plus one eligible faculty member nominated by the Candidate.

Each Department/Unit shall run an election to elect its member for the Joint Appointment PRC. [Membership eligibility shall adhere to the University RTP Policy and the CBA.] In Department(s)/unit(s) that have elected common members, the Joint Appointment PRC member shall be selected from the two common members. In the case of insufficient eligible members, the Department/Unit shall elect its Joint Appointment PRC member from a related academic discipline. [CBA 15.40]

In the case where the Joint Appointment establishes that one Department/Unit has a greater weight, the third member shall be nominated by the Candidate from the Candidate’s “majority Department/Unit.” In the case of a 50/50 Joint Appointment, the Candidate may nominate from either Department/Unit. In the case of insufficient eligible members, the Candidate shall nominate a member from a related academic

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discipline. [CBA 15.40] The Candidate's nominee must receive endorsement of a simple majority of the faculty in each Department/Unit in order to be elected to the Joint Appointment PRC.

- 4. Responsibilities of Joint Appointment PRC:** Conduct a review of the Candidate's WPAF according to:
  - a. Departmental/Unit standards, college and the university policies
  - b. The Collective Bargaining Agreement
  - c. Memorandum of Understanding
- 5. Memorandum of Understanding:** Criteria for individual Joint Appointments shall be set forth in a Memorandum of Understanding (MOU) that establishes the distribution of work expected in the three areas (teaching, research and service). The MOU shall set forth how Department/Unit RTP standards apply. [See MOU Instructions]

The MOU shall be placed in the Personnel Action File (PAF). The MOU is a required element in the Working Personnel Action File (WPAF). If the MOU is changed, it will be placed in the PAF, and it, as well as all previous versions of the MOU, shall be placed in the WPAF.

## **V. DEFINITION OF TERMS AND ABBREVIATIONS**

- A.** In the policies and procedures prescribed by this document, "is" is informative, "shall" is mandatory, "may" is permissive, "should" is conditional, and "will" is intentional.
- B.** The numbers in parentheses refer to sections of the Collective Bargaining Agreement (in effect at the time of the adoption of this document) between the Board of Trustees of The California State University and the California Faculty Association.
- C.** The following terms – important to understanding faculty policies and procedures for retention, tenure, and promotion – are herein defined:
  - 1. Administrator:** an employee serving in a position designated as management or supervisory in accordance with the Higher Education Employer-Employee Relations Act. (2)
  - 2. Candidate:** a faculty unit employee being evaluated for retention, tenure, or promotion.
  - 3. CBA:** Collective Bargaining Agreement between the California Faculty Association and the Board of Trustees of the California State University for Unit 3 (Faculty).

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4. **CFA:** the California Faculty Association or the exclusive representative of the Union. (2)
5. **College/Library/School/SSP-AR:** College of Business Administration (CoBA); College of Education, Health and Human Services (CEHHS); College of Humanities, Arts, Behavioral and Social Sciences (CHABSS); College of Science and Mathematics (CSM); Library; and Student Services Professional, Academic Related (SSP- AR).
6. **Confidentiality:** confidential matter is private, secret information whose unauthorized disclosure could be prejudicial. Given the RTP Procedure, confidentiality applies to the circle of those reviewing a file in a given year.
7. **CSU:** the California State University.
8. **CSUSM:** California State University San Marcos.
9. **Custodian of the File (COF):** the administrator designated by the President who strives to maintain accurate and relevant Personnel Action Files and to ensure that the CSUSM RTP Timetable is followed. (11)
10. **Day:** a calendar day. (2)
11. **Dean/Director:** the administrator responsible for the college/unit.
12. **Department:** the faculty unit employees within an academic department or other equivalent academic unit. (2)
13. **Department Chair:** the faculty member appointed by the president or designee to serve as the director/coordinator of the faculty unit employees within an academic department or other equivalent academic unit. (20)
14. **Equivalent Academic Unit:** any unit that is equivalent to an academic department.
15. **Evaluation:** a written assessment of a faculty member's performance. An evaluation shall not include a recommendation for action.
16. **Faculty Unit Employee:** a member of bargaining Unit 3. (2) See also *Candidate*.
17. **Joint Appointment:** an appointment made jointly in more than one academic department or equivalent unit.
18. **Librarian:** those individuals who have achieved the rank of full Librarian.
19. **Merit awards:** in various CBAs, the CSU and CFA have agreed upon different terms and different names for merit awards, such as Merit Salary Adjustments, Performance Step Salary Increases and Faculty Merit Increases. If they are in effect during a review, merit awards are separate from the Retention, Tenure, and Promotion process, and thus have no bearing on the set of policies and procedures that follows.
20. **Peer Review Committee (PRC):** the committee of full-time, tenured faculty unit employees whose purpose is to review and recommend faculty unit employees who are being considered for retention, tenure, and promotion. (15.40)
21. **Performance Review:** the evaluative process pursuant to retention, tenure, and/or promotion. (15.34)
22. **Personnel Action File (PAF):** the one official personnel file containing employment information and information relevant to personnel recommendations or personnel actions regarding a faculty unit employee. (2)



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- 23. President:** the chief executive officer of the university or her/his designee. (2)
- 24. Probation, Normal Period of:** the normal period of probation shall be a total of six (6) years of full-time probationary service and credited service, if any. Any deviation from the normal six (6) year probationary period, other than credited service given at the time of initial appointment, shall be the decision of the President following her/his consideration of recommendations from the department or equivalent unit, Dean/Director, appropriate administrators, and the Promotion and Tenure Committee. (13)
- 25. Probationary Faculty:** the term probationary faculty unit employee refers to a full-time faculty unit employee appointed with probationary status and serving a period of probation. (13)
- 26. Professor:** those individuals who have achieved the rank of full professor.
- 27. Promotion:** the advancement of a probationary or tenured faculty unit employee who holds academic or librarian rank to a higher academic or librarian rank or of a counselor faculty unit employee to higher classification. (14)
- 28. Promotion, Early consideration for:** in some circumstances, a faculty unit employee may, upon application, be considered for early promotion to Associate Professor or Professor, Associate Librarian or Librarian, SSP-AR II or SSP-AR III prior to the normal period of service. (14)
- 29. Promotion and Tenure Committee (P & T Committee):** an all-University committee composed of full-time, tenured Professors and a Librarian elected according to the faculty constitution. The University charges the P & T Committee to make recommendations for tenure and promotion. When SSP-ARs are under review, an SSP-AR III will be added to the P & T Committee for the SSP-AR review only.
- 30. Rebuttal/Response:** a written statement intended to present opposing or clarifying evidence or arguments to recommendations resulting from a performance review at any level of review. It is not intended for presentation of new information/material. (15)
- 31. Recommendation:** the written end product of each level of a performance review. A recommendation shall be based on the WPAF and shall include a written statement of the reasons for the recommendation. A copy of the recommendation and the written reasons for it is provided to the faculty member at each level of review. (15)
- 32. Retention:** authorization to continue in probationary status.
- 33. RTP:** retention, tenure, and/or promotion.
- 34. RTP Timetable:** A timetable that lists the order of review and establishes dates for the review process at each level for a particular year. This calendar is based on the approved academic year calendar. The President, after consideration of recommendations of the appropriate faculty committee, shall announce the RTP Timetable for each year. (13)
- 35. Service Credit:** the President, upon recommendation of the Dean/Director after consulting with the relevant department or equivalent unit, may grant to a faculty unit employee up to two (2) years service credit for probation based on previous service at

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a post-secondary education institution, previous full-time CSU employment, or comparable experience. (13)

**36. Tenure:** the right to continued permanent employment at the campus as a faculty unit employee except when such employment is voluntarily terminated or is terminated by the CSU pursuant to the CBA or law. (13)

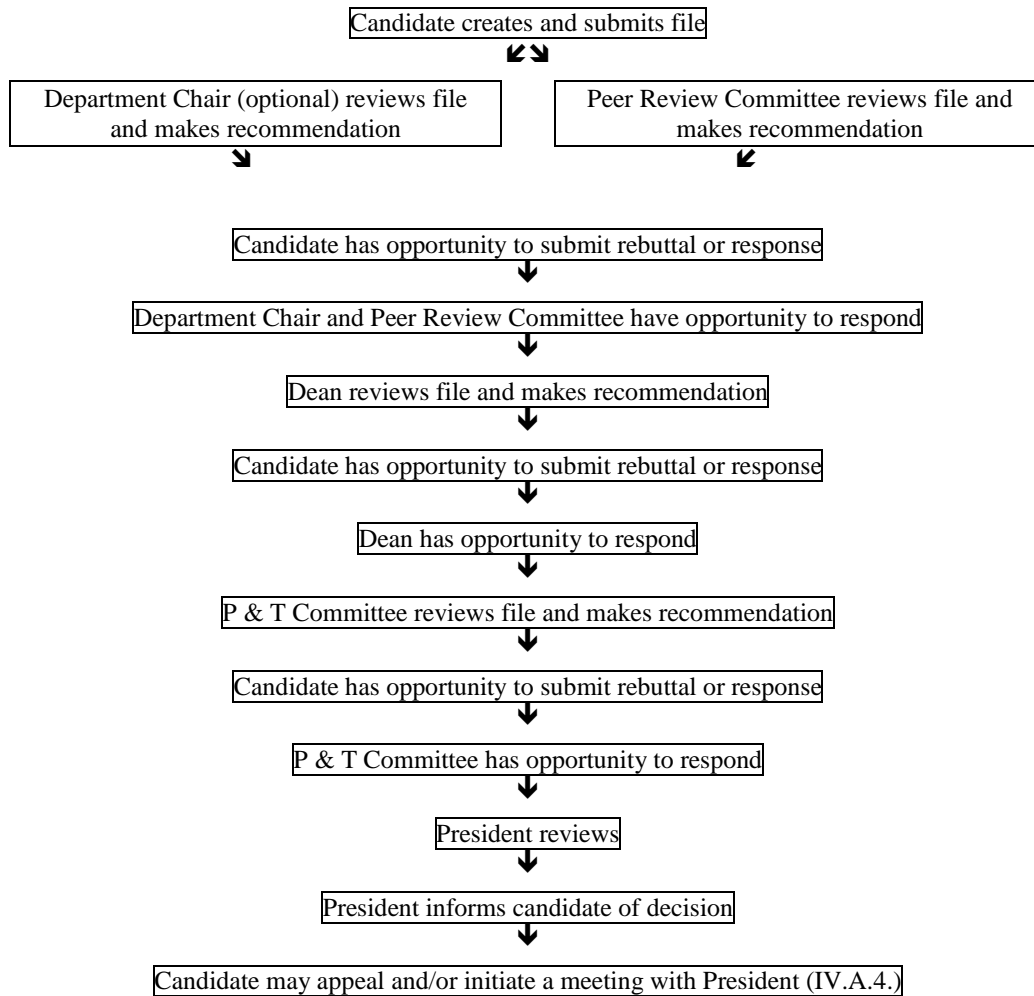
**37. Working Personnel Action File (WPAF):** that portion of the Personnel Action File specifically generated for use in a given evaluation cycle. (2) The WPAF shall include all forms and documents, all information specifically provided by the Candidate, and information provided by faculty unit employees, students, and academic administrators. It also shall include all faculty and administrative level evaluations, recommendations from the current cycle, and all rebuttal statements and responses submitted. )

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**VI. APPENDIX A: STEPS IN THE RTP REVIEW PROCESS WHEN THERE IS A  
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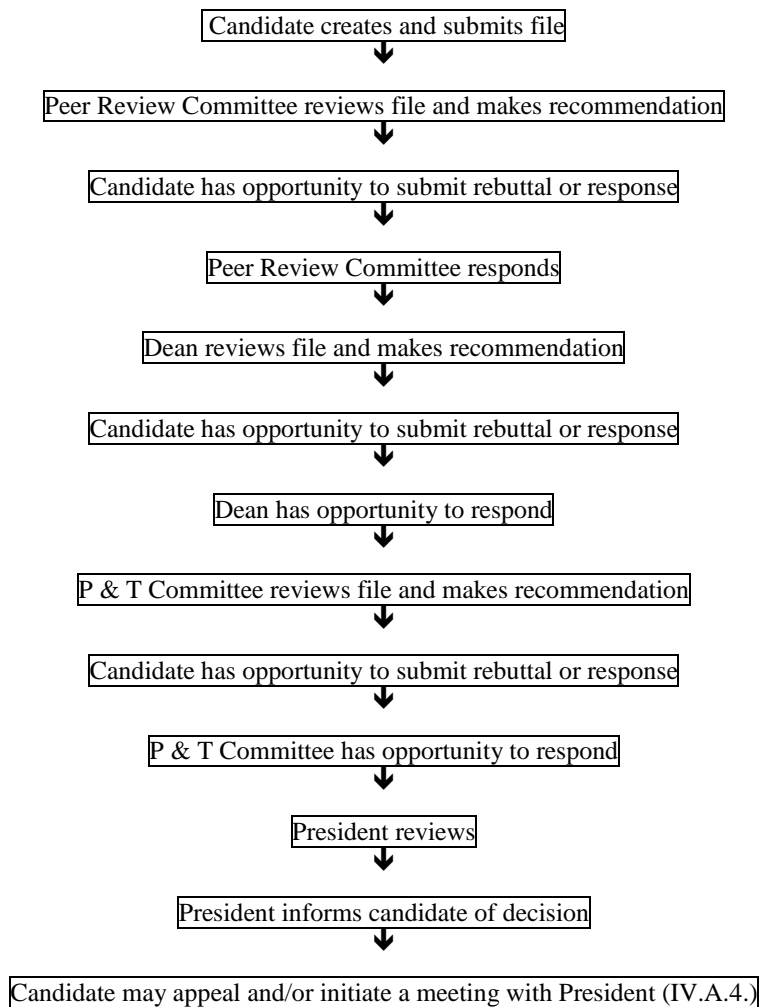
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**VII. APPENDIX B: STEPS IN THE RTP REVIEW PROCESS WHEN THERE IS NO  
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**VIII. APPENDIX C: EXTERNAL REVIEW PROCESS**

**I. Initiation of a Request for External Review**

- A. A request for an external review of materials submitted by a Candidate for retention, promotion, and/or tenure may be initiated at any level of review by any party to the review, including the Candidate. Such a request shall document (1) the special circumstances which necessitates an outside review, and (2) the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the President with the concurrence of the faculty unit employee. (15.12d)
- B. If any party of the review process, including the candidate, indicates that they want an external review, the COF shall administer the process as outlined in the CBA (Article 15.12d). The Custodian of the File shall administer the process.

**II. Procedure for Selection of External Reviewers**

- C. The faculty member being considered shall provide a list of five names of experts in the corresponding field of scholarly or creative inquiry. A brief description of the proposed evaluators' fields, institutional affiliations and professional records shall be included with the list.
- D. The Peer Review Committee shall select the external reviewers. The PRC may accept the entire list of five names provided by the Candidate. Alternatively, the PRC may select only three of the names from the list of five. When it selects three names, the PRC also may choose to add up to two additional reviewers. Thus, the PRC shall select a minimum of three external reviewers provided by the Candidate and a maximum of two that it provides, forming a list of three to five external reviewers. When selecting reviewers other than those recommended by the Candidate, the PRC must justify that action in a written statement. Should the Candidate wish to challenge the choices, she/he may provide a written rebuttal. In such cases, the President shall decide on the final list of external reviewers.
- E. Criteria for selection of external reviewers shall include the following. The reviewer must:
  - 1. Be active in the same specialized area of scholarly or creative work;
  - 2. Hold a professional affiliation approved by peer review committee;
  - 3. Be at a rank greater than the faculty member, if affiliated with an academic institution; and
  - 4. Be neither a collaborator nor co-author of any publication or funded research proposal, nor a close friend.
- F. It is the responsibility of the Peer Review Committee to determine that criteria for selection of external reviewers have been satisfied.
- G. The COF is charged with managing the process of external review. The COF shall solicit external reviews, receive the documents, and place them in the WPAF. The COF shall request external reviewers to respond in a timely manner. When a solicited external review does not receive a timely response, the COF shall insert a letter into the file stating that the external reviewer did not respond by the requested time.

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**IX. APPENDIX D: SAMPLE BALLOT FOR THE PRC**

Candidate has requested consideration for the following action: Promotion to Associate Professor/Associate Librarian/SSP-AR II; Promotion to Professor/Librarian SSP-AR III; Tenure.

Please vote below on the appropriate action.

Promotion to Associate Professor/Associate Librarian/ SSP-AR II                      \_\_\_\_\_ Yes  
\_\_\_\_\_ No

Promotion to Professor/Librarian/SSP-AR III    \_\_\_\_\_ Yes  
\_\_\_\_\_ No

Tenure    \_\_\_\_\_ Yes                      \_\_\_\_\_ No

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**X. APPENDIX E: MEMORANDUM**

DATE: <date>

TO: WPAF for <Candidate's name>

FROM: Peer Review Committee <or P & T Committee>

<Committee members' names with initial line such as:>

Harvey Goodfellow \_\_\_\_\_  
Shirley U. Gest \_\_\_\_\_  
Betta B. Great \_\_\_\_\_

RE: Request for <retention, tenure, promotion, etc.>

The Committee <unanimously> or <by simple majority> <recommends/does not recommend>  
<name of Candidate> for <request>.

Attached please find the complete narrative portion of the recommendation.

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**APPENDIX F: INSTRUCTIONS: MEMORANDUM OF UNDERSTANDING FOR JOINT APPOINTMENT**

The Memorandum of Understanding (MOU) shall be jointly drafted by the Department(s)/unit(s) and approved by the Dean(s). The initial MOU must be attached to the offer of employment for a joint appointment. The MOU shall be signed after the offer of employment is made, any negotiations are completed, and the offer is accepted. Signatures required: Dean, Department chairs/Unit directors; faculty member accepting joint appointment.

Joint appointment MOUs for existing tenure-track faculty members shall be jointly drafted by the Department(s)/unit(s) and approved by the Dean(s). Signatures required: Dean, Department chairs/Unit directors; faculty member accepting joint appointment.

The MOU shall be placed in the Personnel Action File (PAF). The MOU is a required element in the Working Personnel Action File. If the MOU is changed, it will be placed in the PAF, and it, as well as all previous versions of the MOU, shall be placed in the WPAF).

The following are required elements of a MOU, and shall be addressed specifically for each appointment:

1. Participating Units in the Joint Appointment and their respective weight (50/50 or other)
2. Title and Rank of Joint Appointment Faculty
3. How Department/Unit RTP standards apply
4. Workload Distribution in Department(s)/unit(s)
  - a. The workload distribution for the Joint Appointment shall not be excessive or unreasonable. [CBA 20] Expectations for workload shall be consistent with workload expectations in a single Department/Unit appointment.
  - b. Teaching (percent in each department/unit and corresponding WTUs<sup>6</sup>):
  - c. Service  
Minimum service expectations.
  - d. Research
    - i. Shall not be defined by percentage
    - ii. May be disciplinary (Department(s)/Unit(s)), interdisciplinary, or both
    - iii. Shall serve the university mission
5. Resources and Support [e.g. office location/instructional support resources/administrative support/research support, reassignment of time (internally or externally funded), etc.]
6. Role and responsibilities of Department(s)/Unit(s) chair(s)/director(s)
  - a. In the evaluation process
  - b. Other
7. Statement about Changing the MOU: The MOU may be changed according to the needs of the department/unit and students following consultation with the faculty member.
8. Recommended Option: Include in MOU a plan for mentoring (e.g. committee consisting of representatives from each unit).

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<sup>6</sup> Ensure the percentage assigned to each Department/Unit correlates to whole, not fractional, WTUs that correlate numerically to courses that could be assigned in the Department(s)/Unit(s).



- 1 | **Engaged Education:** Co-curricular scheduled course activities outside the classroom that
- 2 enhance student understanding of concepts and activities introduced inside the classroom.
- 3 Engaged learning activities provide students with opportunities to develop deeper
- 4 knowledge and expertise related to the practical settings in which topics of study apply.
- 5

### **RESEARCH**

**Structure:** Credit-bearing student-designed course project involving multiple visits to a site or sites outside of the classroom. The research provides opportunities for students to apply course concepts and skills outside of the classroom with positive learning outcomes.

**Supervision:** Faculty

**Ultimate goal:** Promoting student learning and personal development through the application, contemplation, and integration of course concepts in conjunction with practice in the routine setting to which those concepts apply.

#### **Activities:**

1. Students engage in research outside the classroom as part of their coursework to learn about and reflect upon the application of concepts and research methods in the conditions of actual research practice
2. Students collect data not available in the classroom that they can analyze and incorporate into their projects
3. Research outside the classroom helps students' understanding of the connection between actual lab or field research environments and their academic coursework

#### **Examples:**

1. Psychology 396: Laboratory in Social Psychology: Students learn methods in social psychology by applying methodological principles to research in such areas as group interaction and person perception.
2. Human Development 497: Students participate in the development and implementation of an applied research study that they either initiate or is part of an ongoing research study. Students are involved in data collection, data coding, data analysis and manuscript preparation.

### **SERVICE LEARNING**

**Structure:** Credit-bearing course projects allowing application of course concepts outside the classroom, with positive learning outcomes for both student and community. Service learning combines community service with explicit academic learning objectives, preparation for community work, and deliberate reflection.

**Supervision:**

Faculty have ultimate responsibility for service learning courses, with the provisos that:

1. Learning experiences in a service-learning course are designed through a collaboration of the community and the academic unit/program, relying upon partnerships meant to be of mutual benefit.
2. Improvement and sustainability of the experiences and the partnerships are enhanced through formal assessment activities that involve community, faculty, student and institutional perspectives.

**Ultimate goals:**

1. Promoting student learning and personal development through application, reflection, and integration,
2. Fostering stronger ties between institution and community
3. Meeting relevant community needs, and,
4. Disseminating work done into the public discourse

**Activities:**

Students participating in service-learning

1. Provide direct and indirect community service as part of their academic coursework,
2. Learn about and reflect upon the community context in which service is provided, and,
3. Develop an understanding of the connection between service and their academic work.

**Examples:**

- Biology students doing fieldwork that involves working with community groups and educating them on issues related to forest and water management, and their resolution.
- Accounting students working with the economically disadvantaged sections of the local community to spread basic financial literacy and to also help them with the filing of their tax returns.

**INTERNSHIPS**

**Structure:** On- or off-campus organizations partnering with CSUSM academic departments to provide internships for academic credit. An academic internship is a University-sanctioned unpaid or paid activity that formally integrates the student's academic study with practical experience with a cooperating on- or off-campus organization. Internships overseen by the university must be for course credit.

**Supervision:** Students will be supervised both on site by a designee at the internship organization and by the instructor of the course providing the academic credit. Faculty supervisors will communicate with internship organization supervisors to assess student performance prior to assigning credit or grades.

**Ultimate Goals:**

1. Providing students with a high impact educational practice in a professional setting,
2. Promoting students' experiential learning and career development in their field of study by applying knowledge and skills learned coursework to real world experience.

**Activities:**

1. The student completes a project (analysis, design, or develop) or paper that must be approved by a faculty member.
2. An internship may be paid or unpaid, part-time or full-time.
3. An internship must be a closely monitored, structured activity that complements academic experience from the classroom environment by including agreed upon scope and outcomes.

**Examples:**

Internships combine academic and organizational activities in companies, community organizations, research labs, and university units, such as:

1. Computer Science companies: Qualcomm, Northrop;
2. Biotechnology Institutes: The Salk Institute, The Burnham Institute, The Scripps Institute;
3. Physics Labs: APS (American Physical Society), NRL (Naval Research Lab), RiSE (Research in Science and Engineering), SULI (Science Undergrad Lab Internships); STEM programs at universities: Caltech WAVE Fellows program, UCSD STARS (Summer Training Academy for Research in Sciences).

**Note:** Many internships obtained for academic credit are unpaid, however, employers are encouraged to offer students a regular wage. If unpaid, the employer must ensure the internship meets federal guidelines from the Department of Labor (DOL):

[http://www.dol.gov/whd/regs/compliance/whdfs71.htm#UHXKLRXA\\_cw](http://www.dol.gov/whd/regs/compliance/whdfs71.htm#UHXKLRXA_cw)

**CLINICAL PRACTICE EXPERIENCES**

**Structure:** Clinical practice experiences place students in settings where they apply knowledge learned in prior coursework to the contexts in which they will work professionally. In certain fields, accrediting agencies and credentialing bodies require clinical practice experiences as components of degree programs.

**Supervision:** Placement is facilitated by faculty or staff of Schools and Departments. Faculty supervise students' clinical practice experiences.

**Ultimate goals:**

1. Applying theoretical knowledge in a professional context, while augmenting theory with practical experience in the type of career setting where students will work.
2. Compliance with accrediting organizations and credentialing bodies.

**Activities:**

1. Clinical practice experiences provide students with work experience that is relevant to their professional education. Examples include placements in K-12 classrooms), clinics, or hospitals.
2. University courses offered by the Schools and Departments requiring clinical practice placements are designed to complement and support the candidate's clinical practice experience.
3. In order to meet requirements of accrediting agencies, the schools and departments provide oversight of clinical placements.

**INTERNATIONAL SERVICE LEARNING** (AACU calls it Global Learning)

**Structure:** Credit-bearing course project providing a structured and culturally-immersive academic experience in another country, working reciprocally with local institutions to address host community needs while developing our students' cross-cultural understanding of daily life and global issues.

**Supervision:** Faculty--Supervision may be on or off site and may include direct supervision of the student work, indirect supervision through coursework, or indirect supervision through the Office of Global Education and University Office of Internships.

**Ultimate goals:**

1. Provides students with valuable international experience that requires engagement and dialogue in order to widen their perspectives and deepen their intercultural understanding.
2. Develops global citizens by providing an experiential foundation for global understanding and global action.
3. Teaches students to critically analyze and reflect on the service activity for a better appreciation of course content. Cultivates and enables long-term, and mutually beneficial engagements between the university and specific international partners.
4. Establishes and enhances university reputation outside the United States.

**Activities:**

International Service Learning (ISL) encompass the following

- Combines traditional study abroad with international volunteerism
- Earns credit abroad
- Participates in organized community-based service projects that address community needs
- Provides direct interaction and cross-cultural dialogue with others
- Allows reflection and connection of experience with course content

**Example:**

- Students travel to India to work with local artisan communities and photograph of their artwork. Students help build and connect the local artisans to global markets while learning how to do product oriented photography and art marketing skills.
- Students spend 4 weeks in Denmark, conducting research with the local community on the environmental effects of climate change. Students help deal with the reduce the workload for the community and share findings with the students while learning to do field research.

### SENIOR EXPERIENCE (CoBA)

**Structure:** Student groups working with local businesses or organizations to complete a variety of projects.

**Supervision:** Faculty

**Ultimate goal:** Application of classroom knowledge to real-world business problems that help students enhance their skills to be the future business leaders of tomorrow.

#### Activities:

1. Teams of students work as consultants on real-life problems, in which they may:
  - a) Diagnose causes of an accounting, finance, systems, or operations problem and make recommendations for solutions.
  - b) Develop a business plan for the marketing and sales of a new product.
  - c) Analyze manufacturing processes, customer service workflows, or a human resources program.

#### Examples:

- A senior experience team works with a university library to identify and create metrics to assess library collections.
- A senior experience team works with a local business to analyze a customer service workflow and provide recommendations for improving efficiency.

**Comment [Barry1]:** Why does Senior Experience stand alone? If it does, other departments/schools will want to. Can we fit it under clinical practice? Or add to the category 'Clinical Practice'? Or does it fit under Internships??

#### Sources:

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Internships: Learning Plan" in the 2011 CSU Resource Guide for Managing Risk in Service Learning, pp. 46-47

[http://www.calstate.edu/cce/resource\\_center/documents/CCE\\_ResGuide\\_2011\\_webvsnal.pdf](http://www.calstate.edu/cce/resource_center/documents/CCE_ResGuide_2011_webvsnal.pdf).

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1 **Faculty Affairs Committee**

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3 FAC has approved this document after reviewing it for consistency with university policy and  
4 the CBA as well as for clarity. FAC thanks the originators for their collaboration during the  
5 review process.

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**Definition:** Standards governing RTP process for faculty in the Department of Social Work.

**Authority:** The collective bargaining agreement between The California State University and the California Faculty Association.

**Scope:** Eligible Unit 3 Department of Social Work faculty at California State University San Marcos.

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Karen S. Haynes, President

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Approval Date

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Graham Oberem, Provost and VP for Academic Affairs

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Approval Date

**Implemented:**

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**I. Preamble**

1. This document sets forth general standards and criteria for retention, tenure, and promotion of tenure track faculty in the Department of Social Work, as a unit in the College of Education, Health and Human Services.
2. The provisions of this document are to be implemented in conformity with University RTP Policies and Procedures; the CSU Collective Bargaining Agreement (CBA), Articles 13, 14, 15; and the University Policy on Ethical Conduct.
3. The Department is also guided by the standards of its accrediting body, the Council on Social Work Education (<http://www.cswe.org/Accreditation.aspx>).

**I. ELEMENTS OF THE SOCIAL WORK RTP DOCUMENT**

**A. *Introduction and Guiding Principles***

1. All standards and criteria reflect the University, College, and Department Mission and Vision Statements and advance the goals embodied in those statements.
2. The performance areas that shall be evaluated include teaching, research/creative activities, and service. While there will be diversity in the contributions of faculty members to the University, the Department of Social Work affirms the University requirement of sustained high quality performance and encourages flexibility in the relative emphasis placed on each performance area. Candidates must submit a curriculum vitae (CV) and narrative statements describing the summary of teaching, research/ creative activity, and service for the review period. The faculty member must meet the minimum standards in each of the three areas.
3. Items assessed in one area of performance shall not be duplicated in any other area of performance evaluation. Items shall be cross-referenced in the CV, narrative statements, and WPAF to demonstrate connections across all three documents. Candidates whose teaching, research/creative activities, and/or service overlap shall explain how their work in each area meets given standards.
4. The Department recognizes innovative and unique contributions (e.g., supervising research, using particularly innovative or challenging types of pedagogy, writing or rewriting programs, curriculum development, assessment development, accreditation, or other required report generation).
5. Retention, tenure, and promotion decisions are made on the basis of the evaluation of individual performance. Ultimate responsibility for understanding, meeting, and effectively communicating how they have met the standards rests with the candidate. In addition to this document, the candidate should refer to and follow the University RTP Policies and Procedures. Candidates should also note available opportunities that provide guidance on the WPAF and describe the responsibilities of the candidate in the review process (e.g., Provost's RTP meetings, Faculty Center, professional

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- development, and advice and counsel by tenured faculty). Candidates are encouraged to avail themselves of such opportunities.
6. Candidates for retention will show effectiveness in each area of performance and demonstrate progress towards meeting the tenure requirements in the areas of scholarly teaching, scholarly research/creative activities, and scholarly service.
  7. Candidates for the rank of Associate Professor require an established record of effectiveness in teaching, research/creative activities, and service to the College and University.
  8. Candidates for the rank of Professor require, in addition to continued effectiveness, an established record of initiative and leadership in teaching, research/creative activities, and service to the College, University, community, and profession. Promotion to the rank of Professor will be based on the record of the individual since promotion to the rank of Associate Professor.
  9. The granting of tenure at any rank recognizes accomplishments and services performed by the Candidate during the individual's career at CSUSM. The record must show sustained and continuous effectiveness in the areas of scholarly teaching, research/creative activities, and service. The granting of tenure is an expression of confidence that the faculty member has both the commitment to and the potential for continued development and accomplishment throughout their career. Tenure will be granted only to individuals whose record meets the standards required to earn promotion to the rank at which the tenure will be granted.
  10. If service credit was granted at the time of employment at CSUSM, the Candidate's teaching, research, and service activities completed prior to their appointment at CSUSM will be evaluated for the purpose of granting Tenure and/or Promotion.

## **II. GENERAL STANDARDS**

### ***A. Retention***

A positive recommendation for retention requires that the Candidate's record clearly meets the articulated standards for the granting of a retention decision in each of the three areas: teaching, research/creative activities, and service.

### ***B. Tenure and/or Promotion***

A positive recommendation for tenure or promotion requires that the Candidate's record clearly meets the articulated standards for the granting of a tenure/promotion decision in each of the three areas: teaching, research/creative activities, and service.

### ***C. Early Tenure (prior to the 6th year in rank)***

This option for Assistant Professors is considered an exception. A positive recommendation for early tenure requires that the Candidate's record clearly surpasses the articulated standards for the granting of a tenure/promotion decision in all areas. To be eligible for early tenure, a Candidate must show a record of successful experience at

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CSUSM, and that if the Candidate received service credit at the time of appointment, the Candidate must have at least one full year at California State University San Marcos prior to the year of review for tenure.

***D. Early Promotion (prior to the 6th year in rank)***

This option for Associate Professors is considered an exception. A positive recommendation for early promotion requires that the Candidate's record clearly surpasses the articulated standards for the granting of a tenure/promotion decision in all areas. To be eligible for early promotion, a Candidate must show a sustained record of productivity at a university, and that experience must include at least one full year at California State University San Marcos prior to the year of review for promotion.

***E. Faculty hired at an advanced rank***

Faculty who are hired at an advanced rank without tenure may apply for tenure after two years of service at CSUSM (i.e., in fall of their third year at CSUSM). A positive recommendation requires that the Candidate's record at CSUSM clearly demonstrates a continued level of accomplishment in all areas and, together with the Candidate's previous record, is consistent with the articulated standards for the granting of tenure at the faculty member's rank.

**III. STANDARDS AND CRITERIA FOR TEACHING**

***A. Department Priorities and Values in Teaching and Learning***

1. In the Department of Social Work, effective teaching is defined as activity that promotes student learning, reflection, and professional growth in support of the College mission and is demonstrated by information in the teaching section of the WPAF. Effective teaching is multifaceted and may include instructional activity that takes place at off-site locations.
2. The most important teaching activities include, but are not limited to:
  - Classroom modality, face-to-face, blended, online, on-campus, off-site, teaching
  - Supervision of masters theses or capstone projects and research
  - Supervision of student research and research assistants at all levels
  - Supervision of student independent study
  - Clinical teaching/ practice
  - Supervision of teaching and graduate assistants, and
  - Related educational activities, which may include but are not limited to:
    - Curriculum development and delivery
    - Seminar courses that are post master's certificate related or community-based
    - Training and/or supervision of lecturers/colleagues

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3. Faculty members who demonstrate effective teaching will set clear student learning outcomes for their students, employ a range of instructional strategies, and teach in ways that effectively engage all students in the learning process.
4. Evaluation of teaching will focus on determining a profile of the Candidate's teaching effectiveness. To determine such a profile, teaching will be examined through assessment of Candidates' reflective statement on teaching, including student evaluations and selected items that the candidates believe best represent their teaching, as described in the University RTP document and further illustrated below in section B.

***B. The Following Evidence of Teaching is required.***

**1. Teaching Reflective Statement**

**Evidence:** A reflective narrative including any selected items from section III A.2. and all teaching evidence discussed in the file should reflect continued success and/or improvement in teaching. In this statement, the Candidate shall provide a clear and concise reflective self-assessment of their teaching philosophy, experience, and performance. The reflective statement may include the Candidates' philosophy of teaching and learning, pedagogical connections between the techniques they employ when teaching and their philosophy of teaching and learning, impact of any notable teaching accomplishments or awards, improvements made as a result of lessons learned from their teaching and/or student evaluations and/or classroom observation by peers, impact of course innovation or development, and supervision of field-based instruction (if applicable). As part of the reflective statement, the Candidate may provide a brief summary of student evaluations of instruction, supported by a brief discussion of these evaluations. Narratives should provide evidence of thoughtful reflection on student evaluations, classroom observations (if conducted), and concise discussions of changes made or planned based on this feedback in order to show improvement or sustained performance in teaching.

**2. Courses Taught**

**Evidence:** The candidate shall include in the comprehensive CV a list of all courses for the period under review.

Semester & Year	Course Number	Course Title	Section	Units	Number of Students Enrolled	Explanatory Notes (optional)	Evaluation Ratings (optional)
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**3. Student Evaluations of Instruction**

**Evidence:** Provide complete sets of all University-prepared student evaluation reports from courses taught since the last period of review. Associate Professors include documentation since last promotion.

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4. **Representative Syllabi from Courses Taught**

**Evidence:** Provide a representative sample of syllabi from courses taught since last promotion that illustrate course objectives, student learning outcomes, and sample assignments (may include examples of student work with names completely obscured). Associate Professors include documentation since last promotion.

C. *The Following Evidence of Teaching is optional.*

1. **Use of Exemplary Teaching Practices**

**Evidence:** Provide evidence that illustrates the use of exemplary teaching practices. Candidates might provide evidence that demonstrates the effective use of such things as technology, teaching strategies for diverse learners, student projects, student learning outcomes, or facilitating student research presentations beyond the classroom.

2. **Curriculum, Program, and/or Course Development and/or Revision**

**Evidence:** Provide evidence that illustrates any new developments or improvements in curriculum, programs, and/or courses. Evidence might include a brief description of improvements, curriculum forms, syllabi changes, links to online materials, etc.

3. **Student Advising**

**Evidence:** Provide evidence of effective advising of students in the Master of Social Work program. This may include numbers of students for which the candidate served as primary advisor, as well as information relevant to special advisory relationships (e.g., serving on theses or capstone committees, mentorship of a research or service project, etc.)

4. **Other Selected Items that Best Represent Candidate's Teaching**

**Evidence:** Additional evidence of teaching activities not listed above, including but not limited to:

- Assessment of student learning outcomes for individual courses taught by faculty under review
- Letters from students (unsolicited)
- Teaching awards
- Other activities to promote teaching excellence (e.g., self-evaluation, continuing pedagogical education)
- Provision of in-service or continuing education to local agencies and organizations

D. *Assessment of Teaching*

1. **General Standards**

Candidates will be assessed on the quality of the evidence provided on the set of indicators they select, rather than on the quantity of indicators selected. In all cases, the candidate will be assessed on the quality and the totality of the evidence provided.

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When judged as a group, no one indicator may be used to determine the overall rating of teaching effectiveness.

**2. Tenure and/or Promotion from Assistant Professor to Associate Professor**

At the Assistant Professor level, teaching that *meets standards* is expected to demonstrate classroom effectiveness for the types of courses taught. Evidence of classroom effectiveness may include, but is not limited to student evaluations, syllabi that clearly articulate course objectives and requirements, effective instructional practices, engaging assignments directed at meeting the course objectives, documentation that illustrates clear connections throughout an entire teaching event, and assessments that effectively measure and align with student learning outcomes.

**3. Tenure and/or Promotion from Associate Professor to Professor**

As more experienced faculty, Associate Professors being considered for promotion to Professor are held to a higher standard. Accordingly, to be rated *meets standards*, a candidate at the Associate Professor level is expected to demonstrate leadership and initiative in teaching and curriculum related activities. This is in addition to documentation of continued teaching effectiveness (*Section IV*).

**4. Retention**

Candidates for retention shall include the required items for courses taught and additional optional materials in their teaching portfolio to show evidence of efforts and effectiveness in teaching. Because this is an evaluation intended to provide guidance, candidates will be assessed on their current teaching performance as well as on efforts that have been made to address prior performance feedback.

Reviews for retention, tenure and promotion are cumulative in the sense that the progress or growth of the faculty member since joining the faculty is a factor in evaluation.

**IV. STANDARDS AND CRITERIA FOR RESEARCH AND CREATIVE  
ACTIVITY**

***A. Department Priorities and Values in Research and Creative Activity***

In the Department of Social Work, research/creative activity is defined as creating, synthesizing, and disseminating knowledge in ways that fulfill the mission and core values of the Department. Research involving reflective practice, and research which demonstrates the commitment to improve services to diverse and underserved populations is valued. Sustained activity that demonstrates support of the mission is expected. Research/creative activity may be basic, applied, integrative, and/or related to teaching. Peer review of Research and Creative Activity is recognized as an important indicator of a Candidate's scholarly achievement.

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***B. Faculty Description of Contributions when Multiple Authors are Present***

We support lead and multiple authorship, however, when multiple authors are present on scholarly research and creative activities, the candidate shall specify their role on item (e.g., first author, second author, mentoring author, etc.).

***C. Evidence of Research and Creative Activities***

Evaluations of research/creative activities will focus on understanding the contribution, benefit, and impact of the candidate's work on the field. To determine this, the candidate's research productivity in relation to their stated short and long-term goals and overall trajectory will be evaluated according to the categories below.

**1. Research/Creative Activities Reflective Statement**

Candidates shall provide a clear reflective assessment of research/ creative activities including short-term and long-term goals for research/ creative activities, connections between research/ creative activities and the courses taught, and the impact of research/ creative activities.

**2. Types of Evidence:**

- a. Category A Evidence are core indicators of significant scholarly achievement in the field, and may include:
  1. Papers published or accepted for publication in peer-reviewed/refereed journals recognized as reputable and of high quality
  2. Peer or editor reviewed published book chapters of original material and original monographs
  3. Peer or editor reviewed books
  4. Editor or associate editor of a book
  5. Community-engaged scholarship, defined as research that connects the resources of the University to social, civic, and ethical problems in our communities<sup>1</sup>, and is beneficial to both the discipline and the community<sup>2</sup>. Examples for Category A would include community-engaged research that is published, presented at a leading national conference, and/or has meaningful

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<sup>1</sup> Boyer, E. L. (1990). *Scholarship reconsidered: Priorities of the professoriate*. Princeton, N.J: Carnegie Foundation for the Advancement of Teaching.

<sup>2</sup> Furco, A. (2005). A comparison of traditional scholarship and the scholarship of engagement. In Anderson J. & Douglass, J. et al, *Promoting civic engagement at the University of California: Recommendations from the strategy group on civic and academic engagement* (p. 10). Berkeley, CA: Center for Studies in Higher Education. Sanchez, D. & Rivera-Mills, S. (2014). Engaged scholarship: A promising road-less-traveled for STEM science cultures. *SACNAS News Magazine* 17 (1).



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350 impact on policy and/or social work practice (clearly articulated and supported  
351 in the narrative)

- 352 6. Other policy briefs, program evaluations, or grant reports that are  
353 disseminated within an academic and/or professional community  
354 7. Significant contribution to the writing of accreditation documents which  
355 require outside agency approval and/or peer review (including description of  
356 specific involvement)  
357 8. Principal Investigator (PI) or co-PI on funded peer-reviewed national-level  
358 external grants for scholarly research/creative activity work, in progress or  
359 completed

360 Note: For all co-authored or co-presented works, describe specific role (see IV B  
361 above) and relative contribution to the product  
362

363 b. Category B Evidence are indicators of scholarly contributions, but they cannot  
364 stand alone or together as sole indicators of achievement. However, they indicate  
365 progress, promise, and/or recognition of scholarly achievement. Such evidence  
366 may include, but is not limited to:

- 367 1. Papers published in refereed proceedings  
368 2. Refereed presentations at professional meetings  
369 3. Invited presentations at professional meetings  
370 4. Editor reviewed articles published in journals  
371 5. Co-investigator/consultant/collaborator on funded peer reviewed national-  
372 level external grant for scholarly research/creative activity work, in progress  
373 or completed  
374 6. Community-engaged scholarly research/creative activity aimed at developing  
375 collaborative community partnerships that could lead to change in policy  
376 and/or social work practice (e.g., initial program evaluations, innovative  
377 intervention programs, reports or policy documents at the community, state, or  
378 federal level, community educational materials, and/or other curriculum  
379 resource materials, etc.)  
380 7. Special recognition and awards for research/creative activities  
381 8. Funded regional or internal grants or fellowships for scholarly  
382 research/creative activity work (e.g., local organizations, University  
383 professional development, etc.)  
384 9. Unfunded national-level peer reviewed external grants for scholarly  
385 research/creative activity work  
386 10. Submitted manuscript for peer reviewed journals (reviewed and in revision  
387 only, with reviewers' comments included)  
388 11. Sponsored or contract research (whether results published or unpublished)  
389 12. Participation in and completion of training or certification programs relevant  
390 to the candidate's program of research or scholarly activity that reflect  
391 continued growth as a professional

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**D. Assessment of Research/ Creative Activity**

**1. General Standards**

Candidates will be assessed on the quality of the evidence provided, the evidence of sustained scholarship, and the totality of their work. A variety of types of work must be provided, including peer-reviewed publications. When judged as a group, no one indicator of research/ creative activities may be used to determine the overall rating of quality of research/ creative activities. The scholarly reputation of the publication and/or meeting will be considered when evaluating the contribution. All faculty members in the Department of Social Work have a responsibility to engage in program development and accreditation activities associated with the accrediting body (the Council on Social Work Education). With changing standards and on-going assessment requirements, these peer-reviewed activities can be time intensive. Faculty may therefore face limitations in the quantity of items in research/creative activity while they are engaged in peer-reviewed accreditation activities.

**2. Requirement for Tenure and/or Promotion from Assistant Professor to Associate Professor:**

- a. At least 2 items from Category A
- b. At least 1 item from Category B.

For early consideration for tenure and promotion, candidates must satisfy *requirements for both a. and b. above.*

**3. Requirement for Tenure and/or Promotion from Associate Professor to Professor:**

- a. At least three items from Category A.
- b. At least three items from Category B

**4. Retention**

Candidates for retention shall include documentation from the period under review that demonstrates satisfactory progress toward meeting the tenure requirements in the area of scholarship. This documentation may include more items in Category B than Category A.

**V. STANDARDS AND CRITERIA FOR SERVICE**

**A. Department Priorities and Values regarding Service Contributions**

Consistent with our mission statement, the Department of Social Work places a high value on scholarly service as an essential component of faculty work. Social work views activities that enhance the institution and advance the profession at the local, state, national, and international levels as integral components of faculty service. In social work, service is defined as activities that contribute to the life of the University, College, Department, and/or activities that contribute to professional agencies and organizations and to the welfare of the clients we serve. Service activities are expected to advance the Department, College, and University mission statements. In addition, particular

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consideration should be given to the service necessary to develop courses/programs/majors on a growing campus.

1. Service Reflective Statement

Candidates are to provide a clear and concise reflective self-assessment of their service activities and the impact of this work. Candidates may include statements regarding any short-term and long-term goals for service activities, connection to the University, College, and/or Department's mission, reasons for their involvement, and the impact of their service activities.

2. Internal Service Activities

- a. Evidence of service to the Department/College may include, but is not limited to:
  - 1) Leadership/membership in Department/College governance and/or groups that carry on the business of the Department/College (e.g., elected or appointed committee or task force service, etc.)
  - 2) Leadership/membership in Department/College accreditation efforts
  - 3) Program administration or development of programs for the department/college
  - 4) Mentoring of students, tenure-line faculty, lecturers
  - 5) Collaboration with colleagues within the college and across colleges
  - 6) Service as a member of thesis or capstone committees/overseeing student research
  - 7) Advising students
- b. Evidence of service to the CSU System and/or University may include, but is not limited to:
  - 1) Innovative leadership initiatives at the University or CSU system level
  - 2) Leadership/membership in groups that carry on the business of the University (e.g., elected or appointed committee or task force service, etc.)
  - 3) University professional activities, (e.g., service towards University accreditation, etc.)
  - 4) Acting as an advisor for a student organization
  - 5) Mentoring of students, tenure-line faculty, lecturers outside of the College
  - 6) Organizing a campus wide event
  - 7) Chairing or serving on faculty search committees

***B. External Service Activities***

- a. Evidence of service to the profession may include, but is not limited to:
  - 1) Peer reviewer for journal, conference proposals, and/or external grant agencies
  - 2) External reviewer for tenure/promotion for colleagues
  - 3) Membership on editorial board for peer reviewed/ refereed journal or publication/textbook
  - 4) Membership or leadership in professional organizations as an officer, or on a committee, council, or task force, etc.
  - 5) Providing consultation and expert services to the community or the profession

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- 6) Providing continuing education for community
- b. Evidence of service to the social work community and/or greater community may include, but is not limited to:
- 1) Assisting community organizations/ agencies in occasional tasks (e.g., advisory boards, committees, consultantships, etc.)
  - 2) Consulting (paid or unpaid) with social service organizations, (e.g., presenting professional development sessions, conducting research in community based agencies, or other public or private entities)
  - 3) Holding public office as an elected and/or appointed official
  - 4) Garnering service awards or special recognition

***C. Assessment of Service***

**1. General Standards**

Candidates will be assessed on the quality of evidence provided, the evidence of sustained service, and the totality of their work.

**2. Tenure and/or Promotion from Assistant Professor to Associate Professor**

Candidates for promotion from Assistant to Associate Professor must provide evidence of effective sustained internal and external service contributions.

**3. Tenure and/or Promotion from Associate Professor to Professor**

Candidates for promotion from Associate Professor to Professor must provide evidence of leadership in one or more service activities in addition to demonstrating sustained active participation in both internal and external service activities.

**4. Retention**

Candidates for retention must provide appropriate and effective evidence of internal service. While not required, external service contributions will be considered in the evaluation.

**Report from BLP, Cybersecurity MS (CSM)**  
**March 25, 2015**

The Budget and Long Range Planning Committee (BLP) has reviewed the Cybersecurity Master of Science as well as the resource implications of the program's launch. We thank proposer Rika Yoshii and Dean Katherine Kantardjieff for their input and assistance as we reviewed the program's resource implications. This program will be launched through self-supported funding as a Pilot Program.

**Program Overview:**

The purpose of the M.S. program in Cybersecurity is to prepare those with a strong background in computer science for management positions in this rapidly growing field. While housed in the College of Science and Mathematics, the program is a joint venture with the College of Business Administration. It will be a two-year, part-time graduate program primarily serving working adults. Development of the program was funded by a grant from the CSU Commission on Extended Learning.

**Program Demand:**

Cybersecurity is one of the fastest growing sectors in the computer science field. There are few degrees offering training in both technical and management fields. This degree fills a large community and national need for such management positions.

**Resource Implications:**

*Faculty:*

There are currently 7 full-time and 1 adjunct listed as faculty who could teach in the program. The program will also rely on industry experts as adjunct lecturers who will enhance the program. A tenure track faculty member will be hired to direct the program and teach some of the courses. The Director and Faculty selected to teach in the program will be subject to background and security checks given the potential contact with employees from defense industry and military who are subject to Department of Security Services reporting. All salaries are provided through the self-support model.

*Space and Equipment:*

There is access to smart classrooms and the online course management system currently in place. The courses will be offered in the evenings and on weekends to meet the needs of the working professionals who pursue the M.S. degree. Currently, that schedule aligns with underutilized times. Since there is no new faculty at this time, additional space and equipment are not in the EL budget.

*Staff:*

Staff advising and staff assistance for this program are funded through the self-support model. Staff advising (including transcript reviews) will continue to be handled by EL staff; EL also provides additional staff for the Department on an as-needed basis. Technical staff will be hired to establish and then break down the dedicated network necessary for each class. This network is necessarily outside of the existing university network.

*IITS and Library:*

The library report indicates that there the existing monographs and journals that support current graduate programs in Computer Science and Business would also be used in this program. In addition, to support the growth and advancement of Computer Science and Business programs at CSUSM, they strongly recommend additional resources at an estimated cost of \$11,500 annually. There are also resource implications regarding librarians' assistance with graduate research and assistance with electronic thesis/project submission.

While there is less impact on existing computer labs due to the off-peak hours for the courses in this program, this program necessitates reconfiguration of the campus labs to protect the campus network with increased server and firewall technologies. There will also need to be a dedicated computer lab with special infrastructure and a half time staff position to program various network technologies that mimic what students encounter in the workplace. This cost is estimated at \$30,000.00 annually.

54  
55 It should be noted that that all new programs require support from existing library and IITS faculty and staff. That  
56 support increases with professional development necessary for new faculty. As the campus continues to grow and new  
57 programs are added, whether they are funded through self or state support, new positions must be considered to  
58 maintain the current level of support. This program will be evaluated annually with regard to library and technology  
59 needs to ensure sufficient support. It is anticipated that with more use of classroom and computer lab space in the  
60 evenings and on weekends, there will also be increased need for support from IITS at those time.

61  
62 Close attention should be paid to any possible budget deficits.

63  
64 **Recommendation:**

65  
66 BLP unanimously recommends the Master of Science in Cybersecurity.  
67  
68  
69

Master of Science in Cyber Security					Rev 3/25/15
5 Year Rolling Budget Forecast					
Program cost: \$794/unit * 38 units = \$30,172					
\$839/unit * 38 units = \$31,882					
	FY 15/16	FY 16/17	FY 17/18	FY 18/19	FY 19/20
Tuition	\$ 794	\$ 794	\$ 839	\$ 839	\$ 839
Target Number Participants	25	25	25	25	25
Units Taught in Program	15	15	15	15	15
Tuition		\$ 794	\$ 794	\$ 839	\$ 839
Target Number Participants		25	25	25	25
Units Taught in Program		23	23	23	23
	FY 15/16	FY 16/17	FY 17/18	FY 18/19	FY 19/20
Revenue					
Tuition	\$ 297,750	\$ 754,300	\$ 771,175	\$ 797,050	\$ 797,050
Attrition	\$ -	\$ 36,524	\$ 36,524	\$ 38,594	\$ 38,594
Net Revenue	\$ 297,750	\$ 717,776	\$ 734,651	\$ 758,456	\$ 758,456
Direct Expenses					
Program Director	\$ 50,000	\$ 100,000	\$ 102,000	\$ 104,040	\$ 106,121
Instructors	\$ 33,015	\$ 74,812	\$ 76,308	\$ 77,834	\$ 79,391
Infrastructure & Instruction Support	\$ 30,000	\$ 30,000	\$ 30,600	\$ 31,212	\$ 31,836
Faculty Payroll Benefits	\$ 9,013	\$ 47,724	\$ 48,678	\$ 49,652	\$ 50,645
Semester in Residence Committee Member	\$ -	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000
Program Assessment & Review	\$ 750	\$ 750	\$ 750	\$ 900	\$ 1,000
Library Resources	\$ 11,600	\$ 11,600	\$ 11,600	\$ 11,600	\$ 11,600
Professional Affiliation Conference	\$ 1,125	\$ 1,125	\$ 1,125	\$ 1,125	\$ 1,125
Office Supplies	\$ 500	\$ 500	\$ 500	\$ 500	\$ 500
Professional Memberships	\$ 2,500	\$ 2,500	\$ 2,500	\$ 2,500	\$ 2,500
Postage & Copying	\$ 75	\$ 75	\$ 75	\$ 75	\$ 75
Promotion, Advertising & Print	\$ 7,000	\$ 4,000	\$ 4,000	\$ 4,000	\$ 4,000
Total Direct Expenses	\$ 145,578	\$ 283,086	\$ 288,136	\$ 293,438	\$ 298,793
Operating Income/Margin	\$ 152,172	\$ 434,690	\$ 446,515	\$ 465,018	\$ 459,663
Indirect Expenses					
CSU/CSUSM, FAS, IITS	\$ 50,420	\$ 117,474	\$ 127,486	\$ 135,167	\$ 135,488
CSM @ 5% of Class Revenue	\$ 10,918	\$ 27,790	\$ 28,409	\$ 29,365	\$ 29,365
CoBA Accreditation Costs	\$ 23,750	\$ 47,500	\$ 47,500	\$ 47,500	\$ 47,500
EL Costs @ 30% of Revenue	\$ 89,325	\$ 215,333	\$ 220,395	\$ 227,537	\$ 227,537
	\$ 174,412	\$ 408,097	\$ 423,790	\$ 439,569	\$ 439,890
Total All Expenses	\$ 319,990	\$ 691,182	\$ 711,927	\$ 733,007	\$ 738,683
Net Gain/Loss	\$ (22,240)	\$ 26,594	\$ 22,724	\$ 25,449	\$ 19,773
% Net Margin	-7%	4%	3%	3%	2%
Cumulative Gain/Loss Carry Forward	\$ (22,240)	\$ 4,353	\$ 27,078	\$ 52,527	\$ 72,300
Margin Sharing: (% of Net Gain/Loss)					
Academic Affairs @ 5%	\$ (1,112)	\$ 1,330	\$ 1,136	\$ 1,272	\$ 989
CSM @ 15%	\$ (3,336)	\$ 3,989	\$ 3,409	\$ 3,817	\$ 2,966
EL @ 80%	\$ (17,792)	\$ 21,275	\$ 18,180	\$ 20,359	\$ 15,818
1) Start date for 1/2-time Director and IST Support is assumed to be July 1. Full time Director/Faculty in second year.					
2) Delay purchase of Library recommendations until Director arrives.					
3) CSU/CSUSM is calculated as % of Revenue: CSU 4, SA 3.5, AA 2, LIB 1.5, IITS 1.5; FAS calculated as 6% of Direct Expenses.					
4) COBA instruction for 10 credit units (MIS 522, MIS 621, MIS 622 & MGMT 521.)					
5) COBA receives Accreditation Costs @\$190/credit/student. Accreditation costs are supported by Category V fees.					
6) Five-Semester program with two concurrent cohorts. Attrition assumes two dropouts in year two for each cohort. Early drops replaced in year one.					

## **Report from the University Curriculum Committee (UCC), M.S. in Cybersecurity**

In March 2015, UCC began review of a P-form to create a new Master of Science in Cybersecurity, developed by the College of Science and Mathematics and administered through Extended Learning.. This proposal was written by Rika Yoshii from CSM and Yi Sun from COBA. Fifteen (15) new courses (C-forms) are associated with the degree. UCC's review process was focused on the academic soundness and quality of both the proposed courses and the master's degree as a whole. Following extensive review and consultation with the Rika Yoshii in Computer Science and Information Systems, CSM, and with Yi Sun in Management Information Systems, COBA, UCC voted to recommend the P-form and all associated C-forms for Senate approval.

The proposed 38-unit master's degree is designed as Pilot Program and is a Professional Science Master's. This designation offers a blend of technical and business courses with a capstone project, which is a rapidly growing segment of science graduate education. The program aims to develop graduates prepared to analyze an organization's critical information and assets, and one who exhibits management knowledge, skills and behaviors. The program is designed for working adults and can be completed in 5 consecutive semesters. Faculty from CSM, COBA and CHABSS are slated to teach in this program, and industry experts in the region will provide internships.

New courses include:

MATH 503: CRYPTOGRAPHY

MGMT 521: PRINCIPLES OF ORGANIZATIONAL BEHAVIOR AND LEADERSHIP FOR SECURITY  
MANAGEMENT

MIS 522: INFORMATION SYSTEMS AND SECURITY MANAGEMENT

MIS 621: INFORMATION SECURITY GOVERNANCE

MIS 622: TECHNOLOGY ASSESSMENT AND SECURITY RISK MANAGEMENT

MCS 510: SECURITY IN COMPUTER NETWORKS

MCS 511: SECURE FEATURES IN OPERATING SYSTEMS

MCS 512: DEVELOPMENT OF SECURE SOFTWARE

MCS 610: OFFENSIVE SECURITY AND PENETRATION TESTING

MCS 611: INTRUSION DETECTION AND INVESTIGATION

MCS 660: COMMUNICATION IN A TECHNICAL INDUSTRY

MCS 680A: SEMESTER IN RESIDENCE PROJECT WRITING WORKSHOP

MCS 680B: INTERNSHIP/SEMESTER IN RESIDENCE

MCS 697A-F: DIRECTED STUDIES

MCS 699A-F: SEMESTER IN RESIDENCE PROJECT-EXTENSION



For the complete curriculum associated with this proposal, visit the Curriculum Review webpage, lines 19 to 34: [http://www.csusm.edu/academic\\_programs/catalogcurricula/2014-15\\_curriculum\\_csm.html](http://www.csusm.edu/academic_programs/catalogcurricula/2014-15_curriculum_csm.html)

## **Proposed Catalog Language for the Master of Science in Cybersecurity**

The Master of Science in Cybersecurity is a professional science degree program designed to meet the needs of the computing industry and associated organizations. The program is a blend of technical courses and business courses with a capstone project. The objective of the program is to train an expertly skilled workforce to fulfill the imminent needs of the emerging and evolving cybersecurity industry. The program is designed to prepare those with strong background in computer science for management positions in cybersecurity such as the manager of the information security department, the director of risk assessment and compliance, the chief information security officer, the director of IT security, and project managers of security related projects

Throughout the program, students will be exposed to real-world problems/cases, leading-edge technologies, managerial/interpersonal skills, ethics and governance knowledge, and problem solving skills.

The rigorous program is taught in the evenings and on weekends to accommodate the working student. The program design is a cohort model that requires students to go through the program together over a five-semester period with a predetermined course sequence. It is a non-thesis degree program requiring a rigorous "Internship or Semester-In-Residence" project as culminating experience.

Each student will be guided and evaluated by an Advisory Committee that will be made up of university faculty, program instructors, and industry mentors, as well as program advisors. *This program is offered through the Office of Extended Learning.*

### **Admission Requirements and Application**

Admission requirement and application include the general admission to graduate studies at CSUSM. Program specific admission considerations are as follows:

- Admission decisions will be made by the Admission Committee chosen by the Program Director in consultation with its faculty

- Admission to the program requires an undergraduate degree in computer science or closely related discipline, and should include upper-division courses in operating systems, networks and software engineering. Applicants with a baccalaureate degree in a related field may be able to meet pre-requisites with equivalent work experiences in computer science and will be considered for conditional admission.
- Admission requires a minimum of 3.0 grade point average in the upper-division Computer Science courses and at least a 2.5 undergraduate GPA in the last 60 semester units (or last 90 quarter units) attempted.
- All applicants must submit general GRE scores when applying. Minimum GRE required:
  - Verbal 143
  - Quantitative 155
- Analytical Writing 3.5 (this will also satisfy the Graduate Writing Assessment Requirement.)
- (\*\*) All applicants must have a TOEFL score of 80 iBT or above (213 on the computer-based examination, 550 paper-based), or an IELTS score of 6.0, unless they possess a bachelor's degree from a post-secondary institution where English was the principal language of instruction.

Applicants must submit:

- The program application form.
- The statement of purpose outlining the reason for pursuing the degree.
- GRE scores.
- TOEFL score if required.
- One set of transcripts from all colleges/universities attended.
- Two recommendation letters on a provided form.

Student candidates may apply at any time throughout the year. However, selection and admission will be completed by early May for the fall semester start. Later applications will be considered, as spaces remain available. Feedback to applicants, but not final admission decisions, will be provided on a timely basis regardless of the time of application.

## **Degree Requirements and Courses**

The Master of Cybersecurity requires thirty-eight (38) semester hours of coursework. Students must complete a set of courses and the culminating experience project with a 3.0 GPA and earn at least a "C" (2.0) in each course.

### Six Required Technical Side Courses Total: 23 units

MATH 503 Cryptography	(3)
MCS 510 Security in Computer Networks	(3)

- 86 MCS 511 Secure Features in Operating Systems (3)  
 87 MCS 512 Development of Secure Software (4)  
 88 MCS 610 Offensive Security & Penetration Testing (4)  
 89 MCS 611 Intrusion Detection and Investigation (4)  
 90 MCS 660 Communication in a Technical Industry (2)  
 91  
 92 Five Required Business Side Courses Total: 10 units  
 93 MGMT 521 Principles of Organizational Behavior and Leadership for Security Management (2)  
 94 MIS 522 Information Systems and Security Management (2)  
 95 MIS 621 Secure System Governance, Regulation, and Compliance (3)  
 96 MIS 622 Technology Assessment and Security Risk Management (3)  
 97  
 98 Culminating Experience Total 5 units  
 99 MCS 680A Semester in Residence Project Writing Workshop (1)  
 100 MCS 680B Internship/Semester in Residence/Project  
 101 (4)  
 102

103 A student who has obtained a waiver for a required course may enroll in MCS 697 Directed  
 104 Studies upon consent of the instructor.

### 106 Continuation

108 Graduate students must maintain an overall GPA of 3.0 and earn at least a C (2.0) in each  
 109 course, except those taken for credit/no credit. Any student whose overall GPA falls below 3.0  
 110 for two consecutive semesters will be dropped from the program. A full-time student should be  
 111 enrolled in the predetermined course schedule and credit hours each semester for the program  
 112

### 113 Advancement to Candidacy

115 The student will advance to Master's Degree candidacy upon the completion of MCS680A and  
 116 approval of a Project Abstract by the student's Advisory Committee. The Advisory Committee  
 117 is made up of a program faculty member, an industry mentor, and the Program Director.  
 118

### 119 Culminating Experience

121 All students must enroll in MCS 680A/B Internship/Semester in Residence and successfully  
 122 complete a 16-week project in lieu of a research thesis. Completion and defense of the  
 123 culminating experience project results in an oral defense and a substantial technically written  
 124 report. Student projects will address and affect real-world challenges in cybersecurity. Students  
 125 will demonstrate their ability to integrate principals of science and technology with  
 126 fundamental business practices. The type of experience and nature of the project will vary,  
 127 depending upon the student's background, employment, and right-to-work status. A  
 128 substantive written project report must be submitted, orally defended, and approved at the end

of the Internship/Semester-In-Residence. In unusual circumstances where project requirements are not completed, defended, and approved at the end of MCS 680B, a student may complete the requirements within six months under the guidance of the advisory committee. In such cases, enrollment in MCS 699 is required.

**New Courses being approved with this Degree Program:**

MATH 305	Cryptography
MGMT 521	Principles of Organizational Behavior and Leadership for Security Management
MIS 522	Information Systems and Security Management
MIS 621	Information Security Governance
MIS 622	Technology Assessment and Security Risk Management
MCS 510	Security in Computer Networks
MCS 511	Secure Features in Operating Systems
MCS 512	Development of Secure Software
MCS 610	Offensive Security and Penetration Testing
MCS 611	Intrusion Detection and Investigation
MCS 660	Communication in a Technical Industry
MCS 680A	Semester-in-Residence Project Writing Workshop
MCS 680B	Internship/Semester in Residence
MCS 697A-F	Directed Studies
MCS 699A-F	Semester-in-Residence Project Extension