

Complete copy of Academic Policy Manual (APM) as of  
5/13/2020

Policy Updated	Date Last Updated
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APM 215i	4/8/2020
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APM 232	3/23/2020
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APM 241	12/6/2018
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APM 320	3/18/2019
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APM 110	2/8/2019
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APM 231	2/8/2019
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APM 325	2/8/2019
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APM 327	2/8/2019
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APM 129	1/15/2019
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Last President Approval Date	Policy	Description
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**Section 100 Organization and Governance**

5/1/93	APM 102	Mission Statement—California State University, Fresno
10/1/01	APM 103	University Statement on Academic Freedom
7/1/86	APM 109	Advisory Boards
2/8/19	APM 110	Policy on Ancillary Units [Ancillary Unit Status Form]
10/21/17	APM 113	Policy on Academic Organization
6/16/17	APM 114	Policy on Faculty Consultation and Voting
5/1/99	APM 122	Policy on Graduate Coordinator/Director
6/16/17	APM 125	Policy on Department Chairs
9/1/02	APM 127	Constitution for the Academic Assembly of CSUF
2/1/96	APM 128	Bylaws of the Academic Assembly
12/11/19	APM 129	Bylaws of the Academic Senate
2/1/96	APM 130	Bylaws of the Executive Committee of the Academic Senate
5/1/03	APM 131	Procedures for Votes of Confidence
1/1/16	APM 132	Consultation regarding the implementation of California State University Executive Orders
4/1/83	APM 136	Responsibilities of Academic Senates within a Collective Bargaining Context
2/1/09	APM 137	Interim Policy on Student Participation in Policy Development

Last President Approval Date	Policy	Description
<b>Section 200 Academic and Curricular</b>		
12/1/11	APM 201	Undergraduate Policies and Procedures Majors and Minors
12/1/04	APM 202	Degree Guarantee Program
1/1/08	APM 203	Special Major for a Bachelor of Arts Degree/Bachelor of Science Degree
4/1/00	APM 204	Policy on Student Outcomes Assessment Data and Information
11/22/16	APM 205	Policy on Undergraduate Student Academic Advising
4/2/18	APM 206	Interim Policies & Procedures on Technology-mediated Courses and Programs [ FormSept 2010 ]
2/1/13	APM 207	Dual-Listed and Co-Scheduled Course Policy
5/1/82	APM 212	Policy on Certificates
5/1/85	APM 213	Concurrent Enrollment
5/1/05	APM 214	Policy on Academic Undergraduate Program Discontinuance
5/17/13	APM 215	General Education: Policies and Procedures
4/8/20		General Education: Assessment Procedures
10/1/06	APM 216	Standards for Writing Course Requirements
10/1/06	APM 220	Interim Policy, Procedures, and Guidelines for the Periodic Review of Academic Programs
10/11/13	APM 221	Policy on Blended Undergraduate and Graduate Programs
8/1/93	APM 222	Curriculum Change Procedures for California State University, Fresno Catalog and Procedures for Implementing New Graduate Programs
10/1/08	APM 223	Standards for Continuation and Procedures for Termination of a Graduate Program
3/1/86	APM 225	Teacher Education Policy
5/1/03	APM 226	Policy on Graduate Faculty Groups for Master's Degree Programs
5/1/03	APM 227	Policy on Graduate Faculty Groups for doctoral Degree Programs
2/8/19	APM 231	Policy on Adding and Dropping Classes
3/23/20	APM 232	Policy on Student Absences
1/1/11	APM 233	Policy on Repeating Classes
10/1/04	APM 234	Policy on the Sale of Course Packet Materials
4/1/01	APM 235	Policy on Cheating and Plagiarism
4/1/01		For additional information on Cheating and Plagiarism and how to report an incident
5/1/05	APM 236	Honor Code of Academic Integrity
4/2/18	APM 237	Policy on the Ordering of Accessible Instructional Materials
12/6/18	APM 241	Interim Policy on Course Syllabi and Grading
3/26/18		Grades Due Deadline: The new fall grades deadline is 8 a.m. on January 2. In the spring, the deadline will be 8 a.m. on the Tuesday following Memorial Day.
2/1/08	APM 242	Policy and Procedures on Assignment of Grades
3/1/13	APM 243	Policies and Procedures for Student Academic Petitions Committee
10/1/77	APM 244	Guidelines on Credit - No Credit Grading
4/1/76	APM 245	Guidelines for Granting Credit for Work Experience and Internship Courses
1/1/06	APM 246	Policy on Incomplete Grades
5/1/03	APM 247	Guidelines and Policies for Graduate and Postbaccalaureate Student Petitions/Appeals
1/1/08	APM 248	Graduate Student Petitions Committee Policy and Procedures
5/1/08	APM 249	Policy on Student Grade Notification
4/1/86	APM 276	Mission Statement - International Education
3/1/94	APM 277	Policy and Procedures for Implementing Tuition Waivers for Non-Resident US Graduate Students
3/1/94	APM 278	Policy and Procedures for Implementing Tuition Waivers for International Students

Last President Approval Date	Policy	Description
<b>Section 300 Personnel</b>		
5/1/13	APM 301	Appointment of Tenure Track Faculty including the Award of Service Credit
1/1/08	APM 303	Policy on Nepotism
1/1/08		-CSU Nepotism Policy HR 2004-18 PDF / Link
1/1/08		-APM 303 Sample Memo (Word)
7/1/13	APM 304	Policy on Terminal Degrees
12/1/98	APM 305	Policy on the Reassignment of Faculty
5/1/15	APM 306	Policy on Temporary Faculty
5/1/15		Temporary Faculty Review Form
4/1/05	APM 308	Policy on Grant Related Instructional Faculty
4/1/05		Classification Standard: Grant Related
5/10/17		Procedures for Hiring Assistant Coaches
5/10/17	APM 309	Policy on Coaches
6/1/97	APM 310	Policy on Adjunct Faculty
12/17/15	APM 311	Policy on Teaching Associates
12/17/15		Classification Standard: Teaching Associates
3/1/03	APM 312	Policy on Graduate Assistants
3/1/03		Classification Standard: Graduate Assistant
7/1/81	APM 314	Use of Student Assistant Classes
7/1/81		Classification Standard: Instructional Student Assistant
12/1/13		Policy and Procedures for Fingerprinting and Conducting Background Checks
3/18/19	APM 320	Policy on Administrative Appointments
3/18/19		Appendix A: List of Designated Administrative Positions Covered by this Policy
6/1/15	APM 322	Policy on the Assessment of Teaching Effectiveness
7/1/11		Guide to Creating a Departmental Policy on Teaching Effectiveness
7/1/11		Template for Departmental Policy on Teaching Effectiveness
7/1/11		University-wide Peer Evaluation Form
12/1/11	APM 323	Policy on Personnel Files
6/16/15	APM 324	Policy on Probationary Plans and Faculty Mentoring
2/1/18		Sample Probationary Plan
2/8/19	APM 325	Policy on Retention and Tenure
2/8/19	APM 327	Policy on Promotion
2/1/95	APM 328	Periodic Evaluation of Tenured Faculty
12/1/08	APM 330	Policy on Market Increases
9/1/99	APM 331	Policy on Service Salary Increase Program
5/1/15	APM 332	Policy on Range Elevation for Temporary Faculty
5/29/14	APM 335	Policy on Periodic Review of Academic Administrators
10/1/01	APM 336	University Statement on Faculty Rights and Responsibilities
Not Avail	APM 337	Faculty Workloads: Policies and Procedures
7/1/11	APM 338	Policy on Office and Consultation Hours
1/1/93	APM 339	Policy on Final Exams
1/1/98	APM 345	Guidelines on Incompatible Activities and Conflicts of Interests
6/1/92	APM 346	Policy on Faculty Student Consensual Relations
4/1/80	APM 353	Policy on the Assignment of Student - Faculty Ratios
3/1/03	APM 354	Policy on Assigned Time



**Last  
President  
Approval  
Date**

**Policy**

**Description**

5/1/15	APM 355	Policy on Assigned Time for Exceptional Levels of Service - Form 355
11/1/94	APM 357	Policy on Center for the Enhancement of Teaching and Learning (CETL)
5/1/15	APM 360	Policy on Sabbatical and Difference in Pay (DIP) Leaves
5/1/15	APM 361	Policy on Faculty Leaves of Absence
11/1/93	APM 362	Policy on Professional Travel
4/1/87	APM 363	Policy on Faculty Exchange
8/1/86	APM 367	Removed December 2015
7/1/83	APM 370	Removed December 2015
5/1/83	APM 385	Policy on Endowed Chairs
6/1/92	APM 386	Honorary Degrees
5/1/89	APM 391	Policy on a Drug-Free Workplace
8/1/89	APM 393	Removed December 2015
10/24/12	APM 399	Policy on Emerita and Emeritus Status

Last President Approval Date	Policy	Description
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<b>Section 400 Student Affairs</b>		
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3/26/18	APM 405	Student Records Administration Policy   Interactive Form
7/1/90	APM 407	Guidelines for Financial Institution Access to Students on the Campus
10/1/01	APM 410	Student Athlete Recruitment Code
4/1/96	APM 415	Dispute Resolution Policy (previously "Student Grievance Procedures")
5/1/90	APM 419	Policy on Disruptive Classroom Behavior
5/1/90		Resource Chart (3/2013)
5/1/90		Interactive Form
5/1/90		Responding to Behavioral Distruptions Guide (3/2013)
5/1/90		March 19, 2013 Presentation Handout
7/1/98	APM 420	Student Athlete Code of Conduct
1/1/94	APM 421	On Campus Recruiting
11/1/67	APM 430	Distribution of Non-State Budgeted Funds
11/1/12	APM 440	Awarding Posthumous Degrees

Last President Approval Date	Policy	Description
<b>Section 500 Research and Instructional Support</b>		
10/4/17	APM 501	Policy on the Administration of Sponsored Programs
3/19/18	APM 502	Policy on Cost Share / Match
10/4/17	APM 503	Policy on Indirect Cost Recoveries and Allocations
3/19/18	APM 504	Policy on Effort Reporting for Research and Sponsored Programs
10/4/17	APM 505	Interim Policy on Conflict of Interest for Principal Investigators
3/19/18	APM 507	Assigned Time for Research Program
6/1/77	APM 509	Policy on Participation in Field Experiences with Contracting Agencies under Conditions of Personal Risk
3/19/18	APM 510	Policy on Investigations of Scientific Misconduct
1/1/12	APM 516	Research and Protection of Human Subjects (Website: <a href="http://www.fresnostate.edu/academics/humansubjects/index.html">http://www.fresnostate.edu/academics/humansubjects/index.html</a> )
10/1/02	APM 525	Policy for Institutional Animal Care and Use Procedures for Teaching, Experimentation, or Research at California State University, Fresno
3/19/18	APM 526	Policy and Procedures Relating to the Use of Controlled Substances in Teaching and Research
6/1/04	APM 527	Policy for the Use of Radioisotopes and Ionizing Radiation for Teaching
3/19/18	APM 528	Policy on Biosafety in Research and Teaching
3/19/18		Link to BioHazard Fillable Form
3/19/18	APM 540	Intellectual Property Policy

Last President Approval Date	Policy	Description
<b>Section 600 Miscellaneous Policies</b>		
2/1/08	APM 622	Interim Policy on Acceptable Use Policy of Information Technology Resources
4/1/13	APM 623	Web Policy
3/1/14	APM 624	Interim Accessibility and Nondiscrimination Policy Addressing ADA, ADAAA, Sections 504 & 508 of the Rehabilitation Act & Title 24 of the California Code of Regulations
7/1/05	APM 625	Outside Speakers and Events on Campus
8/23/11	APM 626	CSU Executive Order 1062 Field Trip Policy and Procedures( <a href="http://www.calstate.edu/eo/EO-1062.pdf">www.calstate.edu/eo/EO-1062.pdf</a> )
8/23/11		Risk Management Site: <a href="http://www.fresnostate.edu/adminserv/facilitiesmanagement/ehsrms/riskmgt/off-campus-events/index.html">http://www.fresnostate.edu/adminserv/facilitiesmanagement/ehsrms/riskmgt/off-campus-events/index.html</a>
6/16/15	APM 627	Policy on Publications
10/28/15	APM 635	Policy on the Use of the University Name/Logo/Seal By External Groups
12/1/14	APM 640	Policy on Official Campus Stationary and Business Cards
1/16/08	APM 648	University Policy on Video Monitoring and Surveillance Activities
2/1/13	APM 676	Policy on the Review and Approval of International Agreements

Last President Approval Date	Policy	Description
	Other	<b>MAPP and Executive Orders</b>
		Policy on Unrelated Business Income
		Policy on Use of State Telephones and Fax Machines
		Policy on the Use of Buildings and Grounds
		Policy on Campus Use of Alcoholic Beverages
		Policy on Ergonomics and Use of Special Funds
		Policy for display of the Flag at Half-Staff
		Policy on Overnight Use of Campus by University and Non-University Related Events (Sections 21 & 22)
		Policy on Use of Campus Streets (Section 28)
		Policy on Major Activities in the Amphitheater
1/6/05		Complaint Procedures for Allegations of Retaliation for Disclosure of Improper Government Activities (Whistleblowing Policy)
10/23/13		Systemwide Guidelines for Affirmative Action Programs in Employment
6/3/14		Implementation of Title IX, VAWA/Campus SaVE Act, and Related Sex Discrimination, Sexual Harassment and Sexual Violence Legislation
6/3/14		Systemwide Policy Prohibiting Discrimination, Harassment and Retaliation Against Employees and Third Parties and Procedure for Handling Discrimination, Harassment and Retaliation Allegations by Employees and Third Parties
6/3/14		Systemwide Policy Prohibiting Discrimination, Harassment and Retaliation Against Students and Systemwide Procedure for Handling Discrimination, Harassment and Retaliation Complaints by Students
6/3/14		Student Conduct Procedures
2013-2014		Affirmative Action Plan (AAP) California State University, Fresno See also EO 11246

## MISSION STATEMENT

The university offers a high-quality educational opportunity to qualified students at the bachelor's and master's levels, as well as in joint doctoral programs in selected professional areas. To carry out this mission, the university provides a General Education program and other opportunities, to expand students' intellectual horizons, foster lifelong learning, prepare them for further professional study and instill within them an appreciation of cultures other than their own. The university offers undergraduate degrees and programs in the liberal arts and sciences as well as in a variety of professional disciplines emphasizing agriculture, business, engineering and technology, health and human services, and education, preparing students for productive careers and responsible world citizenship. Building upon the strength of these undergraduate programs, graduate programs provide opportunities for personal and career enhancement through advanced study, preparing students for positions of leadership in the arts, sciences and professions.

The university encourages and protects free inquiry and expression, ensuring a forum for the generation, discussion and critical examination of ideas. By emphasizing the primacy of quality teaching and the close interaction between faculty and students, the university seeks to stimulate scholarly inquiry and discourse, inspire creative activity, heighten professional and technical competencies, encourage and support research and its dissemination, and recruit and develop outstanding teacher-scholars/artists.

The university fosters an environment in which students learn to live in a culturally diverse and changing society. Within that environment, it strives to develop a community founded upon mutual respect and shared efforts, in which individuals can communicate openly and work together to enrich the lives of all and to further the growth and excellence of the university. The university seeks and encourages historically underrepresented students to embark upon and complete a university education.

The university serves the San Joaquin Valley while interacting with the state, nation, and world. The University is a center of intellectual, artistic and professional activity. Through applied research, technical assistance, training and other related public service activities, the university anticipates continuing and expanding partnership and linkages with business, education, industry and government.

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Approved by Academic Senate  
Approved by President

April 1993  
May 1993

## UNIVERSITY STATEMENT ON ACADEMIC FREEDOM

The primary purpose of a university is to promote the exploration of ideas and the discovery and dissemination of knowledge and understanding. The university is to be an open forum for ideas and issues to be raised, challenged, and tested.

Academic freedom is the cornerstone of a university. Intellectual ferment is absolutely dependent upon academic and intellectual freedom. Freedom in teaching is fundamental for the protection of both faculty and students in teaching and learning. Freedom in research is fundamental to the advancement of truth.

The 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretative Notes<sup>1</sup> from the American Association of University Professors provides a nationally recognized definition of academic freedom, its protections and its responsibilities.

### Academic Freedom

(a) Teachers are entitled to full freedom in research and in the publication of results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

(b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial subject matter which has no relation to their subject.<sup>2</sup> Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of appointment.

(c) College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

In the Collective Bargaining Agreement Between the California State University and the California Faculty Association (1998 – 2001), the parties<sup>3</sup> recognize explicitly the role that academic freedom and academic responsibility play in the academy. The Preamble of that document states:

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<sup>1</sup> The footnote from the 1940 Statement states: “The word “teacher” as used in this document is understood to include the investigator who is attached to an academic institution without teaching duties.”

<sup>2</sup> The footnote from the 1970 Interpretative Notes on the AAUP Statement reads: “The intent of this statement is not to discourage what is “controversial.” Controversy is at the heart of free academic inquiry which the entire statement is designed to focus. The passage serves to underscore the need for teachers to avoid persistently intruding material which has no relation to the subject.”

<sup>3</sup> By virtue of its ratification by the CSU Board of Trustees, the following statement contained within the Collective Bargaining Agreement is an expression of Trustee policy.

It is the purpose of these parties in entering this Agreement to promote high standards of education in the CSU. The CSU shall support the pursuit of excellence and academic freedom in teaching, research, and learning through the free exchange of ideas among faculty, students, and staff.

The parties recognize that quality education requires an atmosphere of academic freedom and academic responsibility. The parties acknowledge and encourage the continuation of academic freedom while recognizing that the concept of academic freedom is accompanied by a corresponding concept of responsibility to the university and its students.

It is the policy of California State University, Fresno that all faculty members, regardless of their employment status, should enjoy the privileges and exercise the responsibilities inherent in academic freedom as defined by the AAUP statement. Librarians, counselors, coaches, teaching assistants and graduate assistants who are involved in the teaching and learning processes also enjoy the same protection and responsibilities within the context of their obligations.

Tenure constitutes the strongest procedural safeguard of academic freedom and individual responsibility, and as such, is essential for the maintenance of intellectual liberty and high standards in teaching and scholarship.

**Reference:**     AAUP: The 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretative Notes

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Recommended by the Academic Senate  
Approved by the President

September 2001  
October 5, 2001



## ADVISORY BOARDS

This policy on advisory committees, councils, or boards is based on the "Statement and Guidelines for Advisory Boards of the California State University", adopted by the Board of Trustees, January 22, 1969. \* The principles enumerated in that document make it clear that advisory groups require presidential involvement. Section III, B. "Organization". establishes the principle that appointments to advisory boards, councils, or committees, are made by the President after considering nominations made by "...advisory board members, faculty and all other segments of the university."

To establish an advisory body:

1. The President approves the initiative of the advisory group.
2. Nominations or recommendations of members are made by the appropriate person (i.e., dean or department chair) and forwarded by the president. (Nominations should include names, addresses, proposed length of terms, and a draft of a letter of invitation to appointment.
3. The President approves the organizational documents; e.g., constitution, by-laws, etc.

To reappoint members (ordinarily they serve for two terms) recommendations should be forwarded to the President for the preparation of letters of invitation to serve another term.

\* The "Statement and Guidelines for Advisory Boards of the California State University" is available for review in the Office of the President.

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Approved by the President  
Revised

December 1978  
July 1986

## **POLICY ON ANCILLARY UNITS**

### **I. PURPOSE**

Campuses of the California State University are authorized to create entities usually known as centers, institutes, ancillary units, bureaus, clinics, laboratories, research groups, councils, field stations, consortia, and similar organizations. For the purposes of this policy, the term “Ancillary Unit” shall be taken to include all of the aforementioned types of organizations. The following policy applies to all Ancillary Units currently established as well as those to be developed in the future.

Generally such units operate outside the direct instructional mission of the university but are designed to enhance the mission of the university. While Ancillary Units do not have the primary purpose of offering instruction, the activities of Ancillary Units may be related to instructional programs and objectives. They may or may not expect to generate resources through grant or contract activities. In some instances scholars from several fields of study may wish to express their joint scholarly interests and relationships in the more formal setting of an Ancillary Unit.

California State University, Fresno’s Ancillary Units are intended to enhance and extend the university’s academic programs by focusing attention and effort on specific programmatic objectives. Ancillary Units shall meet at least one of the following criteria:

- a. enhance faculty research and scholarship;
- b. promote the programs of the university; or
- c. promote and provide for public service programs.

### **II. ORGANIZATION AND REPORTING**

1. Each center, institute, and Ancillary Unit is required to:
  - a. have a clearly stated set of objectives;
  - b. have a clear relationship to the mission of an existing university program;
  - c. be housed administratively within an existing department, program, school/college or division;
  - d. have a standing advisory committee chaired by a faculty member other than the unit’s director that will participate in setting the unit’s goals and objectives and in evaluating its effectiveness; and
  - e. submit an annual report.
2. Normally Ancillary Units report to a college/school dean or division head.

### **III. CRITERIA FOR ESTABLISHING AN ANCILLARY UNIT**

Each Ancillary Unit shall:

1. contribute to the fulfillment of the mission of the California State University and California State University, Fresno;
2. incorporate accepted standards of academic research including being subject to peer review;
3. conform with all applicable laws and regulations and with system wide and university risk management policies.

### **IV. APPROVAL OF AN ANCILLARY UNIT**

1. **The application for approval of a new Ancillary Unit shall include each of the following:**
  - a. A clear statement and delineation of purpose of the proposed Ancillary Unit, which includes a description of how the activities of the unit are intended to contribute to the accomplishment of the purpose and functions of the affiliated academic unit and the university.
  - b. A clear statement of how the Ancillary Unit will be housed administratively within an existing department, program, College/School or division, and a description of how this unit will function organizationally, including its proposed organizational structure, how responsibilities will be assigned, and descriptions of any anticipated relationships with public or private agencies or organizations.
  - c. A description of the proposed advisory committee<sup>1</sup>, and its intended functions and responsibilities
  - d. A description of how accepted standards of academic research including being subject to peer

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<sup>1</sup> The President appoints the membership of all advisory committees.

Please submit additional documentation called for in APM 110 with this form to the Office of the Provost, M/S ML 54.

review will be incorporated into the responsibilities of the unit.

- e. A statement on how the unit conforms to systemwide and university policies and procedures including risk management policies.
- f. A projected budget of revenues and expenditures; and a detailed listing of anticipated resources required for the successful operation of the proposed unit, including space and equipment, technology support, and faculty assigned time,<sup>2</sup>

## **2. PROCEDURES FOR APPROVAL OF ANCILLARY UNITS**

- a. A proposal to establish a new Ancillary Unit will be reviewed by the department chair, by the dean of the school or college, forwarded to the Provost and Vice President for Academic Affairs, and then to the President for approval.<sup>3</sup> In circumstances where an Ancillary Unit is housed within a college, division, or the Office of the Provost, the supervising administrator will review and forward the proposal
- b. Final approval to form or continue an Ancillary Unit resides with the President. Newly approved Ancillary Units will be given a four-year status as a Probationary Ancillary Unit.

## **V. ANNUAL REPORTS**

1. Annual reports shall be addressed to the President and submitted with the attached cover sheet to the department chair, who in turn will forward the report to the dean of the school or college, who in turn will forward it to the Provost and Vice President for Academic Affairs. In the exceptional circumstance that an Ancillary Unit is housed within a college, division, or in the Office of the Provost, the supervising administrator will review and forward the annual report. Copies with all signatures and recommendations will then be forwarded to the President.
2. Annual reports shall be based on the fiscal year July 1 through June 30 and shall summarize the activities of the unit. The annual reports shall include:
  - a. A description of the year's activities;
  - b. Numbers of on and off campus participants;
  - c. An evaluation of the effectiveness of these activities;
  - d. The unit's financial statement;
  - e. Space and equipment utilization;
  - f. Changes in advisory committee membership and/or changes in governing policies;
  - g. The following year's goals and objectives; and
3. Annual reports for all units are due no later than August 1 following the conclusion of the fiscal year.

## **VI. PERIODIC REVIEWS**

1. The President or his/her designee may require the review of an Ancillary Unit at any time.
2. New Ancillary Units shall be reviewed in the fourth year of their probationary period. After this initial review, Ancillary Units will be reviewed every seven (7) years.
  - a. A review committee will be formed by the appropriate dean or division head.
  - b. The Ancillary Unit will provide a self study addressing requirements listed in section IV.A and copies of last two (2) years annual reports.
3. Should an Ancillary Unit decline dramatically in activity, violate university policies, and/or fail to submit an annual report, it may be terminated or its status may be changed to inactive.
4. The designation of inactive status can last for up to three years before termination of the Ancillary Unit will be considered. At the close of that time period, it will either be reinstated to active status or discontinued.

**Reference:** CSU Executive Order 751

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<sup>2</sup> If assigned time for faculty is desired, prior agreement by the Provost and Vice President for Academic Affairs is required.

<sup>3</sup> For the purposes of this document, "department chair" shall mean the department chair or program coordinator.  
Please submit additional documentation called for in APM 110 with this form to the Office of the Provost, M/S ML 54.

**Recommended by the Senate****Approved by the President**

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March 2001

March 24, 2001

February 4, 2019

February 8, 2019

## POLICY ON ACADEMIC ORGANIZATION AND GOVERNANCE

### I. ACADEMIC ORGANIZATION

The general administrative organization of California State University, assumes: (1) the President is ultimately responsible for the administration of the university; (2) an Academic Senate that provides advice and consultation to the President; (3) Academic Affairs is divided into the instructional component of the university (i.e. colleges/schools) and, academically related units; each headed by a dean who reports to the Provost and Vice President for Academic Affairs (Provost) (4) colleges/schools are composed of instructional units of faculty headed by Department Chairs/Program Coordinators reporting to the dean and (5) library composed of faculty reporting to the Dean of Library Services.<sup>1</sup>

The academic organization is designed to plan and to deliver effective academic programs and services to students, to develop faculty resources and to create an environment for their constructive contribution; and to provide for efficient administration to support academic planning.

#### A. PROVOST AND VICE PRESIDENT FOR ACADEMIC AFFAIRS

1. The Provost reports directly to the President and serves at the pleasure of the President.
2. The President delegates to the Provost the responsibility for management of the Academic Affairs Area of the university. The Provost may approve, modify, or reject any or all recommendation(s) made. The Provost, as the chief academic officer, is principally responsible for the planning, development, coordination, quality, administration, and evaluation of the instructional and academically related units of the university and their faculties.
3. College/school deans, Dean of Graduate Studies, Dean of Extended Education, and the Dean of Library Services report directly to the Provost in a line authority capacity.
4. The Provost has an administrative staff composed of the Vice Provost and other administrators who may or may not have line authority capacity.

#### B. COLLEGES/SCHOOLS<sup>2 3</sup>

1. The instructional component of the university is divided into colleges and autonomous schools, each headed by a dean reporting to the Provost.<sup>4</sup>
2. The dean is the chief academic/administrative officer of the college/school who reports directly to the Provost and serves at the pleasure of the President. The dean, as the chief academic administrative officer of the college/school is principally responsible for the planning, development, quality, coordination, administration, and evaluation of the instructional program of the college/school.

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<sup>1</sup> Department heads in the library are not the equivalent to department chairs in instructional units.

<sup>2</sup> The terms "colleges" and "schools" are synonymous and also include "divisions."

<sup>3</sup> For purposes of this policy, includes other appropriate units such as a division and the Library.

<sup>4</sup> In all university documents, the term "school" refers to autonomous schools headed by a dean. "Schools" which are subunits of a college or an autonomous school and headed by a chair shall be referred to as "proto-schools" (viz. non-autonomous) and are subsumed under the term "departments" in university documents.

3. Under the dean's leadership, the college/school shall assume broad responsibility for developing, coordinating, and reviewing matters such as, but not limited to:
  - a. Development, maintenance, improvement, and delivery of the college/school curriculum, both graduate and undergraduate
  - b. General education and any other all-university requirements
  - c. Personnel allocations and recommendations
  - d. Budget and resource allocations
  - e. Program accreditation
  - f. Professional growth and development of the faculty of the college/school
  - g. Coordinate collegial relationships within the university, with students and the community
4. It is the responsibility of each college/school to cooperate with other units within the university to:
  - a. Develop faculty and staff that complement and support the academic goals of the college/school;
  - b. Establish and maintain course offerings consistent with the academic goals of the university as a whole
  - c. Allocate resources consistent with the overall objectives and budget of the university.

**C. Proto-Schools <sup>5</sup> [Non-Autonomous] /Departments / Programs**

1. Colleges and autonomous schools may be divided into departments, proto-schools, and freestanding programs recognized by the Provost.
2. Each department or proto-school (including Programs recognized by the Provost), hereinafter referred to as "department", shall have a Department Chair/Program Coordinator who serves at the pleasure of the President and is responsible to a college/school dean.
3. Under the leadership of the Department Chair / Program Coordinator, the department normally shall have primary responsibility for initiating and making recommendations on matters such as, but not limited to
  - a. Development, maintenance, improvement, and delivery of the departmental curriculum, both graduate and undergraduate
  - b. Personnel allocations and recommendations
  - c. Budget and resource allocations
  - d. Professional growth and development of the faculty of the department
  - e. Coordinate collegial relationships within college/school and the university, with students and the community

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<sup>5</sup> in all university documents, the term "school" refers to autonomous schools headed by a dean. "Schools" which are subunits of a college or an autonomous school and headed by a chair shall be referred to as "proto-schools" (viz. non-autonomous) and are subsumed under the term "departments" in university documents.

4. It is the responsibility of each department to cooperate with other departments within the college/school to:
  - a. Develop faculty and staff that complement and support the academic goals of the department
  - b. Establish and maintain course offerings consistent with the academic goals of the college/school and university as a whole
  - c. Allocate resources consistent with the overall objectives and budget of the college/school and university.

## **II. ESTABLISHMENT AND MAINTENANCE OF COLLEGES/SCHOOLS**

In order to establish and maintain an academic college or school headed by a dean, it shall be demonstrated that

- A. The academic scope of the proposed college/school represents a discrete, cohesive and clearly defined collection of disciplines
- B. The college/school will better provide proper and adequate nurturing for the academic disciplines represented than the structure that currently exists.
- C. The program of the college/school will make an integral and significant contribution to the university's academic mission; it offers viable degree programs; and that it advances the programmatic needs of the university.
- D. There exists strong evidence for the program's potential growth, vitality, and educational value.

## **III. ESTABLISHMENT AND MAINTENANCE OF DEPARTMENTS WITHIN COLLEGES/SCHOOLS**

In order to establish and maintain an academic department, it shall be demonstrated that

- A. The academic scope of the department represents a discrete and clearly defined discipline wherein
  1. There exists a substantial body of knowledge unique to the area concerned
  2. There exists recognized national, professional, academic, or occupational societies and/or organizations related to the academic scope of the department
  3. Accreditation (if appropriate) is in force or in the process of being established.
- B. The department will better provide proper and adequate nurturing for the academic scope than the structure under which it presently functions.
- C. The program of the proposed department will make an integral and significant contribution to the university's academic mission; it offers a viable degree; and that it advances the programmatic needs of the college/school and university.
- D. There exists strong evidence for the department's potential growth, vitality, and educational value.

- E. The projected full-time equivalent faculty in the proposed department will be at least seven of whom at least five will be full-time probationary and tenured faculty.

**IV. PROCEDURES FOR ORGANIZATIONAL CHANGES IN COLLEGES/SCHOOLS, DIVISIONS, AND DEPARTMENTS AND PROGRAMS**

- A. The Provost shall be notified of the intent to propose a change in organizational structure prior to any extensive discussions or actions being taken.
- B. Organizational changes shall refer to the following events:
  - 1. Creation, dissolution, restructuring or renaming of colleges/schools and divisions
  - 2. Creation, dissolution, restructuring or renaming of departments
  - 3. Reassignment of departments to a different college/school
- C. Proposals <sup>6</sup> relating to the creation, dissolution or restructuring of a college/school, other than internal restructuring of departments, shall be discussed among the affected units and reviewed through the consultative process within the college(s)/school(s); and then a formal proposal, if any, with supporting documentation, shall be forwarded to the Provost and the Academic Senate.
- D. Proposals relating to the merger of departments in two or more colleges/schools or the reassignment of a department to a different college/school shall be discussed among the affected units and reviewed through the consultative process within the college(s)/school(s); and then a formal proposal, if any, with supporting documentation, shall be forwarded to the Provost and the Academic Senate.
- E. Proposals relating to the creation or restructuring of departments within a college/school shall be discussed among the affected departments involved and reviewed through the consultative process within the college/school; and then a formal proposal, if any, with supporting documentation, shall be forwarded to the Provost and the Academic Senate.
- F. Proposals relating to the renaming of a college/school or department shall be discussed among the affected units involved and then a formal proposal, if any, forwarded to the Provost and Academic Senate.
- G. Proposals relating to the redesignation of a department as a proto-school shall be discussed among the affected units involved and then a formal proposal, if any, forwarded to the Provost and the Academic Senate. In those rare instances in which a department wishes to redesignate itself as a proto-school, the proposal shall discuss the way the redesignation will enhance the quality of the program(s) offered by the unit; demonstrate that the new designation conforms to prevailing disciplinary units of similar size at comparable institutions; and identify and clarify budgetary and/or other anticipated implications of the proposed redesignation
- H. All recommendations of the Academic Senate shall be forwarded to the Provost for consideration prior to the Provost's final decision on the proposal.

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<sup>6</sup> Proposals may be generated from a variety of sources.



## V. REVIEW OF DEPARTMENTAL STATUS INCLUDING DISSOLUTION <sup>7</sup>

1. A review of a department's status shall occur if
  - (a) A college/school dean or the Provost requests that the status of a department be reviewed, or
  - (b) If a department has fewer than seven (7) full-time equivalent faculty including five (5) probationary and tenured faculty, and one of the following conditions: <sup>8</sup>
    - i. Has declining enrollments over a five year period totaling a fifteen (15) per cent decline in overall FTES, or
    - ii. Has declining majors / minors over a five (5) year period totaling a fifteen (15) percent decline in enrollment,
2. The dean of the college/school in consultation with the Provost, shall appoint, convene and chair <sup>9</sup> an ad hoc committee to review the status of the department.
3. The ad hoc committee shall be composed of
  - a. Two department chairs from within the college/school other than the chair from the affected department and
  - b. The chairs of the college/school Executive, Curriculum, Budget and Personnel committees <sup>10</sup>
4. This panel shall consult <sup>11</sup> with the involved faculty and the department chair.
5. This panel may also elicit other pertinent information.
6. The dean in consultation with the Provost shall provide the ad hoc committee with a schedule for the review including the date for the expected submission of a final report.
7. The ad hoc committee shall make a recommendation to the Provost and the Academic Senate via the dean. The recommendation will be one of the following:
  - a. Maintain the status quo; or
  - b. Maintain the department, contingent upon the department's meeting the conditions specified in the report of the panel in an acceptable manner and within a specified time; or
  - c. Consolidate the department en toto with another department; or
  - d. Dissolve the department, with a recommendation on the disposition of resources and the reassignment of probationary and tenured faculty and staff.

<sup>7</sup> These procedures do not apply when there is a general reorganization of a college/school or the university.

<sup>8</sup> Upon the recommendation of the dean and the approval of the Provost, a department may be exempted from this trigger.

<sup>9</sup> The dean may designate the associate dean to chair the committee

<sup>10</sup> Should the individual be from the affected department, another member of the appropriate college/school committee shall be designated to represent the committee in this review.

<sup>11</sup> See Constitution of the Academic Assembly, Article I Section 7B

## **V. ORGANIZATION OF FACULTY GOVERNANCE**

### **A. Trustee Policy on Collegiality**

As stated in the Trustee Statement on Collegiality appended to this document, faculty shall be consulted on academic matters. In order to facilitate this consultation, academic governance is established through the Academic Assembly and its entities.

### **B. Academic Assembly**

1. Subject to the statutes and regulations of the State of California and the policies of the Trustees of The California State University, the Academic Assembly, or entities to which it delegates specific authority shall have the power to make recommendations to the President of the university on all university-wide academic issues.
2. The Academic Assembly, or its entities to which it delegates its powers, shall have, in consultation with the President of the university, the authority to establish those committees or task forces necessary for the fulfillment of its duties.
3. The Constitution of the Academic Assembly <sup>12</sup> describes in detail the organizational structure of faculty governance.
4. The by-laws of the Academic Senate describe in detail the membership, responsibilities and relationships of various standing committees of the Academic Senate.
5. Other committees are appointed as appropriate and generally make reports to the Academic Senate or to its standing committees and the appropriate administrative officers.
6. No policies and/or revisions thereof proposed by the Academic Assembly shall become operative without the approval of the President.

### **C. Academic Senate <sup>13</sup>**

1. The Academic Assembly shall elect an Academic Senate to which it shall delegate the powers and responsibilities of the Academic Assembly.
2. Any action of the Academic Senate may be reviewed at a general Academic Assembly meeting in accordance with procedures specified in the Constitution.
3. The Academic Senate shall recommend campus-wide personnel policies and procedures to the President in order to implement the policies of the Board of Trustees including the Collective Bargaining Agreement. <sup>14</sup>
4. No policies and/or revisions thereof proposed by the Academic Senate shall become operative without the approval of the President.

### **D. Colleges / Schools**

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<sup>12</sup> APM 127-1

<sup>13</sup> APM 128-1

<sup>14</sup> A copy of the current Collective Bargaining Agreement for Unit 3 (Faculty) can be found on the Academic Personnel Services website.

1. Each college/school shall have Articles of Governance that provide for faculty consultation consistent with the provisions of the Constitution of the Academic Assembly and within the framework of university policies.
2. Each college/school shall create an organizational structure that allows and facilitates the participation of all full-time faculty in the development of its policies and procedures.
3. No policies and/or revisions thereof proposed by a college/school assembly shall become operative without the approval of the dean.<sup>15</sup>

**E. Establishment or Revision of Articles of Governance for Colleges/Schools**

1. The Articles of Governance shall be approved by two-thirds of the full-time faculty of the college/school who cast a ballot. Approval by the dean and by the Provost shall be required prior to submission to the Executive Committee of the Academic Senate with attached comments, if any, by the parties.<sup>16</sup>
2. Prior to reviewing proposed Articles of Governance and/or subsequent revisions, the Executive Committee shall forward the proposed Articles of Governance, and/or revisions, to the Personnel Committee of the Academic Senate.
3. The Personnel Committee shall review the proposal only in terms of its conformity to university policies and law. The Personnel Committee shall return the proposal to the Executive Committee. The Personnel Committee shall include a statement of concerns, if any.
4. The Executive Committee shall afford interested parties a two week comment period prior to its review.
5. The Executive Committee may then recommend adoption by the President.
6. However, if the Executive Committee has concerns, the proposed Articles of Governance or revisions shall be returned to the college/school for further review and resubmission.
7. No Articles of Governance and revisions thereof may become operative without the approval of the President.

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<sup>15</sup> Acting on behalf of the President, the dean exercises the authority granted to the President in Title 5 while managing the college/school.

<sup>16</sup> Proposed revisions of a college/school's Articles of Governance must follow these approval procedures as well.

**F. Governance of Proto-Schools/Departments/Programs**

1. Within the framework of college/school and university policies each department shall develop procedures/policies that are consistent with the general provisions for faculty consultation and governance.
2. Each department shall create a supporting committee structure to ensure the participation of all full-time faculty members in the development of departmental policy and procedures.
3. Departmental policies shall be approved by a majority of the full-time faculty of the department who cast a ballot. <sup>17</sup>
4. Departmental policies shall take effect only after (a) being reviewed by the appropriate college/school committee solely for consistency with college/school and university policies and law; and (b) the approval of the dean.

**References:** Constitution of the Academic Assembly (APM 127)  
By-Laws of the Academic Senate

**Recommended by the  
Academic Senate**

September 2001

October 9, 2017

**Approved by the President**

October 5, 2001

December 17, 2001

October 26, 2017

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<sup>17</sup> This provision requires that a quorum of the eligible full-time faculty have voted.  
Policy on Academic Organization and Governance  
APM 113 - Page 8  
October 26, 2017

## **CSU BOARD OF TRUSTEES STATEMENT ON COLLEGIALLY**

Academic governance is a complex web of decision-making and responsibility that translates academic goals and values into university policy or action. Authority in the modern public university derives from two quite different sources: (a) from the power vested by law and administrative code in governing boards and administrators and (b) from the knowledge of the subject matter and from the pedagogic expertise of the faculty.

Collegiality consists of a shared decision-making process and a set of values which regard the members of the various university constituencies as essential for the success of the academic enterprise. It incorporates mutual respect for similarities and for differences in background, expertise, judgments and assigned responsibilities; and involves mutual trust based on experience.

Collegial governance allows the academic community to work together to find the best answers to issues facing the university. Collegial governance assigns primary responsibility to the faculty for the educational functions of the institution in accordance with basic policy as determined by the Board of Trustees. This includes admission and degree requirements, the curriculum and methods of teaching, academic and professional standards, and the conduct of creative and scholarly activities. Collegiality rests on a network of interlinked procedures jointly devised, whose aim is to assure the opportunity for timely advice pertinent to decisions about curricular and academic personnel matters.

The governing board, through its administrative officers, makes sure that there is continual consultation with appropriate faculty representatives on these matters. Faculty recommendations are normally accepted except in rare instances and for compelling reasons. The collegial process also recognizes the value of participation by the faculty in budgetary matters, particularly those directly affecting the areas for which the faculty has primary responsibility.

Central to collegiality and shared decision-making is respect for differing opinions and points of view, which welcomes diversity and actively sponsors its opinions. The collegium must be the last public bastion of respect for individuals, whether they are members of the faculty, students, staff, alumni, administration or Board of Trustees.

The Board of Trustees wishes to maintain the statewide Academic Senate and campus senates/councils separate and apart from collective bargaining. It is the intention of the Board to maintain its efforts to promote collegiality and to support the continuing efforts of the Academic Senate to preserve collegiality in the CSU.

**N.B. This statement is intended to apply to campus personnel matters, in general, and not to apply to individual personnel decisions. Specific cases involving appointment, promotion and tenure decisions must be decided on their own merits and are not subject to normative statements such as that contained in paragraph 4. The statement should in no way be used in the grievance process as a limitation on the good judgment of a president in any specific case. (Adopted August 18, 1985.)**

## POLICY ON FACULTY CONSULTATION AND VOTING

The academic excellence and efficient operation of California State University, Fresno, requires the fullest cooperation and coordination of departments, colleges/schools, and the university. In order to ensure full participation by faculty in recommendations on academic matters, consultation between administrators and faculty members shall take place as required by the Trustee policy including the Collective Bargaining Agreement (Unit 3).

### I. DEFINITIONS

- A. "Full-time faculty" are individuals, including full-time temporary faculty, who have full-time faculty appointments, defined in Article 2 of the Collective Bargaining Agreement, in a department, at California State University, Fresno.
- B. "Full-time probationary faculty" are individuals who have full-time probationary faculty appointments, as defined in Articles 2 and 13 of The Collective Bargaining Agreement, in a department at California State University, Fresno.
- C. "Full-time tenured faculty" are individuals who have full-time faculty appointments with tenure, as defined in Articles 2 and 13 of the Collective Bargaining Agreement, in a department, at California State University, Fresno. Participants in the Faculty Early Retirement Program are tenured faculty members.<sup>1 2</sup>
- D. An "administrator" is any person who holds an appointment under the Management.
- E. Personnel Plan regardless of timebase.
- F. "Consultation"<sup>3</sup> is a deliberative process by which faculty and administrators provide advice and information to each other and which does not commit the President or designees to a specific action. Meaningful consultation from initial formulation through final determination of policy and procedures consists of thoughtful deliberation, presentation of facts, and the exchange of opinions. Ideally, consultation should lead to consensus or agreement on the recommendation to be forwarded.<sup>4</sup> Voting is often a valuable or required means of formalizing consultation. By itself, voting does not constitute consultation.

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<sup>1</sup> See Article 29 of the CBA

<sup>2</sup> Tenured participants in the Pre-retirement Reduction in timebase Program (PRTB) pursuant to Article 30 of the CBA and tenured participants in the Reduction in timebase Program pursuant to Title 5 are not full-time

<sup>3</sup> See Constitution of the Academic Assembly, Article I Section 7, Collegial Responsibility of the Academic Assembly and the President

<sup>4</sup> See Constitution of the Academic Assembly, Article II, Section 5, Policy Consultation and Recommendations

## II. CONSULTATIVE PROCEDURES

Consistent with Trustee policy and within the framework of university policy, each college/school<sup>5</sup> and department/program will develop policies that describe the general provisions for consulting full-time faculty. Each college/school and department/ program will create a supporting committee structure to ensure the participation of all full-time faculty members in the development of policy and procedures. These policies shall be consistent with the practices established in the Constitution of the Academic Assembly of California State University, Fresno. Committee recommendations shall be approved by a simple majority of the membership of the committee<sup>6</sup>.

### A. ACADEMIC MATTERS

1. The department chair<sup>7</sup> shall consult with all full-time faculty members, including full-time lecturers, of the department on academic matters prior to making recommendations to the dean. The purpose of this consultation is to afford the faculty an opportunity to express their views on the matters under discussion and to make formal recommendations.<sup>8</sup>
2. When a department is unable to provide for full consultation, the dean may, after consultation with the Provost and Vice President for Academic Affairs, take appropriate action. In all instances, the dean shall consult with the department chair as soon as practicable and provide prompt notice of actions taken under this provision. It is the responsibility of the department chair to communicate this information to the appropriate faculty within the department.
3. In matters that affect the entire college/school, the Academic Assembly of each college/school, consisting of all full-time faculty members, including full-time lecturers, may make recommendations to the dean. The dean shall consider such recommendations prior to taking action or making recommendations. The Academic Assembly shall meet at the request of the dean or as provided in the Articles of Governance.

### B. PERSONNEL MATTERS

The provisions of the Collective Bargaining Agreement and campus policy govern the specific procedures for faculty consultation with regard to personnel matters.

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<sup>5</sup> For purposes of this policy, includes other appropriate units such as a division and the Library

<sup>6</sup> See Policy on Academic Organization and Governance (APM 113)

<sup>7</sup> The term "department chair" includes chairs of proto-schools and coordinators of freestanding programs recognized by the Provost

<sup>8</sup> The department chair may invite part-time temporary faculty, students, and others to present facts and express opinions on academic matters that may concern them or about which they have expertise

### **III. ELIGIBILITY TO PARTICIPATE IN CONSULTATION**

#### **A. ACADEMIC MATTERS**

All full-time lecturers, all full-time probationary faculty members, and all tenured faculty members regardless of timebase who have a current faculty appointment in the department and are on active employment status at the time of the consultation may vote on academic matters.

#### **B. PERSONNEL RECOMMENDATIONS**

1. Title 5, Section 42701, reads as follows:

It is the policy of the Trustees that faculty be consulted on academic personnel matters. Each campus shall develop campus-wide procedures whereby only members of the faculty who are tenured, and such department chairmen [sic] and academic administrators as the campus procedures shall provide, may participate at any level of consideration in the deliberations or vote on recommendations relating to appointment<sup>9</sup>, retention, tenure or promotion of faculty. The procedures shall provide that those making such recommendations should consider information from other faculty members and any other source, including but not limited to students. The campus-wide procedures shall be consonant with the regulations, policies, and procedures of the Board of Trustees and the Chancellor and shall be approved by the President.

Title 5, Section 43825, provides:

Notwithstanding any other provision of this subchapter, if a Memorandum of Understanding entered into pursuant to the Higher Education Employer-Employee Relations Act is in conflict with provisions in this subchapter, the terms of the Memorandum of Understanding and not the provisions of this subchapter shall govern as to those employees covered by the Memorandum of Understanding.

2. Unless otherwise specified in university policy, only full-time tenured<sup>10</sup> faculty members, excluding participants in the Faculty Early Retirement Program, may serve on peer review committees on matters involving personnel recommendations regarding such matters as appointment, retention, tenure, promotion, and leaves of absence.

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<sup>9</sup> Article 12.22a of the Collective Bargaining Agreement permits the election of probationary faculty to search committees. This provision of the CBA supersedes the language in Title 5 Section 42701 for faculty search committees

<sup>10</sup> For personnel matters, participants in PRTB pursuant to Article 30 of the CBA or faculty members on a reduced time base pursuant to provisions of Title 5 are not considered full-time



3. At the request of a department, the President or designee may agree to permit faculty participating in the Faculty Early Retirement Program to run for election for membership on any level peer review committee. However, these committees may not be comprised solely of faculty participating in the Faculty Early Retirement Program.<sup>11</sup>

#### **IV. VOTING REGULATIONS: GENERAL GUIDELINES**

- A. Voting by proxy (one person casting a vote for or on behalf of another) is prohibited in all cases.
- B. Except in nominating elections for department chair, absentee voting is prohibited.
- C. Faculty members on full-time leave of absence without pay, whether personal or professional, are ineligible to participate in consultation or voting.
- D. Faculty members on a paid leave of absence (sabbatical leave or difference in pay leave) are released from all duties to accomplish the purpose of the leave. Therefore, except for voting by absentee in nominating elections for department chair, faculty members on a paid leave shall not participate in consultation or voting.
- E. Assigned or reimbursed time shall not limit the right of a faculty member to participate in consultation or voting.
- F. Administrators, as defined above, are not eligible to vote as faculty members.

#### **V. SPECIFIC GUIDELINES FOR CONSULTATION AND VOTING**

##### **A. APPOINTMENT**

1. Only full-time probationary and tenured faculty may serve on search committees to screen applicants, deliberate and make a recommendation(s).
2. Participants in the Faculty Early Retirement Program are ineligible for service on a search committee.
3. Participants in PRTB or reduced timebase pursuant to Title 5 are ineligible for service on a search committee.
4. Probationary faculty and tenured faculty regardless of timebase may provide information to search committees consistent with university appointment procedures.<sup>12</sup>

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<sup>11</sup> Collective Bargaining Agreement At Article 15.38

<sup>12</sup> See campus hiring policies, APM 301 and APM 302

## B. RETENTION AND TENURE

1. Only full-time tenured faculty members may participate on and vote on peer review committees with regard to recommendations for retention or tenure.
2. Participants in the Faculty Early Retirement Program are ineligible for service on peer review committees for retention and tenure. However, at the request of a department, the President or designee may agree to permit faculty participating in the Faculty Early Retirement Program to run for election for membership on any level peer review committee. However, these committees may not be comprised solely of faculty participating in the Faculty Early Retirement Program.<sup>13</sup>
3. Participants in PRTB or reduced timebase pursuant to Title 5 are ineligible for service on a peer review committee for retention and tenure.
4. Full-time tenured faculty members who are members on a higher level peer review committee for retention, tenure or promotion are ineligible to sit in on, participate, deliberate or vote at the department peer review level.
5. Full-time tenured faculty members who are candidates for promotion are ineligible to serve on peer review committees for retention and tenure.

## C. PROMOTION

1. Only full-time tenured faculty members who hold a higher rank than the candidate(s) for promotion may participate on and vote on peer review committees with regard to recommendations for promotion.
2. Full-time tenured faculty members who are members on a higher level peer review committee for retention, tenure or promotion are ineligible to sit in on, participate, deliberate or vote at the departmental peer review level.
3. Participants in the Faculty Early Retirement Program are ineligible for service on peer review committees for promotion. However, at the request of a department, the President or designee may agree to permit faculty participating in the Faculty Early Retirement Program to run for election for membership on any level peer review committee. However, these committees may not be comprised solely of faculty participating in the Faculty Early Retirement Program.<sup>14</sup>
4. Participants in PRTB pursuant to Article 30 or reduced timebase pursuant to Title 5 are ineligible for service on a peer review committee for promotion.

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<sup>13</sup> Collective Bargaining Agreement At Article 15.38

<sup>14</sup> Collective Bargaining Agreement At Article 15.38

5. Full-time tenured faculty members who are candidates for promotion are ineligible to serve on peer review committees for retention, tenure or promotion.

### C. LEAVE APPLICATIONS

1. Only full-time tenured faculty members may participate on and vote on peer review committees with regard to leave applications.
2. Full-time tenured faculty members who are members on a higher-level peer review committee for leave applications are ineligible to sit in on participate, deliberate or vote at the departmental peer review level.
3. Full-time faculty members who are candidates for leaves, either a sabbatical or difference in pay leave, are ineligible to serve on peer review committees for leaves.
4. Participants in the Faculty Early Retirement Program are ineligible for service on peer review committees for leave applications.
5. Participants in PRTB or reduced timebase pursuant to Title 5 are ineligible for service on a peer review committee for leave applications.

### E. DEPARTMENT CHAIR NOMINATIONS

1. The process for nominating a department chair is not a personnel action.
2. Only full-time probationary and tenured faculty members may be candidates in nominating elections for department chair.
3. All full-time probationary and tenured faculty members may participate in nominating elections for department chair.
4. Participants in the Faculty Early Retirement Program, in active status at the time of the nominating election, may participate in department chair nominating elections.
5. For purposes of nominating a department chair, tenured faculty participating in the PRTB program or a reduction in timebase program may participate in the nomination of a department chair as if they were full-time.
6. In department chair nomination elections, full-time probationary and tenured faculty on leave of absence with pay may vote by absentee ballot. Absentee ballots shall be forwarded to the last known address. The department chair shall establish reasonable deadlines for the receipt of such ballots and the voter shall bear responsibility for meeting the deadlines.

7. Temporary faculty unit employees may participate in department chair nominating elections as follows:
- All temporary faculty members with 15 WTUs during the semester the nomination takes place are entitled to a full vote. Temporary faculty who have maintained 6 WTUs or more for four consecutive semesters including the semester in which the nomination takes place are entitled to a full vote.
  - All other temporary faculty teaching 6 WTUs or more in the current and previous semester of the nomination are entitled to a half vote.
  - Temporary faculty who are appointed below 6 WTUs and have served four consecutive semesters are entitled to a .25 (ONE-QUARTER) vote if in active status, including when the nomination takes place during the fourth consecutive semester of service.
  - Service for either semester during an academic year shall count as a "consecutive semester" served, if the faculty member serves for any other semester during the same, previous or next academic year.
  - In reporting the vote to the dean, the department shall provide a single tally of the votes cast by the department faculty. There shall be no distinctions on the ballots except as necessary to identify the numerical value of the vote cast for counting purposes.

References: CBA Articles 1, 2, 13, 15, 22, 27, 28, 29, 30 and Title 5

**Recommended by  
the Academic Senate**

September 2001  
April 21, 2008  
November 9, 2015  
May 8, 2017

**Approved by the President**

October 5, 2001  
May 16, 2008  
December 17, 2015  
June 16, 2017

## **POLICY ON GRADUATE COORDINATOR/DIRECTOR**

This policy is intended to provide a guide to appointment, responsibilities, and evaluation of Graduate Coordinator/Director.

### **I. DEFINITIONS AND RESPONSIBILITIES**

1. The Graduate Coordinator/Director is a tenure-track or tenured faculty member who is responsible for the leadership of the graduate program within a department or school.
2. Appointment as a Graduate Coordinator/Director is an instructional assignment. The specific amount of assigned time, if any, will vary with the size and complexity of the program.
3. The responsibilities of the Graduate Coordinator/Director are to be determined by normal departmental or school procedures. Responsibilities, under the supervision of the department chair or appropriate administrator, typically include but are not limited to the following:
  - a) act as liaison with the Division of Graduate Studies to remain current on policies and procedures
  - b) supervise and coordinate the graduate program including signature authority with the department chair for all graduate program matters
  - c) serve as chair of the program graduate committee
  - d) lead marketing and recruitment efforts for the graduate program
  - e) liason with potential employers
  - f) provide initial graduate student advising
  - g) track all students in the graduate program
  - h) maintain graduate program/departmental student records
  - i) write and maintain catalog copy for graduate program
  - k) lead graduate program planning and curriculum development
  - l) handle inquiries and communication with prospective graduate students
  - m) handle graduate student petitions and appeals
  - n) coordinate procedures for admission or denial of graduate program applicants.

### **II. NOMINATION PROCEDURE**

1. Assignments to Graduate Coordinator/Director shall be made in accordance with departmental and/or school procedures.
2. All assignments to Graduate Coordinator/Director shall be confirmed by the department chair (if the coordinator assignment is in the department) and by the school dean using the Graduate Coordinator/Director Appointment Form to the Dean of the Division of Graduate Studies.

### **III. QUALIFICATIONS**

Assignment to Graduate Coordinator/Director shall require that the individual shall

- a) be a full-time tenure track or tenured faculty member
- b) be a member of the Graduate Faculty Group
- c) possess consistent teaching, research, and/or advising experience in a graduate program.

### **IV. EVALUATION**

Department chairs or the appropriate administrator shall prepare a written assessment of the performance of the Graduate Coordinator/Director at the end of each academic year. This evaluation shall be placed in the Open Personnel File of the Graduate Coordinator/Director.

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Approved by the Academic Senate	April 1999
Approved by the President	May 1999

## POLICY ON DEPARTMENT CHAIRS

### A. GENERAL POLICY

Each department shall have a Chair<sup>1</sup> who is the designated administrator of the department and the academic leader of the departmental faculty. The position of Department Chair is an instructional administrative assignment and does not carry tenure with it. Each Department Chair serves at the pleasure of the President.<sup>2</sup> Each term of a Department Chair shall be for four (4) years. The Chair reports to the respective School Dean.

### B. ELIGIBILITY

To be eligible to serve as a Department Chair, an individual shall hold a tenured position in the department at the rank of either Associate Professor or Professor.

### C. NOMINATION BY THE DEPARTMENT

1. Department Chairs shall normally be selected by the President from the list of nominee(s) recommended by the department. These procedures shall provide that all full-time tenured and probationary faculty members of the department are eligible to vote on the nomination of a Department Chair. Temporary faculty unit employees may participate in department chair nominating elections as follows:
  - a. All temporary faculty members with 15 WTUs during the semester the nomination takes place are entitled to a full vote. Temporary faculty who have maintained 6 WTUs or more for four consecutive semesters including the semester in which the nomination takes place are entitled to a full vote.
  - b. All other temporary faculty teaching 6 WTUs or more in the current and previous semester of the nomination are entitled to a half vote.
  - c. Temporary faculty who are appointed below 6 WTUs and have served four consecutive semesters are entitled to a .25 (ONE-QUARTER) vote if in active status, including when the nomination takes place during the fourth consecutive semester of service.
  - d. Service for either semester during an academic year shall count as a "consecutive semester" served, if the faculty member serves for any other semester during the same, previous or next academic year.
  - e. In reporting the vote to the dean, the department shall provide a single tally of the votes cast by the department faculty. There shall be no distinctions on the ballots except as necessary to identify the numerical value of the vote cast for counting purposes.

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<sup>1</sup> The term "Department Chair" also means "Program Coordinator" in programs recognized for this purpose by the Provost and Vice President for Academic Affairs

<sup>2</sup> For purposes of this Policy, President means President or designee

Among those eligible to vote are faculty members on sabbatical or difference-in-pay leaves and participants in the Faculty Early Retirement Program who are teaching during the semester in which the nomination election occurs. Individuals who are on a professional or personal leave without pay are ineligible to participate in the nominating election. Proxy voting shall be prohibited but provisions may be made for absentee voting.

2. The department's nomination(s) shall be forwarded to the President via the School Dean and the Provost and Vice President for Academic Affairs. The nomination(s) should be accompanied by a description of qualifications.
3. Should the President find the nominee(s) of the department unacceptable, the President shall give the department faculty one (1) additional opportunity to nominate another individual. Should the department fail to nominate an acceptable candidate, the President may appoint an interim chair for one (1) year.

#### D. RESPONSIBILITIES

1. It is the responsibility of the Department Chair to consult with the full-time departmental faculty on policy matters, plans, and procedures, which affect the department. In those cases, when consultation is not possible, the Chair may make an interim decision until such time as full-time faculty can be assembled for consultation.
2. The Department Chair is also responsible for the overall direction and management of the department, including:
  - a. overall responsibility for the planning and administration of academic programs within the department including the evaluation and enhancement of instruction,
  - b. the formulation, development, and implementation of strategic plans for the department,
  - c. the preparation and administration of the department's budget,
  - d. the proper implementation of the adherence to all University, school and departmental policies and procedures, especially those relating to personnel administration,
  - e. the preparation of required reports, position descriptions, and hiring requests.
  - f. the performance of other responsibilities as assigned by the School Dean.

#### E. EVALUATION

1. A formal evaluation of the Chair shall occur in the academic year in which the normal term of the Chair is to be concluded.
2. Where the evaluation is scheduled, notice of the evaluation shall be posted in the department office and prominently in the School seeking written comments from all concerned including staff and students. All such comments must be signed.



3. The evaluation shall be conducted by the School Dean, according to procedures developed by the school faculty. These procedures shall provide for input from the faculty of the department. The evaluation should be based, in part, upon progress toward the achievement of written departmental goals.
4. The report of the evaluation results shall be placed in the Chair's Open Personnel File.
5. Information resulting from the evaluation, which may be useful to the department, should be shared by the Chair and/or Dean with the departmental faculty.

#### F. VACANCIES

1. Vacancies in the position of department chair shall normally be filled by a nominating election at the earliest possible date.
2. After consultation with the faculty of the department, the President may appoint an interim chair for one (1) year to temporarily fill a vacancy.
3. A department or School Dean may request that an outside search be conducted for the position of Department Chair. Such requests must be approved by the Provost prior to the commencement of the search process.
4. In filling a vacancy, an individual may serve up to one (1) year of an unexpired term prior to the commencement of a four-year term. In this eventuality, an individual elected as Department Chair could serve up to five (5) years in one term.

#### G. REASSIGNMENT

Should the President remove the Department Chair prior to the conclusion of the term, the President shall meet and discuss the decision with all of the full-time tenured and probationary faculty members of the department. This meeting will occur only after the Chair has been informed of the President's decision.

#### **Recommended by the Academic Senate**

May 1982; May 1989; April 1995  
November 18, 2015  
May 8, 2017

#### **Approved by the President**

January 11, 2016  
June 16, 2017

# A CONSTITUTION FOR THE ACADEMIC ASSEMBLY OF CALIFORNIA STATE UNIVERSITY, FRESNO

## PREAMBLE

The faculty of California State University, Fresno adopts this Constitution of the Academic Assembly in order to exercise its rights and fulfill its responsibilities in the shared governance of the University. As the official voice of the faculty, the Academic Assembly provides the means for the faculty to participate in the collegial form of governance that is based on historic academic traditions as recognized by the people of the State of California through the Board of Trustees and the Legislature.<sup>1</sup>

The Academic Senate with its committee structure is the primary governance instrumentality of the Academic Assembly. The structure is designed to achieve an optimal degree of communication, consultation, and cooperation for carrying out collegial governance within the University.

## ARTICLE I

### Section 1.     **THE ACADEMIC ASSEMBLY**

The name of this organization shall be the Academic Assembly of California State University, Fresno. For purposes of this document, the Academic Assembly shall include those bodies to which it delegates its powers, as appropriate.

### Section 2.     **FACULTY MEMBER DEFINED**

- A) For purposes of this Constitution, the Bylaws of the Academic Assembly, Academic Senate and Executive Committee, define a "faculty member" as a voting member of the Academic Assembly. (See Section 4)
- B) Department Chairs, officers of the faculty and representatives of the Academic Senate will not cease to be a member of the Academic Assembly because of reassigned time allotted to them by virtue of their offices.

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<sup>1</sup> "THE LEGISLATURE RECOGNIZES THAT JOINT DECISION-MAKING AND CONSULTATION BETWEEN ADMINISTRATION AND FACULTY OR ACADEMIC EMPLOYEES IS THE LONG-ACCEPTED MANNER OF GOVERNING INSTITUTIONS OF HIGHER LEARNING AND IS ESSENTIAL TO THE PERFORMANCE OF THE EDUCATIONAL MISSIONS OF SUCH INSTITUTIONS, AND DECLARES THAT IT IS THE PURPOSE OF THIS ACT TO BOTH PRESERVE AND ENCOURAGE THAT PROCESS. NOTHING CONTAINED IN THIS [LAW] SHALL BE CONSTRUED TO RESTRICT, LIMIT, OR PROHIBIT THE FULL EXERCISE OF THE FUNCTIONS OF THE FACULTY IN ANY SHARED GOVERNANCE MECHANISMS OR PRACTICES, INCLUDING ... THE ACADEMIC SENATES OF THE CALIFORNIA STATE UNIVERSITY AND COLLEGES, AND OTHER FACULTY COUNCILS, WITH RESPECT TO POLICIES ON ACADEMIC AND PROFESSIONAL MATTERS AFFECTING THE CALIFORNIA STATE UNIVERSITY AND COLLEGES..." [The California Higher Education Employer-Employees Relations Act (HEERA), Section 3561(b)]

### **Section 3. ADMINISTRATOR DEFINED**

For purposes of this Constitution, the Bylaws of the Academic Senate and Executive Committee, except for Department Chairs and Program Coordinators, persons holding more than six WTU's for administrative responsibilities are defined as "Administrator".

### **Section 4. MEMBERSHIP OF THE ACADEMIC ASSEMBLY**

Membership of the Academic Assembly shall be (1) all full-time faculty members of instructional departments who hold the rank of Instructor, Lecturer, Assistant Professor, Associate Professor, Professor or their equivalents; (2) all tenured faculty members of instructional departments who are serving on a part-time basis; (3) Librarians; (4) Student Services Professionals, Academically Related; and (5) Administrators on a non-voting basis.

### **Section 5. OFFICERS OF THE ACADEMIC ASSEMBLY**

The President of the Academic Assembly shall be the President of the University. The Chair of the Academic Assembly shall be the Chair of the Academic Senate. The Vice Chair of the Academic Assembly shall be the Vice Chair and Secretary of the Academic Senate.

### **Section 6. POWERS AND DUTIES OF THE ACADEMIC ASSEMBLY**

Subject to the laws of the State of California and the regulations of the Trustees of the California State University, the Academic Assembly or bodies to which it delegates its powers, shall be the body composed of faculty members acting for the Faculty of the University with power to formulate, review, revise, and adopt for recommendation to the President all University policies, including matters directly affecting the instructional budget, which relate to the educational mission. The faculty has the primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research and creative/scholarly activity, faculty status, and those aspects of student life which relate to the educational process. The Academic Assembly shall have, in consultation with the President, the power to appoint those committees necessary for the fulfillment of these duties.

### **Section 7. COLLEGIAL RESPONSIBILITY OF THE ACADEMIC ASSEMBLY AND OF THE PRESIDENT**

- A) Under the rules and regulations of the Board of Trustees, the President has final responsibility and authority for the University.
- B) The joint-decision making and consultation between Administration and faculty is based on collegiality, mutual respect and trust. "Collegiality consists of a shared decision-making process and set of values which regard the members of the various university constituencies as essential for the success of the academic enterprise....collegiality rests on a network of interlinked procedures jointly devised, whose aim is to assure the opportunity for timely advice pertinent to decisions about curricular and academic personnel matters."<sup>2</sup>

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<sup>2</sup> REPORT OF THE BOARD OF TRUSTEES AD HOC COMMITTEE ON GOVERNANCE, COLLEGIALITY, AND RESPONSIBILITY IN THE CALIFORNIA STATE UNIVERSITY (Adoped by the Board of Trustees of the California State University, September 1985.)

- C) Regarding curricular and academic personnel matters, “faculty recommendations are normally approved, except in rare instances and for compelling reasons. The collegial process also recognizes the value of par participation by the faculty in budgetary matters, particularly those directly affecting the areas for which the faculty has primary responsibility.”<sup>3</sup> In the event the President does not approve a recommendation of the Academic Assembly, the President shall state reasons in an expeditious manner to the relevant body in writing.
- D) The Academic Assembly has primary responsibility for the educational functions of the institution in accordance with policy as determined by the Board of Trustees. As such, the Academic Assembly shall participate in those matters for which the faculty has primary responsibility: Academic personnel, budget and curriculum.
- E) Policies recommended by Academic Assembly through a majority vote of the Academic Senate and approved by the President shall be considered binding on all university personnel.

### **Section 8. ELECTION OF CHAIR AND VICE CHAIR OF THE ACADEMIC ASSEMBLY**

The Chair and Vice Chair shall be elected by and from the voting, elected members of the Academic Senate for a two-year term. Neither the Chair nor the Vice Chair shall serve concurrently as an elected delegate to the Statewide Academic Senate, CSU.

Nominations shall be made by nominating petitions containing the signatures of two percent of the Assembly, including signatures from at least three colleges or schools. Each nominating petition shall be accompanied by a declaration from the nominee agreeing to meet the eligibility requirements of the office, fill the office if elected, and meet the obligations of regular representation. The nominee shall forward a short statement of qualifications to accompany the ballot. Nominations shall be closed five instructional days after the issuance of the call. If there are not at least two nominations for each office or position, provisions for write-ins shall be made.

If the position of Chair is vacated, or the office holder is removed before the end of the two-year term, the Vice Chair will become Interim Chair for a period not to exceed 30 instructional days. Immediately upon receiving notice of the vacating of the office of Chair, the election process for a new Chair will commence, conforming to the regular requirements for electing a Chair laid out in this section. The term of the new Chair will end at the same time as the term of the prior Chair.

If the position of Vice Chair is vacated, or the office holder is removed before the end of the two-year term, the Chair will appoint the University-wide senator serving on the Senate Executive Committee as interim Vice Chair for a period not to exceed 30 instructional days. Immediately upon receiving notice of the vacating of the office of Vice Chair, the election process for a new Vice Chair will commence, conforming to the regular requirements for electing a Vice Chair laid out in this section. The term of the new Vice Chair will end at the same time as the term of the prior Vice Chair.

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<sup>3</sup> REPORT OF THE BOARD OF TRUSTEES AD HOC COMMITTEE ON GOVERNANCE, COLLEGIALLY, AND RESPONSIBILITY IN THE CALIFORNIA STATE UNIVERSITY (Adopted by the Board of Trustees of the California State University, September 1985.)

**Section 9.     REMOVAL OF THE CHAIR AND/OR VICE CHAIR OF THE ACADEMIC ASSEMBLY**

- A) To initiate the removal of the Chair or Vice Chair, a petition containing the signatures of thirty percent of the Assembly (including signatures from at least three colleges or schools) must be received and verified by the members of the Nominations and Elections Committee. The petition will be accompanied by a statement identifying the reasons for the removal of the Chair or Vice Chair. Separate petitions and statements are required to initiate the process for removing both the Chair and the Vice Chair. A vote to remove the Chair or Vice Chair may also be initiated by a vote of two-thirds of the voting members of the Academic Senate.

Once a petition is certified by the Nominations and Election Committee or a vote to initiate the removal occurs, the vote for removal will become the first agenda item of the next scheduled Academic Senate meeting. In all cases the vote to remove the Chair and/or Vice Chair will be called and conducted by the Chair of the Nominations and Elections Committee and the vote will be done by secret ballot. Before the vote takes place, the officer to be removed is permitted to make a statement. Other members of the Academic Senate may also speak to the motion to remove.

An affirmative vote of two-thirds majority of voting members of the Academic Senate is required to remove either the Chair and/or Vice Chair from office.

- B) Upon an affirmative vote, the offices of Chair and/or Vice Chair are considered to be immediately vacant, though the senators occupying those offices are still members of the Academic Senate. Upon an affirmative vote to remove the Chair, the Vice Chair will immediately become Interim Chair of the Academic Senate for a period not to exceed 30 instructional days. Upon an affirmative vote to remove the Vice Chair, the Chair will immediately appoint the university-wide senator currently serving on the Senate Executive Committee as Interim Vice Chair for a period not to exceed 30 instructional days.

Upon an affirmative vote to remove both the Chair and Vice Chair, the university-wide senator currently serving on the Senate Executive Committee will immediately become Interim Chair, and the Senate Executive Committee will elect another member of that same Committee to be Interim Vice Chair, for a period not to exceed 30 instructional days.

- C) The removal of the Chair, Vice Chair, or both officers triggers an immediate election for these offices as specified in Section 8 of Article I.
- D) Should the Chair or Vice Chair be in any way incapacitated for a period exceeding sixty (60) days, the office is automatically vacated and the position filled in accordance with the procedure in Section 8 of this Constitution.

**Section 10.     BYLAWS**

The Academic Senate shall provide bylaws for the Academic Assembly, subject to the approval of the Academic Assembly.

## **ARTICLE II**

### **Section 1.     THE ACADEMIC SENATE**

The Academic Assembly shall elect an Academic Senate to which it shall delegate the power of the Academic Assembly, and the concomitant responsibilities for carrying out its duties. Any action of the Academic Senate may be reviewed at a general meeting of the Academic Assembly.

### **Section 2.     MEMBERSHIP OF THE ACADEMIC SENATE**

#### **A)     *Ex-Officio Members***

##### **1.     Voting Ex-Officio Members**

- a)     The Delegates to the Statewide Academic Senate, California State University
- b)     Two student representatives chosen by the Associated Students Incorporated for one-year terms.

##### **2.     Non-Voting Ex-Officio Members**

- a)     President of the University
- b)     Provost and Vice President for Academic Affairs
- c)     Chairs of the Senate Standing Committees not already Academic Senators
- d)     Vice President for Student Affairs and Enrollment Management.
- e)     Substitute Senators elected by the departments of the Chair and Vice Chair of the Academic Senate, serving for the duration of the term of the Chair and Vice Chair of the Academic Senate.

#### **B)     *Elected Members***

##### **1.     Three (3) University-wide Senators elected by the Academic Assembly for overlapping three-year terms.**

##### **2.     Determination of subdivisions for purposes of representation.**

- a)     Each department or service area recognized by the President shall be entitled to representation in the Academic Senate.
- b)     For the purpose of deciding representation, a member of the Academic Assembly shall be a member of only one department, program or service area.

##### **3.     Representation in the Academic Senate shall be determined as follows:**

- a)     A department, program or service area composed of 25 or fewer members of the Academic Assembly shall be entitled to one Senator.
- b)     A department, program or service area composed of 26 or more members of the Academic Assembly shall be entitled to two Senators.

- c) Representation shall be based on the total number of permanent and full-time temporary members of the Academic Assembly in a department, program or service area.
- d) A Senator shall represent only one constituency as described above.

**Section 3. RESPONSIBILITIES OF THE CHAIR AND VICE CHAIR OF THE ACADEMIC SENATE**

**A) Responsibilities of the Chair**

1. The Chair shall be the liaison between the University President and Provost and the Academic Senate.
2. The Chair of the Academic Senate is responsible for initiating and coordinating the work of the Academic Senate.
3. The Chair shall preside at the meetings of the Academic Senate.
4. The Chair shall also be the Chair of the Executive Committee of the Academic Senate.

**B.) Responsibilities of the Vice Chair**

1. The Vice Chair will preside at all meetings of the Academic Assembly, Academic Senate, and Senate Executive Committee when the Chair is unable to or when the Chair is excused due to a conflict of interest.
2. The Vice Chair is responsible for recording the minutes of the Academic Assembly, Academic Senate, and Senate Executive Committee (when considered necessary). If the Vice Chair is presiding at the meeting, responsibility for recording the minutes falls to the Chair or, if the Chair is unable to do so, the University-wide senator serving on the Senate Executive Committee.
3. The Vice Chair is responsible for drafting the agenda of the Academic Assembly (when considered necessary), Academic Senate, and Senate Executive Committee for approval by the Chair.
4. The Vice Chair is responsible for informing faculty member candidates that they have been elected to the Academic Senate or its Standing Committees / Subcommittees.
5. When the need for appointments to search committees and other ad hoc task forces arise, the Vice Chair is responsible for informing faculty members of these service opportunities and providing them information and nominating petitions.
6. Should the Chair be incapacitated, or otherwise unable to fulfill the responsibilities of the office, for an indeterminate period of time, the Vice Chair will fill the role as Interim Chair. The University-wide senator serving on the Senate Executive Committee will then fill the role of Interim Vice Chair.
7. The Vice Chair will also have whatever other responsibilities are agreed on in consultation with the Chair.

#### **Section 4. DUTIES OF THE ACADEMIC SENATE**

The Academic Senate shall perform the duties of the Academic Assembly specified in Article I, Section 6.

#### **Section 5. POLICY CONSULTATION AND RECOMMENDATIONS**

- A) "The variety and complexity of the tasks performed by institutions of higher education produce an inescapable interdependence among governing board, administration, faculty, students and others. The relationship calls for adequate communication among these components and full opportunity for appropriate joint planning and effort."<sup>4</sup> The deliberative process of consultation is therefore required. Meaningful consultation from initial formulation through final determination of policy and procedures, consists of thoughtful deliberation and presentation of facts and opinions leading to consensus or agreement.
- B) To achieve optimum communications, consultation and cooperation within the University, responsibilities of Academic Senate Standing Committees shall include:
  - 1. Formulation of policy recommendations in consultation with the Administration;
  - 2. Development of procedures that accompany policy recommendations in consultation with the Administration;
  - 3. Consultation with the Administration on the implementation of policy;
  - 4. Consultation with the Administration on other appropriate matters;
  - 5. Consultation with other Academic Senate Standing Committees as appropriate; and
  - 6. Consultation with the Council of Deans as appropriate.
- C) Policy recommendations or reports, except as defined in Section 8.C, emanating from Academic Senate Standing Committees, Subcommittees, task forces or ad hoc committees shall be forwarded to the Academic Senate for appropriate review and approval before submission to the President for final action.

#### **Section 6. EXECUTIVE COMMITTEE OF THE ACADEMIC SENATE**

- A) *Membership*
  - 1. The Executive Committee shall consist of ten (10) or eleven (11, if immediate past Chair of the Academic Assembly/Senate is serving) members including:
    - a) Chair and Vice Chair/Secretary of the Academic Assembly/Senate elected for two-year terms by the Academic Senate;

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<sup>4</sup> STATEMENT ON GOVERNMENT OF COLLEGES AND UNIVERSITIES, 1966  
AAUP POLICY DOCUMENTS AND REPORTS, 1973 EDITION.



- b) Three elected members of the Academic Senate shall be elected by and from the Academic Senate for staggered three-year terms.
  - c) One University-wide Senator elected by and from the Academic Senate for a three-year term.
  - d) One Delegate to the Statewide Academic Senate elected by the Academic Senate for a three-year term.
  - e) The President and the Provost/Vice President for Academic Affairs as non-voting ex-officios.
  - f) The immediate past Chair of the Academic Assembly/Senate (if applicable) may serve, at their discretion, as a non-voting ex-officio for a one-year term; and
  - g) One voting ex-officio student member who also serves on the Academic Senate elected by Associated Students for a one-year term.
- 2. Members of the Executive Committee may be recalled by a two-thirds vote of the Academic Senate.
  - 3. A replacement for a Senator shall not serve on the Executive Committee, unless elected thereto by the Academic Senate.
- B) The Executive Committee shall have such powers and duties as delegated to it by the Academic Senate.

**Section 7. SENATE STANDING COMMITTEES AND SUBCOMMITTEES**

- A) Any Academic Senate Committee/Subcommittee, including task forces or ad hoc committees, under the auspices of the Academic Senate shall be chaired by a faculty member.
- B) The Academic Senate shall have the authority to establish, discharge or abolish Senate Standing Committees which are charged with the duties specified in Article I, Section 6, and shall make required appointments and shall determine the functions and structure of each such committee.
  - 1. Each Academic Senate Standing Committee shall establish, upon the approval of the Academic Senate, such continuing subcommittees as required to perform its functions.
  - 2. Standing Committees may also establish ad hoc committees or task forces as needed.
- C) The Academic Senate may create task forces or ad hoc committees at its discretion to carry out special assignments. The Chair of the Academic Senate shall appoint the members of such committees with approval of the Executive Committee.

- D) Faculty nominations for administrative committees, task forces, ad hoc committees, or other groups shall fall under the purview of Executive Committee approval.
- E) Members of Senate bodies who do not attend regularly will be notified by the Academic Senate or committee chair. After such notification, should the member miss two more meetings, a resignation may be issued by the Executive Committee.

## **Section 8.     REPORTING OF COMMITTEES**

- A) Each Senate Standing Committee shall consult with other Senate Standing Committees as appropriate.
- B) Each Senate Standing Committee shall make recommendations or reports to the Academic Senate through the Executive Committee. The President, Provost/VPAA or other appropriate administrative officers shall be kept informed of all pending Academic Senate recommendations and reports.
- C) Academic Senate Standing Committees (and various subcommittees as charged) shall advise appropriate administrative officers on operation, decision, and actions consistent with the governance policies of the University.
- D) During the last thirty instructional days of the academic year, all chairs of Senate Standing Committees will provide to the Academic Senate a report summarizing all of the work and decisions of their committees, and all subcommittees under their committee for that academic year.

## **Section 9.     MEMBERSHIP**

- A) No person shall serve on more than one Senate Standing Committee or Board. Ex-officio administrative representatives are exempt from this provision. No member of a Standing Committee shall serve on one of its own subcommittees.
- B) Administrators shall serve on Senate Standing Committees/Subcommittees or other bodies in a voting ex-officio capacity. Administrative representatives on Senate Standing Committees and Subcommittees should be able to speak for the Administration on matters before the committee/subcommittee. The administrative representation on a committee may be exercised by a single person or by different persons as the matters before the committee change.
- C) All Academic Assembly members selected to serve on any committee, or other body not created by the Academic Senate and who speak for or represent the faculty of the University on any matter (other than a collective bargaining issue) shall be appointed and/or recommended to such committee, or other body by the Academic Senate.
- D) Members of the Academic Assembly appointed and/or recommended by the Academic Senate to any committee, board or other body not created by the Academic Senate shall make a written report periodically to the Senate on the activities of such committees, or other bodies.
- E) Student members of committees are voting ex-officio when they are included in a committee's or subcommittee's membership.

**Section 10. ELECTIONS, ELIGIBILITY, AND TERMS OF OFFICE FOR DEPARTMENT/PROGRAM SENATORS**

- A) Any voting member of the Academic Assembly as defined in Article 1, Section 4 of this Constitution is eligible for election to the Academic Senate. The electorate shall be faculty members of the appropriate constituency. All Academic Senate elections shall be concluded by April 15 of each year. The terms of office of all elected members of the Academic Senate shall be three years beginning with the last Monday in April. All elections shall be by secret ballot.
- B) Recurring absence of members
  - i.) If a Senator representing a department / program has more than two unexcused absences in a semester, the Chair will notify the Senator's department / program chair.
  - ii.) In the case of university-wide or state-wide senators, if a Senator has two unexcused absences in a semester, the Chair will contact the Senator to express concern and will notify the Academic Senate after a third unexcused absence
- C) A Senator may be recalled by two-thirds of the appropriate constituency. Any Senator who is recalled or who resigns shall be replaced by the established election process, and the Senator so elected shall serve out the unexpired term.
- D) A Senator shall be a voting member of the constituency represented. If a Senator's status within the Academic Assembly changes, the Senator shall be disqualified from representing that constituency. Any Senator, including university-wide and state-wide senators, approved for a sabbatical, difference- in -pay leave, or any other University-approved semester leave must resign from the office and all university committees, sub-committees, and task forces at the end of the semester immediately preceding the beginning of the leave.

**ARTICLE III**

**Section 1. MEETING OF THE ACADEMIC ASSEMBLY**

- A) The Chair of the Academic Assembly shall call one meeting of the Academic Assembly each academic year. The Chair may also call such other meetings as deemed necessary.
- B) Meetings of the Academic Assembly may be requested by a petition of not less than 10 percent of its membership. Upon receipt of such petition, the Chair shall call a meeting to take place in not more than ten instructional days.
- C) The Academic Assembly may, if a quorum is present, make recommendations directly to the President.

**Section 2. QUORUM OF THE ACADEMIC ASSEMBLY**

A quorum of the Academic Assembly shall be 25% of its voting membership.

**Section 3. MEETINGS OF THE ACADEMIC SENATE**

- A) The Chair of the Academic Senate shall call at least one meeting of the Academic Senate each semester.
- B) Meetings of the Academic Senate may be requested by a petition of not less than 15 percent of its membership. Upon receipt of such a petition, the Chair shall call a meeting as soon as practical.
- C) Meetings of the Academic Senate may be requested in writing by any three members of the Executive Committee, and the Chair shall call a meeting upon receipt of such a request as soon as practical.

**Section 4. QUORUM OF THE ACADEMIC SENATE**

A quorum of the Academic Senate shall be a simple majority of its voting membership.

**Section 5. MEETINGS OF THE EXECUTIVE COMMITTEE**

The Chair of the Academic Senate shall normally call meetings of the Executive Committee of the Academic Senate not less than once every month during the academic year.

**Section 6. QUORUM OF THE EXECUTIVE COMMITTEE**

A quorum of the Executive Committee shall be a simple majority of its voting membership.

**ARTICLE IV****Section 1. COLLEGE / SCHOOL GOVERNANCE AND CONSULTATION**

Each college / school shall have Articles of Governance which provide for faculty consultation and participation in the development of school policy and procedures. Provisions of college / school constitutions shall be consistent with the principles and practices of shared governance and consultation embodied in the Constitution of the CSU, Fresno, Academic Assembly and shall include matters for which the faculty has primary responsibility: Curriculum, budget and academic personnel.

**ARTICLE V**

**Section 1. PROPOSAL OF AMENDMENTS**

Amendments to this Constitution can be initiated (1) by a simple majority vote of the Academic Senate; or (2) by a petition signed by at least 20 percent of the members of the Academic Assembly.

**Section 2. APPROVAL OF AMENDMENTS**

Amendments proposed pursuant to Article V, Section 1, shall require approval by two-thirds of the members of the Academic Assembly voting and the approval of the President of the University.

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This Constitution was adopted by a two-thirds vote of the Academic Assembly in 1965.

**Recommended by the Academic Senate**

**Approved by the President**

March 20, 2018

January 1995  
February 1996  
September 2002  
March 23, 2018

## **BYLAWS**

### **ACADEMIC ASSEMBLY**

### **CALIFORNIA STATE UNIVERSITY, FRESNO**

#### **ARTICLE I**

##### **Section 1. NAME**

The name of the organization shall be the Academic Assembly of California State University, Fresno.

#### **ARTICLE II**

##### **Section 1. MEMBERSHIP OF THE ACADEMIC ASSEMBLY**

The membership of the Academic Assembly shall be as provided for in the Constitution.

#### **ARTICLE III**

##### **Section 1. OFFICERS OF THE ACADEMIC ASSEMBLY**

The Officers of the Academic Assembly shall be as provided for in the Constitution.

#### **ARTICLE IV**

#### **RECORDS OF THE ACADEMIC ASSEMBLY**

##### **Section 1.**

The current records of the Academic Assembly shall be maintained in the Office of the Academic Assembly which shall also be the Office of the Academic Senate.

##### **Section 2.**

The permanent records of the Academic Assembly shall be filed in the University Archives of the University [Library](#).

#### **ARTICLE V**

##### **Section 1. PARLIAMENTARY AUTHORITY**

The latest edition of Robert's Rules of Order Newly Revised shall prevail at all meetings of the Academic Assembly, and at all meetings of its committees thereof.

## **ARTICLE VI**

### **Section 1.     QUORUM**

At meetings of the Academic Assembly, 25% of its voting membership members shall constitute a quorum.

## **ARTICLE VII**

### **Section 1.     MINUTES OF THE ACADEMIC ASSEMBLY**

The minutes of the Academic Assembly shall be published and made available to all members of the Academic Assembly.

## **ARTICLE VIII**

### **Section 1.     AGENDA**

The agenda for Academic Assembly meetings shall be prepared by the Chair of the Academic Assembly in consultation with the President of the University. Such an agenda shall be submitted for approval by simple majority vote as the second item of business of Academic Assembly meetings. Additional items may be added to the agenda for any meeting by a two-thirds vote of the members present and voting.

## **ARTICLE IX**

### **Section 1.     COMMITTEES**

The committees of the Academic Assembly shall be the Standing Committees of the Academic Senate.

## **ARTICLE X**

### **Section 1.     BYLAW AMENDMENTS**

The Academic Senate shall propose, by a simple majority of those voting, amendments to the bylaws of the Academic Assembly, subject to approval of the Academic Assembly.

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**CONSTITUTION:**     LAST DATE REVISED- January 1995; February 1996, September 2002  
**BYLAWS:**             LAST DATE AMENDED   - December 1995; February 1996

**BYLAWS  
ACADEMIC SENATE  
CALIFORNIA STATE UNIVERSITY, FRESNO**

**ARTICLE I**

**Section 1. NAME**

The organization shall be the Academic Senate of California State University, Fresno.

**ARTICLE II**

**Section 1. MEMBERSHIP OF THE ACADEMIC SENATE**

The membership of the Academic Senate shall consist of (A) elected members, and (B) ex-officio members.

**ARTICLE III**

**Section 1. OFFICERS OF THE ACADEMIC SENATE**

The Officers of the Academic Senate shall consist of a Chair and a Vice Chair, each of whom shall be elected from the elected members of the Academic Senate for a two-year term.

**ARTICLE IV**

**RECORDS OF THE ACADEMIC SENATE**

**Section 1.**

The current records of the Academic Senate shall be maintained in the Office of the Academic Senate.

**Section 2.**

The permanent records of the Academic Senate shall be filed in the University Archives of the University Library.

**ARTICLE V**

**Section 1. PARLIAMENTARY AUTHORITY**

The latest edition of Robert's Rules of Order Newly Revised shall prevail at all meetings of the Academic Senate and at all meetings of its committees.



## **ARTICLE VI**

### **Section 1.     QUORUM**

At meetings of the Academic Senate, a simple majority of the voting members thereof shall constitute a quorum.

## **ARTICLE VII**

### **Section 1.     MINUTES OF THE ACADEMIC SENATE**

The Minutes of the Academic Senate shall be published and sent to all members of the Academic Senate.

## **ARTICLE VIII**

### **AMENDMENTS TO THE BYLAWS**

#### **Section 1.**

Amendments to these bylaws may be proposed by (1) a petition of at least 10 percent of the Academic Senate membership, or by (2) a simple majority vote of the total membership of the Academic Senate at a duly constituted meeting.

#### **Section 2.**

All such proposals shall be submitted in writing to the Chair of the Academic Senate.

#### **Section 3.**

Any duly proposed amendment to these bylaws shall be submitted for discussion at a meeting of the Academic Senate.

#### **Section 4.**

Such a proposed amendment shall be distributed in writing to the members of the Academic Senate at least five instructional days prior to the above meeting.

#### **Section 5.**

An amendment to these bylaws shall become effective when it has received an affirmative vote of a simple majority of the Academic Senate present and eligible to vote.

## **ARTICLE IX**

### **AGENDA**

#### **Section 1.     PREPARATION OF THE AGENDA**

A) **Setting the Agenda**

The agenda of any meeting of the Academic Senate, as prepared by the Executive Committee, may not be changed except with a two-thirds vote of those members of the Academic Senate present and voting.

B) **Arrangement of the Agenda**

The agenda, at the last meeting of the Academic Senate, shall provide for written summary reports from each of the Chairs of the Senate Standing Committees and/or other reports at a time and place deemed appropriate by the Chair of the Academic Senate.

C) **Distribution of the Agenda**

The agenda of all meetings of the Academic Senate called by the Executive Committee shall be sent to members of the Senate at least three (3) instructional days before the meeting.

#### **Section 2.     CONSENT CALENDAR**

A) Routine items to be forwarded to the Senate will be placed on the Consent Calendar. An objection by any member of the Executive Committee at the time of that Committee's recommendation to the Senate will cause the item to be placed on the regular Senate agenda.

B) The Consent Calendar will contain (or refer to) the full and complete proposal being submitted for Senate action. An item on the consent calendar will be read once by title in the Senate, and the Chair will ask if there is any objection to unanimous approval. If none is stated, the item is approved by the consent of the Academic Senate.

Debate is not allowed on any item on the Consent Calendar, but questions for clarification are permitted.

C) Objection by any Senator to any item will remove it from the Consent Calendar. Any item removed from the consent calendar will be given a place on the Senate agenda for the same meeting. Its position shall be at the discretion of the Chair, who will announce that position; however, the Senate may overrule the decision of the Chair by a two-thirds vote.

#### **Section 3.     APPROVAL**

Except those items approved on the consent calendar, agenda items will not be deemed to have been accepted by the Academic Senate and recommended to the President until the proposals have been reviewed at two (2) Senate meetings. Documents which have been amended by the Senate during the first reading must be submitted to the Senate in revised form prior to the second reading. At the time of the first reading the Senate, by a two-thirds vote of those present and voting, may waive the requirement for a second reading on a motion to waive the rules.

## **ARTICLE X**

### **STATUS OF EX-OFFICIO MEMBERS**

#### **Section 1.**

Voting ex-officio members of the Academic Senate shall be considered members thereof in the determination of a quorum. (Const., Art II, Section 2.A.1)

#### **Section 2.**

Non-voting ex-officio members of the Academic Senate shall not be considered members thereof in the determination of a quorum. (Const., Art II, Section 2,A,2)

#### **Section 3.**

Voting ex-officio members of the Academic Senate or its committees shall have the same voting rights as any other member thereof.

#### **Section 4.**

Additionally, the President and the Provost of the University are non-voting ex-officio members of all Senate Standing Committees.

## **ARTICLE XI**

### **ELECTIONS**

#### **Section 1.     CONDUCT OF ELECTIONS**

University-wide and Academic Senate elections shall be supervised by the Nominating/ Elections Committee of the Academic Senate. Constituencies of the University other than the Academic Assembly and the Academic Senate may request the Nominating/Elections Committee to conduct an election within that constituency.

#### **Section 2.     CERTIFICATION OF THE ELECTORATE FOR ELECTION OF ACADEMIC SENATORS**

Each year by October 15 the Senate Office shall receive, from the Office of Academic Personnel, a certified list of all faculty including Librarians and Student Services Professionals - Academically Related, as defined in the Constitution.

#### **Section 3.     NOMINATION CALL FOR SENATORS**

The Nominating/Elections Committee shall issue the call for nominations and announce the availability in the Academic Senate Office of nominating petitions on the first instructional day of the spring semester. Elections are to be conducted in the following order: Department Senators, Delegate to the Academic Senate, California State University, and University-wide Senator.

#### **Section 4.     NOMINATIONS**

Nominations shall be made by nominating petitions containing the consent of the nominee. In the case of the Chair and Vice Chair of the Academic Senate and University-wide and State-wide Senators the nominating petitions shall contain signatures of two-percent of the constituency. For the Chair and Vice Chair, signatures must come from faculty members in at least three colleges or schools. Nominating petitions shall be accompanied by a declaration from the nominee who agrees to meet the eligibility requirements of the office and fill the office if elected. The nominee should forward a short statement of qualifications to accompany the ballot. Nominations shall be closed ten instructional days after the issuance of the call. If there are not at least two nominations for each office or position, provisions for write-ins shall be made.

#### **Section 5.     ELECTION PROCEDURE**

The Nominating/Elections Committee shall establish procedures including instructional days for voting, closing time of the polls, security of the ballots and secrecy of the ballots cast. Names of all nominees will appear alphabetically on the election ballot. If no nominee receives a majority of the ballots cast, the Committee shall call for a new ballot containing the names of the two with the most votes for each office unless there is a tie, in which case a candidate, in addition to those tied shall be included on a runoff ballot. In case of a repeated tie, election will be by lot. Such runoff elections shall be concluded within five instructional days of the issuance of the ballots. A more detailed description of the election procedure is to be found in the document titled "Procedures for the Nominating/Elections Committee," which is available in the Office of the Academic Senate.

#### **Section 6.     TERMS OF SENATORS**

Terms of the new Senators shall begin on the last Monday in April.

#### **Section 7.     ELECTION OF OFFICERS AND EXECUTIVE COMMITTEE**

- A) After the newly elected Senators have been installed, the Senate shall proceed to elect its officers to fill vacancies on the Executive Committee by procedures formulated by the Nominating/Elections Committee and approved by the Academic Senate.
- B) The new officers and members shall assume their duties upon certification of their election by the Nominating/Elections Committee to the Chair of the Academic Senate.
- C) Until a replacement is elected, current members will continue to serve regardless of status in the Academic Senate.

#### **Section 8.     ELECTION OF DELEGATE TO THE STATEWIDE ACADEMIC SENATE, CALIFORNIA STATE UNIVERSITY**

- A) The term of office for each Delegate to the Statewide Academic Senate, California State University shall be for a period of three years.
- B) If a delegate to the Statewide Academic Senate is to be absent from the campus and unable to participate in Senate activities for a period of more than one semester, or if the Senator resigns for any reason, an election shall be conducted by the Nominating/Elections Committee to elect a new Senator who shall serve the remainder of the term.
- C) In the event the elected Statewide Academic Senator is unable to attend a meeting of the Academic Senate, California State University, the Chair, or designee, of the local Senate shall attend and vote at that meeting.

## **Section 9. ELECTION OF UNIVERSITY-WIDE SENATORS**

The term of office for each University-wide Senator shall be for a period of three years.

## **Section 10. ELECTION PROTESTS**

All election protests will be adjudicated by the Executive Committee of the Academic Senate. Such protests must be filed no later than one month after the announcement of the election results.

# **ARTICLE XII**

## **COMMITTEES**

### **Section 1. ESTABLISHMENT OF SENATE STANDING COMMITTEES**

#### **A) Executive Committee**

Pursuant to Art. II, Sec. 6, of the Constitution, the Academic Senate shall establish an Executive Committee as a Senate Standing Committee. The Executive Committee shall have the following functions and responsibilities:

1. The Executive Committee is primarily responsible for the participation of the faculty in university governance. It is the body with which the President consults in order to provide an effective channel of communication between the President and the Academic Assembly with respect to their joint and several responsibilities in the immediate governance of the University. The primary function of the Executive Committee is to assist the Academic Senate in the discharge of its duties.
2. The Executive Committee shall have the responsibility to take watchful care that the procedures, policies and recommendations of the Academic Assembly and Academic Senate are being appropriately respected.
3. The Executive Committee shall receive all communications addressed to the Academic Assembly or the Academic Senate and shall be the primary conduit through which the Administration submits to the Academic Senate Standing Committees and Subcommittees all communications pertaining to matters herein described as under the purview of the Academic Senate.
4. The Executive Committee is the body which the President consults on questions about clarifications and/or modifications on recommendations of the Academic Senate. The Chairman of the appropriate Senate Standing Committee shall participate in such consultation.
5. The Executive Committee shall transact such business as may be referred to it by the Academic Senate. The Executive Committee may make recommendations to the Senate on matters dealing with the administration of the Senate, including the Office of the Academic Senate.
6. The Executive Committee may recommend policies to the Senate on matters not clearly within the jurisdiction of a Senate Standing Committee.
7. The Executive Committee shall act for the Senate in emergency situations. An emergency situation shall exist when the Senate cannot be convened to take timely action. The Executive Committee will report any action to the Senate at its next meeting. The Senate may take whatever action it chooses with respect to the report.

8. The Executive Committee may act on matters not covered by Senate policy providing it purports to speak only for itself. The Executive Committee will report such actions to the Senate.
9. During the summer when the University is not in session, the Executive Committee, enlarged by the addition of the Delegates to the Academic Senate, CSU, the Chair or designees of the Academic Policy and Planning Committee, the Personnel Committee and the University Budget Committee, and other Committee/Subcommittee chairs as appropriate shall serve as the consultative body with the Administration on matters involving curriculum, budget and academic personnel. The members of the University Budget Committee shall also be members of this enlarged Executive Committee when appropriate. The Academic Senate will be informed of all consultation at its first meeting of the Fall Semester. The Academic Senate may take whatever action it chooses with respect to the report.
10. The Executive Committee shall prepare the agenda for meetings of the Academic Senate. The Executive Committee may ask a Standing Committee to reconsider an item on the grounds that the item is not ready for Senate consideration. A second formal request from a Standing Committee that an item be placed on the Senate agenda shall cause the item to be placed on the next Senate agenda.  
  
With respect to agenda items originating from the bodies, other than Standing Committees, the Executive Committee shall act on its own judgment unless directed otherwise by the Senate or Assembly.
11. The Executive Committee shall make recommendations concerning changes in bylaws and procedures of the Academic Assembly, the Academic Senate and the Executive Committee.
12. The Executive Committee shall have the power and duty to review questions relating to consultative procedures pertaining to the Academic Assembly and shall act as an appeal body in these matters.
13. The Executive Committee shall have the power to resolve all questions/disputes regarding representation and eligibility to represent the Academic Assembly in appointed and elected position.
14. The Executive Committee shall appoint a parliamentarian for meetings of the Academic Assembly and Academic Senate.
15. The Executive Committee shall make recommendations concerning the appointments to committees, task forces, ad hoc committees, and other groups as required.

B) Academic Policy and Planning Committee

An Academic Policy and Planning Committee shall be established as a Standing Committee of the Academic Senate.

1. Membership

The Academic Policy and Planning Committee shall be composed of nine members, seven of whom shall be faculty members elected by the faculty. No more than one faculty member will be from any one school or service area. Elected members shall serve three year staggered terms. A representative from the Administration shall be the eighth member. A representative appointed by the Associated Students shall be the ninth member.

## 2. Responsibility

The Academic Policy and Planning Committee shall be the deliberative body of the faculty on matters relating to university academic policy including but not limited to undergraduate curriculum, degree programs, graduation requirements, grading standards, school organization and departmentalization, extended education, faculty research, library services, admission, registration, academic eligibility, academic planning, academic facilities and other aspects of instructional development and delivery.

### C) Committee for Faculty Equity and Diversity (CFED)

A Committee for Faculty Equity and Diversity (CFED) shall be established as a Standing Committee of the Academic Senate.

The mission of the Committee for Faculty Equity and Diversity (CFED) is to monitor faculty issues related to equal opportunity, discrimination, and harassment; and increase campus awareness so that consistent compliance with policies and regulations is an integral part of campus operations.

## 1. Membership

The Committee shall be composed of thirteen members, ten of whom shall be faculty members appointed by the Academic Senate. There shall be one faculty member from each school or service area. The Committee should reflect the diversity of the campus. Members shall serve three year staggered terms. A representative of the Administration shall be the eleventh member. There shall be two student members appointed by the Associated Students.

## 2. Responsibility

- a) Monitor the changing needs of a diverse faculty
- b) Consult with and advise officers of the Administration on matters of equal opportunity, discrimination, and harassment.
- c) The Committee for Faculty Equity and Diversity (CFED) shall be the consultative body of the faculty on the California State University Fresno's Equal Employment and Educational Opportunity Plan (EEEE Plan). Its responsibilities shall be as follows:
  1. Consult in the development and implementation of Equal Employment Opportunity (EEO) policies, including the development of EEO training programs;
  2. Help communicate the purpose and goals of the EEEE Plan to the campus and community.
  3. Assist in coordinating individual school/college/departmental programs to implement the EEEE Plan
  4. Review, evaluate and annually report to the Academic Senate on the progress of the EEEE Plan
  5. Assist in the training and recruitment of EEO designees; and
  6. Serve as EEO Designees as appropriate.

D) General Education Committee

A General Education Committee shall be established as a Standing Committee of the Academic Senate.

1. Membership

The General Education Committee shall be composed of fourteen members, ten of whom shall be faculty members, elected by the faculty to represent the entire university for three-year terms. Two members shall be students, and one person from the Provost's Office. There shall be one non-voting representative appointed by the Vice President for Student Affairs.

- a. Faculty: one faculty shall be elected from each of the schools. In addition, two more faculty shall be elected from among the schools of Arts and Humanities, Natural Sciences, or Social Sciences with no more than two from any school.
- b. Students: two students designated by the Associated Students.
- c. Ex-officio: one voting representative from the Office of the Provost.
- d. Non-voting: one non-voting representative appointed by the Vice President for Student Affairs.
- e. Chair: the chair shall be nominated and elected from the elected members of the committee.

2. Responsibility

- a. The General Education Committee shall evaluate and approve courses for inclusion in the General Education Program.
  - i) When evaluating proposed courses the Committee must follow the general statewide requirements of Executive Order 595 as well as the specific local criteria approved by the Academic Senate and the Provost.
  - ii) Course approval shall be based upon the written criteria and upon policy guidelines provided by the Academic Senate as approved by the Provost.
  - iii) When proposals are rejected by the General Education Committee written reasons will be provided.
- b. The General Education Committee shall coordinate a regularly scheduled review of General Education courses to ensure compliance with General Education policies and guidelines.
  - i) All General Education courses will be subject to periodic and detailed review.
  - ii) A course which appears to be in serious violation of General Education policy and guidelines and/or is inconsistent with the approved course proposal, may be reviewed at any time.
- c. The General Education Committee shall implement General Education policy and guidelines as adopted by the University.
  - i) Courses found in violation of current General Education policies and guidelines (e.g., failure to meet the writing requirements, exceeding enrollment limits, failure to offer courses consistently) as well as courses whose grading significantly deviates from recognized practices are subject to deletion from General Education. The Provost's Office shall issue a notice of violation and identify the remedial action that must be



taken and a deadline for compliance. If remedial action is not taken by the date specified, the course will be removed from the General Education Program.

- ii) A failure by departments/programs to fully participate in the process of periodic reviews will result in the removal of the subject course from the General Education Program.
- d. The General Education Committee shall submit, on a yearly basis, a report on the status and functioning of the General Education Program as a whole to the Executive Committee of the Academic Senate.
- e. The General Education Committee shall develop and forward to the Executive Committee of the Academic Senate recommendations for changes in General Education Policy.

### 3. Appeals/Reinstatement

- a. A department or program may appeal to the Provost a decision by the General Education Committee that a department or program course is in violation of General Education Policy. If the appeal is upheld, the matter shall be remanded to the General Education Committee for reconsideration. If the Committee rejects the decision of the Provost, the appeal shall be forwarded along with the recommendations of the Provost and the General Education Committee to the Academic Senate for review, prior to resubmission and final decision by the Provost.
- b. Courses which have been proposed for inclusion in the General Education Program, but have been rejected by the Committee, may be resubmitted no sooner than the following semester. Courses that have been removed from the General Education program may be considered for reinstatement, if requested by the department/program, no sooner than one calendar year from the date of the notice of removal. Reinstatement will be treated in the same way as a new submission.

### 4. Exceptions to General Education Requirements

- a. Requests for exceptions to the General Education requirements submitted by high-unit professional degree programs will be received and considered by the General Education Committee.
  - i) Academic justifications for such requests are to be presented to the Committee.
  - ii) If the request concerns campus policies alone, the Committee's recommendations, with complete documentation, will be forwarded to the Provost.
  - iii) If the request concerns system-wide policies, the Committee's recommendations, with complete justification, will be forwarded to the Provost for submission to the Chancellor's office.
- b. Individual student requests for exemptions or substitutions shall be received and acted upon by the Student Academic Petitions Committee.

E) Graduate Committee

The Graduate Committee shall be established as a Standing Committee of the Academic Senate.

1. Membership

The Graduate Committee shall be composed of ten members, eight of whom shall be faculty members who, at the time of election, are involved in graduate education through coordination, teaching or supervision and who shall be elected by the faculty. No more than one faculty member shall be from any one school. Elected members shall serve three year staggered terms. The Dean of Graduate Studies shall be the ninth member. A graduate student appointed by the Graduate Student Association Council shall be the tenth member.

2. Responsibility

- a) The Graduate Committee shall be the deliberative body of the faculty on matters relating to graduate education, curriculum, planning and research including but not limited to post-baccalaureate course offerings, degree programs, extension, admission and matriculation requirements, assistantships, fellowships, graduate student awards, grading, library services, and other matters related to post-baccalaureate and graduate instructional development and delivery
- b) The Graduate Committee shall develop, periodically review, revise as appropriate and recommend such university-wide graduate policies, standards, and procedures as are conducive to the maintenance of quality in advanced degree programs throughout the University. Pursuant to this, it shall coordinate policies, standards, and procedures of the departments and schools and the University as a whole, insofar as they relate to degrees and/or programs beyond the bachelor's degree.
- c) The Graduate Committee shall also serve as a consultative body to the Dean of the Division of Research and Graduate Studies.
- d) On other matters relating to the Division of Research and Graduate Studies, the Graduate Committee may advise the administrative officers of the University.

F) Nominating/Elections Committee

A Nominating/Elections Committee shall be established as a Standing Committee of the Academic Senate.

1. Membership

The Nominating/Elections Committee shall be composed of nine faculty members nominations shall be made by the Executive Committee and appointed by the Academic Senate. No more than one faculty member will be from any one school or service area. Members shall serve three year staggered terms.

2. Responsibility

- a) The Nominating/Elections Committee shall be responsible for nominating candidates for appointive committees and boards and for recommending election procedures, but shall not recommend candidates for Academic Assembly and Academic Senate elections.

- b) Members of the Nominating/Elections Committee appointed by the Senate shall be responsible for supervising all elections of the Academic Senate pursuant to Bylaws, Article XI, on elections procedures.
- c) Members of the Nominating/Elections Committee upon request, shall supervise or monitor elections in departments, schools or service areas in accordance with their constituency's governance procedures.
- d) After consultation with the Executive Committee, the Nominating/Elections Committee will be responsible for making nominations to the Academic Senate for committee and board appointments no later than April 1 of each year. The Committee will also nominate people to appointive positions on committees and boards as vacancies occur.
- e) After consultation with the Executive Committee, the Nominating/Elections Committee will nominate faculty members to be selected by the Academic Senate for service on administrative search committees.
- f) Committee consultation with administrative officers with regard to any recommendation for appointment shall occur in committee meetings.

G) Personnel Committee

A Personnel Committee shall be established as a Standing Committee of the Academic Senate.

1. Membership

The Personnel Committee shall be composed of nine members, seven of whom shall be faculty members elected by the faculty. No more than one faculty member may be from any one school or service area. Elected members shall serve three year staggered terms. A representative of the Administration shall be the eighth member. A student appointed by the Associated Students shall be the ninth member.

2. Responsibility

The Personnel Committee shall be the deliberative body of the Academic Senate on personnel policy and procedure. The function of the Personnel Committee is to formulate personnel policy and procedure recommendations for the Academic Senate related to all academic and academic related employees in the University. On personnel matters not otherwise covered by established policies or procedures, the Personnel Committee may advise the administrative officers of the University. Personnel concerns within the purview of the Committee include: academic freedom and responsibility; faculty morale; professional development; matters pertaining to appointment, retention, tenure, promotion; evaluation and review of faculty and administrators; other personnel matters of interest; and such matters as may be brought before the Committee by the Academic Senate.

H) Student Affairs Committee

A Student Affairs Committee shall be established as a Standing Committee of the Academic Senate.

1. Membership

The Student Affairs Committee shall be composed of eleven members, seven of whom shall be faculty members appointed by the Academic Senate. No more than one faculty member shall be from any one school or service area. Members shall serve three year staggered terms. A representative of the Administration shall be the eighth member. Three students appointed by the Associated Students shall complete committee membership.

2. Responsibility

The Student Affairs Committee shall be the deliberative body of the faculty on student affairs and services including but not limited to admissions, advising, counseling, evaluations, records, student discipline, student government, student organization, students with disabilities, financial aid, student orientation programs, facilities planning and other matters related to student activities.

I) University Budget Committee

A University Budget Committee shall be established as a Standing Committee of the Academic Senate.

1. Membership

The University Budget Committee shall be composed of nine members, seven of whom shall be faculty members elected by the faculty. No more than one faculty member shall be from any one school or service area. Elected members shall serve three year staggered terms. A representative of the Administration shall be the eighth member. A student appointed by the Associated Students shall be the ninth member.

2. Responsibility

The University Budget Committee shall be the deliberative body of the faculty on budget and resource use as they affect the University and including but not limited to instructional budget, allocation of faculty positions, allocation of space, institutional support budget, the athletic budget, facilities planning and self-support programs. The Committee shall be responsible for recommending on all university budget decisions affecting instruction.

**Recommended by the Academic Senate****Approved by the President****CONSTITUTION**

January 1995  
February 1996  
September 2002

**BYLAWS:**

December 1995  
February 1996  
March 2003  
April 27, 2018

April 23, 2018

## **BYLAWS**

### **EXECUTIVE COMMITTEE**

### **CALIFORNIA STATE UNIVERSITY, FRESNO**

#### **ARTICLE I**

##### **Section 1.     NAME**

The name of the organization shall be the Executive Committee of the Academic Senate.

#### **ARTICLE II**

##### **Section 1.     MEMBERSHIP OF THE EXECUTIVE COMMITTEE OF THE ACADEMIC SENATE**

The membership of the Executive Committee of the Academic Senate shall be defined in the Constitution.

#### **ARTICLE III**

##### **Section 1.     OFFICERS OF THE EXECUTIVE COMMITTEE OF THE ACADEMIC SENATE**

The Officers of the Executive Committee of the Academic Senate shall be the Officers of the Academic Senate as set forth in the Constitution.

#### **ARTICLE IV**

##### **RECORDS OF THE EXECUTIVE COMMITTEE OF THE ACADEMIC SENATE**

##### **Section 1.**

The current records of the Executive Committee of the Academic Senate shall be maintained in the Office of the Academic Senate.

##### **Section 2.**

The permanent records of the Executive Committee of the Academic Senate shall be filed in the University Archives of the University Library.

##### **Section 3.**

A policy file shall be maintained by the Academic Senate Office and brought up to date at least once a year. The policy file shall be a summary of the policies of the Academic Senate and/or the Academic Assembly.

## **ARTICLE V**

### **Section 1.     PARLIAMENTARY AUTHORITY**

The latest edition of Robert's Rules of Order Newly Revised shall prevail at all meetings of the Executive Committee of the Academic Senate and at all meetings of subcommittees.

## **ARTICLE VI**

### **Section 1.     QUORUM**

At meetings of the Executive Committee of the Academic Senate a simple majority of the members thereof shall constitute a quorum.

## **ARTICLE VII**

### **Section 1.     MINUTES OF THE EXECUTIVE COMMITTEE**

The minutes of the Executive Committee shall be published and be made available to all members of the Academic Assembly.

### **Section 2.     CALENDAR**

The Executive Committee shall be responsible for establishing the calendars for the Academic Senate and the Executive Committee.

## **ARTICLE VIII**

### **Section 1.     COMMITTEES**

The Executive Committee shall appoint such ad hoc committees as it deems necessary to carry out its functions.

## **ARTICLE IX**

### **Section 1.     AMENDMENTS**

The Bylaws of the Executive Committee may be amended by a simple majority vote of the Academic Senate of those present and voting.

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**CONSTITUTION:**     LAST DATE REVISED - January 1995; February 1996, September 2002  
**BYLAWS:**             LAST DATE AMENDED - December 1995; February 1996

## PROCEDURES FOR VOTES OF CONFIDENCE

On rare occasions, in the course of university business, the faculty may wish to express or record its opinion regarding their administration. These votes are generally described as votes of confidence. A vote of confidence is a statement of the sense of the faculty and not a personnel recommendation. The vote is not binding but is reported to the President and to the appropriate vice president; or to the Chancellor when the administrator is the President of the university. This policy is limited to votes of confidence regarding administrators as defined in Title 5.<sup>1</sup>

### Procedure

- A. Five or more full-time faculty members may call for a vote of confidence in an administrator by initiating a petition by signature which is then placed in the Office of the Academic Senate. The petition to conduct a vote of confidence shall contain a statement of reasons for calling for the vote.
- B. The Academic Senate Office will notify the chair of the Nominating Elections Committee, the administrator involved, and the chair of the faculty assembly in the college/school, or the chair of the Academic Senate for administrators with university responsibilities that the petition is available for signature. A copy of the petition shall be attached to the notification.

The chair of the faculty assembly in the college/school or the chair of the Academic Senate, as appropriate, shall distribute a copy of the petition (without signatures) and these procedures to the appropriate faculty constituency as defined in Section G below.

The petition will be available for signature in the Academic Senate Office for ten (10) instructional days from the date of the notification by the Academic Senate Office.

- C. In order for a vote of confidence to occur, the petition must be signed by thirty percent (30%) of the full-time faculty members of the college/school. In cases of academic administrators who do not have responsibilities for a college/school, the petition must be signed by thirty percent (30%) of the full-time members of the Academic Assembly.
- D. Each petitioner shall sign a separate copy of the petition so that each person submitting a petition has no knowledge of those who sign before or after them. The petitions will be made available in the Academic Senate Office. Only full-time faculty members from the college/school or Academic Assembly, as appropriate, are eligible to sign a petition.

The list of full-time faculty eligible to sign the petition or to vote will be established from the list of full-time faculty certified by the Office of Academic Personnel Services to the Academic Senate during the proceeding October.

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<sup>1</sup> See Management Personnel Plan, *California Code of Regulations*, Title 5 Section 42720 - 42728

- E. After the conclusion of the ten instructional days, the chair of the nominating elections committee will determine if each signature on the petition is an eligible full-time faculty member from the appropriate unit. After the signatures are verified, and there is at least thirty percent (30%) of the full-time faculty requesting a vote, the chair of the nominating elections committee will draw up a ballot and announce the date of the vote.<sup>2</sup> The voting shall commence within ten (10) instructional days of the verification of signatures.
- F. The vote will be by secret ballot, following the normal procedures for a senate written ballot.
- G. Full-time faculty members in the college/school or Academic Assembly, as appropriate, and in active employment status at the time of the voting are eligible to vote. Participants in the Faculty Early Retirement Program and other tenured faculty members in a reduced time base program in active employment status at the time of the vote are eligible to vote.
- H. Within ten (10) instructional days after the completion of the balloting, the results will be tabulated by the Nominating Elections Committee with at least three (3) members of the committee present.<sup>3</sup>
- I. The report of the vote shall include
  - 1. the number of faculty who were eligible to vote;
  - 2. the total number of faculty who voted;
  - 3. the total number of faculty who voted confidence in the administrator;
  - 4. the total number of faculty who voted no confidence in the administrator.
- J. In the case of a vote with respect to an administrator with university wide responsibilities, the chair of the Nominating Elections Committee shall provide a written report to the Executive Committee of the Academic Senate and the affected administrator with a copy to the President and the appropriate vice president. The Executive Committee of the Academic Senate shall forward the results to the Academic Assembly.
- K. In the case of a vote with respect to an administrator with college/school responsibilities, the chair of the Nominating Elections Committee shall provide a written report to the faculty executive committee in the college/school, and the affected administrator with a copy to the President and the Provost and Vice President for Academic Affairs. The executive committee in the college/school shall forward the results to the Faculty Assembly within the college/school.
- L. In the case of a vote of confidence with respect to the President, the chair of the Nominating Elections Committee shall provide a written report to Executive Committee of the Academic Senate, the Chancellor of the California State University, the Trustees of the California State University and the President. The Executive Committee of the Academic Senate shall forward the results to the academic assembly.
- M. A vote of confidence may be taken with respect to an administrator no more than once every eighteen months.
- N. The direct supervisor shall review the results of the vote.

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<sup>2</sup> See Appendix A for the sample ballot.

<sup>3</sup> In the event that the vote is being held on a dean or associate dean, the member of the Nominating Elections Committee from that college/school shall not be present.



- O. Regardless of the outcome of the vote, the direct supervisor <sup>4</sup> shall meet in executive session with the college/school executive committee or the Executive Committee of the Academic Senate, as appropriate, to discuss the reasons for the vote and the results of the vote. The direct supervisor may request additional information from the appropriate committee.
- P. Regardless of the outcome of the vote, the direct supervisor shall discuss the vote as well as any additional information received from the appropriate committee with the affected administrator. The direct supervisor shall inform the appropriate faculty after the discussion with the affected administrator that this meeting has occurred.

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Recommended by the Academic Senate  
Approved by the President

May 2003  
**May 20, 2003**

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<sup>4</sup> This provision does not apply when the vote of confidence is with respect to the President. In such cases, the systemwide procedures will be implemented.

**APPENDIX A**  
**SAMPLE BALLOT**

VOTE OF CONFIDENCE

PURSUANT TO THE ATTACHED PETITION SIGNED BY AT LEAST THIRTY PERCENT OF THE COLLEGE/SCHOOL (OR ACADEMIC ASSEMBLY), A VOTE OF CONFIDENCE HAS BEEN REQUESTED ON

\_\_\_\_\_  
NAME

\_\_\_\_\_  
TITLE

I HAVE

\_\_\_\_\_ **CONFIDENCE** IN THIS PERSON AS AN ADMINISTRATOR

\_\_\_\_\_ **NO CONFIDENCE** IN THIS PERSON AS AN ADMINISTRATOR

(A COPY OF THE PETITION REQUESTING THIS VOTE IS ON THE REVERSE SIDE)

**Policy on consultation regarding the implementation of  
California State University executive orders.**

Recognizing that the Chancellor of The California State University periodically pre-empts parts of the Academic Policy Manual (APM), it is the general policy of California State University, Fresno that implementation of such executive orders by the president, or the president's designee, be done with the maximum possible amount of consultation with the Academic Senate. All new executive orders shall be presented to the Academic Senate at its first meeting after the order is received, or provided electronically to all senators at the earliest possible date after the order is received. The president shall then consult with the Executive Committee of the Academic Senate, or a relevant standing committee if that is more appropriate given the executive order's subject matter, regarding the appropriate way to implement the executive order on this campus that maximizes the involvement of the faculty.

Specifically, this consultation shall ensure the following:

- 1.) That where the executive order requires campus policies be revised or new policies created, existing Academic Senate committees and processes shall be used whenever possible rather than ad hoc committees or task-forces.
- 2.) That where the Academic Senate feels additional policies and procedures are in the best interests of the university than those required by the executive order, the Academic Senate may recommend a new or revised policy for inclusion in the APM that exceeds the guidelines provided by the Chancellor's Office.
- 3.) That the Academic Senate shall have representation on any campus task force, committee, or oversight body when mandated by the executive order with faculty appointed through regular procedures laid out elsewhere in the APM.
- 4.) That when considered necessary by the Executive Committee of the Academic Senate, the text of the executive order shall be included in the APM; in cases where the Academic Senate has approved a policy implementing the executive order, the order must be appended to that policy in the APM.

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Senate Approval  
11/23/15

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President Approval  
1/28/16

## **RESPONSIBILITIES OF ACADEMIC SENATES WITHIN A COLLECTIVE BARGAINING CONTEXT**

### **Academic Senate Participation in Governance**

The Academic Senate of the California State University shall have no authority over those matters delegated to California State University, Fresno, by the Chancellor or by the Board of Trustees of the California State University. Furthermore, nothing in this document shall be construed to impair the right of the California State University, Fresno Academic Senate to communicate through appropriate channels with the Chancellor and the Board of Trustees, nor to diminish the authority of the California State University, Fresno Academic Senate in campus matters of academic/professional criteria and standards.

Because joint decision-making and consultation between administrators and faculty are essential to the performance of the educational missions of the California State University, the California State University, Fresno Academic Senate shall be the primary consultative body regarding educational and professional matters delegated to California State University, Fresno by the Chancellor or by the Board of Trustees of the California State University and shall be consulted on fiscal matters which affect the instructional program.

In respect to campus governance, the California State University, Fresno Academic Senate endorses the following principles:

- A. Responsibility shall be vested in the faculty or its elected Senate representative for:
  - 1. approval of degree candidates; and
  - 2. development of policies governing the award of grades
- B. Through the California State University Fresno Academic Senate responsibility shall be vested in the Academic Assembly through its elected Academic Senate representatives for developing policies and making recommendations to the President on the following matters:
  - 1. criteria and standards for appointment, retention, awarding of tenure, promotion and evaluation of academic employees including preservation of the principle of peer evaluation and provision for the direct involvement of appropriate faculty in these decisions;
  - 2. determination of membership in the Academic Assembly;
  - 3. curricular policies, such as admission and degree requirements, approval of new courses and programs, discontinuance of academic programs, and academic standards;
  - 4. faculty appointments to institutional task forces; advisory committees, and auxiliary organizations; and

5. academic standards and academic policies governing athletics.
- C. The California State University Fresno Academic Senate shall be the primary source of policy recommendations to the President on decisions related to the following matters:
1. establishment of campus-wide committees on academic or professional matters;
  2. the academic role of the library;
  3. academic awards, prizes, and scholarships
  4. the academic conduct of students and means for handling infractions; and
  5. development of institutional missions and goals.
- D. The California State University, Fresno Academic Senate shall be consulted by the President concerning:
1. the academic calendar and policies governing the scheduling of classes; and
  2. policies governing the appointment and review of academic administrators.
- E. This outline of functions and responsibilities is intended to provide the essentials for a satisfactory system of shared governance but should not necessarily be viewed as a comprehensive enumeration of such functions and responsibilities.

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Approved by the Academic Senate	January 1983
Approved by the President	April 1983

## **INTERIM POLICY ON STUDENT PARTICIPATION IN POLICY DEVELOPMENT**

The University values student advice on matters that will affect them. It is the policy of the University to request that Associated Students, Inc. appoint representatives to committees determined to be in need of student participants. Upon appointment, student committee members will serve with the full rights and responsibilities as faculty and staff unless otherwise noted in their appointment letter, the committee charge, or the Academic Policy Manual. Campus committee appointment procedures will reflect a process for assuring appropriate student membership – as well as faculty and staff. The appropriate office in the Student Affairs division will keep the Associated Students, Inc., and other student groups as necessary, apprised of new task forces, campus wide committees and commissions that have vacant student positions.

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Approved by the President as Interim

February 2009

## **UNDERGRADUATE POLICIES AND PROCEDURES MAJORS AND MINORS**

California State University, Fresno values, supports and encourages students to obtain a diverse and broadly-based education. This policy specifies the number of majors and/or minors an individual student may earn, establishes policy regarding declaration of majors and minors, and provides for administrative graduation.

### **Maximum Number of Majors and Minors**

A student may earn a maximum of two majors and two minors so long as all work can be completed within 144 earned units. If a degree requires more than 120 units, students must be able to complete the second major and any additional minors within 24 units beyond the number of units required for the larger unit degree. A student will be allowed 54 high school Advanced Placement (AP) and other similar units (IB and CLEP) in addition to the maximum of 144 earned units.

### **Declaring a Major**

Students who start as freshmen must declare a major approved by the department by the end of the semester in which they complete a total of 60 earned units (includes AP and other similar units). Transfer students must declare a major approved by the department prior to registering for their second term. Students who have not declared a major by the relevant deadline will have a registration hold placed and will not be able to register for courses until they declare a major.

### **Adding a Second Major**

Students who wish to declare a second major must submit a plan approved by the department offering the second major which demonstrates that the new major can be completed within 144 units. Students may not add a second major after completing the requirements for their first major unless students have not exceeded 120 earned units at the time of declaration

### **Changing Major**

Student requests to change a major must be approved by the department of the new major/option indicating that the student has been advised. If the student has 90 or more earned units, the request must be accompanied by a plan demonstrating that the new major can be completed within 144 units.

### **Adding a Minor**

Students can add a minor only if they can complete both their major and the minor within 144 earned units. Students may declare a minor by completing the appropriate form and receiving advising and approval, if required, by the Department. If the student has 90 or more earned units, the request must be approved by the Department offering the minor indicating the student has been advised.

### **Changing a Minor**

Students may drop their current minor at any time. They may add a new minor as long as they satisfy the policies and procedures for adding a new minor.

### **Earning a Major and Minor or More than One Minor from the Same Department**

Departments may offer a major and a minor to the same student, or more than one minor to the same student only if the major and minor(s) are associated with different academic degree programs. Note that different options in the same degree program are not considered different academic degree programs for this policy.

### **Satisfactory Progress**

Students who have completed more than 130 earned units must complete and follow a graduation plan. Upon review by the Dean of Undergraduate Studies, students who do not follow their graduation plan may be disqualified from the University for failure to make satisfactory academic progress.

### **Administrative Graduation**

Students who accumulate over 144 earned units may be graduated administratively if they have completed any major, whether or not they have declared that major. Enrollment beyond the 144 units will be restricted to (a) courses required to graduate in the major for which the student has accomplished the highest percentage of requirements, (b) a limited number of pre-requisite courses for graduate study, and (c) coursework toward a declared second major where the student requires no more than three courses to complete this educational goal. The chair of the program or programs where a student is facing administrative graduation and enrollment restrictions will be notified and may appeal this decision to the Dean of Undergraduate Studies on a case by case basis.

### **Appeals Process**

Students who wish to appeal a decision relative to above sections on changing of a major or minor, satisfactory progress, or administrative graduation shall follow the procedures of an appeal to the Academic Petitions Committee. Students will be given adequate notice of any of the actions outlined above in time to appeal the decision before implementation. Students who cannot complete their current major because of an inability to complete/pass a requirement may file a request with the Academic Petitions Committee to change majors even though they may need to exceed the 144 unit limit to complete their new major.

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Recommended by the Academic Senate  
Approved by the President

November 7, 2011  
December 22, 2011



## The CALIFORNIA STATE UNIVERSITY, FRESNO

### DEGREE GUARANTEE PROGRAM:

#### A Four-Year Graduation Plan For Full-Time Freshman Entry Students (non-transfer)

California State University, Fresno pledges that a student may attain the baccalaureate degree in four years when a student follows the provisions and regulations in the University General Catalog and meets the conditions below.

To facilitate students' graduation goals, CALIFORNIA STATE UNIVERSITY, FRESNO extends to qualified students the opportunity to engage in a formal partnership that assures timely completion of a degree. Students enrolling in the "California State University, Fresno Degree Guarantee Program" are pledged certain advantages that will facilitate progress toward the degree. Among these advantages are:

- A. Guaranteed Course Availability:** Students enrolled in the Degree Guarantee Program will be provided all courses specifically required for completion of their degree and major as described in the General Catalog and as articulated in the "Four Year Program of Study" developed with their Degree Guarantee Program advisor.
- B. Specialized Advising:** Students will be eligible for advising every semester from specially designated Degree Guarantee Program Advisors in their respective major departments (or, for undeclared majors, in the Office of Advising Services).
- C. Highest Level Priority Registration:** Students will not have their academic progress or graduation impaired by a lack of space in essential courses.

\*\*\*\*\*

**The Degree Guarantee Program is a partnership. Students share in the responsibility for timely graduation. To obtain a degree in 4 years students must fulfill the following conditions:**

- 1. ADVISORS:** Students must meet with their designated Degree Guarantee Program advisor every semester beginning in the first semester of their freshman year for the purpose of:
  - a) reaching agreement on/or updating their "Four Year Program of Study,"
  - b) considering available course offerings in relation to pertinent graduation requirements, and
  - c) confirming academic progress towards timely graduation.
- 2. FOUR YEAR PROGRAM OF STUDY:** The "Four Year Program of Study" is a plan designed in consultation with a designated Degree Guarantee Program Advisor to ensure completion of all degree requirements within 4 years. The Four Year Program of Study form must be

Degree Guarantee Program: A Four-Year Graduate Plan for  
Full-Time Freshman Entry Student (non-transfer)

December 14, 2004

202 - 1

signed jointly by the student and the advisor and placed on file in your major department (or temporarily, for undeclared majors, in the Office of Advising Services).

3. **ENTRY LEVEL MATH (ELM) and ENGLISH PLACEMENT (EPT) TESTS:** Unless exempted, students must have taken these exams during the senior year of high school or the summer prior to enrollment as a freshman. Scores must be at a level that allows the student to enroll in college level course work. Students who require remedial and/or developmental courses prior to enrollment in college level courses will require independent assessment as to eligibility for Degree Guarantee Program enrollment.
4. **GENERAL EDUCATION (GE) and UNIVERSITY REQUIREMENTS:** Students must fulfill in a timely manner all General Education and University requirements articulated in the University General Catalog for their year of entry. NOTE: Students not able to obtain their preferred course and/or their preferred section (days and hours) must be flexible in selecting available alternatives to maintain degree progress.
5. **MAJOR:** Students should select a major during the freshman year (unless advised otherwise) and must seek advising from the designated California State University, Fresno Degree Guarantee Program advisor in their major department so that degree obligations can be met. In many instances, changes of major will delay the completion of a degree. Students entering with an undeclared major should seek advising from the Office of Advising Services. NOTE: Students must be sure all prerequisite courses, including "Additional Requirements to the Major" are accounted for in the student's academic plan for graduation (See "Four Year Program of Study," above.).
6. **MINOR:** Minors can be highly desirable but must be carefully planned in close cooperation with a Degree Guarantee Program advisor. Pursuit of a minor may require an increased total unit load.
7. **UNIT LOAD:** Students must take a minimum of 12 units per semester (the minimum required to be a full time student) and complete an annual average of units appropriate for their degree program.
  - a) **120 Unit Programs:** Students must complete an average of 30 units per year (which could include Summer Sessions) to finish in 4 years.
  - b) **124-128 Unit Programs:** Students must complete an average of 31-32 units per year (which could include Summer Sessions) to finish in 4 years.
  - c) **Programs Exceeding 128 units:** In addition to an annual average of 32 units, students in these majors will be required to complete 3 to 7 additional units sometime during their 4 years of study.
8. **GRADE POINT AVERAGE (GPA):** The cumulative GPA, the cumulative California State University, Fresno GPA, and the GPA in a student's major all must be at or above 2.0. NOTE: Students electing to repeat courses for purposes of grade substitution to improve their GPA must do so over and above the minimum articulated annual unit requirements if they expect to complete their Degree Guarantee Program within the originally planned time. CAUTION: Academically disqualified students are unlikely to complete their Degree Guarantee Program in 4 years.
9. **REGISTRATION AND FEES:** Students will use the Web for registration at <http://my.csufresno.edu> at the appropriate time window and will pay fees by the required deadlines.

10. **COURSE ENROLLMENT:** Students will enroll and attend California State University, Fresno at those times (including evenings and weekends) when courses are offered and available.<sup>1</sup>  
<sup>2</sup>NOTE: Prior approval by the student's designated Degree Guarantee Program Advisor is required before registering at another institution for courses intended for transfer to California State University, Fresno.
11. **DEGREE FILING:** Students must file their application for graduation and pay the related fees by the University deadline.
12. **ACCOUNTABILITY:** Students must comply with all administrative, judicial, and academic policies and procedures as well as all aforementioned conditions of the Degree Guarantee Program.

\*\*\*\*\*

*Non-compliance with any of the above conditions 1 through 12 may result in voiding the student's enrollment in the California State University, Fresno Degree Guarantee Program and the University's pledge to award the student a degree within 4 years. Nonetheless, it is understood that all degree requirements still must be met before the University is able to award a degree.*

\*\*\*\*\*

*Enrollment in the California State University, Fresno Degree Guarantee Program is initiated by a student filing an application. Signing of this document by a student, his or her designated Degree Guarantee Program advisor, major department chair, and School Dean confirms their mutual understanding of the respective obligations of the student/university partnership required for the achievement of a degree in 4 years.*

*Additional information about the California State University, Fresno Degree Guarantee Program, **and applications**, may be obtained by contacting the Office of Advising Services at (559) 278-1787.*

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Recommended by the Academic Senate  
 Approved by the President

October 1994  
 11/94; **December 14, 2004**

*The CSUF Pledge:***A four-year graduation plan\***

1. **ELM and EPT:** Unless exempt, these exams must be taken during the senior year of high school or summer prior to enrollment as a freshman and scores must be at a level that allows the student to enroll in college level coursework.
2. **MAJOR:** The student should select a major during the freshman year and seek advising from the faculty in the appropriate department so that degree obligations can be met. Changes of major will delay the completion of the degree. If you enter as an undeclared student, you should seek advising from the Office of Advising Services.
3. **UNIT LOAD:** For all 120 unit degree programs, students must take a minimum of 12 units a semester and complete on the average 30 units per year (including summers) to finish in four years. To finish in 4 and 1/2 years, students should complete an average of 28 units per year. Programs requiring the completion of 124-128 units will require an average of 31-32 units per year to finish in 4 years and 29 units to finish in 4 and 1/2 years.
4. **GPA:** The cumulative GPA and the GPA in your major must be at or above 2.0.
5. **ADVISORS:** Students must meet with their department advisor/chair every semester beginning in the freshman year for the purpose of:  
     reaching agreement on "The Four-Year Course of Study",  
     and considering availability of course offerings as related to  
     the graduation requirements.
6. **REGISTRATION AND FEES:** Students will use the Web for registration at <http://my.csufresno.edu> at the appropriate time window and will pay fees by the required deadlines.
7. **ENROLL:** Students will enroll and attend at those times (including evenings and weekends) when courses are offered and available.
8. **FINANCIAL AID:** If eligible for assistance, students must meet the appropriate deadlines each year and meet all academic progress requirements.
9. **ACCOUNTABILITY:** Students must comply with all administrative, judicial and academic policies and procedures.

Non-compliance with any of these conditions may result in the cancellation of this agreement between the student and the university. This agreement must be signed by both the student and the appropriate faculty advisor.

Name: \_\_\_\_\_ PS ID Number: \_\_\_\_\_  
 Term of Entry: \_\_\_\_\_  
 Major: \_\_\_\_\_ Expected Term of Graduation: \_\_\_\_\_

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Student Signature

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Faculty Advisor Signature

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Date

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Date

\*It is possible that the first two years of study may have been completed at a community college. Assuming all general education is completed, and a minimum of 52 units are transferable, work in the major will be completed within 2 to 2 1/2 years.

Original: Filed in academic department office

Copies: Student

Evaluations Office MS JA 57

## **SPECIAL MAJOR FOR A BACHELOR OF ARTS/BACHELOR OF SCIENCE DEGREE**

The Special Major Degree provides an opportunity for students to engage in an individualized course of study leading to a degree when one's academic and professional goals are not accommodated by standard degree majors. The Special Major consists of correlated studies in two or more fields and should provide integrated instruction comparable in quality and depth to regular major programs. It is not intended as a means of bypassing normal graduation requirements.

The candidate must have one full year of academic work (at least 30 units) still to be completed to meet minimum degree requirements and must have the special major program approved by the **Provost and** Vice President for Academic Affairs at least one semester prior to the semester of graduation. The minimum requirement for the Special Major is an approved program of 45 units at least 30 units of which must be upper division work. Units applied to satisfy General Education requirements may not be included in the Special Major. Also, a maximum of six independent study units may be included in the Special Major Program. Any exception to this limit must be approved in writing by the **Provost and** Vice President for Academic Affairs upon written recommendation by the Special Major Advisor prior to registration for the additional units.

A student requesting a Special Major must obtain application forms from the Office of Advising **Services**. On these forms the student must: 1) Prepare a statement giving reasons for desiring a Special Major in terms of academic and professional goals and why these goals cannot be met through a standard major; 2) Develop a specific list of courses which would lead to the academic and professional goals stated above; 3) Secure the signed approval from the Office of Advising **Services**, as well as from *the* Special Major Advisor and department chairmen in the areas from which the Special Major courses are drawn. The student must submit the foregoing material to the Office of the **Provost and** Vice President for Academic Affairs for final approval.

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Approved by the Academic Senate March 1986

Approved by the President April 1986

Amended by the Academic Senate December 11, 2007

Approved by the President January 8, 2008

## Policy on Student Outcomes Assessment Data and Information California State University, Fresno

**PREAMBLE:** Student outcomes assessment is an increasingly important element in academic program review; five-year assessment plans are being developed by a number of departments and programs, and annual assessment measurements of selected learning objectives are being scheduled.

"The faculty has the primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction. ..." [Article I, Section 6, of The Constitution for the Academic Assembly of California State University, Fresno, page 127-2 of the Academic Policy Manual] and "The faculty should have primary responsibility for establishing the criteria for assessment and the methods for implementing it." [AAUP statement "Mandated Assessment Educational Outcomes" June 1991]

**PURPOSE:** The guiding purpose in the implementation of student outcomes assessment at California State University, Fresno is improved student learning through modified curricula and instruction.

In support of this purpose, outcomes assessment of student learning will take place at the department and program level (including the GB Program, Honors Program, etc.), where data (i.e., quantitative and qualitative observations) and information (i.e., interpretation of the data) can be used most judiciously and effectively to effect change in curricula and instruction. Student outcome assessment activities are intended to be formative, rather than summative, in nature.

**POLICY:** Data and information generated by outcomes assessment activities will remain under the control of the unit initiating the assessment.

Data and information derived from department-or program-developed student outcomes assessment activities shall not be required for personnel evaluations without the permission of the individual faculty member involved.

Outcomes assessment data and information generated by the assessing unit shall not be required for purposes of resource allocation to schools, departments, and programs. Assessing units may be required from time to time to report on assessment activities completed and the impact of those activities on their programs.

Other evaluative processes for personnel or program review and/or management decisions are not precluded by the policy on the use of student outcomes assessment data and information.

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Recommended by the Academic Senate  
Approved by the President

March 2000  
**April 8, 2000**

## **POLICY ON UNDERGRADUATE STUDENT ACADEMIC ADVISING**

### **I. POLICY STATEMENT**

Academic advising is a collaborative and holistic process in which advisors and advisees develop goals that are compatible with the student's academic success, career aspirations, and lifelong learning. The advising relationship fosters both academic and personal development, referring advisees to other resources as needed. Students must share joint responsibility with professional and faculty advisors in collaboration with Academic Affairs and Student Affairs.

The California State University System recognizes the importance of faculty involvement in academic advising by allocating 3 WTU for indirect instructional activity, which includes student advising, as part of the total faculty instructional workload of 15 WTU.

The above statements are not intended to reduce students' basic responsibility for initiating contacts with their academic advisor(s), and for understanding and completing all degree requirements.

The primary purposes of an academic advising program are to assist students in the development of academic plans and career goals and serve as a resource in locating programs and services to achieve academic success. Academic advising programs:

- A. Assist students in designing an academic program for timely fulfillment of their degree goals, including selection of appropriate courses singly and in sequence;
- B. Provide advisors with adequate training, materials, and support with which to advise students appropriately;
- C. Assist students and advisors in learning how to use the catalog and schedule of courses effectively in the advising process;
- D. Direct students toward information regarding university academic policies and procedures;
- E. Assist students to select educational and professional career objectives commensurate with their interests and abilities. This may include the options and availability of relevant graduate degrees;
- F. Inform students of the wide variety of student support services and co-curricular opportunities that may help them reach their personal, academic, and career goals;
- G. Assist students to explore and understand possible short- and long-range implications and consequences of their choices.



## **II. THE ADVISEMENT PROGRAM**

- A. Each school, department or program will prepare and implement a written plan for advising students in their major, double major, minor, or certificate. The plan should include the following elements:
  - 1. How advisors are selected, assigned and trained to provide academic advising;
  - 2. How students will be notified of the advising policy and procedures;
  - 3. What materials will be used in the advising process;
  - 4. What students should do in case an advisor is not available;
  - 5. How students will be introduced to the major, double major, minor, or certificate;
  - 6. What is expected of students to help make the plan work; and
  - 7. How advising will be evaluated.
- B. The Division of Student Affairs will continue to provide orientation programs to inform new students of registration procedures and degree requirements, and direct them to academic departments/programs for initial advising on major requirements.
- C. The Office of the Vice President for Academic Affairs and college/school deans will provide the following services to ensure that advisors are appropriately equipped to advise students:
  - 1. On-going, in-service workshops for academic advisors;
  - 2. Annual in-service workshops for school/department chairs on academic policies and procedures including recent changes and additions;
  - 3. A comprehensive orientation for newly appointed faculty that includes an overview of university academic policies, practices and student support services.

### **III. STATEMENT OF RESPONSIBILITY**

#### **A. Student Responsibilities**

Students should:

1. Attend a new student orientation program provided by Dog Days: New Student Orientation prior to their first semester of attendance;
2. Review the catalog upon admission to understand the degree and general education requirements. Access the schedule of courses each semester to determine course availability.<sup>1</sup>
3. Meet at least once each semester with their department, college, or school advisors beginning with the first semester. Undeclared majors should contact the University Advising Center for academic advising assistance until they declare a major.<sup>2</sup>
4. Recognize the relevant mandatory advising requirements and schedule appointments with their advisors to clear holds in advance of registration for the upcoming semester.
5. Monitor their progress toward graduation by reviewing their academic record with their advisors each semester. This would include a review of transcripts, degree reports, and any petitions and transfer evaluation sheets (if applicable)
6. Realize that, ultimately, knowing and completing all degree requirements is their responsibility.

#### **B. Advisor Responsibilities**

Advisors are the key element in providing academic advising to students. Therefore, they are expected to participate in periodic in-service training sessions to improve their advising skills and to remain current on policies, procedures and degree requirements including general education. Further, they are expected to maintain regular and reasonable advising hours for the purposes of meeting with individual advisees.

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<sup>1</sup> Transfer students should be aware that the catalog governing their graduation degree requirements may not be the current catalog.

<sup>2</sup> International students and students in the Educational Opportunity Program are also required to maintain regular contact with their respective advisors.

### C. Departmental/Program Responsibilities

Academic departments/programs should ensure that all students are provided with a description of their advising program. In addition, they are encouraged to regularly update the degree roadmap for all majors in the department and conduct an introduction/orientation to the major on a regular basis.

### D. College/School Responsibilities

Each college/school should facilitate advising services based on the needs of the individual college/school. Services may include, but are not limited to, general education advising, petitions, and major selection.

### E. Administrative Responsibilities

The Office of the Vice President for Academic Affairs and college/school deans should ensure that academic advising of students is fully recognized, duly supported and periodically evaluated. In addition, the Division of Student Affairs should provide the following services in support of the advising process: University Advising Center, Counseling and Psychological Services, Career Development Center, International Student Services and Programs, and the Educational Opportunity Program.

#### **Recommended by Academic Senate**

March 1984  
November 7, 2016

#### **Approved by the President**

April 1984  
November 22, 2016

## POLICIES AND PROCEDURES ON TECHNOLOGY-MEDIATED COURSES AND PROGRAMS

### I. Rationale

Faculty may use technology for instruction, enhancement of student learning, supplementing or replacing face-to-face interaction, and extending access to students. Courses and programs using instructional technology are *technology-mediated*. Technology-mediated courses may be synchronous (using broadcast, video or web conferencing, or other technology), asynchronous or a blend.

The following principles guide this policy:

- The faculty is responsible for the academic content of the curriculum.
- Student learning outcomes of technology-mediated courses are equivalent to those of traditional courses.
- Learning outcomes of technology-mediated courses are evaluated as part of a student learning outcomes assessment plan.
- Technology-mediated courses are subject to student rating of instruction, and faculty peer review, consistent with APM 322 Policy on the Assessment of Teaching Effectiveness
- As in traditional courses, successful technology-mediated courses encourage student-faculty and student-student interaction.
- Use of technology is consistent with APM 622 Acceptable Use Policy of Information Technology Resources

### II. Responsibilities

University policies regarding courses and programs are applicable to technology mediated courses and programs. Just as traditional instruction is expected to use best practices for instruction and assessment, technology-mediated courses and programs shall meet established standards for quality and student learning outcomes, as well as best practices for technology-mediated instruction (such as Quality Matters or QOLT). The faculty are responsible to ensure that courses with special approval (e.g., general education, service learning) continue to embody those characteristics.

#### A. Faculty Responsibilities

In accordance with university policies, the faculty member is responsible for determining how information is disseminated to, and engaged by, the students. This includes intellectual property considerations (e.g., fair use, and copyright) and accessibility (e.g., APM 237 and the system-wide Accessible Technology Initiative ATI). The instructor will determine the intended access by students to the instructional materials. The use of recorded or on-line materials can be included in the peer review process.

A faculty member who wishes to conduct online course activity beyond 20% of the entire course will complete 15-20 hours of online course design training through or recognized by the Center for Faculty Excellence (e.g., the CSU Quality Assurance Program).

## B. University Responsibilities

The university shall provide necessary instructional support and student services for technology-mediated instruction such as academic advising, financial aid, career services, library services, and tutoring.

Any degree program that is offered more than 50 percent online or at a distant site requires substantive change approval from the Western Association of Schools and Colleges.

The university shall provide support to faculty for:

- Training and consultation about technology-mediated design, instruction, intellectual property, accessibility, and assessment.
- IT infrastructure.

## C. Shared Responsibilities

Usually, a technology mediated course is offered by the faculty who design and develop the online course. Future instructional use by other faculty of materials in a technology-mediated course or program is subject to the mutual agreement of the university and the faculty member, consistent with university policies on intellectual property (APM 522 Intellectual Policy) and agreements made between the provost and the faculty.

Upon approval by the faculty member who created the content, future reuse for credit or noncredit shall be considered and approved through the usual curriculum approval process. No reuse shall be made without the instructor's prior knowledge and consent, and any reuse shall include provision for appropriate compensation to the instructor-creator. A review to determine whether online materials should be revised or withdrawn because of obsolescence may be initiated by the original instructor-creator, or as with a traditional class, by an appropriate faculty body.

Intellectual property developed for online use, like other scholarly work, shall bear the name of the author, the institutional affiliation, the date when it was created, intellectual property notice (such as Creative Commons [www.creativecommons.org](http://creativecommons.org)), and appropriate acknowledgments.

## III. Courses

### A. Definitions<sup>1</sup>

1. Classroom Course – Course activity is organized around scheduled class meetings.
2. Synchronous Distributed Course - Web-based technologies are used to extend classroom lectures and other activities to students at remote sites in real time.
3. Web-Enhanced Course – Online course activity complements class sessions without reducing the number of required class meetings or supplants a small amount (typically 20 percent or less) of the traditional classroom activity.

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<sup>1</sup> The following definitions are informed by the national standards from the Online Learning Consortium's-Definitions of E-Learning Courses and Programs Version 2.0 April 4, 2015 (<http://onlinelearningconsortium.org/updated-e-learning-definitions-2/>).

4. Blended (also called Hybrid) Classroom Course – Online activity is mixed with classroom meetings, replacing a significant percentage (20 percent to 66 percent), but not all required face-to-face instructional activities.

5. Blended (also called Hybrid) Online Course – Most course activity is done online (66 percent to 99 percent), but there are some required face-to-face instructional activities, such as lectures, discussions, labs, or other in-person learning activities.

6. Online Course – “All course activity is done online; there are no required face-to-face sessions within the course and no requirements for on-campus activity”.

7. Flexible Mode Course – “Offers multiple delivery modes so that students can choose which delivery mode(s) to use for instructional and other learning purposes”.

#### B. Approval Process

Existing courses can be converted to web enhanced courses that provide a small amount (up to 20 percent) of traditional classroom activity online through the department/program’s curriculum approval process.

When more than 20 percent of the course content is delivered online, school/college curriculum committee approval is required along with a technical review by the Center for Faculty Excellence. The technical review will focus on whether the proposed mode of delivery for the course or program meets current guidelines for online learning.

When online delivery exceeds 66 percent of the course content, university level approval is needed. Program, school/college and university level approvals are secured through the usual curricular review processes and will include consideration of academic content, student learning outcomes, budget and staffing, and other considerations.

#### C. Syllabi

Syllabi for technology-mediated courses must comply with APM 241 Policy on Course Syllabi and Grading. This includes explaining the role that technology plays in achieving student learning outcomes. Syllabi of courses in which online instruction replaces part or all of in-class time shall describe how learning activities will be scheduled, including a distinction between synchronous and asynchronous activities. As for traditional courses, the syllabus and any amendments shall be on record with the department or program.

#### D. Courses originating off campus

Credit-bearing courses originating off campus shall be reviewed through usual curricular processes. The university shall not contract with any private or public entity to deliver credit-bearing courses or programs to off-campus entities or to California State University, Fresno students without prior approval through normal curricular processes.

**Recommended by the Academic Senate**

March 19, 2018

**Approved by the President**

April 2, 2018

## **APM 207 Policy on Dual-listed, Co-Scheduled Courses**

### **Purpose and Rationale**

A dual-listed, co-scheduled course is one course offered as both an undergraduate and graduate level course. The purpose of this policy is to provide guidelines to ensure quality for courses that are dual listed, co-scheduled courses. The dual-listing of upper-division undergraduate courses with graduate-level courses could allow course offerings with limited resources. In addition having both advanced undergraduates and graduate students in the same course would enrich the quality of the course and programs for both undergraduate and graduate students.

### **Policy**

Courses that are deemed appropriate by a department may be designed and offered at the upper-division undergraduate and graduate degree levels. The course must cover similar course content, meet in the same classroom at the same time, and have the same instructor. Thesis, project, internship, topics courses, and independent study classes shall not be dual-listed. To maintain the quality of instruction, total enrollment in dual-listed courses may not exceed the maximum enrollment permitted for the graduate level component of the pair.

Graduate programs should determine if they will allow students who have taken a course at the undergraduate level to repeat the course as a dual-listed, co-scheduled course at the graduate level. Dual-listed co-scheduled credits plus undergraduate credits may not exceed 50 percent of the student's entire approved program as per Title 5, Section 40510 ("Not less than one-half of the units required for the degree shall be in courses organized primarily for graduate students." Dual-listed courses are not considered to be courses organized primarily for graduate students.).

These courses must be differentiated in the types of learning expected in the course. Course objectives shall include higher level student learning outcomes for graduate students, including greater depth of knowledge and research, and demonstration of higher levels of analysis and synthesis. In addition, dual-listed, co-scheduled courses must be designed in a way that demonstrates the differences in rigor related to assignments, assessments, readings, learning outcomes, and other activities. Syllabi should list specific assignments and readings graduate students will be required to complete which undergraduates will not complete and include additional or unique activities that will be required for graduate students. These might include research papers, critiques, oral presentations, or demonstration of more sophisticated skills. The syllabi should note means of assessment that will be utilized for graduate students that differ from the assessment measures used for undergraduate students and describe how the grading for graduate students will differ from grading for those enrolled for undergraduate credit.

These differentiations must be clearly prescribed in the written syllabus, and be approved by the Graduate Curriculum committee. A separate syllabus for each level (graduate and undergraduate) must be presented for any course that is dual-listed, co-scheduled and/or both.

Proposals for dual-listing of courses can be submitted at the same time as the proposals for new or revised courses. Proposals for dual-listing of courses can be submitted for already-existing courses if accompanied by a complete syllabus for both courses.

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Approved by the Senate: February 11, 2013

Approved by the President: February 27, 2013

## POLICY ON CERTIFICATES

### I. RATIONALE

Many students want to study areas not covered by traditional degree programs to increase professional competence, to acquire paraprofessional training, to change careers, or to promote personal enrichment. A baccalaureate or master's degree, or second baccalaureate or second major may be inappropriate for them, yet they may still deserve recognition for their work. To meet the needs of these students the University has established this Policy on Certificates.

### II. KINDS OF CERTIFICATES

#### A. Certificate of Completion

The Certificate of Completion is awarded for successfully completing a planned educational experience (workshop, conference, short course, or seminar) designed for specific academic objectives. Any new course offered for this Certificate must undergo the usual school process for new course review and recommendation. Course work may be offered either for credit or non-credit. For course credit, the appropriate university criteria for contact hours and student valuation will apply. Responsibility for approval of programs for this Certificate will rest with the Dean of the School.

#### B. Certificate of Special Study

The Certificate of Special Study is awarded for successfully completing a structured program -of educational experiences, at least twelve semester units, determined in advance by a department or school, and consisting of upper division (100-199) courses, professional (300-399) courses, and related activities designed to meet the educational objectives of specific groups of individuals. The appropriate university criteria for contact hours will apply. If the program consists of non-credit course work, at least 120 contact hours are required. The usual university review, recommending, and approval processes for all new academic programs will be required for certificate programs of this type. Approved programs will be described in the University General Catalog.

#### C. Certificate of Advanced Study

The Certificate of Advanced Study is awarded for successfully completing a structured program at least twelve semester units of graduate (200-299) courses, upper division (100-199) courses, and professional (300-399) courses determined in advance by a department or school, designed to meet the educational objectives of specific groups of individuals. Students must be eligible for unclassified, post-baccalaureate standing. The usual university review, recommending, and approval process for all new academic programs will be required for certificate programs of this type. Approved programs will be described in the University General Catalog.

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Approved by the Academic Senate  
Approved by the President

May 1982  
May 1982



## CONCURRENT ENROLLMENT

There is considerable variation in the way CSU campuses handle revenue from concurrent enrollment. In particular, campuses differ in the proportion of concurrent enrollment revenue shared with the academic units. This variation is not random; there is a correlation between the size of the concurrent enrollment program and the proportion of revenue shared.

Based on a review of current practices in the CSU and the recommendation of the University Budget Committee, CSUF will continue sharing concurrent enrollment revenues with the departments in which the enrollment occurs, and those departments will receive no less than 50 percent of concurrent enrollment revenues. Any changes in either the method of sharing the revenues or in the proportion shared should occur only after consultation with the University Budget Committee.

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Approved by the Academic Senate  
Approved by the President

April 1985  
May 1985

## **STANDARDS AND PROCEDURES FOR REVIEWING AN UNDERGRADUATE PROGRAM FOR DISCONTINUATION**

A review for discontinuation of an academic program must occur in the context of how best to strengthen the intellectual and academic activities designated by the mission of the university. The decision to discontinue an academic program usually means the permanent elimination of an instructional area and must be made with the same care and thorough review accorded the creation of new programs. This review may be initiated for a variety of reasons. Typically, programs are discontinued when they no longer serve student or societal needs, or when the program no longer has sufficient students to warrant its allocation required to sustain its curricular offerings. The purpose of this policy is to describe the general standards and procedures for reviewing an undergraduate program to determine whether it should be discontinued. Simple program changes or modifications in programs do not fall under the purview of this policy.

### **I. DEFINITIONS**

- A. For the purpose of this policy, an academic program is defined as:
  - a degree program or an option, concentration, or emphasis
  - a minor,
  - a subject matter preparation program or credential, or
  - an approved course of study leading to a university program certificate.
- B. Program faculty are full-time faculty at California State University, Fresno who have taught courses integral to the program in the last five years.

### **II. STANDARDS**

When reviewing an existing program to determine if it should be discontinued, the responsible committees, the Academic Senate, and the academic administrators involved shall consider all of the criteria enumerated below. A decision to discontinue a program of study shall be based on an assessment of the program that is informed by objectively based, verifiable evidence and data.

- A. In general, in order to maintain an academic program, it shall be demonstrated that
  - 1. If accreditation is a prerequisite for subsequent professional certification or licensure of the program's graduates, accreditation is in force.
  - 2. The program makes an integral and significant contribution to the university's overall academic mission.
  - 3. The program offers a degree/option that advances the programmatic needs of the college/school and university.
  - 4. The program meets the standards of the discipline.
- B. **Curriculum**
  - 1. If externally accredited, the program is expected to provide copies of the last accreditation report.
  - 2. The curriculum has defined student outcomes linked to courses and all courses have learning objectives.

The department chair will provide copies of the course syllabi for courses taught during the last two semesters.<sup>1</sup>

3. The program should offer a frequent schedule of required courses. The program should offer an appropriate array of elective courses. Courses in the curriculum must be scheduled and offered in a pattern that permits students to complete the program within the time period stated in literature (including General Catalog) describing the program to current and prospective students. Courses serving other areas/programs of the university should meet the needs of those areas/programs

Copies of the Faculty Activity by Department (FAD) reports for the last five years<sup>2</sup> will be provided by the Scheduling Office. The program faculty is expected to comment on these documents. The ways in which curricular offerings support other programs (graduate and/or undergraduate) on campus should also be documented.

4. Undergraduate programs should provide students with the knowledge and life skills necessary to pursue the academic or professional paths of their choosing, and for their graduates requiring subsequent professional certification, the necessary core knowledge to be successful in that field.

The program faculty should document the ways in which program goals meet the goals of the university and college/school and address the ways in which the curriculum accomplishes that. Data regarding student placement and/or success and professional certification will be included when available and appropriate.

### **C. Undergraduate Students**

1. The undergraduate program must encourage a strong intellectual climate.
2. The undergraduate program must have sufficient students to warrant the allocation of resources made to the program.

The program faculty shall comment on data on student enrollments provided by the Office of Institutional Research. Materials provided by the Office of Institutional Research should include FTES figures for the number of majors and minors (or, in the case of certificate programs, enrollment figures), as well as a list of service courses offered by the program and enrollment data relevant to these courses.

### **D. Faculty and Other Resources**

1. The program has the faculty and other resources needed to support the undergraduate curriculum and provide an appropriate schedule of courses.

The program faculty shall comment on the number of faculty available to teach in the program and the course offerings over the last five years. The Scheduling Office will provide the Faculty Activity by Department (FAD) reports for this purpose.

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<sup>1</sup> The Policy on Course Syllabi and Grading (APM 241) requires that a copy of the syllabus for each course be retained in the department office.

<sup>2</sup> The last five years means the last five years of available data.

2. The expertise of the faculty members in the program must be sufficient to support an adequate learning environment for the undergraduate program. The program should have the variety of expertise appropriate for the program.

The program faculty will comment upon the qualifications and distinct expertise of the program faculty as evidenced, in part, by a current copy of the vita of each faculty member teaching in the program.

3. There should be a level of resources of all types essential to support the program. This includes number of students, library resources, space, faculty, administrative support, computer and other equipment, computer software, and equipment maintenance.

The program faculty shall comment on resources available to sustain the program.

4. Student recruitment and retention are important elements of program viability.

The program faculty shall document recruitment efforts and comment on student enrollment, retention, and graduation data provided by the Office of Institutional Research, Planning and Assessment.

### III. PROGRAM DISCONTINUATION REVIEW

- A. A call for a program discontinuation review will be issued by the Provost and Vice President for Academic Affairs (Provost) when:

1. As a result of periodic program review the Undergraduate Academic Program Review Subcommittee recommends to the Provost that a program be reviewed for possible discontinuation, or
2. A petition to consider the discontinuation of an undergraduate program is received by the Provost.

- B. Petition to Review an Undergraduate Program for Discontinuation

1. A petition to review an undergraduate program for discontinuation will be filed with the Provost. This petition will address all standards listed in section II, providing documentation as described for each standard where the petitioner asserts that the program does not meet standards of quality. The petition must address the standards of quality for an undergraduate program and present evidence to support the petitioner's claim that the program does not meet standards of quality. The petition must describe the manner in which the program is weakened as a result of the deficiencies alleged and identify the consequences of the deficiencies alleged.
2. Any of the following may initiate a petition to review an undergraduate program for discontinuation.<sup>3</sup>
  - a. A majority of the faculty of the program faculty,
  - b. Dean of the college/ school,
  - c. Associate Provost / Dean of Undergraduate Studies,
3. Copies of the petition to review an undergraduate program for discontinuation are provided by the Office of the Provost for distribution to:

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<sup>3</sup> The party initiating the review shall not make a separate recommendation during the review process.

- a. Chair of the department in which the program is housed,
  - b. Faculty of the department,
  - c. Faculty teaching in the program, if the program is interdisciplinary,
  - d. Dean of the College/School.
  - e. Associate Provost / Dean of Undergraduate Studies
  - f. The Chair of the Academic Senate.
- C. The Provost's Office is charged with insuring all necessary reports and data are gathered and provided to faculty in the program before their response time begins. Data to be gathered and provided to the department before their response time begins include:
  - 1. The initial petition for review.
  - 2. Any individual data that faculty are required to respond to in Item II but not gathered in the initial petition for review. This includes required information from the Office of Institutional Research on enrollment, the scheduling office FAD reports, demand for courses and retention data.
  - 3. A six-year list of yearly staffing levels in the program. For each year the number of tenured, tenure-track, full-time lecturers, and part-time lecturers will be traced.
  - 4. A six-year compendium of budget allocations for the program.
- D. The Dean of Undergraduate Studies shall notify all students enrolled in the program that the program is being reviewed and may be discontinued. The Undergraduate Dean may also convene an informational meeting for students for further discussion, if appropriate.
- E. Review of an Undergraduate Program for Discontinuation
  - 1. The department in consultation with the program faculty <sup>4</sup> is responsible for initial consideration of the petition to review the program.
    - a. Within twenty working days <sup>5</sup> of receipt of the petition, the department in consultation with the program faculty shall prepare a response to the petition using all the standards listed in Section II, providing documentation as described for each standard, with special emphasis on the petitioners' allegations of deficiency. The initial petition, the department's response and all accompanying documentation shall be forwarded to the appropriate college/school curriculum committee and the dean of the college/school.

The response of the department, including any minority report submitted by program any faculty member within the department, shall include one of the following recommendations:

    - i. maintain the status quo; or

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<sup>4</sup> Review of a petition regarding an interdisciplinary program within the college/school shall start at the appropriate college/school curriculum committee. Review of petitions regarding interdisciplinary programs at the university-level shall start at the Academic Policy and Planning Committee of the Academic Senate before being sent to the Executive Committee of the Academic Senate.

<sup>5</sup> "Working day" is defined as an academic work day during the Fall or Spring Terms, as distinct from the calendar days used in the Collective Bargaining Agreement.

- ii. maintain the program, contingent upon the program's meeting specified conditions recommended to be completed within a specified time; or
  - iii. discontinue the program.
- 2. Within twenty working days of the receipt of the initial response of the department faculty, including any minority report, the college/school curriculum committee shall consult with the program faculty, the department chair (or Director in the case of interdisciplinary programs), the dean, and the chairs of such standing committees within the college / school as deemed necessary by the college/school curriculum committee.
  - a. At the conclusion of the consultation, the college/school curriculum committee shall issue a report stating its recommendation and rationale regarding the status of the program under review. The college /school curriculum committee shall recommend one of the following:
    - i. maintain the status quo; or
    - ii. maintain the program, contingent upon the program's meeting specified conditions recommended to be completed within a specified time; or
    - iii. discontinue the program.
  - b. The recommendation and rationale, with the initial petition, the department's initial response, including any minority report, and all appropriate documentation shall be forwarded to the dean of the college/school. Copies of the recommendations shall be provided to the department chair for distribution to the program faculty, and the Associate Provost / Dean of Undergraduate Studies.
- 3. Within fifteen working days of the receipt of the initial response of the department, including any minority report, and the recommendation of the college/school curriculum committee, the dean shall consult with the program faculty, the department chair (or Director in the case of interdisciplinary programs), and the chairs of such standing committees within the college / school as deemed necessary by the dean.
  - a. At the conclusion of the consultation, the dean shall issue a report <sup>6</sup> stating his/her recommendation and rationale regarding the status of the program under review. The dean shall recommend one of the following:
    - i. maintain the status quo; or
    - ii. maintain the program, contingent upon the program's meeting specified conditions recommended to be completed within a specified time; or
    - iii. discontinue the program.

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<sup>6</sup> The dean's report shall include an analysis if the proposed discontinuation of the program could result in the layoff of faculty employees, including part-time and full-time temporary faculty. If the discontinuance could lead to the layoff of bargaining unit employees, after consultation with the Associate Vice President for Academic Personnel, the dean shall also include any options, if any, that might be implemented to avoid or mitigate possible layoffs.

- b. The dean's recommendation and rationale, with the initial petition, the the department's initial response including any minority report, the recommendation of the college/school curriculum committee and all appropriate documentation shall be forwarded to the Executive Committee of the Academic Senate. Copies of the recommendations shall be provided to the department chair for distribution to the department faculty, and the Associate Provost / Dean of Undergraduate Studies.
4. On occasion, a program may be expected to undergo careful scrutiny by an external consultant. Under these circumstances, the Provost and Vice President for Academic Affairs or dean will consult with the departmental program faculty and the Executive Committee regarding the appointment of such a consultant. At a minimum the external consultant will review the extent to which the program:
  - contributes to the academic mission of the university and college/school;
  - advances the programmatic needs of the college/school; and
  - meets the standards of the discipline.

The external consultant will prepare and submit a report to the Provost or Dean. Copies will be sent to the Executive Committee of the Academic Senate, the department chair, and the program faculty.

5. Upon receipt of the material from the Dean and the external report from the outside consultant (if any), the Executive Committee shall hold the aforementioned material for ten working days while the program faculty prepare a response to the recommendations of the college/school curriculum committee and the dean. At the conclusion of this ten-day period, the Executive Committee shall forward all the materials to the Academic Policy and Planning Committee for review and recommendation.
  - a. Within twenty working days of the receipt of the materials from the Executive Committee of the Senate, the Academic Policy and Planning Committee shall consult <sup>7</sup> with the program faculty, the department chair (or Director in the case of interdisciplinary programs), the dean, and the Chair of such Academic Senate standing committees within the Academic Senate as deemed appropriate by the Academic Policy and Planning Committee.
  - b. At the conclusion of the consultation required in III C 5 a above, the Academic Policy and Planning Committee shall issue a report stating its recommendations and rationale regarding the status of the program. The Academic Policy and Planning Committee shall recommend one of the following:
    - i. maintain the status quo; or
    - ii. maintain the program, contingent upon the program's meeting specified conditions recommended to be completed within a specified time; or
    - iii. discontinue the program.

The recommendation and rationale, with the initial petition, the department's response(s) including any minority report, the recommendations of the college/school

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<sup>7</sup> Academic Policy and Planning Committee may initiate consultation with any person or group deemed appropriate by them.

curriculum committee, and dean as well as all appropriate documentation shall be forwarded to the Executive Committee of the Academic Senate. Copies of the recommendation shall be provided to the department chair for distribution to program faculty, the chair of the college/school curriculum committee, the dean, and the Associate Provost / Dean of Undergraduate Studies.

- c. No later than ten days after receipt of the recommendation of the Academic Policy and Planning Committee, the Executive Committee of the Academic Senate shall (a) review the process to assure compliance with this policy and (b) schedule a meeting of the Academic Senate to consider the petition.
- d. The Academic Senate <sup>8</sup> shall consider all the recommendations and documentation generated throughout this review and shall make one of the following recommendations to the Provost or designee:
  - i. maintain the status quo; or
  - ii. maintain the program, contingent upon the program's meeting specified conditions recommended to be completed within a specified time; or
  - iii. discontinue the program.

#### **IV. FINAL DECISION**

- A. The Provost shall review the documentation and recommendations generated as part of the review process.
- B. The Provost and Vice President for Academic Affairs shall decide to:
  - 1. maintain the status quo; or
  - 2. maintain the program, contingent upon the program's meeting specified conditions to be completed within a specified time; or
  - 3. discontinue the program.
- C. The Provost shall convey the decision, in writing, to the petitioner and all departments, committees and administrators who reviewed the petition and to the Chair of the Academic Senate.
- D. In the event that an administrator in the office of the Provost (e.g., Associate Provost, Dean of Undergraduate Studies) initiates a petition to review an undergraduate program for discontinuation – and only in this event – the decision of the Provost may be appealed to the University President for review and decision.

#### **V. ACCOMMODATING STUDENTS AND FACULTY AFFECTED BY PROGRAM DISCONTINUANCE**

##### **A. STUDENTS**

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<sup>8</sup> Academic senators are expected to have read all the relevant recommendations and documentation to be made available in the Senate Office prior to the Senate meeting.



If the decision of the Provost and Vice President for Academic Affairs is to discontinue a program, the university shall:

1. Suspend admissions to the program.
2. Prepare an official list of students matriculated in the program.
3. Notify all students matriculated in the program of the following:
  - a. the date by which the degree requirements must be completed to receive the specified degree or certificate
  - b. provide the student with information on other closely related programs offered by the university to which the student may wish to transfer
  - c. identify for students similar programs available at other institutions in the geographical area or in the California State University system
  - d. direct affected students to a designated office that can assist the students to transfer to another institution or complete the requirements for a degree at the university.
  - e. provide notice that a program has been discontinued to advisers, academic units, and agencies involved in advising or providing information regarding programs on this campus to prospective students.

## **B. FACULTY**

In the rare event that discontinuance of an undergraduate program may result in the layoff of probationary or tenured faculty, the provisions of Article 38 of the Collective Bargaining Unit regarding the avoidance or mitigation of layoff shall be implemented.

If the attempts to avoid or mitigate layoff have been unsuccessful and the only remaining option is the layoff of faculty, including part-time and full-time temporary faculty, the provisions of Article 38 of the Unit 3 Collective Bargaining Agreement regarding layoff as the result of programmatic change shall be followed.

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Recommended by the Academic Senate  
Approved by the President

April 2005  
**May 5, 2005**

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## **GENERAL EDUCATION POLICIES**

### **The General Education Committee**

The General Education (GE) Committee is a Standing Committee of the Academic Senate. The Committee consists of thirteen voting members:

1. Faculty: Ten members, each to be elected for a three-year term by the University faculty, to represent the entire University. One shall be elected from each of the Colleges/Schools. In addition, two shall be elected from among the Colleges of Arts and Humanities, Science and Mathematics, and Social Sciences with no more than two from any College. In the event of a failure to elect a member, or should a member become unable to serve, a replacement from the appropriate School may be appointed by the Executive Committee of the Academic Senate until such time as the position can be filled by election.
2. Students: Two students designated by the Associated Students, Inc.
3. Ex-Officio: One representative from the Office of the Provost.
4. Chair: The Chair should be nominated and elected from the elected members of the Committee.
5. The Committee shall also include one non-voting representative appointed by the Vice President for Student Affairs.

The Committee's responsibilities are as follows:

1. Evaluating and approving courses for inclusion in the GE Program.
  - A. When evaluating proposed courses the Committee must follow the general statewide requirements of the Executive Order on GE as well as the specific local criteria approved by the Academic Senate and the Provost (the GE Program Description).
  - B. Course approval shall be based upon the GE Policy (this document) and upon the GE program description provided by the Academic Senate as approved by the Provost.
2. Coordinating a regularly scheduled review of GE courses to ensure compliance with GE Policies and Program Description.
  - A. All GE courses will be subject to periodic and detailed review.
  - B. A course which appears to be in serious violation of GE Policy and Program Description and/or is inconsistent with the approved course proposal may be reviewed at any time.
3. Providing oversight and analysis of the assessment of student learning outcomes across the GE Program.

4. Implementing GE Policy and Procedures as adopted by the University.
  - A. Courses found in violation of current GE Policies and Procedures (e.g., failure to meet the writing requirements, exceeding enrollment limits, failure to offer courses consistently), as well as courses whose grading practices appear inappropriate, are subject to deletion from GE. The Provost's Office shall issue a notice of violation and identify the remedial action that must be taken and a deadline for compliance. If remedial action is not taken by the date specified, the course will be removed from the GE Program.
  - B. A failure by Departments/Programs to fully participate in the process of periodic reviews and assessment of student learning outcomes will result in the removal of the non-compliant course(s) from the GE Program.
5. Submitting, on a yearly basis, a report on the status and functioning of the GE Program as a whole to the Executive Committee of the Academic Senate.
6. Developing and forwarding to the Executive Committee of the Academic Senate recommendations for changes in GE Policy and Procedures and in the Program Description.

**Appeals/Reinstatement:**

1. A Department or Program may appeal to the Provost a decision by the GE Committee that a Department or Program course is in violation of GE policy. If the appeal is upheld, the matter shall be remanded to the GE Committee for reconsideration. If the Committee rejects the decision of the Provost, the appeal shall be forwarded along with the recommendations of the Provost and the GE Committee to the Academic Senate for final resolution.
2. Courses which have been proposed for inclusion in the GE Program, but have been rejected by the Committee, may be resubmitted no sooner than the following semester.
3. Courses that have been removed from the GE Program may be considered for reinstatement, if requested by the Department/Program, no sooner than one calendar year from the date of the notice of removal. Reinstatement will be treated in the same way as a new submission.

**Exceptions to GE Requirements:**

1. Requests for exceptions to the GE requirements submitted by high-unit professional degree programs will be received and considered by the GE Committee.
  - A. Academic justifications for such requests are to be presented to the Committee.
  - B. If the request concerns campus policies alone, the Committee's recommendations, with complete documentation, will be forwarded to the Provost.
  - C. If the request concerns system-wide policies, the Committee's recommendations, with complete justification, will be forwarded to the Provost for submission to the Chancellor's Office.
  - D. Colleges that may be academically affected by any exception will be notified prior to a decision by the committee.
2. Individual student requests for exemptions or substitutions shall be received and acted upon by the Student Academic Petitions Committee.

**Area A-E**

1. All areas and subareas must contain a substantial number of 3 unit courses in order to assure that students do not face a *de facto* increase in the minimum required GE units.
2. Only rarely shall Departments or Programs have courses in more than one GE Area B, C, D, or E.
3. A student must complete the lower division course requirements before enrolling in an upper division Integration course in that same area.
4. A maximum of two courses from one Department or Program may be applied to satisfy the Breadth requirements. However, a Department or Program may prohibit any Breadth course from simultaneously satisfying its own Departmental or programmatic requirements.

**Foundation (Areas A1, A2, A3 and B4)**

1. Courses in Area A must meet the current mode and level standards set for C4 lecture discussion courses (normal class size of 25). Larger class size may be permitted based on the ability of the course to meet the area criteria and by outcomes assessment measures. Exceptions to the enrollment size limits will be considered by the GE Committee if they are consistent with the interactive, active learning model of lecture/discussion (C4) courses. Small enrollment may be necessary to achieve the required objectives in some courses, while labs, break-out groups, or other means of providing individual student-instructor communication and feedback may work well in other courses. In some courses, enrollment may be limited by available facilities (e.g. computer stations). While differences in pedagogy and methodology exist between and within instructors, Departments, and Colleges/Schools, course (enrollment) size is an important consideration in achieving educational objectives.

2. No GE credit will be given for any Foundation course in which the student received less than a "C" grade.
3. Students must complete all Foundation courses by the time they have completed 30 semester units. If students fail to complete successfully (C or better) any of the courses in this area, they must continuously register for an appropriate course until they remediate that deficiency.
4. All Foundation courses must be lower division.

### **Area B**

1. All courses in B1 Physical Science must make use of the knowledge and skills students learn in the B4 courses. Therefore all students must complete the B4 Quantitative Reasoning requirement prior to completing the B1 Physical Science requirement.
2. Integral laboratory components must be associated with all courses in Subareas B1 and B2.
3. All courses in Subareas B1 and B2 must be lower division.

### **Area C**

1. Students must take a minimum of three units in the arts (Subarea C1) and a minimum of three units in the humanities (Subarea C2), and an additional three units in Subarea C1 and C2.
2. All courses in Subareas C1 and C2 must be lower division.

## **Approval and Evaluation of General Education Courses**

Note: Sections I and II below are also included within the GE Procedures Document for additional clarity

### **I. Goals Guiding General Education**

The GE Program expands students' intellectual horizons, fosters lifelong learning, prepares them for further professional study and instills within them an appreciation of cultures other than their own. The University will remain committed to providing a quality general education experience for all students and make it clear that such an experience is the foundation of all applied and professional programs.

## **II. Criteria for Evaluation**

### **A. Characteristics of GE Courses in All Areas**

Courses proposed for, or under review in, GE are expected to meet the following criteria:

1. Courses are grounded in the Liberal Arts and Sciences, though professional courses that meet the guidelines may be included.
2. Courses must cover subjects by exploring major ideas, themes, and concepts consistent with the intent of the subarea goals, specifications, and learning outcomes, all of which should be integrated into the course in a meaningful way.
3. Faculty must assign to students and incorporate into their GE courses significant non-textbook readings to provide students an opportunity for sustained reading that enhances their command of language, rhetoric, and argumentation.
4. A course may only use prerequisites which are also in GE, though courses may require work normally completed in high school to meet CSU admission requirements.
5. The GE Writing Requirements must be integrated into each course.
6. Courses must be taught at least once in four consecutive semesters or be dropped from the list of GE offerings.
7. Courses must be submitted for review every five years or be dropped from the list of GE courses.
8. When proposals are rejected by the General Education Committee written reasons will be provided.

### **B. Characteristics of GE Upper Division Integration Courses (Areas IB, IC and ID)**

1. These courses are designed to provide opportunities for students to discover a variety of ways in which specific areas of human knowledge are related.
2. All upper division Integration courses must:
  - a. Be congruent with an area (B, C, or D) goal, as well as the appropriate subarea goals, specifications and learning outcomes.
  - b. Be integrative, aiming toward a genuine appreciation of the linkages among subareas as well as the area goal.
  - c. Be taken outside the student's major Department unless the course is interdisciplinary involving more than one Department.

### **C. Characteristics of GE Upper Division Integration and Multicultural International Courses (Areas IB, IC, ID and MI)**

Be limited to the maximum enrollment allowed for lecture/discussion classes but not to exceed 50 students in any section. Exceptions may be granted by the GE Committee in consultation with the appropriate Departments if:

1. A larger class can be shown to satisfy the goals, specifications, and learning outcomes of upper division GE,
2. The larger class size will not create an imbalance in the distribution of enrollment in an area that adversely affects the other participating courses in the same area (for example, by decreasing their enrollment so that their contribution to the area is incidentally reduced),



3. The exception must be renewed every two years to ensure that the GE has the opportunity to gauge the impact of large sections on the area, based on assessment of student learning data provided by the Department, School or College.

#### **D. Area Enrollment Management Criteria**

The following ensures that area offerings maintain a breadth of alternatives:

1. Courses should be offered in a sufficient balance within each area (B, C, D and E) so that students have a choice among a solid range of courses in each area. The distribution of course sections and enrollment in sections of each area shall be monitored by the GE Committee.
2. School or College curriculum committees, Deans, and the Provost or Provost's designee shall support the goals of breadth in each area by assuring that no individual course is offered with sufficient frequency (for example, through a large number of sections or multiple sections of large classes) as to dominate the enrollment in the area.
3. If necessary to restore enrollment diversity in an area, upon the recommendation of the GE Committee, Schools or Colleges that allow multiple sections of a course to dominate the distribution of enrollment in an area may be restricted by the Provost or Provost's designee with regard to the number of sections they may conduct.

## GENERAL EDUCATION PROCEDURES

### Procedures for General Education Proposal Submission

General Education (GE) course proposals should include the following:

1. A title.
2. A brief description (catalog entry).
3. Any prerequisites (including those required by the GE Program).
4. A justification of the course as meeting the goals, criteria, specifications and learning outcomes of GE as outlined in the Program Description document (Areas A-E as required), as well as the applicable sections of Policies for Inclusion and Evaluation of General Education Courses (detailed in the General Education Policies document). Integration courses require an explanation of the manner in which the course integrates area and subarea goals and learning outcomes.
5. Frequency of course offering.
6. Additional operating money required beyond present levels.
7. Additional instructional equipment required.
8. A course syllabus for each section taught that should include all required elements from the University syllabus templates.
9. Specific writing or performance requirements that comply with GE Policies and the GE Writing Requirements document (e.g. typical paper assignments, research projects or performance requirements).
10. A plan for assessing the student learning outcomes for the appropriate GE area, including the student work to be evaluated and the rubric or standardized method by which the work will be evaluated.
11. The approval of the Departments involved, of the School or College curriculum committee(s), and of the School or College Dean(s).

### Procedures for Course Submission

#### A Procedures for Submitting New Course Proposals

1. A request for a course to be added to the GE Program is made through the submission of an Undergraduate GE Course Proposal form. Following a substantive review of the request by the Department, appropriate School or College committee, and approval by the School or College Dean, the request is submitted to the GE Committee through the Provost or Provost's designee. Proposals must be approved by the GE Committee as well as the Provost or Provost's designee. If approved, the course is incorporated into the next year's catalog, and it may be scheduled for offering during the academic year covered by the catalog. Existing courses for GE do not need to be submitted to the Undergraduate Curriculum Subcommittee.
2. If a course is interdisciplinary in nature, involving more than one School or College, the proposal must be approved by the respective committees and Deans of each school or College before submission to the GE Committee.

**B. Procedures for Submitting Proposed Changes to Existing GE Courses**

1. Deletions or changes in existing courses involving unit value, lecture/laboratory format, distance/mediated learning, prerequisites, class size, content, and title or description are requested on the Undergraduate GE Course Change Request form. Following a review by the Department, review and recommendation by the appropriate School or College committee, and approval by the School or College Dean, the request is submitted to the GE Committee through the Provost or Provost's designee. If approved, the course is incorporated into the next year's catalog, and it may be scheduled for offering during the academic year covered by the catalog.
2. The procedures for submission of existing course proposals shall be the same as those described for new course proposals with the understanding that the depth of the review is contingent upon the extent of the proposed change.

**C. Procedures Relevant to both New and Existing GE Courses**

1. When a new course or a proposed change affects another program or Department, it must be cleared by the affected program or Department. Such clearance, as evidenced by the appropriate signatures on the request form, must be secured by the Department requesting the change. If clearance is denied, then resolution of the issues can be sought before the GE Committee. If a change significantly affects other courses or programs within the Department making the request, the necessary adjustments should also be indicated on the form. Information on current course interrelationships may be obtained from the Provost or Provost's designee.
2. The GE Committee will be responsible for recommending to the Provost or Provost's designee amendments to the list of courses included in the GE Program.
3. All courses in GE must be resubmitted and reapproved every five years during a review performed by the GE Committee to ensure the courses continue to meet the goals and learning outcomes of the program.

## **Approval and Evaluation of General Education Courses**

Note: Sections I and II below are also included within the GE Policies Document for additional clarity

### **I. Goals Guiding General Education**

The GE Program expands students' intellectual horizons, fosters lifelong learning, prepares them for further professional study and instills within them an appreciation of cultures other than their own. The University will remain committed to providing a quality general education experience for all students and make it clear that such an experience is the foundation of all applied and professional programs.

### **II. Criteria for Evaluation**

#### **E. Characteristics of GE Courses in All Areas**

Courses proposed for, or under review in, GE are expected to meet the following criteria:

9. Courses are grounded in the Liberal Arts and Sciences, though professional courses that meet the guidelines may be included.
10. Courses must cover subjects by exploring major ideas, themes, and concepts consistent with the intent of the subarea goals, specifications, and learning outcomes, all of which should be integrated into the course in a meaningful way.
11. Faculty must assign to students and incorporate into their GE courses significant non-textbook readings to provide students an opportunity for sustained reading that enhances their command of language, rhetoric, and argumentation.
12. A course may only use prerequisites which are also in GE, though courses may require work normally completed in high school to meet CSU admission requirements.
13. The GE Writing Requirements must be integrated into each course.
14. Courses must be taught at least once in four consecutive semesters or be dropped from the list of GE offerings.
15. Courses must be submitted for review every five years or be dropped from the list of GE courses.
16. When proposals are rejected by the General Education Committee written reasons will be provided.

#### **F. Characteristics of GE Upper Division Integration Courses (Areas IB, IC and ID)**

3. These courses are designed to provide opportunities for students to discover a variety of ways in which specific areas of human knowledge are related.
4. All upper division Integration courses must:
  - d. Be congruent with an area (B, C, or D) goal, as well as the appropriate subarea goals, specifications and learning outcomes.
  - e. Be integrative, aiming toward a genuine appreciation of the linkages among subareas as well as the area goal.
  - f. Be taken outside the student's major Department unless the course is interdisciplinary involving more than one Department.

### **G. Characteristics of GE Upper Division Integration and Multicultural International Courses (Areas IB, IC, ID and MI)**

Be limited to the maximum enrollment allowed for lecture/discussion classes but not to exceed 50 students in any section. Exceptions may be granted by the GE Committee in consultation with the appropriate Departments if:

1. A larger class can be shown to satisfy the goals, specifications, and learning outcomes of upper division GE,
2. The larger class size will not create an imbalance in the distribution of enrollment in an area that adversely affects the other participating courses in the same area (for example, by decreasing their enrollment so that their contribution to the area is incidentally reduced),
3. The exception must be renewed every two years to ensure that the GE has the opportunity to gauge the impact of large sections on the area, based on assessment of student learning data provided by the Department, School or College.

### **H. Area Enrollment Management Criteria**

The following ensures that area offerings maintain a breadth of alternatives:

4. Courses should be offered in a sufficient balance within each area (B, C, D and E) so that students have a choice among a solid range of courses in each area. The distribution of course sections and enrollment in sections of each area shall be monitored by the GE Committee.
5. School or College curriculum committees, Deans, and the Provost or Provost's designee shall support the goals of breadth in each area by assuring that no individual course is offered with sufficient frequency (for example, through a large number of sections or multiple sections of large classes) as to dominate the enrollment in the area.
6. If necessary to restore enrollment diversity in an area, upon the recommendation of the GE Committee, Schools or Colleges that allow multiple sections of a course to dominate the distribution of enrollment in an area may be restricted by the Provost or Provost's designee with regard to the number of sections they may conduct.

## **GENERAL EDUCATION PROGRAM DESCRIPTION**

### **General Education Program Description**

This document describes the number of units as well as the learning outcomes and specifications for courses in each area of the General Education program (GE) at California State University, Fresno. The guiding document on GE is the Executive Order from the Chancellor's office, which governs GE programs on all CSU campuses. For information regarding the composition of the GE committee, guidelines and procedures for GE proposal submissions and policies for evaluation of GE courses, please refer to the GE policies and procedures document.

### **Criteria Applying to All Areas**

Courses in General Education are expected to meet the following criteria:

1. All General Education courses must meet the specifications of the Executive Order and the specifications and required learning outcomes for each Sub-Area.
2. Courses in General Education are grounded in the Liberal Arts and Sciences, though professional courses that meet the guidelines may be included.
3. Courses must cover the subjects by exploring major ideas, themes, and concepts consistent with the intent of the Sub-Area goals, learning outcomes and specifications. The area goals, learning outcomes, and specifications should be integrated into the course in meaningful ways.
4. Faculty must assign to students and incorporate into their General Education courses significant non-textbook readings. As the readings assigned vary from dense research articles to comparatively lighter popular books, the number of pages assigned should provide students an opportunity for sustained reading that enhances their command of language, rhetoric, and argumentation.
5. A course may only use prerequisites which are also in General Education, though courses may require work normally completed in high school to meet CSU admission requirements.
6. The General Education Writing Requirements must be integrated into each course.

### **Descriptions for Areas A, B, C, D and E**

**General Education Area A****Communication in the English Language and Critical Thinking****In alignment with the California State University System Executive Order on GE:**

A minimum of nine semester units or twelve quarter units in communication in the English language, to include both oral communication (Sub-Area A1) and written communication (Sub-Area A2), and in critical thinking (Area A3), to include consideration of common fallacies in reasoning.

Students taking courses in fulfillment of Sub-Areas A1 and A2 will develop knowledge and understanding of the form, content, context, and effectiveness of communication. Students will develop proficiency in oral and written communication in English, examining communication from the rhetorical perspective and practicing reasoning and advocacy, organization, and accuracy. Students will practice the discovery, critical evaluation, and reporting of information, as well as reading, writing, and listening effectively. Coursework must include active participation and practice in both written communication and oral communication in English.

Given the mandates of the Executive Order, Area A will contain 9 units, divided as follows:

Three lower division units in each Sub-Areas A1, A2 and A3.

**Oral Communication (A1) and Written Communication (A2)  
A1 and A2 Student Learning Outcomes**

**Upon completion of an Area A1 (Oral Communication) course, students will be able to:**

- 1 Demonstrate effective communication by analyzing, creating, and presenting extemporaneous informative and persuasive messages with clear lines of reasoning, development of ideas and documentation of external sources.
- 2 Analyze the impact of culture and situational contexts on the creation and management of the communication choices used to inform and persuade audiences.
- 3 Create and criticize public arguments and reasoning, decision making processes and rhetorical messages through oral and written reports.

**Upon completion of an Area A2 (Written Communication) course, students will be able to:**

1. Demonstrate appropriate language use, clarity, proficiency in writing, and citation mechanics.
2. Demonstrate effective academic reading strategies and processes, as well as critical evaluation of written work.
3. Demonstrate effective academic summary, rhetorical awareness and perception, and analysis and synthesis of information.

**A1 and A2 Specifications:**

In addition to meeting the above learning outcomes, all courses must:

1. Emphasize the form, mechanics and content of communication.
2. Require students to prepare at least three major oral presentations (for A1) or at least six written presentations (for A2) which will receive oral or written critiques by the instructor. For A2 courses, at least one written presentation must utilize a manual of style for preparing a term paper. These requirements are in addition to standard GE writing requirements.

**Critical Thinking (A3)**

**In alignment with the California State University System Executive Order on GE:**

In critical thinking (Sub-Area A3) courses, students will understand logic and its relation to language; elementary inductive and deductive processes, and develop an understanding of the formal and informal fallacies of language and thought; and be able to distinguish matters of fact from issues of judgment or opinion. In A3 courses, students will develop the abilities to analyze, criticize, and advocate ideas; to reason inductively and deductively; and be able to reach well-supported factual or judgmental conclusions.

**A3 Student Learning Outcomes**

**Upon completion of an Area A3 (Critical Thinking) course, students will be able to:**

1. Recognize, analyze, evaluate and construct arguments in ordinary language.
2. Distinguish between inductive and deductive reasoning.
3. Identify common fallacies of reasoning.
4. Analyze and evaluate the various types of evidence for various types of claims



**General Education Area B****Physical Universe and Its Life Forms****In alignment with the California State University System Executive Order on GE:**

In Sub-Areas B1-B3, students develop knowledge of scientific theories, concepts, and data about both living and non-living systems. Students will achieve an understanding and appreciation of scientific principles and the scientific method, as well as the potential limits of scientific endeavors and the value systems and ethics associated with human inquiry. The nature and extent of laboratory experience is to be determined by each campus through its established curricular procedures.

Given the mandates of the Executive Order, Area B will contain 9 units, divided as follows:

Three lower division units in each of Sub-Areas B1, B2 and B4. The Laboratory requirement of the Executive order (B3) is met through mandatory labs in all B1 and B2 courses.

**Physical Science (B1)****B1 Student Learning Outcomes**

**Upon completion of an Area B1 (Physical Sciences) course, students will be able to:**

1. Recognize and explain scientific theories, concepts, and data about non-living systems.
2. Use data and observations from a specific scientific field to elucidate scientific hypotheses and theories.
3. Discuss the tentative nature of scientific knowledge, and how scientific uncertainty is reflected in the value systems and ethics associated with human inquiry and public policy.

**Specifications:**

Courses in the Physical Sciences (B1) must:

1. Provide instruction in the fundamental principles and methods of the science being studied, and on the development and testing of hypotheses.
2. Involve understanding and active exploration of the fundamental principles which govern the materials of the physical universe as well as the distribution of those materials and the processes applicable to them, and also involve an understanding of and ability to employ the experimental and mathematical methods used in science.
3. Engage students in understanding the fundamental principles and laws of Physical Science, exploring the analytical and quantitative methods of inquiry, and clearly demonstrating the use of the scientific method.
4. By using tools of science, encourage students to enter into major scientific debates that affect the politics and ethics of our democratic society, economic systems, and our quality of life, e.g., nuclear power, genetic engineering, the purity of our drinking water, environmental issues, and science education. Students should learn how to develop informed judgments, and therefore be able to influence societal views about science and technology.
5. Examine the structure and implications of major scientific disputes in their historical context.

## **Life Science (B2)**

### **B2 Student Learning Outcomes**

**Upon completion of an Area B2 (Life Sciences) course, students will be able to:**

1. Recognize and explain scientific theories, concepts, and data about living systems.
2. Recognize scientific principles and apply the scientific method.
3. Discuss the distinctive strengths and scope of scientific endeavors and the ethics associated with intellectual inquiry.

#### **Specifications:**

Courses in the Life Sciences (B2) must provide:

1. Instruction in the fundamental features and unifying theories of all living things, including the chemical and physical bases of life and the relationships between living and nonliving materials, and the relevance of this biological knowledge to human affairs;
- or
- Instruction pertaining to a major evolutionary lineage of living things (e.g. plants, animals) rather than a more constrained group, and the relationships between these organisms and humans;
- or
- Instruction demonstrating the linkages among the biological sciences and the relevance of those linkages to human affairs.

## **Laboratory Activity (B3)**

1. The required laboratory activity requirement will be met by integral laboratory components which must be associated with all courses in Sub-Areas B1 and B2.

## **Quantitative Reasoning (B4)**

### **In alignment with the California State University System Executive Order on GE:**

Courses in Sub-Area B4 shall have an explicit intermediate algebra prerequisite, and students shall develop skills and understanding beyond the level of intermediate algebra. Students will not just practice computational skills, but will be able to explain and apply basic mathematical concepts and will be able to solve problems through quantitative reasoning.

### **B4 Student Learning Outcomes**

**Upon completion of an Area B4 (Quantitative Reasoning) course, students will be able to:**

1. Represent and explain mathematical information beyond the level of intermediate algebra symbolically, graphically, numerically and verbally.
2. Apply mathematical models of real-world situations and explain the assumptions and limitations of those models.
3. Use mathematical models to find optimal results, make predictions, draw conclusions, and check whether the results are reasonable.

#### **Specifications:**

Courses in Quantitative Reasoning (B4) must

1. Have a prerequisite of at least Intermediate Algebra, and must use a level of mathematics beyond that of Intermediate Algebra.

***General Education Area C***  
**Arts and Humanities**

**In alignment with the California State University System Executive Order on GE:**

Across the disciplines in their Area C coursework, students will cultivate intellect, imagination, sensibility and sensitivity. Students will respond subjectively as well as objectively to aesthetic experiences and will develop an understanding of the integrity of both emotional and intellectual responses. Students will cultivate and refine their affective, cognitive, and physical faculties through studying great works of the human imagination. Activities may include participation in individual aesthetic, creative experiences; however Area C excludes courses that exclusively emphasize skills development.

In their intellectual and subjective considerations, students will develop a better understanding of the interrelationship between the self and the creative arts and of the humanities in a variety of cultures.

Students may take courses in languages other than English in partial fulfillment of this requirement if the courses do not focus solely on skills acquisition but also contain a substantial cultural component. This may include literature, among other content. Coursework taken in fulfillment of this requirement must include a reasonable distribution among the Sub-Areas specified, as opposed to restricting the entire number of units required to a single Sub-Area.

Given the mandates of the Executive Order, Area C will contain 9 units, divided as follows:

1. Three lower division units in each Sub-Areas C1 and C2.
2. An additional 3 units in either Sub-Area C1 or C2.

**Arts (Art, Dance, Music, Theatre) (C1)**

**C1 Student Learning Outcomes**

**Upon completion of an Area C1 (Arts) course, students will be able to:**

1. Respond orally and in writing to aesthetic experiences, both subjectively and objectively, validating the integrity of both emotional and intellectual responses.
2. Recognize and explain the relationship between the self and the arts in a given cultural context.
3. Recognize, describe, and interpret works of art and performance; students may engage in skill development and/or participate in artistic creation.

## **Humanities (Literature, Philosophy, Foreign Languages) (C2)**

### **C2 Student Learning Outcomes**

**Upon completion of an Area C2 (Humanities) course, students will be able to do one of the following:**

1. Objectively review and explain important philosophical, historical or linguistic findings and developments.
- or
- Recognize, describe, and interpret works of the human imagination or intellect in their cultural context, either subjectively or objectively.
- or
- Demonstrate basic competence with a language (not English) and interpret texts or speech produced in that language from a relevant cultural perspective.

### **Specifications:**

Courses in the humanities (C2) must:

1. Promote an understanding of the development of contemporary civilization through studies of its historical and cultural roots in the principal humanistic endeavors, e.g., literature, philosophy, and foreign languages.
  2. Include exposure to diverse cultural perspectives.
  3. Reflect critically and systematically on questions concerning beliefs, values and the nature of existence;
- or
- Include a survey of the various types and styles of literature from a variety of historical perspectives and cultures, including instruction in the techniques of literary criticism:
- or
- Foster skills in listening, speaking, reading and writing a language other than English within a cultural and artistic context.

***General Education Area D*****Social, Political, and Economic Institutions and Behavior, Historical Background****In alignment with the California State University System Executive Order on GE:**

dents learn from courses in multiple Area D disciplines that human social, political and economic institutions and behavior are inextricably interwoven. Through fulfillment of the Area D requirement, students will develop an understanding of problems and issues from the respective disciplinary perspectives and will examine issues in their contemporary as well as historical settings and in a variety of cultural contexts. Students will explore the principles, methodologies, value systems and ethics employed in social scientific inquiry. Courses that emphasize skills development and professional preparation are excluded from Area D. Coursework taken in fulfillment of this requirement must include a reasonable distribution among the Sub-Areas specified, as opposed to restricting the entire number of units required to a single Sub-Area.

Given the mandates of the Executive Order, as well as the American Institutions requirement, Area D will contain 9 units, divided as follows:

Three lower division units in each of Sub-Areas D1, D2 and D3.

1. Six lower division units that ensure that students acquire knowledge and skills that will help them to comprehend the workings of American social and political institutions as well as enable them to contribute to society as responsible and constructive citizens. Courses satisfying this requirement shall provide for comprehensive study of American history (Sub-Area D1) and American government (Sub-Area D2) including the historical development of American institutions and ideals, the Constitution of the United States and the operation of representative democratic government under that Constitution, and the processes of state and local government.
2. Three lower division units in the subject area of the social sciences (Sub-Area D3).

**American History (Area D1)****D1 Student Learning Outcomes**

**Upon completion of an Area D1 course (American History), a student will be able to:**

1. Trace the historical development of American documents, institutions, and ideals, including the Constitution of the United States and the operation of representative democratic government.
2. Describe the origins of American social, political, cultural, and economic institutions and how they have changed over time.
3. Analyze and synthesize historical sources, including primary and secondary documents, and place them in their historical context.

## **American Government (Area D2)**

### **D2 Student Learning Outcomes**

**Upon completion of an Area D2 course (American Government), a student will be able to:**

1. Explain the structure of the governments of the United States of America and the State of California.
2. Recognize the major political philosophies regarding the role of government articulated in current political discourse.
3. Assess the meaning of representation in a democratic system of government and the pathways through which citizens may seek representation.

## **Social Science (Area D3)**

### **D3 Student Learning Outcomes**

**Upon completion of an Area D3 course (Social Science), a student will be able to:**

1. Discuss issues in the social sciences in their contemporary as well as historical settings and in a variety of cultural contexts.
2. Explain the principles, methodologies, value systems, and ethics employed in social scientific inquiry.
3. Discuss the influence of major social, cultural, economic, and political forces on human behavior and institutions.

### **Specifications**

In addition to meeting the above learning outcomes, all courses in Social, Political, and Economic Institutions and Behavior, Historical Background (Area D) must:

1. Introduce students to the methodologies and analytical concepts necessary to evaluate society and promote more effective participation in the human community.
2. Study the influence of major social, cultural, economic and political forces on societal behavior and institutions,

or

provide an understanding of different cultures and ethnic diversity through the use of comparative methods and a cross-cultural perspective.

**Note:** No student may take more than two courses from a single department or program to satisfy the requirements of Area D.

***General Education Area E*****Lifelong Understanding and Self-Development****In alignment with the California State University System Executive Order on GE:**

A minimum of three semester units or four quarter units in study designed to equip learners for lifelong understanding and development of themselves as integrated physiological, social, and psychological beings.

Student learning in this area shall include selective consideration of content such as human behavior, sexuality, nutrition, physical and mental health, stress management, financial literacy, social relationships and relationships with the environment, as well as implications of death and dying and avenues for lifelong learning. Physical activity may be included, provided that it is an integral part of the study elements described herein.

**Area E Student Learning Outcomes**

**Upon completion of an Area E course (lifelong learning and self-development); a student will be able to:**

1. Explain how, during the course of a lifetime, humans are physiologically, socially, and psychologically integrated.
2. Explain, model, or practice activities, skills, and behavior that promote lifelong learning and development.

**Specifications**

1. To equip human beings for lifelong understanding and development of themselves as integrated physiological, social and psychological entities.
2. Physical activity or skills acquisition alone cannot meet this requirement. Such content should be integrated into courses with broader purpose or the amount of such credit applicable to the requirement should be limited.

## **Descriptions for Upper Division Integration Areas IB, IC, ID and MI**

Given the mandates of the Executive Order, as well as three additional units, upper division general education will contain 12 units, divided as follows:

1. Nine upper division units in Integration (3 units from each of Areas IB, IC and ID).
2. Three upper division units in Multicultural International (MI)

All upper division integration courses must:

1. Provide opportunities for students to discover a variety of ways in which specific areas of human knowledge are related.
2. Be congruent with an Area (B, C, or D) goal, as well as the appropriate Sub-Area specification(s), and learning outcomes.
3. Be integrative, aiming toward a genuine appreciation of the linkages among Sub-Areas as well as the area goal.
4. Be taken outside the student's major department unless the course is interdisciplinary involving more than one department.

### **Integration - Physical Universe and Its Life Forms (Area IB)**

#### **IB Student Learning Outcomes**

**Upon completion of a course in Area IB (Integration - Physical Universe and Its Life Forms), a student will be able to:**

1. Describe the inextricable connections among the physical universe, the life forms which inhabit it, and the mathematical models used to describe it.
2. From the perspective of a particular scientific discipline, explain the ways in which science shapes our lives.
3. From the perspective of a particular scientific discipline, assess scientific issues including the value systems and ethics associated with them.

### **Integration - Arts and Humanities (Area IC)**

#### **IC Student Learning Outcomes**

**Upon completion of a course in Area IC (Integration - Arts and Humanities), a student will be able to:**

1. Recognize and explain, subjectively or objectively, the content and interpretation of creative works of culture (artistic, literary, and intellectual).
2. Explain relationships among the humanities, arts, and the self.



## **Integration - Social, Political, and Economic Institutions and Behavior, Historical Background (Area ID)**

### **ID Student Learning Outcomes**

**Upon completion of a course in Area ID, a student will be able to:**

1. Describe the inextricable connections among human social, political, cultural and economic institutions and behavior and employ the diverse methodologies used to examine them.
2. Discuss social science issues, human institutions and their interconnections from both a contemporary and historical perspective.

## **Multicultural International (Area MI)**

### **MI Student Learning Outcomes**

**Upon completion of an Area MI course (Multicultural / International), a student will be able to:**

1. Explain and interpret aspects of race, gender, culture, class, ethnicity or the relations among nations in a multicultural world.
2. Identify systems of oppression, inequality, or discrimination within and among groups, cultures, subcultures or nations.

### **MI Specifications**

Courses in Multicultural International (Area MI) must:

1. Prepare the student to live and function in an international and multicultural world or address the roles of specific cultures in contemporary societies.
2. Be taken outside the student's major department unless the course is interdisciplinary involving more than one department.

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Recommended by the Academic Senate  
Approved by the President

November 1984  
12/84  
December 14, 2004  
**May 17, 2013**

## APM G.E. Policy 215

### Assessment

Beginning in the 2017-2018 AY,

- a) Departments will no longer collect G.E. assignments or write a G.E. report

Rather all incoming students will be provided with access to a GE Portfolio and will be informed, as part of orientation, of both how to use the program and why it will be helpful to them.

1. Subcommittee

- b. A new GE assessment committee consisting of ten faculty members, the Director of Assessment and one student representative will be created and will be a sub-committee of the GE Committee. All ten faculty members will be appointed by the GE Committee through the normal “call for service” process used by the Academic Senate. In the initial year of the subcommittee, 4 members will be appointed to a 3 year term, 3 members to two year terms, and 3 to one year terms. No more than two individuals from the same college may serve on the subcommittee at the same time and at least half of the sub-committee members must have taught GE. As new members are appointed to the GE sub-committee, preference will be given to faculty who teach in the areas of GE being assessed that year. The sub-committee is charged with the oversight and implementation of the GE Assessment Policy.

- c. For the purposes of GE assessment, common criteria or a rubric with a minimum of two criteria will be used to evaluate student work. The common criteria or rubric will be developed by the sub-committee in consultation with faculty who teach in the GE area being evaluated. Such criteria/rubrics/or other measures must correspond to the current GE learning outcomes, as approved by the Academic Senate, and be used solely to assess whether or not students have demonstrated proficiency in achieving these learning outcomes.

- d. None of the data gathered in GE assessment, or included in the reports produced by the GE sub-committee, can influence or be used to make personnel decisions or to evaluate the performance of a department or program. These reports also cannot be considered during program review.

2. Role of Faculty

- a) Professors will be required to clearly state on their GE syllabus which assignment (s) correspond to which GE learning outcome(s) in addition to listing the GE learning outcomes for the appropriate area on their syllabus. A current syllabus for each GE course will be filed with the Office of the Dean of Undergraduate Studies and be made available to faculty conducting assessment activities.

b) In order to respect the principle of academic freedom, course content and the development of assignments that will be submitted as artifacts are the instructor's sole responsibility and specific common or "signature" assignments cannot be mandated by either the GE Committee or the GE Assessment Sub-committee. However, common assignments and criteria for assessment that have been developed by departments may be used for assessment purposes.

c) If an assignment is not aligned with the appropriate GE learning outcome(s), the instructor will be asked to replace it with another assignment, designed by the instructor, that is appropriate. If the professor or department do not do so, the course may be deleted from GE. Syllabi and student assignments will be used to verify that GE courses are meeting these requirements.

### 3. Student Responsibilities

a) After completing each of their required GE courses, students will submit a completed course assignment to their GE Program Portfolio.

i. the assignment must have been specified by the course instructor as fulfilling one or more of the GE learning outcomes for that course.

ii. students will indicate within their submission which GE learning outcome aligns with their assignment

b. After completing each broad GE area (A,B,C,D,E, UD) students admitted as freshmen will reflect on their learning outcomes across the different courses in that area.

i. Students must submit an original written reflection of at least 300 words to their GE Portfolio for two of the lower-division GE areas (A, B, C, D, E).

ii. Students must also submit one 300 word reflection on the upper-division courses they took in GE areas IB, IC, and ID .

iii. All student reflections will respond to a guided question in the GE Portfolio regarding their learning within or across different GE areas.

c. Freshmen must submit at least 8 of the twelve lower-division course submissions and at least 1 of the 2 lower division reflections prior to meeting with their academic advisor for the 75 unit mandatory meeting; their 75 unit registration hold will not be lifted until they have done so.

d. Transfer students will only complete the submissions and reflection for upper-division GE course taken at Fresno State.

e. Students who complete all designated submissions and reflection(s) to their GE Portfolio prior to graduation will be recognized for their achievement.

Posted March 26, 2018

Amended April 8, 2020

## STANDARDS FOR WRITING COURSE REQUIREMENTS

W courses at CSU Fresno are designed to meet the CSU Graduation Writing Assessment Requirement (GWAR), a measure created to ensure that all CSU graduates are capable of communicating in writing at a level appropriate to their advanced education. Consequently, this upper division requirement measures more than basic competency in written English.

While W courses in different departments will have specific requirements that are unique to their disciplinary contexts, it is still possible to clarify what W courses should have in common. To ensure some uniformity of instruction in writing in university W courses, the University Writing Competency Subcommittee proposes the following general requirements to be met by all W courses offered at CSU Fresno.

To provide more curricular and pedagogical direction to departments and faculty offering W courses, the following W-course requirements are proposed and under consideration in the 2008/2009 academic year:

1. The W course should be grounded in writing pedagogy. Subject area content (i.e. Anthropology and Interpretation, or Business and Ethics) provides a framework for the class so students and instructors can engage in academic conversations as a means of performing academic literacy.
2. Students will write a minimum of 5000 words total in at least 5 different writing tasks. A minimum of two assignments will require multiple drafts in which the student participates in writing workshops.
3. The W course will require one writing textbook or equivalent that features strategies for researching, planning, organizing, drafting, revising, and editing (e.g. *The Penguin Handbook*, by Lester Faigley: Pearson/Longman, ISBN 0 536 45587 2). The text should support student understanding of writing as a process of decision-making, with particular attention to genre conventions specific to the subject area.
4. Faculty will provide multiple forms of feedback to students about their writing. Research in writing indicates rubrics, teacher revision demonstrations, and student-teacher conferences are among the most successful methods of feedback. Student writing will be returned in a timely manner.
5. The instructor's criteria for evaluating student writing will be explicitly articulated. Assessment in the writing course should focus on both substance and form, validating students' use of substantive elements like

coherence, argument, explanation, analysis, interpretation, complexity of thought, and effective use of information as well as conventions of grammar and usage.

6. A grade of "C" or better is required to earn W course credit.
7. Students must complete the lower division writing requirement before they enroll in a W course. Additionally, students should complete at least 56 units prior to enrolling in a W course.
8. Following C4 guidelines, enrollment in each W course will be limited to 25 students per section.

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Approved by the Academic Senate April 21, 2008  
Approved by the President October 20, 2008

## **Interim Policy, Procedures, and Guidelines for the Periodic Review of Academic Programs**

### **I. Introduction and Overview**

Periodic program reviews provide a mechanism for faculty to evaluate the effectiveness, progress, and status of their academic programs on a continuous basis. It is an opportunity for the department (or program) to evaluate its strengths and weaknesses within the context of the mission of the university and of current and emerging directions in the discipline. For the purposes of program review, a program is defined as a course of study leading to a degree. Academic programs are reviewed at least once every five to seven years. Except for special instances (e.g., interdisciplinary programs), program reviews include evaluation of all undergraduate and graduate programs offered by the unit.

The primary purpose of program review is to improve the program by thoroughly and candidly evaluating:

- the mission and goals of the program and their relation to the mission and strategic priorities of the institution,
- the curriculum through which program mission and goals are pursued,
- the assessment of student learning outcomes, program revisions based upon those outcomes, and plans for future assessment activities,
- the range and quality of research activities, emphasizing those involving students,
- the quality and diversity of faculty and staff and their contributions to program mission and goals,
- the quality of entering students (for graduate programs and others with restricted enrollment),
- libraries and other educational resources,
- physical facilities, and
- service and contributions to the community.

These reviews provide an opportunity for faculty to highlight program strengths and achievements, to identify needed improvements, and to address these needs through long-range plans that will endure through short-term administrative changes or budget crises. Program reviews are integral to planning, resource allocation, and other decision-making within the university. Regular program reviews also allow the university to account publicly for its use of public resources and to develop support among its various constituencies.

At California State University, Fresno, the Dean of the Division of Graduate Studies, or designee, serves as the review officer for graduate programs and the Dean of Undergraduate Studies, or designee, as the review officer for undergraduate programs.

In order to allow for reflection and input, the program review process is long and involved. The department prepares a self-study for each program under review. A review panel examines the self-study, visits the program, and prepares a report. The department and dean are afforded the opportunity to comment on the review panel's report. The report and comments are forwarded to the appropriate university-level committee for review. After receiving committee recommendations, the department writes a plan that describes actions to be taken in response to recommendations coming out of the reviews. An action plan meeting is held in which the department, dean, and central administration agree upon priorities and resources for a final action plan. Appendix A provides a timeline for completion of program review activities, in the form of a checklist summarizing the responsibilities of the various participating parties.

## **II. Initial Steps**

In September of the academic year before the review is due, the review officer will notify the chair of the academic department and the appropriate dean that a review has been scheduled. By that October, the chair of the academic department will notify the review officer and the appropriate dean of the name of the coordinator of the self-study. In November, the review officer(s) will schedule an orientation session for school or college deans, department chairs, self-study coordinators, and, if desired, additional department faculty, for all departments participating in a self-study.

## **III. The Self Study**

Appendix B provides a detailed outline of the self-study, which should be submitted to the college/school dean no later than November 1. The self-study is a comprehensive written report that is prepared by the academic program scheduled for a review. If the department undergoing review has multiple degrees, a separate self-study should be prepared for each degree, although a common set of supporting materials may be provided for multiple reports.

Institutional Research, Assessment, and Planning (IRAP) and the program review officer(s) will provide a standard data set to be included in the self-study. IRAP and the Center for Enhancement of Teaching and Learning (CETL) offer technical assistance in updating the assessment plan and planning and evaluating surveys. The review officer(s) can provide guidance and answer questions about the program review process.

The self-study examines the current status of the academic program based on its activities and achievements since its last program review. The document should identify strengths and weaknesses in curriculum and instruction; student performance; student learning outcomes activities over the period since the prior review and a student outcomes assessment plan (SOAP) for the period until the next review; faculty contributions in teaching, research/creative activities, and service; resource availability and needs; and special features or services provided by the department. Finally, and perhaps most importantly, it should serve as a vehicle by which the department, in conjunction with the university, can plan for the future. Goals for program improvement, an action plan to

achieve those goals, and strategies for measuring progress towards goal achievement should be included. Thus, the self-study should include mechanisms for solving current problems and avoiding projected problems, for building on existing strengths, and for maximizing opportunities that are likely to develop within the discipline in the near future. The allocation of resources is an important matter to all programs. However, if the self-study report becomes primarily a budget request, the unit misses an excellent opportunity to provide the campus information on its strengths, weaknesses, plans, and goals. Moreover, an unduly self-serving document in some measure loses credibility. The report is likely to have the most favorable impact on readers if the unit seizes the opportunity for creative thinking about plans.

A self-study coordinator, selected from the department faculty by the department faculty, will oversee preparation of the report. Where a department is undergoing both a graduate and an undergraduate program review, separate self-study coordinators should be selected. All program faculty members should be involved in preparation of the self-study and consulted prior to the preparation of the final draft. Since the department chair<sup>1</sup> is responsible for the content, accuracy, and completeness of the self-study, the chair should continually and actively oversee the preparation of the report. It is the responsibility of the self-study coordinator to meet periodically with the college/school dean to review progress on the self-study, to share the content of the self-study as it develops, and to report to the department faculty the comments and recommendations of the dean.

The college/school dean will review the program's self-study, provide comments to the self-study coordinator, and work with the department to address any concerns that arise. When satisfied with the quality and content of the self-study, the dean will forward the self-study with a memorandum of approval to the review officer(s) normally no later than November 30.

The review officer(s) will review the self-study for conformity with university guidelines. If all required elements of the self-study have been addressed, the review officer will notify the department to submit ten copies of the program self-study.

#### **IV. Site Visit and Report by a Panel of External Evaluators**

The site visit will be conducted by a team of at least three consultants including an external expert in the discipline under review who has experience with student outcomes assessment in that discipline, a faculty member from within the school or college of the department, and a faculty member from the campus but outside the school or college of the department. The department may elect to include a fourth member of the team representing the alumni, community members, or other accreditation experts. The chair of the academic department, in consultation with the department faculty and the appropriate dean, submits to the program review officer a list of three potential external consultants in each category by the end of September of the review year (Appendix C). The review officer(s) will promptly notify the chair, coordinator, and panel members of those

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<sup>1</sup>

All references to chair are meant as the department chair or program coordinator.



selected. The CETL office will provide suggestions for consultants if needed. The university provides a stipend to the external consultant.

The review officer(s) and the department work together to schedule the review panel site visit to be held preferably prior to spring break. The department will provide the team with an office for use during the visit, as well as a computer and printer. In addition, space should be provided for scheduled meetings of the team with the various groups. It is the unit's responsibility to arrange tours of its facilities; a tour of the library; time for reviewing course syllabi and student work (including randomly selected theses); and to schedule the appropriate meetings with faculty, students, and alumni as appropriate. The site visit should conclude with an exit meeting of the Provost, Associate Provost, School/College Dean, Undergraduate Dean, Graduate Dean, department chair, and/or graduate program coordinator, to be scheduled by the review officers. If only one program is being reviewed, the panel can complete its work in a single day. For review of multiple programs (e.g., undergraduate and graduate), additional time may be needed. Sample site visit agendas are provided below.

### Sample Two-Day Site Visit Schedule

<i>First Day</i>		Location
7:45	Designated faculty picks up out-of-town site visitors	
8:00	Department chair and/or self-study coordinator	
9:00	Review officer(s)	TAd 130 <sup>*</sup>
10:00	Academic Resources	TAd 111 <sup>*</sup>
10:30	Provost/VPAA	TAd 110 <sup>*</sup>
11:00	Meeting and lunch with program/departamental faculty	
1:30	Dean	
2:30	Undergraduate Students	
3:30	Graduate Students	
5:00	Alumni/employers/advisory council, etc.	
5:30	Dinner	
<i>Second Day</i>		
8:00	Additional meetings as needed	
9:00	Tour of facilities and library and facilities	
10:30	Review of course syllabi and student written work	
12:00	Lunch	
1:00	Report preparation	
4:00	Exit meeting	TBA <sup>*</sup>

## **Description of Site Visit Sessions.**

### **1. Visit with Review Officers**

One of the first meetings scheduled for the review panel will be with the review officers. The purpose of this meeting is to orient the Site Visit Team to the purpose of their visit and to answer any questions they might have on the procedures for the Academic Program Review and/or their role in the review.

### **2. Visits with Students**

Some of the most helpful meetings are those with students. Because students often bring up questions for which the site visitors will want to seek answers, these meetings should be set up fairly early in the schedule. Class visits also work well. After the visitors are introduced and the purpose of the visit explained, unit faculty members should leave so that students feel free to discuss issues. Since undergraduate and graduate students may have different concerns, a separate meeting should be arranged for each group. It is important to have a substantial number of students in each group.

### **3. Visits with Faculty Members**

Depending on the size of the department, two or three small group meetings (or individual meetings, where possible) might be desirable so that most faculty members will have a chance to express their opinions. In addition, there should probably be a small meeting with the faculty who prepared the report and with the graduate advisory committee or other committees whose work relates to the program review. The department chair should not attend the meetings with faculty.

### **4. Visits with the Department Chairs**

At least an hour should be scheduled for the site visitors to meet with the department chair. Because site visitors will usually have questions from their conversations with students and faculty, some time for this visit with department chairs should be saved rather late in the schedule.

### **5. Visits with University Administrators**

As part of an effort to incorporate review results into general university planning, meetings will be scheduled with the Provost, the Associate Provost for Academic Resources, and the dean of the supervising college or school. Since the recommendations of the site visitors will affect planning by the unit and college, the dean's interaction is crucial. Scheduled times for these visits will be arranged approximately one month prior to the review to allow for planning. These appointments will be arranged by the review officer's assistant.

### **6. Review panel's report (Appendix D)**

Time needs to be reserved during the site visit to allow the consultants to draft a report summarizing their program evaluations and recommendations, to be substantially completed prior to the departure of the external consultant. If necessary, the report can have draft status at that time, subject to final review of team members,

but it should be complete in scope. As appropriate, there should be separate reports on undergraduate and graduate programs, delivered, both electronically and in hard copy, to the review officer(s). The report(s) will be distributed to the college/school dean and to the department via the chair and the coordinator.

## **7. Exit meeting**

Site visits conclude with an exit meeting comprised of the Provost, the review officer(s), the college/school dean, graduate dean (if a graduate program), department chair, the self-study coordinator and/or graduate program coordinator (if a graduate program).

**A Note on Hospitality.** Please coordinate faculty members to serve as local hosts, who will pick up out-of-town visitors at their hotel, escort them to meetings, arrange return transportation, and lend general assistance. On the second day, please arrange for out-of-town visitors to check out of the hotel before noon so that the university is not charged for an extra day, unless the visitors have asked to stay over a third night. Most local hotels will provide shuttle service to the airport, but if time is tight it may be better for someone in the unit to give the visitor a ride. The Site Visit Team will have two busy days and will likely appreciate a few hours of quiet. Please leave the evening hours free. Also, no funds have been set aside for entertainment. Lavish entertaining is not expected or encouraged. If faculty members wish to go out to dinner or lunch with the visitors, they will be responsible for their own expenses.

## **V. Responses to the Self-Study**

The self-study coordinator and chair work together with the faculty to complete a written response to the review panel's report. The departmental response should be a good faith effort to address each of the issues raised in the report and may also discuss significant changes or developments that have taken place in the program subsequent to the self-study. The departmental response is to be submitted to the college/school dean and the review officer(s) within two weeks after receipt of the visiting panel's report.

The college/school dean should address the issues raised in the review panel report and the chair's response. The dean's response shall be submitted within one week to the chair and to the review officer(s), and distributed for review by the departmental faculty.

## **VI. University Committee Review**

The campus program review committees will examine the review panel's reports and the departmental and dean's responses. The program review committees will then interview representatives of the program and the administration as appropriate, and provide committee recommendations based on the reports provided. They should also comment on the outcomes assessment process in the department and on the updated Student Outcomes Assessment Plan. The committee report should be completed no less than one month following receipt of the material and should be delivered to the review officer(s). The following are categories for committee recommendations:

**University Committee Recommendations to Approve a Program:**

**1.Recommendation to Approve a Program with Notation of Exceptional Quality**

Approval is recommended without reservation and with a notation of specific areas of program promise and excellence. Programs recommended in this category may be considered for an award for program excellence. These are programs that exhibit special strength in all aspects of the review process and reflect the very best attributes of commitment, quality, and promise.

**2.Recommendation to Approve a Program of Quality and Promise**

Program approval is recommended with identification of specific areas that need to be further developed, and a notation of specific areas of achievement. These programs meet all evaluative measures of quality, but nonetheless could improve in substantial ways (e.g., absence of a strong student recruitment plan.)

**3.Recommendation to Approve a Program for Conditional Continuation**

Conditional approval is recommended with identification of specific areas requiring significant improvement, including the conditions and a reasonable time frame for such conditions to be met in achieving unconditional approval. Conditional continuation is appropriate for a program that fails to meet expected quality standards and for which additional time and/or implementation of planned actions to address these weaknesses could be expected to eliminate such deficiencies without impairing student progress (e.g., the need to obtain space or equipment.)

**Other University Committee Actions:**

**4.Recommendation to Suspend a Program**

A recommendation for suspension of a program is appropriate upon receipt of a conditional continuation in the most recent program review and when two conditions occur: (1) when the program fails to meet established standards of quality that insure an appropriate academic experience for students and (2) when there is evidence that these deficiencies may be corrected over a specified period of time. Those standards of quality include but are not limited to a minimum critical number of faculty, a minimum critical number of students, adequacy and frequency of required courses, adequate library holdings, and appropriate physical facilities. Please note that a recommendation to suspend a program could lead to administrative action. Administrative action to suspend a program: (1) places a moratorium on new student admissions; (2) requires students currently in the program be accommodated so that they may complete the program; (3) places a moratorium on reappointment of faculty to graduate faculty status, if pertinent to a graduate program; and (4) removes program catalog copy. The degree title may be retained on the trustee-approved campus Academic Plan. If evidence suggests that the program may be successfully reconstituted at a later date, then conditions to be fulfilled in order to fully reopen the program should be identified along with a process to support the removal of a recommendation for suspension. Note that discontinuation may result if the program is unable to satisfy the conditions for successful reconstitution as identified.

**5.Recommendation to Discontinue a Program**

A recommendation to discontinue a program is appropriate upon receipt of a conditional continuation in the most recent program review and when the program fails to meet established standards of quality that insure an appropriate academic experience for students, and at the same time when there is no evidence that deficiencies have been corrected over a specified period of time. Please note that a recommendation to discontinue a program could lead to administrative action. Administrative action to discontinue a program: (1) places a moratorium on new student admissions; (2) requires students currently in the program be accommodated so that they may complete the program; (3) places a moratorium on reappointment of faculty to graduate faculty status, if pertinent; and (4) removes program catalog copy. A separate process for review of the implications of program termination is implemented. This second and separate level of review follows University policy and includes an assessment of the implications for the University and its service area, faculty, facilities, students, and resources if the program is discontinued.

## **VII. The Action Plan**

In consultation with the dean, the department chair and/or program coordinator will draft an action plan, providing for each issue identified during the review the following: (1) Proposed action and expected outcome, (2) Cost/resource implications, (3) Source of funds or resources, and (4) Timeline for accomplishing the proposed action. This document will be discussed at a Planning and Implementation Meeting called by the Provost and including the chair, college/school dean, review officer(s) and a representative from the site visit team (if requested by the department) to consider all recommendations and comments. The purpose of this meeting is to prioritize the action plan and obtain commitments for any resources needed to achieve the high priority goals. The dean and the Provost may propose additional action items. The minutes of the meeting will document the formal agreement among parties. The department may be requested to revise the action plan and another action plan meeting may be called if needed. The finalized action plan is signed by the chair, the dean, and the provost. Each year a progress report on the items in the action plan will be included in the Department Chair's Annual Report to the Provost.

## **Appendix A. Checklist and Timeline for Program Reviews**

### **Academic Unit**

- O Select self-study coordinator (September, year one)
- O Attend orientation meeting (October, year one)
- O Suggest external and on-campus reviewers (September, year two)
- O Suggest dates for site visit (September, year two)
- O Complete self-study (November to November, years one to two)
- O Cooperate with review officers to arrange site visit schedule (fall year two)
- O Supervise site visitors during visit (spring year two, preferably prior to spring break)
- O Distribute site visitors' report to faculty (spring year two)
- O Schedule faculty meeting to discuss review and prepare response
- O Forward response to dean (within two weeks)
- O Attend Senate committee meeting as needed (following academic year)
- O Attend planning/implementation session (following academic year)
- O Review actions to be taken with supervising dean (within two weeks)

### **Academic Dean**

- O Attend orientation meeting (October, year one)
- O Work with the department in preparing the self-study (November to November, years one to two)
- O Receive and review self-study (November, year two)

- O Meet with review panel (spring year two, preferably prior to spring break)
- O Read review panel's report and department response (spring year two)
- O Forward dean's response to review officers (within two weeks)
- O Attend Senate committee meeting as needed (spring year two or subsequent year)
- O Attend planning/implementation session (spring year two or subsequent year)
- O Review with department actions to be taken (within two weeks)

### **Review Officers**

- O Notify unit about review (September, year one)
- O Obtain names of self-study coordinators from chairs (October, year one)
- O Conduct orientation session (November, year one)
- O Review, process and distribute self-study (November - December, year two)
- O Select program review panel (September – October, year two)
- O With unit, arrange program review panel's schedule (December – February, year two)
- O Conduct entrance interview (spring, year two)
- O Conduct exit interview (spring, year two)
- O Obtain and distribute program review panel's report (spring, year two)
- O Schedule review for Univ. Graduate or Undergraduate Review Committee (spring year two or subsequent year)

- O Schedule planning/implementation meeting (spring year two or subsequent year)
- O Coordinate final record of program review (spring year two or subsequent year)

## **Appendix B. Outline for Program Review Self-Study**

The following outline is recommended for a self-study prepared for a program review. Additional topics may be included, but the self-study report should not exceed twenty pages, excluding appendices. Departments with programs subject to external accreditation reviews requiring substantial reports may elect to submit the report prepared for accreditation and accreditation review reports as major elements in the self-study. In these instances, a cover memorandum should be provided, clearly indicating, in the order specified below, where the appropriate material may be found, either in the accreditation report or in attachments to the memorandum. Any areas listed below not discussed in the accreditation document should be discussed in a supplement or attachment to the self-study. Note that a separate self-study must be prepared for each degree program.

### **I. Introduction and Overview of the Program**

The description should orient the reader to your program, including items such as degree offerings, general education courses, and service courses. Describe major events in program history, such as administrative affiliations, degrees, faculty composition, mission, etc.

### **II. Previous Action Plan or Recommendations from Prior Review**

Briefly outline the major findings, recommendations, and action plans of the previous review and the responses to them. What actions were taken as a result of the recommendations?

### **III. Departmental Description and Evaluation of the Program**

Data provided to the program from various sources should be summarized in appendices. Supporting documents may be provided by Web reference.

**Reminder:** Data collected through student outcomes assessment processes do not need to be reported but may be referenced in explaining curricular changes (APM 204).

#### **A. Mission and Goals of the Program**

State the mission and goals of your program, noting any changes since the prior review.

##### **1. Alignment of the Program and the University's Missions and Goals**

How does the program mission statement support the mission(s) and goals of the university?

##### **2. Alignment of the Program and the College/School Goals**

How does the program mission statement support the mission(s) and goals of the college/school?

##### **3. Reflection of Any Recent Changes in the Discipline**

Have there been any significant changes in the broader academic disciplinary area(s) relating to the program that require changes to the program's structure, focus, or emphasis?

#### **B. Effectiveness of the Instructional Program**

##### **1. Student Learning Outcomes as Developed in the Program's Student Outcomes Assessment Plan (SOAP)**

While preparing the self-study, program faculty should review and comment on the SOAP and related activities. Note any changes in the learning outcomes since the



prior review. What actions have you taken as a result of what you have learned during assessment planning or as a result of assessment data? Consider the following questions and respond to those not answered elsewhere in the self-study: How does your plan authentically address your educational effectiveness with your students? How does your SOAP reflect your effectiveness as educators? What progress have you made in implementing the SOAP? What assessment activities have been conducted since the last program review? What learning outcomes did they assess? How has the evidence you collected affected decisions made about the program or the SOAP?

## **2. Curriculum**

### **a. Structure/Coherence of Instructional Program**

Assess the structure, currency, comprehensiveness, adequacy, coherence, and delivery of the curriculum as appropriate. Describe any changes made in the program's curriculum in response to outcomes assessment. Self-studies may report on recognition/awards for innovative curriculum and/or outstanding students, external funding for curricular innovation or reform, or university writing requirements. Include in an appendix to the self-study and comment upon the course offering and enrollment tables provided by the Office of Institutional Research. For graduate programs, include information on the program's Graduate Writing Requirement, and include the written policy as an appendix. For culminating experiences other than theses, include written guidelines or policies for projects (298) or comprehensive examination as an appendix.

### **b. Cooperative Efforts with Other Academic Programs – Joint Degrees, Service Courses, General Education Courses**

Evaluate your effectiveness in cooperatively offering joint degree programs, service courses, and/or General Education courses.

### **c. Research on Effectiveness of Teaching and Learning**

Please document the scholarly work and creative activities of your faculty and comment on the impact of their scholarly work and creative activities on the curriculum and on student engagement and learning.

## **3. Recruitment, Retention, and Student Services**

Comment on any recruitment, retention, and support services for students (e.g., advising, mentoring of students; career development; student placement). Comment on your efforts in terms of the quality, success, and diversity of your students.

## **4. Community Interactions (Professional, Disciplinary, Industry/Regional)**

Summarize opportunities for student internships, employment, and/or continued educational paths of program graduates, as well as the ways in which external communities interact with students and/or the curriculum. Comment on ways in which program faculty, students and the various communities they serve interact. In specific, of interest are comments on any programmatic interactions with the off-campus regional community, any related professional communities, and/or the broader disciplinary community. Self-studies may report employer satisfaction.

### **C. Effectiveness of Research, Scholarly, and Creative Activities**

Attach Curriculum Vitae of tenure-track and tenured faculty members as an appendix. Summarize your department's collective strengths in the following areas:

- Teaching and Advising
- Scholarship and Research
- University Service
- Community Service

### **D. Resources**

#### **1. Financial/Budgetary**

Include in an appendix to the self-study and comment upon the tables out of the Budget Book provided to you by the Office of Academic Resources.

#### **2. Faculty/Staff**

Include in an appendix to the self-study and comment upon the report of faculty teaching in the department and the program as provided to you by the Office of Academic Personnel. For graduate programs, identify the criteria employed by the department in the assignment of faculty to teach graduate courses, to serve on committees that administer the culminating experience (thesis, project, comprehensive examination, as applicable) and for determining graduate faculty and members of the graduate program faculty consultation group.

##### **a. Adequacy and Availability**

Using objective evidence, evaluate the quality, currency, match of strengths to program goals, with the diversity of the collective faculty and staff (e.g., evidence of leadership in national and regional organizations in the discipline, awards for outstanding teaching, scholarship and creative activity, external funding either for individuals or collaborative efforts, evidence of success in recruiting faculty and staff from underrepresented groups). Comment on any curricular areas for which the department has difficulty hiring.

##### **b. Professional Development/Travel Support**

Comment on the adequacy and availability of institutional support and outside funding for professional development and travel.

#### **3. Implementation and Currency of Technology**

Discuss the program's use of technology in classrooms, faculty offices, and labs, and comment on the adequacy and currency of technological resources in use.

#### **4. Other:**

##### **a. Space – Classrooms, Laboratories, Offices**

Are the classrooms and laboratories allocated for curricular offerings sufficient and appropriately sized?

##### **b. Library Assets**

Comment on library holdings as they support the academic program, its faculty and students.

#### **IV. Plan for the Next Review Period**

##### **A. Recommended Changes to Mission and Goals of the Program**

##### **B. Effectiveness of Instructional Program**

###### **1. Student Learning Outcomes as Developed in the Program's Student Outcomes Assessment Plan (SOAP)**

What changes should be made to your assessment plan? Include an updated student outcomes assessment plan for the next program review cycle.

###### **2. Curriculum**

###### **a. Structure/Coherence of Instructional Program**

###### **b. Cooperative Efforts with Other Academic Programs – Joint Degrees, Service Courses, General Education Courses**

###### **3. Recruitment, Retention, and Student Services**

###### **4. Community Interactions (Professional, Disciplinary, Industry/Regional)**

##### **C. Resources**

###### **1. Financial/Budgetary**

Based upon the self-study process, what are your plans within existing resources? What important improvements in your program could be made with additional resources?

###### **2. Faculty/Staff**

###### **a. Adequacy and Availability**

###### **b. Professional Development/Travel Support**

###### **c. Professional Achievements/Contributions**

###### **3. Implementation and Currency of Technology**

###### **4. Other:**

###### **a. Space – Classrooms, Laboratories, Offices**

###### **b. Library Assets**

#### **V. Additional Issues**

This section contains responses to issues that may have been raised by the supervising dean or review officers in the Self-Study Orientation Meeting.

#### **VI. Appendices**

##### **A. Visiting team report/recommendations from prior review**

##### **B. Report on assessment activities (information should be available in annual reports since the last review)**

##### **C. Standard Data Set**

###### **1. Course Offering and Enrollments Table**

###### **2. Student Data**

###### **3. Grants**

###### **4. Department Data from Budget Book**

###### **5. Faculty Profile (number, tenure/tenure track vs. part-time, ethnicity)**

###### **6. Faculty Teaching Loads and Assigned Time**

##### **D. Faculty Vitae**

##### **E. Updated Student Outcomes Assessment Plan**

##### **F. Other**

## **Appendix C. Review Panel Nomination Form**

**Please submit a form for each nominee.**

☐ Disciplinary Specialist  
(Off-Campus)

☐ College Representative  
(Outside of Department)

☐ University Representative  
(Outside of College)

☐ Alumni/Community Representative (optional)

Academic unit being reviewed:

Name:

Title or Rank:

Current position:

Degrees

Subject/Major

University/Institution

Address/MailStop:

Telephone:

(please verify phone number)

Email:

Fax number:

**For off-campus members, describe the qualifications that make this person an appropriate review panel member for your unit.**

## **Appendix D. Guidelines for Preparing the Review Panel Report(s)**

Content and length of review panel's report typically vary, depending on the nature and size of the program and on personal preferences of the reviewers. Consultants are welcome to comment on any aspect of the program that they consider important to program quality and future development. From an organizational standpoint, it is often useful to begin the report with an overall view of the program and to conclude with a summary and specific recommendations, where appropriate. Please consider whether or not the mission of the unit is clearly stated and whether the activities of the unit are consistent with the stated mission.

The best way to assist an academic unit is to make useful recommendations within the current budget. Thus, if a major initiative is needed, corresponding reductions should be suggested. In addition, it is helpful to suggest what the unit might be able to accomplish with a 3 to 5 percent increase in funds or what might best be eliminated with a 3 to 5 percent decrease in funds.

### **Outline for the Review panel's Report**

#### **I. Introductory section**

#### **II. Comments and observations on strengths or weaknesses which need to be addressed in addition to conclusions presented in Self-Study Report.**

- A. Curriculum design and relevance to university mission
- B. Program long-range plans
- C. Admissions procedures
- D. Classification and advancement procedures, if a graduate program review
- E. Faculty quality, achievements, needs, commitment to program
- F. Students' quality, achievements, needs
- G. Assessment Activities
- H. Research and/or professionally related activities
- I. Facility adequacy, unique advantages, ancillary units
- J. Resource utilization, planning, augmentation
- K. Technology implementation and currency
- L. Administrative commitment, support, leadership, and concerns for program
- M. Service and community interaction
- N. Other

#### **III. Summary of evaluation**

- A. Is this program offered at an appropriate degree level? Please elaborate.
- B. Is the current program viable? Please elaborate.
- C. What are the attitudes of faculty, students, and administrators (and possibly alumni and employers) toward this program?
- D. Do resources which support this program ensure that students receive a degree program of quality? Explain.

#### **IV. Recommendations**

#### **V. Signature Page (see Appendix F)**

## **Appendix E. Signature Page for External Consultants**

Each member of the external review panel should complete the form below, attach it to a copy of the Program Review Report, and return it to: Program Review Officer, California State University, Fresno, 5241 N. Maple Ave. M/S TA51 Fresno CA 93740-8027

### **DISCIPLINARY SPECIALIST**

This report was prepared by:

Signature:

Date:

Institution:

### **COLLEGE REPRESENTATIVE**

I have read the Program Review Report for the \_\_\_\_\_ program and

☐ concur

☐ concur with the following reservations:

☐ disagree and have attached a statement

Printed name (College Representative):

Signature:

Date:

### **UNIVERSITY REPRESENTATIVE**

I have read the Program Review Report for the \_\_\_\_\_ program and

☐ concur

☐ concur with the following reservations:

☐ disagree and have attached a statement

Printed name (College Representative):

Signature:

Date:

### **ALUMNI/COMMUNITY REPRESENTATIVE**

I have read the Program Review Report for the \_\_\_\_\_ program and

☐ concur

☐ concur with the following reservations:

☐ disagree and have attached a statement

Printed name (College Representative):

Signature:

Date:

## **Policy on Blended Undergraduate and Graduate Programs**

### **I. Purpose**

The purpose of this policy is to provide an accelerated pathway from a bachelor's to a master's degree program, to provide a pipeline of high-achieving students to a master's degree program, to enhance the undergraduate learning experience, and to curb the "brain drain" from the Fresno area.

### **II. Background:**

As specified in Executive Order No. 971, both degrees may be awarded during the same term and at a single graduation ceremony. Under Title V, Sections 40500, 40501, and 40510, a minimum of 150 semester units (120 bachelor's-level and 30 master's level units) are required for blended programs.

### **III. Policy:**

Academic programs may offer blended programs that comply with the requirements of Title V and Executive Order No. 971. Blended programs must establish clear pathways for students to complete the blended program by outlining course requirements that meet both bachelor's degree and master's degree requirements. These blended programs must be approved by the normal program approval process.

### **IV. Bachelors/Masters Degrees Blended Programs:**

Students who meet department established criteria for blended programs and are interested in being part of a blended program must apply to the blended program either upon admittance or while in undergraduate status and will be admitted as undergraduates to the bachelor's component of the blended program. While in undergraduate status, the students in a blended program may take graduate-level courses required for the master's degree. During the period when students in a blended program have earned fewer than 120 semester units, they will be assessed only the undergraduate State university fee. The semester after a blended program participant has completed at least 120 semester units toward program completion, the campus will change the student code to reflect graduate status. The FTE calculation for students in graduate status will be 12 units equal one FTES.

Students participating in a blended program will not be required to apply for graduate admission, nor will they be required to pay a graduate admission fee. When the degree-objective status is changed to "graduate," students will be assessed the graduate student tuition rate, even though they may continue to take undergraduate courses. Students in a master's degree program that has been authorized to assess the higher graduate professional degree ("MBA Fee") will only be charged that fee for courses required to complete the fee-approved master's degree program.

If a student in a blended program opts not to complete the master's program but does complete the undergraduate degree requirements, the undergraduate matriculation will be re-opened at no cost to the student in order to grant the baccalaureate degree.

## **V. Master's/Doctoral Degrees Blended Programs:**

Students who meet department established criteria for blended programs and are interested in being part of a blended program must apply to the blended program either upon admittance or while in master's degree status and will be admitted as master's degree students to the master's component of the blended program. While in master's status, the students in a blended program may take doctoral-level courses offered for the doctoral degree. The semester after a blended program participant has completed 30 semester units towards master's program completion, blended program students become doctoral program students.

Students participating in a blended program will not be required to apply for doctoral graduate admission, nor will they be required to pay a doctoral graduate admission fee. When the degree-objective status is changed to "doctoral," the student will be assessed the doctoral student tuition rate, even though the student may continue to take master's courses. Students in a master's degree program that has been authorized to assess the higher graduate professional degree ("MBA Fee") will be charged that fee for courses required to complete the fee-approved master's degree program.

If a student in a blended program opts not to complete the doctoral program but does complete the master's degree requirements, the graduate matriculation will be re-opened at no cost to the student in order to grant the master's degree.

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**Approved by the Senate**

September 18, 2013

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**Approved by the President**

August 7, 2012 (Interim Policy)

October 11, 2013



## CURRICULUM CHANGE PROCEDURES FOR THE CSUF CATALOG

### **COURSE AND CURRICULUM CHANGE PROCEDURES:**

**Request for New Undergraduate Course:** A request for a new undergraduate course is made through the submission of an Undergraduate Course Request form. Following a substantive review of the request by the department, appropriate school committee and approval by the School Dean, the request will be submitted to the Undergraduate Curriculum Subcommittee through the Office of the Associate Vice President for Academic Affairs (AVPAA), Dean of Undergraduate Studies. The Subcommittee will then forward its recommendation to the AVPAA/Dean of Undergraduate Studies. If the AVPAA/Dean of Undergraduate Studies approves the new course, it is incorporated into the next year's Catalog, and it may be scheduled for offering during the academic year covered by the Catalog.

Changes in existing courses involving unit value, lecture-laboratory format, prerequisites and revisions in course title or description are also requested on the Undergraduate Course Request form. With the approval of the appropriate school committee and School Dean, the form is forwarded to the AVPAA/Dean of Undergraduate Studies for final approval and the changes are implemented. The AVPAA/Dean of Undergraduate Studies may refer the request to the Undergraduate Curriculum Subcommittee for their recommendation.

When a proposed change affects another area, it must be cleared by that area. Such clearance, as evidenced by the appropriate signatures on the request form, must be secured by the department requesting the change. If a change affects other courses or programs within the department making the request, the necessary adjustments should also be indicated on the form. Information on current course interrelationships may be obtained by calling the Office of the Associate Vice President for Academic Affairs, Dean of Undergraduate Studies.

**Minor Changes in Undergraduate Programs:** Requests for changes and adjustments in majors, minors, and options which are due to course changes need to be made on an Undergraduate Program Change Request form. After approval at the school level, requests are forwarded to the Office of the Associate Vice President for Academic Affairs, Dean of Undergraduate Studies.

**Catalog Deadlines:** A delivery date for new Catalogs in April requires a rigorous observance on this campus of deadlines for the submission of proposed changes or additions to the Catalog. The deadline for program and course request forms and revised mock-ups are due the first week in October. New course proposals and substantive changes in academic programs reflected on the mock-ups need to be submitted earlier, preferably by March, so appropriate review can be initialized by the AVPAA/Dean of Undergraduate Studies. Each year, the specific deadline dates are published in the Administrative Calendar.

**New Programs:** All new undergraduate and graduate degree programs must be approved by the Chancellor's Office before they can be implemented. Substantial changes in an existing program may require Chancellor's Office approval, depending upon the magnitude of the change requested. Only those degree programs which are included in the current CSUF Master Plan will be accepted for consideration by the Chancellor's Office. A request for a substantial change in an existing program is treated as a new program so far as the local consultative process is concerned.

Under Executive Order No. 283, the authority to approve options, concentrations, and minors in some specified academic areas has been delegated to the President of the University. In many other areas, the approval of the Chancellor's Office is still required.

#### **PROCEDURES FOR IMPLEMENTING NEW UNDERGRADUATE PROGRAMS:**

1. Departments or schools that wish to institute a new major previously approved for inclusion on the Academic Master Plan, minor or option, should discuss their proposal informally with the AVPAA/Dean of Undergraduate Studies early in the planning stage. Advice on format and procedures should be obtained prior to the preparation of the detailed program proposal.
2. The program proposal must receive a substantive review and approval at the school level.
3. Then the School Dean and AVPAA/Dean of Undergraduate Studies are in agreement that the proposal is technically ready for submission to the Academic Policy and Planning Committee, 40 copies of the detailed proposal and 40 copies of a summary shall be submitted to the Office of the Associate Vice President for Academic Affairs, Dean of Undergraduate Studies for distribution.
4. The detailed program will be distributed to members of the Undergraduate Curriculum Subcommittee, Academic Policy and Planning Committee and the School Deans. A program summary will be distributed to all Department Chairs with the notation that the detailed program is available in the School Dean's Office. At least ten instructional days will be allowed for receipt of comments by the AVPAA/Dean of Undergraduate Studies, during which time the Academic Policy and Planning Committee agenda for discussion of the proposal will be set.
5. The Academic Policy and Planning Committee will consider the proposal, along with all relevant comments transmitted by the AVPAA/Dean of Undergraduate Studies. The committee may request or receive a recommendation from the Budget Committee with respect to the budgetary implications of the proposed program.

6. If the academic Policy and Planning Committee recommends implementation of the proposed program, the Chair of the Committee will forward the recommendation via the normal channels for presidential approval. If the Chancellor's Office must approve, six copies of the final draft of the degree proposal will be submitted by the AVPAA/Dean of Undergraduate Studies.

## **PROCEDURES FOR IMPLEMENTING NEW GRADUATE PROGRAMS**

### **Step 1. Inclusion on Approved Master Plan**

1. Departments (or schools) that desire to institute a new graduate degree program must first include the program on the Academic Master Plan for the University. To accomplish this, the instructional unit should engage in informal discussions with the Dean, Division of Graduate Studies, and with the Provost and Vice President for Academic Affairs.
2. A formal request with justifications to have the new program placed on the Master Plan is then prepared by the instructional unit. This request is then filed with the Division of Graduate Studies for submission to the University Graduate Committee, the President, and the Chancellor's Office for approval by the CSU Board of Trustees. In general, there is one call for the submission of such requests that is made with a deadline for receipt in October. Review by the Board of Trustees may occur in January-February with notice of formal approval of the campus Master Plan being received shortly thereafter. This approval does not authorize the new program, but provides the authority to pursue the development of a formal proposal.
3. After the inclusion of the new program on the Master Plan, the instructional unit then prepares the formal proposal according to the Chancellor's Office requirements. Instructions as to format are available in the Division of Graduate Studies.

### **Step 2. Program Approval and Authorization**

1. The on-campus approval of the proposed new graduate program first requires review and approval by department and school committees, the School Dean, and the Graduate Dean prior to consideration by the University Graduate Committee. Sixteen copies of the first draft of the program proposal are submitted to the Division of Graduate Studies with a copy to the Provost and Vice President for Academic Affairs, two weeks prior to the University Graduate Committee meeting scheduled for first reading consideration. The approval process at this level consists of two readings scheduled fifteen working days apart.
3. After first reading approval, the proposal is revised to incorporate any recommendations made by the University Graduate Committee in its first reading.

4. Copies of the revised draft of the detailed proposal are then distributed to members of the University Graduate Committee, University Budget Committee, School Deans, and to the Provost and Vice President for Academic Affairs at least ten instructional days before the second reading by the University Graduate Committee. Copies of the abstract of the proposal and proposed catalog description as required by the Chancellor's Office are distributed to all department chairs with the notations that the detailed program is available in the School Dean's Office. Comments on the program are to be directed to the Dean, Division of Graduate Studies, who will send copies to the appropriate committee chair or administrator.
5. At its second reading, the University Graduate Committee will consider the proposal, along with all relevant comments that have been received by the Committee and the Dean, Division of Graduate Studies. If approved, the proposal is forwarded to the Executive Committee for review by the Academic Senate.
6. Recommendations of the Academic Senate are forwarded to the University President. Following final consideration and approval by the President, six copies of the degree proposal will be submitted to the Chancellor's Office by the Provost and Vice President for Academic Affairs.
7. Final authorization for the campus to offer the new degree program is granted by the Chancellor following staff review and review by the California Postsecondary Education Commission. The Division of Graduate Studies is responsible for monitoring progress of the proposal through the review process.

#### **GRADUATE COURSE AND CURRICULUM CHANGE PROCEDURES:**

- A. Graduate course and curriculum changes must be submitted to the Division of Graduate Studies on the appropriate request forms for the following types of change:
  1. Revision of existing graduate degree program requirements
  2. New courses
  3. Conversions (i.e., breaking out of topics courses)
  4. Revisions (i.e., unit value, description, prerequisites)
  5. Deletions
- B. The individual department making the request is responsible for the following:
  1. Adherence to graduate level course criteria published by the Chancellor's Office, the Council of Graduate Schools, and the Division of Graduate Studies.

2. Supportive data justifying the request.
  3. Clearance signatures from those departments or instructional units which would be affected by the requested change.
  4. Recommendations for approval by appropriate department and school committees and/or School Deans as required for the department.
  5. Original and twelve copies of the request are to be submitted to the Division of Graduate Studies.
- C. After an initial review in the Division of Graduate Studies, the request is submitted to the Graduate Curriculum Review Subcommittee. Two separate readings are held by the Subcommittee with an intervening period of at least fifteen instructional days to allow appropriate campus distribution.

Normally, a representative from the department is expected to attend the Subcommittee meetings to answer questions about the request. If the Subcommittee and the Dean of Graduate Studies recommends approval, the request is sent to the Provost and Vice President for Academic Affairs for final approval. With the approval of the Provost and Vice President for Academic Affairs, the course/curriculum changes are implemented and appear as appropriate in the University Catalog.

## Standards for Continuation and Procedures for Termination of a Graduate Program

### I. PURPOSE

The purpose of this policy is to describe the general standards continuing graduate programs are expected to meet and to set forth the procedures for terminating a graduate program if the program fails to meet the standards for continuation.

### II. STANDARDS

#### A. Statement of Mission and Objectives

1. Each graduate program is required to have a statement of mission and objectives. The department (or departments or school(s)/college(s) in the case of interdisciplinary graduate programs) should review the statement of mission and objectives periodically and should keep the statement current for the purposes of:
  - a. Providing direction for curriculum review and design
  - b. Guiding students in selection of graduate programs
  - c. Directing faculty members in implementing the program
  - d. Setting priorities for allocation of resources
2. The mission and objectives must be consonant with the mission and objectives of the University and with the school(s)/college(s) in which the graduate program is offered.
3. The statement of mission and objectives should address the future academic, personal, and professional endeavors of graduates the program is intended to serve.
4. The mission and objectives should guide personnel, resources, and facilities planning.

#### B. Curriculum

1. The curriculum must be designed to meet or exceed the prevailing standards of appropriate accrediting bodies.
2. All courses within the curriculum are required to be (a) either graduate courses or (b) specifically approved undergraduate courses for which clearly designated additional learning experiences are planned to warrant inclusion in the graduate curriculum. The latter courses should not exceed nine units or 30% of any graduate degree program.
3. Courses in the curriculum must be scheduled and offered in a pattern that permits any student to complete the program within a period no longer than that stated in literature for current and prospective students (including the University Catalog).
4. All courses included in the curriculum must be taught by qualified members of the faculty, who normally have earned a terminal degree in the discipline. (See II.D.3 below).
5. Theses, projects, and comprehensive examinations used as culminating experiences must be rigorous and demonstrate high standards of quality.

### C. Graduate Students

1.
  - a. The current and prospective number of students in graduate programs must be adequate for an appropriate schedule of courses. (See II.B.3. above).
  - b. The number of students must be adequate to support a proper learning environment in the graduate program.
  - c. The number must be sufficient to generate resources adequate to support the program, except when subsidies may be used from identified, willing sources. (See II.D. below)
  - d. All graduate programs should have a recruitment/retention plan which is updated regularly.
2.
  - a. The qualifications of students must be appropriate for the mission and goals of the program.
  - b. The mix of students must be appropriate for the mission and goals of the program.
3. The graduates of the program must benefit from graduate study. A high percentage of students receiving degrees from a graduate program should have the opportunity to move to the academic, personal, or professional positions for which the program is designed.

### D. Faculty and Other Resources

1. The department (or department(s) or school(s)/college(s) in the case of interdisciplinary programs) is/are responsible for providing the faculty and other resources needed to support the graduate program. The Chair (or Dean) is expected to account for the generation and flow of resources so that any subsidies from one program to another are clearly identified in any instance involving a graduate program under his or her jurisdiction.
2. The department(s) or school(s) must have a written policy that determines which faculty will teach in the graduate program.
3. Each program must have designated a group of faculty members to support the program and to serve as the consultative body for the program, the Graduate Faculty Group<sup>1</sup>.
4. The variety of faculty expertise must be appropriate for the program. The program's Graduate Faculty Group shall be consulted about the justification for new positions, the position description for any faculty searches, and selection of nominees for the position as these affect the continuing support of the graduate program.
5. The program's Graduate Faculty Group is responsible for recommending the minimum level of resources essential to support the program. These include library resources, space, faculty, administrative support, computer and other equipment, computer software, and equipment maintenance. The Chair (or Dean) is expected to respond to those recommendations annually in the budgeting process, and to prepare plans for providing the essential resources. (This section is not intended to deal with "desirable" levels of support. It is intended to deal with that level of resource support that is essential; with less, the program should be terminated.)

### E. Program and Student Outcome Assessment

1. All graduate programs should plan for periodic program review as required by the university that concludes with no serious issues to be resolved.
2. Student outcome assessment should take place as required within the program review.

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<sup>1</sup> See Policies on Graduate Faculty Groups for Master's Degree Programs, (APM 226) and Policy on Graduate Faculty Groups for doctoral Degree Programs (APM 227)

### III. PROCEDURES

Procedures to be followed when considering termination of a graduate program are presented here in sequence.

#### A. Petition to Terminate a Graduate Program

1. A petition is drawn up. The petition should set forth the standard(s) the program does not meet, and should present adequate evidence supporting this conclusion. The petition should clearly describe the manner in which the program is impaired because of the alleged deficiency(ies) and the consequences of such impairment.
2. Any of the following may initiate a petition to terminate a graduate program.
  - a. A majority of the students currently enrolled in the program
  - b. A majority of the program's Graduate Faculty Group
  - c. A majority of the faculty of the department(s) or school(s) in which the program is housed
  - d. The Chair of the Department
  - e. The Dean of the School/College
  - f. The Dean of the Division of Graduate Studies
  - g. The Provost and Vice President for Academic Affairs
  - h. The President of the University
  - i. A Review Committee of the Graduate Division of the University
  - j. The Graduate Committee of the Academic Senate
  - k. The University Budget Committee of the Academic Senate
  - l. An appropriate accrediting body or its designated accreditation committee
3. The petition is submitted to program's Graduate Faculty Group with copies to:
  - a. The Chair
  - b. The Dean of the School/College
  - c. The Dean of the Division of Graduate Studies
  - d. The Chair of the Graduate Committee of the Academic Senate
  - e. The Provost and Vice President for Academic Affairs

#### B. Review of the Petition to Terminate a Graduate Program

1. The program's Graduate Faculty Group is responsible for initial consideration of the petition to terminate the program.
  - a. Within 20 working days of receipt of the petition, consultation with the petitioner (except where the Group is the petitioner) shall be initiated. The appropriate Department Chair(s) or School/College Dean(s), and the Graduate Dean shall be notified of meetings for such consultation.
  - b. Within 10 working days of completion of the consultation with petitioner, the program's Graduate Faculty Group shall prepare an initial evaluation of the program against all standards for continuation, with special emphasis on the petitioners' allegations of deficiency. A report of this initial evaluation shall be distributed to each of those who will be consulted as specified in II.A.3 above.
  - c. Within 10 working days of distribution of the initial evaluation, the program's Graduate Faculty Group shall meet with the Department Chair(s), the School/College Dean(s), and such standing committees within the School as are appropriate. The latter may include committees on budget, research, undergraduate curriculum, and personnel. The program's Graduate Faculty Group shall consult with Graduate Faculty Groups of other graduate programs affected by the continuation or termination of the program.



- d. Within 10 working days of completion of the consultation specified in III.B.1.c. above, the program's Graduate Faculty Group shall prepare a summary of the consultation, findings, and recommendations. Twelve copies of the report shall be submitted to the Graduate Committee of the Academic Senate, with copies to the petitioner, the Department Chair(s), the School/College Dean(s), the Dean of the Division of Graduate Studies, and any others involved in consultation.
2. The Graduate Committee of the Academic Senate is responsible for consideration of the report and recommendations of the program's Graduate Faculty Group.
- a. Within 10 working days of receipt of the report, all those consulted by the program's Graduate Faculty Group shall be invited to correct or amend in writing the record of consultation included in the report.
  - b. Within 20 working days of receipt of the report, the Graduate Committee of the Academic Senate shall initiate consultation with any other committees of the Academic Senate whose expertise or aegis is related to the decision to terminate the program. The Committee shall also consult with the Dean of the Division of Graduate Studies, and any other person or group deemed appropriate by the Committee.
  - c. Within 30 working days of receipt of the program's Graduate Faculty Group's report, the Graduate Committee of the Academic Senate shall prepare a summary of the consultations, findings, and recommendations of the issues raised, including the petition to terminate the program. Recommendations must recognize that students in the program be given a reasonable time frame in which to complete it. The Dean of the Division of Graduate Studies shall be given an opportunity to include a report, evaluation, or, recommendation as part of, or as an addendum to, the Committee report. The findings of the University Graduate Committee will be forwarded to the Executive Committee of the Academic Senate.
  - d. Nothing in the above procedure is intended to preclude the Graduate Committee of the Academic Senate from concluding that the initial petition is without merit. If that conclusion is reached, and if no issue(s) calling for action by the President is (are) identified, the Committee may conclude the process by notifying each person or group included in the process to that date and by forwarding these findings to the Executive Committee.
  - e. Any appeals arising from a decision to conclude the process without recommendation to the Academic Senate shall be submitted to the Dean of the Division of Graduate Studies, with copies to each person or group included in the process to that date. The Dean may request that the Graduate Committee of the Academic Senate submit a final report to the Academic Senate.

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Recommended by the Executive Committee as an Interim Policy April 2004

Approved by the President May 10, 2004

Recommended by the Academic Senate as a Policy

Approved by the President October 17, 2008

## TEACHER EDUCATION POLICY

- I. Teacher education at California State University, Fresno, is a campus-wide instructional program under the direction of the Vice President for Academic Affairs through the Director of Teacher Education.
  
- II.
  - A. The Teacher Education Subcommittee is a Standing Subcommittee of the Academic Policy and Planning Committee. The Subcommittee membership shall be as follows:
    1. Four faculty members (two who are directly involved in teacher education) who are knowledgeable about the Teacher Education Program, but who are not members of the School of Education and Human Development;
    2. Two faculty members from the School of Education and Human Development;
    3. The Chairman of the Teacher Education Department;
    4. One student who has been admitted to a basic credential program;
    5. A University Librarian;
    6. One academically related employee who is involved with teacher placement in the Career Development and Employment Services Center; and
    7. One ex-officio non-voting member, who shall be the Vice President for Academic Affairs or designee.
  - B. The Teacher Education Subcommittee shall serve as an advisory body for the Director of Teacher Education.
  
- III.
  - A. The School of Education and Human Development provides the University's professional courses of instruction designed to prepare personnel for public school teaching and services.
  - B. Other schools of the University contribute to the University's programs of teacher education by providing:
    1. the various general education sequences;
    2. the areas of subject matter specialization; and
    3. such staffing as called for in Section V below.
  
- IV. The professional courses of instruction in the teacher education programs are administered through the various departments of the School of Education and Human Development with consultative bodies to the programs drawn from all faculty with teaching assignments in those departments. These consultative bodies shall have the primary responsibility for policy development and the monitoring of program quality.

- V. The staffing of the University's professional courses in teacher education is accomplished through position allocations made to the various departments of the School of Education and Human Development with instructional assignments made upon recommendation of the chairmen of those departments subject to the following policies and procedures:
- A. As a policy of the University, staffing for those professional courses closely related to subject matter areas shall preferentially be by qualified faculty members from the subject matter departments. Such staffing shall be based upon prior acceptance by the faculty members and prior approval by their department chairmen and by the School of Education and Human Development department chairmen involved. Whenever possible, acceptance and approval shall be made on a continuing basis.
  - B. When a department outside the School of Education and Human Development is making an initial appointment of a staff member who will be assuming instructional duties within the School of Education and Human Development, meaningful and effective consultation between the chairmen of the involved departments shall take place before the appointment recommendation is made.
  - C. When a staff member from a school outside the School of Education and Human Development undertakes instructional duties within the School of Education and Human Development, the chairman of the department in the School of Education and Human Development in which he/she has accepted assignment shall be expected to contribute a systematically developed evaluation of the staff member's performance of those duties to the staff member's department for placement in his/her open personnel file. The staff member's department and school shall be fully responsible for all recommendations regarding reappointment, promotion and tenure.
  - D. Specific instructional assignments and scheduling of a staff member from outside the School of Education and Human Development to any of these courses shall be made by the appropriate School of Education and Human Development department chairman in consultation with the staff member's department chairman.
  - E. When consultation between the involved departments and schools does not result in agreement with respect to appointment as described in Subsection B or instructional assignments as described in Subsections A and D, the Vice President for Academic Affairs shall be responsible for resolving the issue.

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Approved by the Academic Senate  
 Approved by the President  
 Revised

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May 1973  
 October 1973  
 March 1986

## **POLICY ON GRADUATE FACULTY GROUPS FOR MASTER'S DEGREE PROGRAMS**

### **I. POLICY**

Graduate education is an important and integral part of the educational experience at California State University, Fresno. The quality of graduate education is dependent upon the quality and expertise of the faculty delivering the graduate curriculum. To assure the quality of graduate education at the master's level, each graduate program shall be required to have a designated group of full-time faculty members to support the graduate program, and to serve as the consultative body for the graduate program. They are called members of graduate faculty groups.

Graduate faculty groups serve as the organizational means for ensuring distinct governance, consultation and faculty leadership for graduate programs. Graduate faculty groups may include full-time faculty members from different academic departments and units as well as faculty members from other institutions for approved inter-institutional programs.

It is the responsibility of the graduate faculty groups to make recommendations to the department or academic unit regarding:

- a. Program curricula, admissions and exit requirements
- b. Program resources and assessment
- c. The promotion of the values of scholarship and professionalism in the field
- d. Courses of action on all graduate program matters.

Members of the graduate group may serve on or chair graduate committees and thesis committees unless otherwise restricted by this policy. The group may be consulted about the justification for new faculty positions and the position description for any faculty searches. In addition, graduate groups may provide guidance to the Dean of the Division of Graduate Studies. Those faculty members who are not members of a graduate group may teach graduate courses and serve as readers on thesis, project and examination committees in accordance with established departmental guidelines. See additional Policy on requirements for Doctoral Faculty Groups.

### **II. ORGANIZATION**

1. In order to assure that the faculty members comprising a graduate group attain a critical mass in order to carry out the responsibilities of the group. The graduate group shall contain no fewer than five (5) full-time tenured or tenure-track faculty members with the appropriate terminal degree.<sup>1 2</sup>
2. The Dean of the Division of Graduate Studies will identify the graduate faculty groups that do not maintain the minimum of five (5) full-time members.
3. Graduate groups are self-governing faculty bodies and, as such, should establish by-laws and may have committees as established through their bylaws.

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<sup>1</sup> See Procedures for Submitting Proposals for New Degree Major Programs, CSU Office of the Chancellor, August 12, 1997.

<sup>2</sup> As regards participation of faculty in the Faculty Early Retirement Program (FERP), see Section IV below.

4. The Graduate Program Coordinator / Director may serve as chair of the group and is responsible for providing administrative oversight of the program.<sup>3</sup>
5. Changes in membership in the graduate group are reviewed annually by the graduate program coordinator, the department chair, and the college/school dean. Any changes in the membership of the group shall be reported to the Dean of the Division of Graduate Studies on the appropriate form.
6. Existing members of the group who no longer meet the criteria stated in Section III may be removed from the group in accordance with the adopted bylaws of the Program's Graduate Faculty Group.
7. It is the responsibility of the department to establish written guidelines to determine who may be assigned to teach graduate courses.

### **III. CRITERIA FOR MEMBERSHIP IN A MASTER'S GRADUATE FACULTY GROUP**

1. Appointment to graduate group membership is based upon the faculty member's scholarly/professional interests in and contributions to the discipline or field; their request for such appointment; their eligibility as determined by written departmental or program criteria; and in accordance with university standards as noted below.
2. Minimum criteria for appointment for a graduate group are as follows:
  - a. A faculty member participating in a graduate group shall be full-time tenured or tenure-track;<sup>4</sup>
  - b. A faculty member participating in a graduate group shall be willing to serve and assume the responsibilities of the graduate faculty group, including serving on and/or chairing theses, projects, and/or examination committees;
  - c. A faculty member participating in a graduate group shall show evidence of on-going scholarly activity appropriate to the graduate program; and
  - d. A faculty member participating in a graduate group shall have been recommended in accordance with the bylaws of the program and have approval of the department chair and college/school dean.
3. Only members of the faculty graduate group are allowed to chair a thesis, project, or examination committee. In order for a member to chair a thesis, project, or examination committee, he/she must have previously served as a second or third member of such a committee.

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<sup>3</sup> See APM 122.

<sup>4</sup> For tenured faculty participating in the Faculty Early Retirement Program, see Section IV.

4. In order to maintain membership in the faculty graduate group, during the preceding four (4) years a member shall
  - a. be full-time tenured or tenure-track;<sup>5</sup>
  - b. be willing to serve and assume the responsibilities of the graduate faculty group, including serving on and/or chairing theses, projects, and/or examination committees;
  - c. have taught at least one (1) graduate-level course or chaired one (1) thesis or supervised one(1) graduate student project or chaired one (1) comprehensive examination committee.
  - d. show evidence of on-going scholarly activity appropriate to the graduate program; and
  - e. have been recommended in accordance with the bylaws of the program and have approval of the department chair and college/school dean.
5. It is the responsibility of the faculty member and his/her department chair and graduate program coordinator to provide adequate evidence of the faculty member's eligibility for appointment to the graduate group at the master's level.
6. The department chair may be appointed to the graduate group according to the bylaws of the graduate faculty group.
7. Those who are not members of the graduate faculty group, such as lecturers, clinical faculty, visiting scholars, artists-in-residence, MPP administrators with retreat rights, participants in the Faculty Early Retirement Program (except as provided in Section IV below), and adjunct faculty may provide graduate instruction and/or guest lectures or serve as second or third readers on thesis committees based upon departmental recommendations and evidence of appropriate expertise and academic preparation.
8. Professors Emeriti, retired professors or those participating in the Faculty Early retirement program (FERP) may continue their membership in a graduate faculty group under certain circumstances and in accordance with established criteria found in section IV below. Graduate faculty members whose status has been terminated due to retirement or who are in FERP status, may complete outstanding examining committee, thesis committee and advising assignments if they wish to do so, but they may not accept new assignments to chair such committees. Note: As noted above, it is not necessary to be a member of a graduate faculty group to teach graduate courses or serve as a reader on thesis/project committees.

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<sup>5</sup> For tenured faculty participating in the Faculty Early Retirement Program, see Section IV.

#### IV. PARTICIPANTS IN THE FACULTY EARLY RETIREMENT PROGRAM

Graduate faculty groups are required to maintain a minimum of five (5) full-time tenured or tenure track faculty members. While participants in the Faculty Early Retirement Program (FERP) are tenured faculty members,<sup>6</sup> many participants in this program are not available every semester or at other appropriate times to perform the responsibilities of membership in the graduate faculty group. Therefore, FERP participants are not normally counted toward the five (5) full-time tenured and tenure track members required for the maintenance of a graduate faculty group.

1. Since participants in FERP are defined as tenured faculty members, departments may invite these faculty members to participate in their graduate programs.
2. In order to participate in ongoing graduate work such as mentoring, theses and projects, participants in FERP who work one paid semester only must be appointed to an adjunct faculty position during the semester when they are otherwise in inactive employment status.<sup>7 8</sup>
3. In instances where
  - a. there are not five (5) full-time tenured or tenure track faculty members as members of the graduate faculty group;
  - b. the most recent program review justifies continuation of the graduate program; and
  - c. the department wishes to use FERP participants as part of the graduate faculty group,

the department must file a Request to Utilize FERP Faculty Form with the University Graduate Committee at the beginning of the academic year. The request must demonstrate

- a. active commitment on the part of each FERP participant requesting being counted as a member of the graduate faculty group;
- b. a commitment from the department chair to hiring new tenured or tenure track faculty including a timetable
- c. a continuing commitment from the college/school dean regarding the replacement of tenured and tenure track faculty to meet the requirement of five (5) full-time tenured or tenure track faculty members.

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Recommended by the Academic Senate  
Approved by the President

April 2003  
**May 5, 2003**

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<sup>6</sup> See CBA Article 29

<sup>7</sup> See campus Policy on Adjunct Faculty (APM)

<sup>8</sup> This commitment is particularly important where service on a thesis committee or project is involved.

## **POLICY ON ADDING AND DROPPING CLASSES**

### **Introduction**

Executive Order No.1037 specifies system-wide policies “designed to facilitate a student’s graduation through changes in policies in course withdrawals” (Memo from Chancellor Reed 9/8/08). Students are responsible for planning and monitoring their progress toward graduation and implementing their graduation plan. Implementation of a graduation plan consists of activities such as enrolling in courses and dropping or adding courses as appropriate given course availability and changes in the students’ extracurricular demands on time and personal resources. Once a student is enrolled in a course he or she should make every effort to complete the course. Withdrawal from a course after four weeks of instruction should occur only as a last resort in response to an unforeseen event. Thus, the university limits the number of late withdrawals from courses allowed to an individual student to encourage the student to make consistent progress toward graduation. This policy outlines student responsibilities and rules for adding and dropping classes after instruction begins during a semester and the limits on the number of late withdrawals from courses that the university allows for an individual student.

### **Administration**

Undergraduate students may withdraw from no more than 18 semester units. This limit applies only to units attempted at California State University, Fresno. This limit does not include units from a semester in which a student withdraws from the university after the twelfth week of instruction.

Original signatures are required on all forms. If the instructor or chair is not available to provide an original signature after consultation with the student and reviewing the documentation, the instructor or chair may contact an administrative assistant and give permission for the administrative assistants to sign the form. In these circumstances, administrative assistants must attach documentation of this communication with the instructor or chair to the form.

### **Adding Courses**

These procedures and deadlines apply to fall and spring semesters only. For summer semesters, see the Class Schedule for deadlines and procedures.

#### **The First Two Weeks of the Semester (10 instructional days)**

During the first two weeks of the semester, students may add courses through the tenth day of instruction without obtaining special permission from the instructor if the class is open to enrollment. A faculty member has the discretion to close a course to enrollment on or after the first day of instruction to manage waiting lists and/or to facilitate the development of an effective learning environment.

#### **The Third and Fourth Weeks of the Semester (up through the Census Date)**

From the 11<sup>th</sup> day of instruction to the 20<sup>th</sup> day of instruction (Census Date), students may add a course if they have obtained a permission number from the instructor. The department may provide permission numbers to students after faculty members communicate their approval to the department. Faculty members are not obligated to give students permission to add a course after the tenth day of instruction. No adds are permitted after the census date.



## **Dropping Individual Courses**

Management of class enrollments under all circumstances is the responsibility of the individual student. A student must withdraw properly and in a timely fashion from any course he/she does not intend to complete. Failure to withdraw will result in the assignment of the appropriate failing grade.

These procedures and deadlines apply to fall and spring semesters only. For summer, see the Class Schedule for deadlines and procedures.

A faculty member may administratively drop a student who does not attend class at any time during the first ten (10) days of instruction. If a faculty member does this, no record of enrollment in the course will appear on the students' transcript. For this reason, a student absent from any class meeting during this period is responsible for contacting the instructor before the next class meeting to request being retained in the course. A faculty member is not obligated to administratively drop students who do not attend class meetings during the first ten (10) days of instruction. Thus, a student cannot expect instructors to administratively withdraw him/her in the event he/she is no longer attending class.

### **Up to Three Weeks after Semester Instruction Begins (15 instructional days)**

A student may drop a course after registration and up through the first three weeks (15<sup>th</sup> instructional day) of the semester without permission. No record of enrollment in the course will appear on the student's transcript.

### **The Fourth Week of the Semester**

From the 16<sup>th</sup> day of instruction through the last instructional day before Census Date (19<sup>th</sup> day of instruction), a student may drop a course by obtaining permission from instructor and department chair using the Drop/Withdrawal form. No record of enrollment in the course will appear on the student's transcript.

### **From the Census Date through the Twelfth Week of Instruction**

From the census date (20<sup>th</sup> instructional day) through the twelfth week of instruction, a student may drop a course only for a serious and compelling reason. A "serious and compelling reason" is defined as an unexpected condition that is not present prior to enrollment in the course that unexpectedly arises and interferes with a student's ability to attend class meetings and/or complete course requirements. The condition must be stated in writing on the appropriate form. The student must provide documentation that substantiates the condition. The reason must be acceptable to and verified by the instructor of record and the department chair of the department in which the course is offered. Students may appeal a department chair's decision to deny a request to drop a course for a serious and compelling reason to the appropriate Dean.

The following are NOT to be considered as serious and compelling reasons for withdrawing from a course on or after the twentieth day of instruction: failure to acquire required course materials, performing poorly on course assignments, and dissatisfaction with the subject matter, class, or instructor. The following unforeseen situations are likely to be serious and compelling reasons: prolonged and debilitating student illness or injury, terminal illnesses of family members and significant others, death or injury of family members and significant others, and other unforeseen events that arise after the census date that prevent a student from attending a course for a prolonged period of time.

However, the faculty member does not have to approve withdrawal from a course for these reasons, or other reasons, which are not deemed serious and compelling at the discretion of the instructor.

When the appropriate form has been signed by the department chair and processed according to the instructions on the form, a "W" will be recorded on the student's transcript for that course.

### **The Last Three Weeks of Instruction (final 20% of instruction)**

During the last three weeks of instruction (last 15 instructional days), withdrawals from a course are not permitted. Exceptions are only allowed in situations clearly beyond the student's control and the assignment of an incomplete is not practical. Students are responsible for obtaining the approval of the instructor of the course, the department chair, and either the Dean of Undergraduate Studies or the Dean of Graduate Studies as appropriate. The reason must be acceptable to and verified by the instructor of record and the department chair of the department in which the course is offered, and either the Dean of Undergraduate Studies or the Dean of Graduate Studies, as appropriate. The student must provide documentation that substantiates the condition.

When the appropriate form has been signed by either the Dean of Undergraduate Studies or the Dean of Graduate Studies, as appropriate, and processed according to the instructions on the form, a "W" will be recorded on the student's transcript for that course.

### **Dropping All Courses During A Semester (Complete Withdrawal)**

These procedures and deadlines apply to fall and spring semesters only. For summer, see the Class Schedule for deadlines and procedures.

### **The First Three Weeks of the Semester (15 instructional days)**

Students may drop all courses without the permission of instructors. Students must have an exit interview with the Financial Aid Office and other student services offices as appropriate. No record of enrollment will appear on the student's transcript.

### **The Fourth Week of the Semester**

From the 16<sup>th</sup> day of instruction through the last instructional day before Census Date (19<sup>th</sup> day of instruction), a student may drop all courses by obtaining permission from instructor and department chair using the Drop/Withdrawal form. No record of enrollment in the course will appear on the student's transcript.

### **From the Census date (20<sup>th</sup> instructional day) through the Twelfth Week of Instruction**

Students must have a serious and compelling reason and obtain the approval of the instructor for every course and department chair of the department in which each course is offered. The reason must be acceptable to and verified by the instructor of record and the department chair of the department in which the course is offered. The condition must be stated in writing on the appropriate form. The student must provide documentation that substantiates the condition. After obtaining the approval of instructors and department chairs, students must have an exit interview with the Financial Aid Office and other student services offices as appropriate.

When the appropriate form has been processed according to the instructions on the form, a "W" will be recorded on the student's transcript for each course

### **The Last Three Weeks of Instruction (final 20% of instruction)**

During the last three weeks of instruction (last 15 instructional days), dropping all courses for the semester is not permitted. Exceptions are only allowed in situations clearly beyond the student's control and the assignment of incomplete grades in all classes is not practical. Students are responsible for obtaining the approval of the instructors of each of their courses, the department chairs for the departments in which the courses are offered, and the Dean of Undergraduate Studies or the Dean of Graduate Studies, as appropriate. The reason must be stated in writing on the appropriate form. The student must provide documentation that substantiates the condition. After obtaining the approval of instructors, department chairs, and the appropriate Dean, students must have an exit interview with the Financial Aid Office and other student services offices as appropriate.

When the appropriate form has been signed by the appropriate Dean and processed according to the instructions on the form, a "W" will be recorded on the student's transcript for each course.

Refer to the Academic Calendar at <http://www.csufresno.edu/catoffice/> for specific semester deadline dates.

### **Retroactive Adds / Withdrawals – Record Adjustments**

Deadlines for adding and dropping individual class(es), and complete withdrawal from the university established by this policy are clearly articulated in university publications and on websites. The university recognizes that on rare occasions students will experience exceptional situations that prohibit them from completing some procedures in a timely manner. A student may petition for a record adjustment if a documented hardship occurred during the term for which the adjustment is requested. A record adjustment petition must be filed within a maximum of six years from the last day of instruction of the term being petitioned. No changes will be made to a student's records once a degree has been granted.

#### **Recommended by the Senate**

October 7, 2009  
April 25, 2016  
February 6, 2019

#### **Approved by the President**

May 1991  
Interim May 18, 2006  
October 28, 2009  
April 27, 2016  
February 8, 2019

## POLICY ON STUDENT ABSENCES

A student's first responsibility is to attend class and learn. Hence, the University expects students to attend all classes for which they are enrolled. This APM sets the rules under which student absences may, or may not, be justified, and how faculty should act upon unplanned and planned student absences.

Instructors may establish specific attendance regulations and make-up work policies governing their classes and must provide them to their students at the beginning of the semester in their syllabi (See APM 241).

When a student can anticipate increased demands on his/her time, the student must judiciously schedule courses.

### Authorizing Student Absences

#### **Unplanned student absences**

Unplanned student absences should be authorized when the student has a short-term (up to a week of classes, during a normal 15 week semester)<sup>1</sup> serious and compelling reason<sup>2</sup> that prevents them from attending class.<sup>3</sup> Faculty should make every reasonable effort to accommodate the student via suitable make up work or some mutually agreed upon arrangement. The student is responsible for contacting the instructor as soon as possible and providing documentation supporting the reason for the absence. Missed papers, tests and/or homework assignments should be completed by a date agreed upon by both the faculty member and the student.<sup>4</sup> When a student is absent for an extended time period (over a week of classes), a viable make-up plan may not be feasible; in some extreme circumstances, other actions such as dropping the class or withdrawing from the University for serious and compelling reasons may be appropriate. Students should consult their academic advisors before making drastic decisions like these.

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<sup>1</sup> For shorter semesters (e.g., summer school) logical equivalents will be determined.

<sup>2</sup> A "serious and compelling reason" is defined as an unexpected condition that is not present prior to enrollment in the course that unexpectedly arises and interferes with a student's ability to attend class meetings and/or complete course requirements. The reason for the absence must be acceptable to and verified by the instructor of record.

<sup>3</sup> In accordance with Title IX of the Educational Amendment of 1972, absences must be authorized for pregnancy and related conditions.

<sup>4</sup> If an agreement cannot be reached, the Department Chair should mediate discussion.

## **Absences for University-sponsored activities**

Faculty have the obligation to limit both class activities/assignments and official University-sponsored activities/events that require a student to miss other classes. Student absences for University-sponsored activities<sup>5</sup> should be authorized<sup>6</sup> only when: (1) the event is sponsored by the University; (2) the student represents the University at the event; and (3) the student provides written documentation of points one and two to the instructor at least one week prior to the event<sup>7</sup>. In anticipation of authorized absences due to University-sponsored activities, accommodations should be made so that the student can submit their work to the instructor prior to or immediately following the absence; this includes papers, tests, and/or homework assignments as determined by the faculty member.

### **Make-Up Work Policy**

Faculty policies on attendance and make-up work must be clearly stated on the course syllabus and consistently applied (see APM 241). Faculty are expected to allow make-up work for authorized student absences, provided the necessary accommodations are not unreasonable.<sup>8</sup> Moreover, the number of authorized absences during the semester and provided make-up work should be accomplished without substantial additional cost in time or resources to the academic department or the instructor. It must be recognized that not all learning activities and exercises during class times and laboratory periods can be replicated; in such cases, students are at risk when they are absent.

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#### **Recommended by Academic Senate**

May 2004  
March 09, 2020

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#### **Approved by the President**

August 23, 2004  
March 23, 2020

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<sup>5</sup> Examples of student absences due to University-sponsored activities include, but are not limited to, artistic performances sponsored by university performance ensembles or artistic groups in which the student performs; athletic events in which the student competes; field trips or competitions sponsored through an academic program, and attendance at regional or national conferences.

<sup>6</sup> Extra-curricular activities associated with campus student organizations/clubs that are not part of an academic program do not qualify as authorized, university-sponsored event absences under this policy.

<sup>7</sup> This timeline is waived for the first week of instruction in any academic term.

<sup>8</sup> In accordance with Title IX of the Educational Amendment of 1972, faculty must permit students to make up coursework if students failed to complete the assignments due to pregnancy and related conditions.

## **POLICY ON REPEATING CLASSES**

### **Criteria for Eligibility to Repeat a Course**

#### **Undergraduate Students**

This policy excludes repeatable courses until the maximum units allowed for the courses are completed. See University Catalog for identification for repeatable courses.

Undergraduate students may register for courses a second time only if they earned a grade of D, F, IC, or WU during the first attempt and they have not exceeded 28 units of repeated coursework.

Undergraduate students may not register to take a course more than two times until they complete the required paperwork, meet with the major advisor, obtain verification of all of the following conditions, and submit the verification to the major department chair for approval:

- a) they have not exceeded 28 units of repeated coursework,
- b) they received a grade of D, F, IC, or WU upon the second attempt of the course,
- c) the course to be repeated is a program requirement,
- d) the program they are pursuing requires a grade of C or higher in the course to fulfill a program requirement, and
- e) there are no other courses in the catalog that can be used to fulfill the program requirement.

The chair will not grant this approval unless all of these conditions are met.

If the request is approved, the student submits the required paperwork to the Admissions and Records office.

#### **Graduate Students**

Post baccalaureate students pursuing:

- 1. A second baccalaureate degree
- 2. A second undergraduate major,
- 3. A teaching credential, or
- 4. Who have no specific objective,

may repeat undergraduate courses in accordance with the requirements of this policy for undergraduates, if both attempts occur after the student attains post baccalaureate standing.

Students pursuing graduate degrees are not eligible to repeat undergraduate level courses for any reason.

Graduate level coursed may be repeated, but grade substitution is not allowed.

### **Repeating Courses for Grade Substitution and Grade Averaging**

A student may repeat a total of 28 units, 16 units of which may be used for grade substitution and 12 units of which may be used for grade averaging.<sup>1</sup>

Grade substitutions and grade averaging are applied to the student's academic transcript according to the order in which courses are completed.<sup>2</sup>

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<sup>1</sup> Courses repeated prior to Fall 2009 will not count toward the total of 28 units of repeat credit as described under Executive Order 1037.

<sup>2</sup> The 16 units of grade substitution does not necessarily have to be used before grade averaging is applied.

## **Grade Substitution**

A student can use up to a maximum of 16 units for grade substitution.

A grade substitution may be made only once for each course and only a higher grade or the same grade may be substituted for the original attempt. For the 16 units of grade substitution, the registrar will record the grade substitution without action by the student.<sup>3</sup> If the student receives a lower grade than the original attempt, the units attempted and grade points from both attempts will be used to compute the grade point average. In all cases, work will remain legible on the academic transcript ensuring a true and complete history.

Grade substitution is not allowed when the original grade was assigned based on academic dishonesty.

## **Grade Averaging**

A student can use up to a maximum of 12 units for grade averaging.

Grade averaging is used when the student has not reached the 12 unit maximum and the repeat of a course does not qualify for grade substitution.

The student's GPA will automatically be calculated by the registrar without action by the student. The units attempted and grade points for both attempts will be used to compute the grade point average. In all cases, work will remain legible on the academic transcript ensuring a true and complete history.

## **Repetition of Courses Taken at Other Universities**

A course taken at California State University, Fresno may not be repeated at another institution for grade substitution. However a course completed at another institution may be repeated by enrolling in a regular California State University, Fresno course determined by the Evaluation Office to be essentially equivalent. In the case of a course taken and repeated at another institution, the policy of the institution where the course was originally taken shall be followed. If it is not possible to determine that policy, there will be no grade substitution or averaging for the course taken at another university.

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Approved by Academic Senate December 1992

Approved by the President February 1993\*

Amended May 2000

Revised March 2010

Revised January 2011

\*Implementation June 1, 1993.

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<sup>3</sup> Grade substitution and grade averaging are applied to a student's academic transcript in accordance with the order specified in this policy. Thus, students do not have the option to specify whether individual courses are repeated for grade substitution or grade averaging.

## **POLICY ON THE SALE OF COURSE PACKET MATERIALS**

The preparation of course materials and the selection of assigned readings to be used in a course are integral parts of a faculty member's regular duties. In this activity, faculty are prohibited from profiting personally from the local sale of these course materials, except in the specific case of materials published for a wider market, where the level of royalties is set by the terms of a publishing contract. It is considered a conflict of interest and a violation of professional ethics for any member of the faculty to solicit or accept, for personal use, a payment of royalties or commission in connection with assigned course materials other than those materials published for general (that is, national or international) use.

University employees may not charge or collect money from students unless specifically authorized to do so. Therefore, course materials, including textbooks and other assigned readings, may not be sold by faculty members directly to students. All fees charged in connection with a course, such as miscellaneous course fees, must follow established procedures and be collected by the University's accounting office.

Course packs prepared by a faculty member may be sold through the Kennel Bookstore or through an off-campus copy center, but no royalties may be received by the faculty member for preparing or editing the course pack. The faculty member is responsible for providing proper attribution on each document submitted for inclusion in the course pack. The Kennel Bookstore will assist in obtaining permission to use copyrighted materials for all course packs sold through them and will incorporate the cost of the copyrighted fees in the selling prices. For course packs distributed through an off-campus copy center, faculty members will personally assume the full legal responsibility for compliance with the copyright law. The California State University Office of General Counsel cannot provide legal assistance in cases involving privately owned copy centers, nor can the State of California be held liable for individual failures to comply with copyright law.

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Recommended by the Academic Senate  
Approved by the President

April, 2004  
October 22, 2004



## POLICY AND PROCEDURES ON CHEATING & PLAGIARISM

### PREAMBLE

**PHILOSOPHY:** Honesty and integrity are two of the most important values of the university in its pursuit and dissemination of truth and knowledge. Faculty and students share the responsibility for maintaining the probity of the educational experience and preserving high standards of excellence. Academic dishonesty--cheating and plagiarism - - is unacceptable behavior morally, ethically and legally; and it cannot be justified or tolerated. To do otherwise undermines the ideals and purposes of higher education and severs the bonds of respect and trust between teacher, student and society. Cheating and plagiarism compromise the process of fair and equitable evaluation of all students' academic performance and erode the quality and value of degrees conferred by the University. Students engaging in such practices are denying themselves the benefit of an instructors' accurate assessment and feedback, thereby hindering their academic and personal development. Moreover, intellectual dishonesty reinforces the false idea that success in life, personally and professionally, can come to those who deviate from community norms and who lack the requisite expertise in their chosen careers.

**RESPONSIBILITY:** Although faculty set the standards for moral and academic excellence in teaching and learning, such standards cannot be attained without full cooperation and support of students. Therefore, each student is expected to accept her/his responsibility to maintain honesty and integrity in all endeavors inside and outside of the classroom, studio, or laboratory. Faculty must encourage this by: establishing an atmosphere of mutual respect in their classrooms; stating her/his own standards and expectations for academic performance; structuring learning situations that encourage honesty and deter cheating and plagiarism; presenting the University's policy on cheating and plagiarism and the penalties for violations thereof; and holding accountable those who infringe on this policy. The policies herein on cheating and plagiarism and the accompanying due process procedures are designed to accomplish the above stated objectives, while protecting the rights of the accused. This policy, along with the related procedures, should be followed scrupulously.

### INTRODUCTION

Adjudicating cases of cheating and plagiarism involves at least two aspects of the student's status within the university. The first directly affects the student's academic status in the university. The second may involve disciplinary action, which also may jeopardize the student's ability to remain enrolled in the university. When an instructor believes a student is cheating and/or plagiarizing, he/she must still preserve the student's right to due process and confidentiality in handling the situation according to this policy on cheating and plagiarism and *Executive Order 628, Student Disciplinary Procedures for the California State University*.

### I. STUDENT'S ACADEMIC STATUS/STANDING

#### A) Academic Work and Grading

Faculty expect students to maintain honesty and integrity in their academic performance. On the other hand, students expect faculty to maintain integrity and fair play in the performance of their teaching and grading responsibilities. Students are expected to be familiar with university policies on cheating and plagiarism which can be found in the university's General Catalog and Schedule of Courses. Instructors shall include a statement in their syllabus on intellectual honesty and integrity as it relates to the University's policies on cheating and plagiarism.

Since proving cheating and/or plagiarism can result in severe penalties and consequences, students are expected to clarify with their instructors whether or not certain actions would or would not be acceptable behavior in- taking examinations, writing papers, doing homework, and performing other activities pertaining to any given class and/or laboratory. If a student observes one or more students cheating and/or plagiarizing, it would be proper for the student to confront those students directly and/or to notify the instructor so that the instructor could take appropriate action.

## B) Definitions

## 1. Cheating

Cheating is the actual or attempted practice of fraudulent or deceptive acts for the purpose of improving one's grade or obtaining course credit; such acts also include assisting another student to do so. Inappropriate behavior reasonably interpreted as evidence of the intent to cheat is also interpreted as cheating for the purpose of this policy. Typically, such acts occur in relation to examinations. However, it is the intent of this definition that the term "cheating" not be limited to examination situations only, but that it include any and all actions by a student that are intended to gain an unearned academic advantage by fraudulent or deceptive means. [See **Appendix A: Examples of Cheating.**]

## 2. Plagiarism

Plagiarism is a specific form of cheating which consists of the misuse of the published and/or unpublished works of others by misrepresenting the material (i.e., their intellectual property) so used as one's own work. [See **Appendix B: Examples of Plagiarism.**]

## C) Procedures

When a faculty member responsible for a course has reason to believe that an action of a student falls within one or both of the above definitions, the faculty member is obliged to initiate a faculty-student conference [Section 1, paragraphs a) through c)] or refer it directly to a departmental hearing [Section 2, paragraphs a) through e)]. If the alleged cheating and/or plagiarism occurred at the end of the semester, the faculty member shall submit a grade of "I", rather than an "F" or other letter grade, which will stand until the allegation has been resolved. Given the sensitive nature of the events referenced by this policy, all parties involved should act and respond in a timely fashion.

## 1. Faculty – Student Conference

The instructor may choose to handle the alleged instance of cheating and/or plagiarism in conference with the student. During the conference, the instructor shall present the student with the charge and the evidence. Sooner is better, but normally the conference should occur no later than one month from the alleged incident or discovery of it. If the conference finds that cheating and/or plagiarism occurred, the Instructor's Report of Cheating and/or Plagiarism must be filed. [See attachment] The procedures for the faculty-student conference are detailed in paragraphs a) through c) below.

a) Academic Sanctions

If the student admits to the wrongdoing, the instructor shall impose an academic sanction. The instructor has the prerogative of lowering a grade, assigning a grade of "0" or "F" for the test/paper, assigning an "F" for the entire course, or recommending another penalty that seems appropriate. No sanction can be imposed without filing the Instructor's Report of Cheating and/or Plagiarism with the Vice President for Student Affairs and Dean of Students.

b) Disciplinary Sanctions

In addition to academic sanctions, faculty may also recommend students who admit to cheating and/or plagiarism be subject to additional disciplinary sanctions by the Vice President for Student Affairs and Dean of Students pursuant to *Section 41301 of Title 5; Executive Order No.628*. Following procedures consonant with due process, disciplinary action taken by the Vice President for Student Affairs and Dean of Students may include, but is not limited to, the following: blocking the possibility of substituting a grade earned later in the same course, a written reprimand, probation, suspension, or expulsion. Recommendations for these disciplinary sanctions will be considered upon receipt of the Instructor's Report of Cheating and/or Plagiarism filed

by the instructor as called for under Section I Subpart C within one month following the faculty-student conference.

c) Instructor's Report of Cheating and Plagiarism

If the faculty member is convinced that cheating and/or plagiarism did not occur, the conference is considered concluded and no report of the incident is made. If the faculty member and the student agree that cheating and/or plagiarism did occur and the student accepts the recommended sanction(s), the conference is considered completed to the satisfaction of both parties. At the successful conclusion of the faculty-student conference, the faculty member must file the Instructor's Report of Cheating and/or Plagiarism with the Vice President for Student Affairs and Dean of Students within one month of the faculty-student conference. The report will be placed in a confidential file in accordance with the federal *Family Educational Rights and Privacy Act of 1974* and *California's Education Code, Section 67100 et. seq.* Seven years after the cheating/plagiarism incident is resolved, the report shall be removed from the file and destroyed.. (See attachment.)

2. Departmental Hearing

At the initiation of the faculty member or in the event that no mutually agreeable settlement is reached as a result of the faculty-student conference, the faculty member immediately concerned will consult with the department chair or designee as soon as possible but normally no later than one week after the faculty-student conference or the alleged incident occurred and/or was discovered. At that time, the faculty member will describe the nature of the incident and present supporting evidence. In addition to the evidence presented by the instructor, the chair may conduct an investigation. The procedures for the departmental hearing are detailed in paragraphs a) through e) below.

a) Notification of Hearing

The department chair will forward a written statement of the allegation to the student as soon as possible, together with a brief description of the supporting evidence, a statement of the student's right to a meeting and to present evidence in his or her own behalf, in addition to a copy of the *Policy and Procedures on Cheating & Plagiarism* (APM 235). The student must be informed of where and when the full supporting evidence of academic dishonesty is available for review and be notified of his/her right to bring an advisor to the hearing. The student must be given time to prepare a defense.

b) Official Hearing

The department chair <sup>1</sup> will schedule a hearing as soon as possible -- normally, this should be no later than two weeks after the alleged incident occurred and/or was discovered. Every effort should be made to schedule the hearing at a time convenient to all parties involved. Those present at the hearing will include the department chair or designee, the faculty member, and the student charged. Also, a faculty/staff member or student of the student's choice may attend to act as an advisor. Legal counsel may not attend departmental hearings. In a case where two or more students are involved, the chair will schedule a group hearing unless one or more students request separate hearings or the chair believes separate hearings would be necessary or appropriate. The department chair will conduct the hearing and has the authority to negotiate a settlement between or among the principals, if agreeable to all parties. (For example, a different test might be constructed and administered, an essay might be rewritten, or a disinterested third party might be asked to grade the test/paper.) It should be remembered that the burden of responsibility is upon the instructor to provide evidence during the hearing that the student did cheat or plagiarize. If the departmental hearing finds that cheating and/or plagiarism did occur,

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<sup>1</sup> If the instructor alleging cheating/plagiarism is also the department chair or another administrator, the college/school dean will schedule and conduct this meeting.

the department chair's report of cheating/plagiarism must be filed. Actions on sanctions recommended after the departmental hearing cannot be taken without filing the department chair's Report of Cheating and/or Plagiarism (paragraphs c) through e) below). The department chair will notify the student and the instructor in writing of the decision resulting from the departmental hearing.

In the event the faculty member or the student involved does not attend the departmental hearing, the hearing shall proceed. The department chair shall render a decision and notify in writing all parties involved of the decision resulting from the departmental hearing, including a copy of the department chair's report of cheating/plagiarism. The faculty member shall forward a copy of the Instructor's Report of Cheating and Plagiarism if appropriate. 1 If the instructor alleging cheating/plagiarism is also the department chair or another administrator, the college/school dean or designee will schedule and conduct this meeting.

c) Academic Sanctions

If the departmental hearing finds that cheating and/or plagiarism did occur, the faculty member shall impose an academic sanction. The student will be informed in writing of the academic sanctions imposed. The instructor has the prerogative of lowering a grade, assigning a grade of "0" or "F" for the test/paper, assigning an "F" for the entire course, or assigning another penalty that seems appropriate. If the student does not acknowledge guilt, or acknowledges guilt but is not willing to accept the recommended sanction(s), the student has the right to appeal the decision to the Student Academic Petitions Committee in accordance with the *Policy & Procedures for Reviewing and Appealing an Assigned Grade* (APM 242). If a failing grade for the entire course is assigned, the instructor must inform the student that he/she should remain in the course --completing all assignments, and taking all tests to accommodate the student's option to appeal the instructor's grade and to allow for the time required by the appeal process to render a final decision. On the other hand, if the evidence does not support the charge, the Chair will so notify the student in writing and will request the instructor to record the appropriate grade. If the faculty member disagrees with the Chair's decision, the faculty member may appeal the decision to the Student Academic Petitions Committee. The faculty member must appeal the decision by formal memorandum within two weeks of the decision. If the alleged cheating and/or plagiarism occurred at the end of the semester, the faculty member shall submit a grade of "I", rather than an "F" or other letter grade, which will stand until the allegation has been resolved by due process as described above and in accordance with the *Policy & Procedures for Reviewing and Appealing an Assigned Grade* (APM 242).

d) Disciplinary Sanctions

In addition to academic sanctions, faculty may also recommend students who are found guilty of cheating and/or plagiarism be subject to additional disciplinary sanctions by the Vice President for Student Affairs and Dean of Students pursuant to *Section 41301 of Title 5; Executive Order No.628*. Following procedures consonant with due process, disciplinary action taken by the Vice President for Student Affairs and Dean of Students may include, but is not limited to, the following: blocking the possibility of substituting a grade earned later in the same course, a written reprimand, probation, suspension, or expulsion. Recommendations for these disciplinary sanctions will be considered upon receipt of the Instructor's Report of Cheating and/or Plagiarism filed by the instructor normally within one month of the hearing conducted by the department chair.

e) Instructor's Report of Cheating and/or Plagiarism

At the conclusion of the departmental hearing where cheating and/or plagiarism is found to have occurred, the faculty member shall file the Instructor's Report of Cheating and/or Plagiarism with the Dean of Students normally within one month of the hearing. If the student accepts the recommended sanctions(s), the departmental hearing is considered completed to the satisfaction of both parties. The report will be placed in a confidential file in accordance with the federal Family Educational Rights and Privacy Act of 1974 and California's Education Code, Section 67100 et. seq. Seven years after the cheating/plagiarism incident is resolved, the report shall be removed from the file and destroyed. [See attachment.]

D) Student Rights

Nothing in this policy statement is intended to deny students who come within its scope full access to due process, including the right to be informed of the charges against him or her, to be informed of the nature of the evidence supporting such charges, to have a meeting at which time statements and evidence in his or her own behalf may be submitted, and to appeal any decision resulting from such meeting through appropriate university channels. If the student does not acknowledge guilt, or acknowledges guilt but is not willing to accept the recommended sanction(s), the student has the right to appeal the decision to the Student Academic Petitions Committee in accordance with the *Policy and Procedures for Reviewing and Appealing an Assigned Grade* (APM 242). If a failing grade for the, entire course is assigned, the instructor must inform the student that he/she should remain in the course - completing all assignments and taking all tests to accommodate the student's option to appeal the instructor's grade and to allow for the time required by the appeal process to render a final decision. On the other hand, if the evidence does not support the charge, the chair will so notify the student in writing and will request the instructor to record the appropriate grade. The student has the right to appeal the faculty member's grade or other action and department chair's decision to uphold the grade or other action to the Student Academic Petitions Committee within two weeks of the written notification of the decision. A copy of the *Policy & Procedures for Reviewing and Appealing An Assigned Grade* may be obtained from the Office of Advising Services. In addition, the Policy is located in the Academic Policy Manual in each academic department office and in the Library.

**References:** Family Educational Rights and Privacy Act of 1974  
California's Education Code, Section 67100 et. seq.  
Title 5 Section 41301;  
CSU Executive Order No.628  
Policy & Procedures for Reviewing and Appealing an Assigned Grade (APM 242)

Recommended by the Academic Senate  
Approved by the Vice President-in-Charge  
Amended

August 1979  
September 1979  
4/84; 5/96; **3/30/01**

## Appendix A

### Examples of Cheating

The following examples of Cheating are intended to be representative, but not all inclusive.

#### 1. Seeking Unfair Advantage to Oneself

##### a) Examination/Tests

- Looking at another student's test during an exam period.
- Copying from another student's test paper.
- Employing signals to obtain answers from others.
- Stealing or arranging for the theft of an exam.
- Knowingly reviewing an unauthorized copy of an exam.
- Using lecture notes or textbooks during an exam when prohibited.
- Possessing crib notes at the location and during the time of the exam.
- Having someone else take an exam in your place.
- Feigning illness or telling falsehoods to avoid taking an exam at the scheduled time.
- Claiming falsely that you took an examination at the scheduled time.
- Storing, receiving, and/or accessing course subject matter in a calculator, pager, cellular telephone, computer, or other electronic device that can be used during an exam period without instructor authorization.
- Utilizing a calculator and/or other learning aids not expressly allowed by the instructor.
- Obtaining assistance in answering questions on a take-home exam, when such action is specifically prohibited.
- Attempting to bias an instructor's grading after an exam.
- Using bribery or threats to obtain an undeserved grade.
- Changing an answer on a graded test and claiming the student's response to the question was incorrectly marked wrong.
- Other similar activities

##### b) Papers/Reports

- Copying the work of other students in whole or in part and submitting it as your own.
- Submitting a report purchased from a commercial service selling research/term papers.
- Hiring a ghost writer to compose a paper for you.
- Claiming an assigned share of a team report, toward which insufficient or no contribution was made.
- Lying about the reason for not submitting a report on time.
- Pretending to have submitted a paper to an instructor.
- Stealing another student's report and submitting it as one's own work.
- Submitting the same term paper to two or more different instructors for credit in their courses, without their prior permission.
- Other similar activities

**c) Laboratory/Homework**

Inventing, falsifying or altering data for a research surveyor laboratory experiment.

Turning in a lab report for an experiment or exercise not done by you.

Depending upon others to complete laboratory assignments or homework when instructions call for independent work.

Sabotaging someone else's laboratory work or other exercise.

Other similar activities

**2. Giving Unfair Advantage to Others.****a) Examination/Tests**

Allowing another student to copy from your test paper.

Employing signals to indicate answers on an exam to others.

Taking an exam in place of someone else.

Sharing test questions with students in another section of the course.

Giving your returned exam to another student preparing to take a makeup test.

Transmitting electronically to another student information stored in or sent via a calculator, pager, cellular telephone, computer or other electronic device during an exam period without instructor authorization.

Helping others answer questions on take-home exams when such assistance is specifically prohibited.

Other similar activities

**b) Papers/Reports**

Permitting another student to copy your work.

Writing a paper for another student.

Providing substantial research assistance to another student for writing a report.

Other similar activities

**c) Laboratory/Homework**

Assisting others on laboratory assignments or homework, when the instructions called for independent work.

Allowing the copying of the write-up of your laboratory work or homework by others

Other similar activities

## **Appendix B**

### **Examples of Plagiarism**

**The following examples of Plagiarism are intended to be representative, but not all inclusive.**

Failing to give credit via footnotes for ideas and concepts, data and information, statements and phrases, and/or interpretations and conclusions derived by another.

Failing to use quotation marks when quoting directly from another, whether it be a paragraph, a sentence, or any part thereof.

Minimally paraphrasing the expressions of thought by others without appropriate quotation marks or attribution.

Assembling parts from various works and submitting the synthesis or single paper as your own creation.

Including references in the Bibliography that were not examined by the student.

Including bogus references in the bibliography.

Falsely citing bibliographic references in footnotes.

Other similar activities.



*Teaching and learning depend upon the bedrock ethical integrity of teachers and students to honor the truth and to engage in the pursuit of truth with scrupulous honesty. When students or faculty violate this moral standard, they jeopardize the core integrity of the learning enterprise. No college or university can tolerate the loss of its fundamental ethical credibility.*

Dr. Jon C. Dalton  
Center for the Study of Values in College Student Development  
Florida State University  
(Reprinted by the Center for Academic Integrity with permission of the  
National Association of Student Personnel Administrators)

## CODE OF ACADEMIC INTEGRITY HONOR CODE

California State University, Fresno is committed to maintaining a culture of academic integrity where all members are expected to adhere to fundamental values in both academic and non-academic endeavors. For purposes of this code, academic integrity is defined as “a commitment, even in the face of adversity, to five fundamental values: honesty, trust, fairness, respect, and responsibility. From these values flow principles of behavior that enable academic communities to translate ideals to action” (Center for Academic Integrity, *Fundamental Values of Academic Integrity*, <http://academicintegrity.org/fundamental.asp>, accessed January 2005).

### The Code

Members of the CSU Fresno academic community adhere to principles of academic integrity and mutual respect while engaged in university work and related activities.

### Principles of Implementation

- a. All members of the university community are responsible for adhering to high standards of academic integrity, for actively ensuring that others uphold the Code, and for responding assertively to violations. (APM 336 \*)
- b. Faculty members are responsible for informing students of academic behaviors that are permissible and not permissible, and for reporting violations of the code to the proper campus authorities. (APM 235, 241, 336)
- c. Students shall not give or receive unauthorized aid on examinations or other course work that is to be used by the instructor as the basis of grading.

(\* End parentheses refer to related portions of the University’s *Academic Policy Manual*)

### Responsibilities of CSU Fresno Administration

The CSU Fresno administration will:

- a. Exhibit high standards of professional ethics.
- b. Incorporate ‘orientation/training’ about the university’s expectations for student academic integrity into “Dog Days”, University 1, English 1, History 11 and 12, Political Science 2, and all special group orientations (e.g., EOP, Summer Bridge, AMP, ISSP, SCOP, HCOP, student-athletes, Smittcamp Family Honors College, McNair, etc.).
- c. Provide training on academic integrity expectations and implementation procedures to all levels of academic personnel (i.e., faculty, department chairs, deans, administrators and staff) through:
  - i. orientations for new faculty, part-time instructors and new department chairs and administrators
  - ii. academic policies and procedures, TLT workshops and other faculty development programs

- d. Distribute the Honor Code and related policies widely through office posting and distribution, Internet web sites (including my.csufresno.edu) and university publications and programs.
- e. Support the Office of Student Judicial Affairs in the implementation of academic integrity policies.

### **Responsibilities of CSU Fresno Faculty**

CSU Fresno academic faculty will:

- a. Exhibit high standards of professional ethics. (APM 336)
- b. Treat all students fairly and consistently to avoid any appearance of special favors for special groups. (APM 336)
- c. Explain what constitutes cheating, plagiarism, inappropriate collaboration or other issues related to academic integrity through the class syllabus, and in relation to assignments, tests and other class activities for which grades are to be assigned. Provide links to university web sites that explain and elaborate these policies. (e.g., APM 235, 241, 336)
- d. Give examples of cheating and plagiarism for the particular class and provide examples of past consequences to students for such behavior. (APM 241)
- e. Regularly update tests, assignments and notes.
- f. Uphold university policy to report all instances of cheating, plagiarism and inappropriate academic behavior to the Office of the Vice-President for Student Affairs /Dean of Students. (APM 235)
- g. Establish a 'culture of academic integrity' in individual classes and in each department.
- h. Monitor students during tests and develop procedures for assessing whether assigned work has been completed in accordance with expectations.
- j. Develop expectations for student self-monitoring and collective monitoring during examinations and on assignments by having students include and sign the following statement on all work to be used as the basis for a grade: "I have done my own work and have neither given nor received unauthorized assistance on this work."

### **Responsibilities of CSU Fresno Students**

CSU Fresno students will:

- a. Understand or seek clarification about expectations for academic integrity (including no cheating, plagiarism and inappropriate collaboration) as noted by faculty and on class syllabi, university catalogue, university web sites and other referenced sources. (APM 235, 241)
- b. Sign a statement at the end of all exams and assignments that "I have done my own work and have neither given nor received unauthorized assistance on this work."
- c. Take responsibility to monitor academic dishonesty in any form and to report it to the instructor or other appropriate official for action.

Referenced Policies from the University's *Academic Policy Manual*:

#### **APM 235--Policy on Cheating and Plagiarism**

<http://www.csufresno.edu/aps/documents/apm/235.pdf>

#### **Interactive Instructor Form**

[http://www.csufresno.edu/aps/documents/apm/235\\_instructors\\_form.pdf](http://www.csufresno.edu/aps/documents/apm/235_instructors_form.pdf)

#### **Interactive Chair Form**

[http://www.csufresno.edu/aps/documents/apm/235\\_dept\\_chair\\_form.pdf](http://www.csufresno.edu/aps/documents/apm/235_dept_chair_form.pdf)

#### **APM 241—Interim Policy on Course Syllabi and Grading**

[http://www.csufresno.edu/aps/forms\\_policies/apm/documents/241.pdf](http://www.csufresno.edu/aps/forms_policies/apm/documents/241.pdf)

#### **APM 336--University Statement on Faculty Rights and Responsibilities**

<http://www.csufresno.edu/aps/documents/apm/336.pdf>

Recommended by the Academic Senate  
Approved by the President

April 2005  
May 5, 2005

## POLICY ON FACULTY RESPONSIBILITY FOR ACCESSIBLE INSTRUCTIONAL MATERIALS

Faculty members have great latitude and freedom in determining the instructional materials that they assign as part of their course requirements.<sup>1</sup> This policy is designed to provide commercially available instructional materials in an equitable and timely manner to all students at California State University, Fresno without limiting an instructor's academic freedom in the selection of course materials. The timely and thoughtful ordering of instructional materials enhances the learning environment for all students and is especially significant for students with disabilities.

California State University, Fresno has been proactive in eliminating physical and programmatic barriers to educational access by students with disabilities, including instructional materials. The preparation of commercially available instructional materials (e.g., textbooks, novels) in alternate formats may require a significant amount of time and effort by the university.<sup>2</sup> At California State University, Fresno, we are dedicated to the success of all of our students. We must ensure that information and data are accessible, in equally effective forms, for persons with disabilities as well as those without disabilities.

According to the CSU Chancellor's Office, "The Americans with Disabilities Act of 1990 (ADA) and Section 504 of the Rehabilitation Act of 1973 (504) require that qualified individuals be provided equal access to programs, services, and activities. California Government Code 11135 applies Section 508 of the 1973 Rehabilitation Act, as amended in 1998, to State entities and to the California State University (CSU). Section 508 of the Rehabilitation Act was enacted to eliminate barriers in information technology, to make available new opportunities for people with disabilities and to encourage the development of technologies that will help achieve these goals."<sup>3</sup> The CSU policy statement on accessibility is articulated in Executive Order 926 (<http://www.calstate.edu/eo/EO-926.html>).

### **I. General Selection Guidelines**

Faculty select instructional materials for their courses based on pedagogical considerations such as, but not limited to, instructional objectives, course content, teaching style, and the characteristics of the students enrolled in the course. The following guidelines shall also be considered:

1. Faculty shall submit instructional materials information requested by the Kennel Bookstore by the deadlines in Section III of this policy, even if no instructional materials are required or they can be purchased elsewhere. Instructional materials shall be ordered using the campus adoption platform for all instructional materials to include textbooks, digital materials, Open Educational Resources (OER), and other materials listed in footnote 1, excluding materials produced by the instructor (e.g., syllabus, handouts, presentation slides).

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<sup>1</sup> Instructional materials are defined in this document to include, but are not limited to, books and other assigned readings, course readers, software, apps for mobile devices, tutorials, recordings, videos, course syllabus, handouts, presentation slides, materials posted on the Learning Management System (e.g., BlackBoard) or external websites, and other educational tools. It does not apply to routine course materials that the student requires in the normal course of academic endeavors (e.g., paper, pencils, pens, notebooks, etc.).

<sup>2</sup> A book may have to be ordered separately in e-text format, read aloud to produce an audio version, scanned and edited to produce an e-text version, photocopied for text enlargement, or sent off campus to be made accessible. The production of alternate forms of materials may take eight (8) weeks or more.

<sup>3</sup> Coded Memorandum AA-2013-03 is available at <https://www.calstate.edu/AcadAff/codedmemos/AA-2013-03.html>

2. Instructional materials shall be available in multiple formats (e.g., print, electronic, audio) if possible. Given two (2) or more equivalent instructional materials, the instructor shall select the version with the highest levels of accessibility.
3. Given two (2) or more equivalent instructional materials, the instructor shall select the most cost-effective choice. Faculty are encouraged to consider Open Educational Resources, as they are often less expensive options.
4. The instructor shall avoid assigning or ordering ancillary materials (workbooks, CDs, etc.) that are not actively used in the course.
5. Ancillary materials ordered for a course shall meet all current requirements for accessibility.

## **II. Faculty Responsibility for Developing and Using Accessible Instructional Materials**

Faculty members have a responsibility to be proactive in ensuring that the **required** instructional materials utilized in their courses are accessible to all students.<sup>4</sup> Faculty members shall review the guidelines for creating and utilizing accessible materials provided by the Center for Faculty Excellence (CFE), “Best Practices for Faculty,” at <http://fresnostate.edu/academics/cfe/resources/accessibility/index.html> >. Questions about the guidelines or development of accessible instructional materials should be directed to CFE.

### **A. Course Readings**

1. For textbooks and other materials ordered through the campus bookstore, faculty and programs shall follow the guidelines in Section I of APM 237;
2. For materials owned by the university library, faculty shall be proactive in ensuring the accessibility of assigned readings. For example, if the only copy owned by the library is found to be damaged or illegible, faculty are responsible for notifying the appropriate library staff and requesting replacement materials in a timely manner;
3. For materials not owned by the university library, faculty are responsible for making a clearly legible copy available to students (e.g., on reserve at the library, via BlackBoard, etc.). Materials of insufficient quality shall be replaced by the faculty member within one week upon the request of a student or the Services to Students with Disabilities (SSD) Office to ensure access when required by the course;
4. Faculty and department chairs shall collaborate with SSD and CFE to identify materials that provide equally effective alternate access for instructional materials that cannot be made accessible.

### **B. All Other Instructional Materials**

The CFE guidelines for accessible instructional materials shall be implemented as follows:

1. New instructional materials authored by the instructor shall be created in an accessible format;
2. Existing materials shall be made accessible as they are revised and re-used the next time the course is taught by the faculty member. In cases where a faculty member is teaching multiple courses with materials that need substantial revision for accessibility, the course with the highest enrollment shall be prioritized to minimize potential impact on students.

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<sup>4</sup> The party that initiates use of the instructional material is responsible for making it accessible. Thus, if a program mandates use of particular materials for a given course, the program (rather than individual faculty assigned to teach the course), is responsible for producing the materials in an accessible format.

### C. Accessibility Review

Faculty members are encouraged to submit courses to CFE for review of instructional materials accessibility. CFE provides a Course Accessibility Checklist that faculty members can utilize during peer evaluations to document the use of accessible instructional materials.

## **III. Procedures for Ordering Instructional Materials**

The following procedures are designed to ensure that instructional materials will be available to all students in a timely manner, as required by the federal Higher Education Opportunity Act of 2008<sup>5</sup>:

- A. Departments are encouraged to monitor or coordinate ordering of instructional materials to ensure timely ordering of materials.
- B. Instructional materials shall be ordered by the instructor of record for a course, his/her designee, or the department by the following dates<sup>6</sup>:
  - April 15th of the year for summer courses and the fall semester.
  - October 31st for the winter intersession and following spring semester.
- C. If an instructor is assigned to a course after the deadline for ordering materials, the instructor should order instructional materials as soon as possible. Department chairs shall request that temporary faculty submit orders for instructional materials to the campus bookstore within 10 business days of receipt of the offer of employment.
- D. If a course does not have an instructor of record by the above due dates, instructional materials shall be ordered by the department chairperson (or designee) no later than May 15 for summer courses, June 15 for the following fall semester, and November 15 for the winter intersession and following spring semester.
- E. Requests by faculty members for exceptions to the instructional materials deadlines must be made in writing to the department chair. These exceptions include, but are not limited to: course reassignments, addition of new sections of a course, new or late course assignments, or the replacement of flawed materials.
- F. Department chairs and deans shall be kept apprised of the status of textbook orders by the campus bookstore. Department chairs shall notify faculty who are delinquent in submitting instructional materials information to the Kennel Bookstore.

### **Recommended by the Academic Senate**

April 23, 2007  
 March 26, 2008  
 March 19, 2018

### **Approved by the President**

June 18, 2007  
 April 8, 2008  
 April 2, 2018

<sup>5</sup> Complying with the HEOA requirements is a condition for the CSU receiving student financial aid from the Federal government. More information is available at <http://als.csuprojects.org/heoa>

<sup>6</sup> These dates permit students to take full advantage of the used books buy-back period established by the Kennel Bookstore and provide sufficient lead time for the conversion of instructional materials into alternate formats.

## Policy on Course Syllabi and Grading

### I. Preamble

Faculty enjoy broad discretion as to the manner in which they conduct their courses but are expected to carry out their responsibilities in a manner that is fair and without arbitrariness or capriciousness. Of central importance to successful instruction is the formulation of a binding educational compact between instructors and students. Students have a right to know what is expected of them in a course including criteria for evaluation of their performance. Faculty have the right to expect an appropriate level of effort and performance from all their students. The most satisfactory outcomes for both faculty and students can be achieved only when the conduct of a course is grounded fully in both disclosure and understanding on the part of all parties to the classroom educational process. The following policy is established to facilitate and formalize the communication and application of equitable, nonprejudicial course requirements in a large, institutional setting.

### II. Principle of the Policy

Faculty should fully inform students of all course requirements and make such requirements available to them with a comprehensive course syllabus at the beginning of the semester but no later than the first class meeting or by the 10th day of instruction if approved by the program chair/coordinator. For web-based courses, the first day of instruction will be considered as the first class meeting day. Course syllabi shall be distributed in a format that meets the accessibility requirements for students with disabilities<sup>1</sup>. The course syllabus together with any amendments shall be kept on file in the department office for two years. These documents will constitute the official syllabus of the course. The syllabus serves as the defining document in clarifying

- A. The nature of the course and its delivery and
- B. The basis upon which an instructor evaluates student performance and assigns the appropriate grade.

### III. Course Syllabi

The faculty shall include in the syllabus at least the following information pertaining to the course <http://fresnostate.edu/academics/curriculum/instruction/syllabus.html>

- A. Name of instructor, office location, telephone number, office hours, and e-mail address (if available);
- B. Course number and title, number of units, prerequisites and a brief course description, and fees, if any;
- C. Summary outline of course and tentative schedule of topics covered;
- D. Required text books and other supplemental materials together with a schedule of assigned readings;
- E. Student supplied equipment and materials necessary for course activities;
- F. Course calendar including projected dates, deadlines, and/or periods of time for readings, field trips, projects, exams, etc.;
- G. Brief description of and instructions for significant course assignments (e.g., papers, field trips, and projects);
- H. Instructor course goals and student learning outcomes;

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<sup>1</sup> Individuals with disabilities shall have access to and use of information and data that is comparable to that provided to those without disabilities unless an undue burden would be imposed on the providing entity (Section 508 of the Federal Rehabilitation Act, APM 624).

- I. Grading policy, which includes the weighting of assignments and examinations as well as the criteria for assigning grades, and the grading scale, identification of all requirements and due dates for course completion and eligibility for a final passing grade;
- J. Course attendance and make-up work policies (including final exam meeting), and any implications for grading;
- K. Instructor's policies regarding administration of the course (e.g., late paper penalties, tape recording lectures, and guidelines on the use of electronic devices);
- L. Reminder directed to students with disabilities about their responsibility in identifying themselves to the university and the instructor so reasonable accommodation for learning and evaluation within the course can be made;
- M. Statement referring to the university's policies regarding adding and dropping courses, the honor code, including cheating and plagiarism, copyright, and computer usage; these may be satisfied by a statement that the university policies are located in the Catalog and the Class Schedule;
- N. Safety issues where appropriate.

Faculty may also wish to include statements on instructional philosophy and pedagogical methods, non-enrolled visitors or guests, General Education requirements met by the course, and other information of importance and concern to the instructor. Reference can also be made to university policies judged to be of particular importance to the conduct of the class (e.g., disruptive behavior). Faculty should be certain that any such statements are consistent with university policy. Faculty are encouraged to discuss the syllabus and the university and course policies during the first class meeting

Faculty should realize that the syllabus might be viewed as a legal covenant between the instructor and students. Therefore, a statement such as the following is recommended: "The above schedule and procedures for this course are subject to change in the event of extenuating circumstances." The instructor shall be sure that any changes in the syllabus are clearly presented and are not unfair to students already committed to the class. When there are substantive changes in the syllabus that affect grading, issuance of a revised syllabus is strongly recommended.

#### **Recommended by The Academic Senate**

November 1975

10/85; 5/92; 6/93; 6/97; 12/99; 5/04;

5/07

January 30, 2017

November 28, 2018

#### **Approved by the President**

December 1975

May 15, 2007

February 7, 2017 (Interim)

December 6, 2018

## POLICY AND PROCEDURES ON ASSIGNMENT OF GRADES

Faculty members' rights and responsibility to evaluate their students' academic performance are some of the most strongly held values in the University. Faculty are accorded much latitude and freedom in setting standards, establishing expectations, evaluating performance, and assigning grades.

### 1. Reporting Course Grades

#### A. Reporting under Normal Circumstances

**Policy** – Course grades are to be assigned by the instructor of record.<sup>1</sup>

**Procedure** – The instructor will complete the final grade rosters in the manner prescribed by the established deadlines.<sup>2</sup>

#### B. Reporting under Extraordinary Circumstances

**Policy** – The department chair will assign grades in consultation with his/her school/college dean and Provost/Vice President for Academic Affairs only if:

- 1) The instructor is unable to assign a grade due to the following:
  - a) death
  - b) incapacitating illness
  - c) refusal
  - d) some other extraordinarily unusual circumstance
- 2) The instructor assigned an unwarranted grade while in an impaired physical and/or emotional state.

**Procedure** – The department chair will instruct the Director of Admissions, Records and Evaluations to record the grade(s) accordingly after having consulted with at least two tenured faculty members in the discipline, the school/college dean, and the Provost/Vice President for Academic Affairs.

### 2. Correcting Course Grades

**Policy** – Grade corrections require the instructor to certify that an error was made in computing or recording the grade. In the event an instructor is not available to correct a grade, the department chair is authorized to take appropriate action. In doing so, the chair must stipulate that there is sufficient evidence in the instructor's grade book to indicate the grade was incorrectly assigned or that the instructor has

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<sup>1</sup> If a department chair, by following University policy and procedure, determines that a student cheated or plagiarized in a class, he/she may request the Student Records Office, using the "Grade Correction Request Form," to change the assigned grade to an "F" or authorize the Instructor to assign an "F" grade if one had not yet been assigned (See "Policy on Cheating and Plagiarism," APM 235).

<sup>2</sup> Exception: to submit a final letter grade for Thesis 299 and Project 298, or to report the completion of the Comprehensive Examination for the master's degree, complete a "Clearance for the Master's Degree" form and return it to the Division of Graduate Studies. The Graduate Office will notify the Office of Admissions, Records and Evaluations of the grade reported.



authorized the correction by telephone, letter, etc. No grade correction can be made if more than three (3) years have passed since the initial grade was awarded.

Procedure – The instructor or department chair concerned submits a “Grade Correction Request Form” to the registrar with copies sent to the student and department chair. As appropriate, copies also are sent to the Office of Graduate Studies.

### **FAIRNESS IN GRADING/EQUITY**

Once the semester (or course) has concluded, students shall NOT be assigned additional work or be allowed to revise previous assignments in order to improve a final grade.

### **RECORD KEEPING**

- 1) Faculty members shall maintain a complete record (i.e., a grade book or equivalent) of the various scores and marks used to determine student grades. This record shall be retained for at least five (5) years and must be given to the department chairman if the faculty member will be away from the University for the purposes such as sabbatical leave or retirement. All materials are not returned to students shall be retained by faculty members for one (1) semester. Course grades are reported according to the Policy and Procedure on Assignment of Grades.

### **GRADING DATA**

Each semester, the University shall provide the department chairpersons with data on grading for the University, the colleges/schools, the departments, and their respective faculty. In turn, department chairpersons shall provide their faculty with grade distributions (within categories of courses) for their own departments.

### **GRADING PRACTICES**

All department chairpersons shall review, on an annual basis, grading practices of individual faculty members. Grading practices that appear inappropriate shall be discussed by chairpersons with the faculty members concerned.

### **APPEAL RIGHTS**

Students who believe they have been evaluated incorrectly and/or unfairly should first request a review by the instructor and the department chair before appealing to the Student Academic Petitions Committee according to procedures established in the Policy and Procedures for Reviewing and Appealing an Assigned Grade.

## POLICY AND PROCEDURES FOR REVIEWING AND APPEALING AN ASSIGNED GRADE<sup>3</sup>

**Policy** – Students are responsible for maintaining standards of academic performance established by their professors and for conducting themselves in the classroom in accordance with established procedures and generally accepted standards of social behavior. Students, on the other hand, have the right to an orderly review and if necessary appeal of an evaluation that allegedly is:

- (a) not “made fairly and equitably without prejudice<sup>4</sup> or capriciousness,” or
- (b) an inconsistent application of syllabus statements on course requirements and/or grading system, or
- (c) out of compliance with the University’s official grading policy, or
- (d) otherwise erroneous

(See *University Academic Policy Manual 241* on “Policy on Course Syllabi”)

### Three basic principles govern that assertion:

1. The right of the instructor to make a final judgment relative to a student’s academic evaluation. It is presumed that the instructor’s assigned grade is correct; therefore, the burden of proof rests upon the student to show cause.<sup>5</sup>
2. The right of the student to have a review of the specific course evaluation by the instructor and/or appropriate University official(s).
3. Redress shall be limited to the removal of the harmful effects of the academic evaluation in question.

**Procedure** – A student must adhere to the following procedure if he/she believes an evaluation by a faculty member was not made in a manner consistent with the above policy.<sup>6</sup>

1. Within 15 working days<sup>7</sup> after the next semester’s classes begin, the student must consult with the instructor concerned and make every effort to resolve the issue. The instructor must give the student an answer in writing explaining how the grade was earned within five (5) working days of the student’s inquiry.<sup>8</sup> If consultation with the faculty member does not occur within 15 days after the beginning of the next semester’s classes, the student may request the Student Academic Petitions Committee (SAPC) for an extension upon a sufficient show of cause. Except for cause, the extension must be requested within the first five (5) weeks of class.

<sup>3</sup> An Advisor in the Office of Advising Services will be available upon request to provide assistance to a student seeking review or appealing an assigned grade, including explaining the process and preparing a written statement. A student should not contact the Student Academic Petitions Committee, SAPC Chair or members prior to submitting the written statement of appeal.

<sup>4</sup> Prejudice includes use of age, disability, ethnicity, nationality, political preference, race, religion, sex, or sexual orientation in assigning a grade.

<sup>5</sup> If the student alleges an instructor falsely accused him/her of cheating or plagiarism, the burden of proof rests upon the instructor, and resolution of this matter shall occur pursuant to the University’s “Policy on Cheating and Plagiarism.” (See *Academic Policy Manual 235*.)

<sup>6</sup> If the student or instructor alleges these procedures have not been followed correctly, he/she should appeal to the Provost/Vice President for Academic Affairs immediately. The faculty member should appeal via the school/college dean, and the student via the Office of Advising Services.

<sup>7</sup> For all deadlines stated in this policy exceptions may be made by the SAPC for extenuating circumstances.

<sup>8</sup> This section is written on the assumption that the instructor, when originally contacted, maintains the grade was not assigned erroneously.

2. If the issue is not resolved through consultation with the instructor, the student must immediately consult with the chair of the appropriate academic department in accordance with that department's established procedures. The department chair shall discuss the student's allegation(s) with the instructor and possibly the school/college dean, as appropriate, and give the student an answer in writing within 10 working days.<sup>9</sup> If the instructor also is the department chair, then the student should contact the school/college dean directly who shall consult with the department chair about the allegation.
3. If the student still believes that his/her request for review has not been satisfactorily handled, he/she may pursue the appeal by requesting the SAPC<sup>10</sup> to review the issue. To make such an appeal, the student must submit a written statement setting forth all pertinent facts relating to the issue within five (5) working days after receiving the department chair's response (i.e., no later than 35 working days – approximately seven (7) weeks after the beginning of classes). If the student appeals to the SAPC, it is understood that the burden of proof rests with the student and that a copy of the written statement of protest will be sent to the faculty member concerned.
4. When a formal appeal has been filed with the SAPC, the following action will be taken:
  - a. A memorandum will be sent to the instructor concerned, including a copy of the student's statement, requesting the instructor to reply in writing to the specific charge(s) of the student and to include the instructor's rationale for the evaluation of the student presenting the complaint. A copy of this correspondence is sent to the department chair and school/college dean for their information and/or commentary.
  - b. The instructor concerned is responsible for complying with the above request by SAPC within 15 working days after receiving the request.
  - c. At its next meeting, the SAPC will review the student's statement, the instructor's response, and other evidence, as appropriate, and render a decision. The SAPC's decision usually will be rendered within 10 working days after receipt of the instructor's response.
5. Once the SAPC completes deliberation and reaches a decision, the SAPC will render its judgment and rationale in writing to the student, instructor, department chair, and the school/college dean within 10 working days. If the SAPC finds in favor of the student, it will recommend <sup>11</sup> to the instructor that the grade be changed.

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<sup>9</sup> The period from the time the student seeks review by the instructor until the department chair announces his/her decision should be no longer than 15 working days. If it appears to the student that this deadline will not be met, he/she should immediately contact the Office of Advising Services which will notify the SAPC Chair in order to assure a timely procedure.

<sup>10</sup> See APM 243 Policies and Procedures for Student Academic Petitions Committee.

<sup>11</sup> In the case of a grade protest the SAPC is a recommending body only; it does not have the authority to change a grade. Similarly, the department chair and school/college dean do not have such authority.

6. If the instructor of record does not carry out the SAPC's recommendation within 10 working days of written notification, the SAPC shall notify in writing the Provost/Vice President for Academic Affairs. An instructor's refusal to change the grade will automatically be interpreted to be an appeal of the decision.
7. If the student or instructor disagrees with the SAPC's decision, he/she may appeal directly to the Provost/Vice President for Academic Affairs in writing within 10 working days, stating the rationale for the appeal. The Provost/Vice President will either deny the appeal, or appoint an objective ad hoc committee of three (3) tenured faculty in the discipline to review the case and render a decision<sup>12</sup> within one (1) calendar month. The decision will be final and cannot be appealed further on campus.
8. If the decision of the Provost/Vice President for Academic Affairs or the ad hoc committee necessitates a change of grade for the course, the Director of Admissions, Records and Evaluations shall be notified in writing by the Provost/Vice President that the student's academic record/transcript be changed to reflect that decision. The instructor cannot block or appeal such official action on campus.

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Approved by the Academic Senate February 1981

Approved by the President February 1981

Revised April 1984

Revised August 1993

Revised May 9, 2007

Approved by the President May 15, 2007

Revised by the Academic Senate February 1, 2008

Approved by the President February 11, 2008

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<sup>12</sup> The ad hoc committee has the authority to raise or lower the assigned grade or to leave it unchanged.

## **POLICIES AND PROCEDURES**

### **STUDENT ACADEMIC PETITIONS COMMITTEE**

#### **I. Authority, purpose, and leadership of the committee**

- A. Students at California State University, Fresno, in pursuit of their various educational objectives, are required to conform to academic requirements and policies that have been established by the State Legislature, the Board of Trustees of the California State University, and the appropriate authorities at California State University, Fresno. In administering these academic requirements and policies, the University endeavors to exercise wisdom and judgment so that the educational needs of the individual student may be served well. Thus, a student is permitted to petition for modification ~~of~~ or substitution of an academic requirement when:
1. the student has met or proposes to meet a specific degree requirement by an alternative means that is educationally justifiable; and/or
  2. fulfilling the degree requirement as prescribed in the University General Catalog would prove to be an undue hardship for the student.
- B. The authority to act on requests for deviations from academic requirements rests ultimately with the President of the University. The President, however, has delegated this responsibility to the Provost/Vice President for Academic Affairs, who in turn, has delegated it to an administrative committee, the Student Academic Petitions Committee (hereafter called the committee). The Committee has eleven members appointed by the Provost/Vice President for Academic Affairs: A Committee chair, three tenured/tenure-track faculty members (recommended by the Academic Senate), the Dean of Undergraduate Studies, a representative of the Dean of the Division of Graduate Studies, a representative from the Office of Admissions/Records/Evaluations, two representatives from the Office of Advising Services or other student services unit, and two students recommended by the president of the Associated Students, Inc. In addition to acting on individual student petitions, the Committee serves as a hearing body for grade protests filed by students and, when appropriate, recommends modifications in both interpretation and application of academic regulations to the appropriate academic-administrative offices and/or faculty committees. If the Committee action includes a recommendation for grade change, student members shall participate in the discussion but shall not vote.

#### **II. Limitations to committee action**

- A. The Committee has recognized limitations to its authority and responsibility as follows:
1. State code requirements (Title 5) - These regulations cannot be waived; action by the Committee is limited to interpretation and application of the appropriate Code statement(s).
  2. CSU system-wide policy - These regulations also cannot be waived; action by the Committee is limited to interpretation and application of the appropriate Policy statement(s).

3. Instructor's final grades - Final grades submitted by an instructor are not changed on the basis of a student's request; changes are made only on proper certification by the instructor concerned or, in certain instances, by the department chair and/or the school dean (when the instructor is not available) in accordance with the APM 242 *Policy and Procedure on Assignment of Grades*. The latter situation usually occurs due to an incapacitating illness, death, or if the instructor's whereabouts are unknown.
4. Department requirements - Decisions regarding interpretation and modifications of the requirements for an academic major or minor are referred to the department concerned for appropriate action within the limits of Title 5.
5. Administrative procedures - Changes necessitating verification of official documentation normally are referred to the Registrar's Office (e.g., dual class enrollment, incorrect course number, incorrect section).

### III. Procedures Followed for Action on Petitions

Procedures followed by the Committee in acting on various types of petitions are indicated below:

1. Delegated responsibility - The Committee has delegated the following petitions or decisions to officials in the Office of Admissions/Records/Evaluations for appropriate action as indicated. An annual report of actions taken on items (g) and (h) below will be made, as requested, to the Student Academic Petitions Committee by the Registrar.
  - a. Petition by an undergraduate student for forgiveness ("academic renewal") of up to one year of poor academic performance - Director of Admissions/Records/Evaluations.
  - b. Petition by a student to repeat a course and substitute the grade - Registrar.
  - c. Initial decision regarding the acceptance of a course from another college/university to meet a General Education requirement - Evaluations Office.
  - d. Petition by a student requesting undergraduate units be allowed for post-baccalaureate credit - Evaluations Office.
  - e. Petition to add or delete a class from the transcript – Registrar.
  - f. Petition to change units for a course – Registrar.
  - g. Petition by a student to change from CR/NC to letter grading, or vice-versa – Registrar.
  - h. Petition for retroactive withdrawal – Director of Admissions/Records/Evaluations (graduate/post-baccalaureate students' petitions are processed in the office of the Dean of Graduate Studies.)
2. Request for an exception to degree residence requirements policy - The Committee usually will grant approval for an exception to degree residence requirements if the request is not in conflict with a Title 5 requirement. Students shall submit a petition as prescribed. (Requests by graduate students

are processed through the Office of the Dean of the Division of Graduate Studies under the policies of the Graduate Committee of the Academic Senate.)

3. Request for an exception to general education requirements policy - General Education requirements as specified in Title 5 before fall 1981 are not subject to waiver by petition. Committee action, therefore, is limited to a judgment of whether or not a given course or combination of courses will meet Title 5 and University requirements. General Education requirements effective fall 1981 and thereafter may be waived or modified by the appropriate campus authority per Executive Order 595, dated November 20, 1992. Students shall submit a petition as prescribed. In some instances, the Committee requires a recommendation from a department chairperson, instructor, advisor, etc., to substantiate the student's petition, and/or one or more supporting documents.
4. Request for exception to the upper division writing skills policy. Students shall submit a petition as prescribed.
5. Grade protest and cheating and plagiarism situations - Consult appropriate University documents (APM 242, Policies and Procedures on Assignment of Grades and APM 235, Policy on Cheating and Plagiarism).

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Approved by the Academic Senate  
 Approved by the Provost/VPAA  
 Amended

March 1995  
 March 1995, March 2013  
 May 2000, March 2013

## GUIDELINES FOR CR-NC GRADING

At a department's request and with the approval of the Vice President for Academic Affairs, certain types of courses will be designated as being graded CR-NC only. Graduate courses (200-level) to be so designated must also be recommended by the Graduate Council. Through the same procedure, certain types of courses may be designated as being available only for traditional letter grading. The Schedule of Courses will carry an appropriate notation.

No courses, except for the ones designated through the process above, will be graded CR-NC only.

Except for courses designated as being available for CR-NC grading only or available only for a traditional letter grade, a student may elect to enroll for CR-NC grading in any other class, subject to the following limitations:

- a. The decision to enroll for CR-NC grading must be made prior to the end of the fourth week of instruction.
- b. Aside from credit earned in CR-NC only courses, no CR-NC graded credit will be applicable to the major requirements.
- c. A maximum of 24 units of CR-NC evaluated credit, including all coursework taken CR-NC only, may be applied to the baccalaureate degree.
- d. No more than six units of coursework may be elected for CR-NC grading per semester.
- e. Graduate courses (200), courses prerequisite to the master's program (or classified standing), and courses applicable to the formal program may not be taken on a credit no-credit basis, except for the ones designated through the process above.
- f. A maximum of 6 units of CR-NC units may be applied to a 30-unit master's degree program, and a maximum of 12 CR-NC units may be applied towards a 60-unit master's degree program.

In all classes except the designated CR-NC only courses, instructors will evaluate all students against the traditional letter grade scale. Only letter grades will be submitted on the grade roster. Prior to the end of the fourth week, a student desiring CR-NC grading will indicate his desire through the Registrar's Office, and the appropriate grade, CR or NC will be substituted in the records office.

Up to 12 units of lower division coursework elected by the student may be applied to the Liberal Studies major.





## GUIDELINES FOR GRANTING CREDIT FOR WORK EXPERIENCE AND INTERNSHIP COURSES

The guidelines below pertain to work experience and internship courses in which the student's experience is gained primarily at an off-campus site and the principal burden and responsibility for the on-going supervision falls upon agency or business personnel rather than upon the faculty. These guidelines will serve as a basis for judging the acceptability of such courses in the University curriculum and for establishing standards of accountability in terms of student time commitment, faculty workload and units awarded. Elements of these guidelines will also be applicable to other types of off-campus and non-traditional courses.

I. A work experience or internship course will consist of the following components:

- A. Learning Objectives. There must be a defined set of learning objectives or competencies which can better be achieved at the off-campus site than in on-campus courses. The objectives should be as specifically defined as possible and should be (1) related to the broader objectives of the student's major, (2) individualized where possible with respect to the student's academic and career goals, and (3) realistic in terms of the student's capability, his prior experience and time available.
- B. On-site Experience. The student experience may involve direct observation and participation in the activities of the agency. It must lead to the stated objectives through (1) acquisition of new knowledge and skills, (2) improving the level of skills, and (3) relating of theory to practice.
- C. Supervision by faculty through (1) on-site visitations to determine the quality of experience offered at the agency and to verify the student's progress, and (2) scheduled conferences on campus with the student to obtain an assessment of progress and to provide assistance and counsel.

Agency personnel will provide continuing and close supervision to assist the student in achieving work experience and/or internship objectives and to keep the necessary records which will be used in the evaluation of the student.

- D. Evaluation of student in terms of his success in achieving the stated objectives and which may be based upon (a) scheduled conferences between the faculty supervisor and student, (b) written evaluations by the agency personnel giving judgment on the achievement of objectives and quality of student performance, (c) a student produced product such as a paper, report, research project, enumeration of experiences or log of daily activities, (d) a student self-evaluation regarding objective attainment, and, if appropriate, (e) a performance test or demonstration of acquired skills.

Evaluation of the agency by the faculty supervisor and the student in terms of its appropriateness as a site for off-campus experiences.

E. Documentation (Portfolio)

A permanent record of the enrollment will be maintained in the school or department office which can serve at a future date to verify the experiences for purposes of accreditation, letters of recommendation, etc. The documentation should include (1) the "memorandum of understanding" (see below); (2) evaluation records or forms completed by the faculty supervisor, student and agency supervisor of student performance; (3) grade and credit awarded student; (4) record of number of conferences, seminars, and on-site visitations by the supervisor; (5) course prerequisites and/or prior experience required of student; (6) evaluation of the agency as a site for off-campus learning.

- II. A written "memorandum of understanding" must be developed for each student enrollment and must be agreed to by the agency supervisor, the faculty supervisor and the student prior to formal registration in the work experience or internship course. This memorandum must contain a statement of objectives to be achieved by the student, the hours, work schedule and conferences required of the student, the units to be earned, and the nature of any product or project required of the student.

- III. Placement of students for off-campus experience should be sufficiently close to the University so that it lends itself to a reasonable level of faculty supervision. (See Article VIII)

- A. A reasonable level of faculty supervision is a minimum of (1) 3-4 visitations to the place of experience during the semester, (2) 3-4 on-campus conferences between faculty supervisor and the student.

If a sufficient number of students are enrolled, seminars or group meetings may be substituted for some, but not all, of the individual conferences.

- IV. For every unit of credit, a total of 45-60 hours of involvement with the course by the student is required (3-4 hours/week for each unit). Travel to and from the off-campus site is not a part of this time commitment.

- V. All work experience and internships will be graded on a credit/no-credit basis.

- VI. A maximum of 12 units earned in work experience and internships may be applied towards the baccalaureate degree.

- A. No more than 6 units taken prior to junior standing will be accepted towards the degree.
  - B. No more than 6 of the maximum of 12 may be for prior work experience.
  - C. The major department will determine the applicability to the major of work experience, internships, transfer and prior credit.



## **Policy on Incomplete Grades**

### **Introduction**

When, on occasion, circumstances arise that preclude a student's ability to complete a course, a grade of Incomplete may be appropriate. Such circumstances must meet the criteria of serious and compelling and occur late in the semester. Before opting to request a grade of Incomplete (*I*), students must weigh their ability to successfully complete the course with limited guidance from the instructor of record. The *I* grade must not be used as a tool to simply forestall the award of a failing grade in a class. Students who want to start a course fresh, attend instructional meetings in a future semester, and replace all grades earned on work to date should withdraw from the course rather than request an Incomplete. This is not an option if the deadline for withdrawal for a serious and compelling reason has passed.

### **Requirements for the Incomplete Grade**

The grade of *I* is only appropriate when the student requesting it has completed a minimum of two-thirds of the work for the course with a passing grade. The instructor of record retains the right to decide whether or not an *I* grade is appropriate. If a student wishes to challenge the instructor of record's denial of an *I* grade, the student may petition the grade under APM 242. The *I* grade must be completed within one calendar year following the end of the term during which it was assigned, or it shall lapse into an *IC* (equivalent to an *F*) or an *NC* grade. Students cannot enroll again until a final grade has been earned in the course.

The instructor of record should be the person who removes the *I* for a grade of *A*, *B*, *C*, *D*, *F*, *CR*, or *NC*. If the instructor of record is not active during a semester the student wishes to complete the work remaining in a course in which the student earned an *I*, the department chair or designee shall receive the student records, evaluate the work remaining to be completed by the student, assign a final grade for the course, and officially notify the original instructor of record of actions completed.

The student is responsible for initiating the Incomplete Grade Report Form, which the instructor of record shall route upon completion to the department chair.

While the *I* grade must be completed within one calendar year before it lapses into an *IC* or an *NC* grade, a short term extension of the one year time limit may be granted by petition for reasons such as serious health or personal problems. This policy is enforced whether or not the student maintains continuous enrollment. Approval by the instructor or department chairperson is required for the extension of time. The petition is available in the north lobby of Joyal Administration Building at Admissions, Records, and Evaluations and must be submitted no later than the last day of instruction of the term in which the grade must be made up.

**Approved Academic Senate 12/5/2005**

**Approved by the President 1/3/2006**

## **Incomplete Grade Report Form**

In order for a student to be eligible for an I grade, the student must have completed at least two-thirds of the required coursework with a passing grade. Completion must have been prevented by unforeseen, fully justified reasons.

A student receiving an incomplete must confer with the instructor about the academic work that needs to be completed. Normally, a student is expected to complete the remaining work during the following semester. The work **must** be completed within one calendar year of the last day of the semester in which the incomplete was received. If no work is submitted by that time an automatic grade of **IC (equivalent to an F)** will be awarded.

**Once a final grade has been assigned, an undergraduate student may seek credit for the course by repeating the course, and filing for grade substitution with the admissions & records office. (see academic regulations, university catalog). Graduate students are not eligible for grade substitution.**

The instructor shall complete Section 1 of this form at the time the incomplete is assigned, retaining the original and giving a copy to the student and department chair. When the work is completed and the final grade is assigned, the instructor shall complete Section 2 and submit the original to the registrar as the notice of the final grade, while retaining a copy and giving a copy to the student and department chair.

## **GUIDELINES AND POLICIES FOR GRADUATE AND POSTBACCALAUREATE STUDENT PETITIONS/ APPEALS**

### **OVERVIEW**

**The following document lays out the principles, policies, and procedures, and clarifies the jurisdictional accommodation of graduate and postbaccalaureate appeals and petitions.**

Petitions to waive campus regulations or procedures regarding acceptable standards of performance, such as requirements for timelines, curricula, program coursework, grading, or progress toward degree, may be made by graduate or postbaccalaureate students for justifiable and appropriate reasons. Similarly, students may wish to challenge decisions made by campus authorities, including decisions on matters of student conduct or interpretation of university-wide established policies and regulations. Individual cases shall be adjudicated according to the appropriate jurisdiction and sequence, in accordance with the following policy and procedural guidelines.

### **I. GOVERNING STANDARDS AND JURISDICTIONAL RESPONSIBILITIES**

In offering postbaccalaureate and graduate programs, California State University, Fresno is subject to the policies and regulations of the CSU Board of Trustees, the statutes of the California State Education Code appearing in Title 5, as well as the regulations and policies established through the University Graduate Committee. Supplemental policies and standards at the departmental or program level complete the governing requirements. Jurisdictional authority and standards governing graduate student petitions and appeals may be summarized as:

#### **A. University Level**

Policies and regulations that apply to all university students and any appeals or decisions based on those policies are handled through established university-wide procedures.

Petitions and student appeals of university-wide policies and regulations will be subject to established campus guidelines for review levels and procedures, including review by university-wide committees with graduate representation as appropriate (e.g., the Student Academic Petitions Committee, or as provided through the procedures administered by the vice-president and dean of academic affairs; see Division of Student Affairs procedural guidelines).

#### **B. Division of Graduate Studies Level**

Policies and regulations that apply to acceptable standards of performance for postbaccalaureate and graduate students are handled through established Division of Graduate Studies procedures. The dean of the Division of Graduate Studies is responsible for the interpretation, implementation, and review of such policies.

Petitions and student appeals related to waivers of requirements or deviations from established university graduate policies or procedures are subject to review levels and procedures as established by the University Graduate Committee of the Academic Senate (refer to attached document, Policies and Procedures for Graduate Student Petitions Committee).

### **C. Graduate Program/Department Level**

In addition, the graduate faculty group for each program is responsible for establishing program-specific scholastic, academic, ethical, and professional standards and/or requirements. Most programs will adopt and adhere to the ethical principles and professional practice guidelines of appropriate professional organizations. These standards are to be used to determine an individual student's graduate standing with regard to program admission and continuation. The standards also serve as the basis for faculty recommendations regarding both academic probation and program dismissal.

Each department or program shall compile in writing a list of the academic, ethical, and professional standards to be met and the procedures governing both the evaluation of student compliance with these standards and the process for appealing and reviewing appeals of decisions rendered based on these standards. The procedures shall afford a fair and expeditious review, and are to be approved by the college or school dean and the graduate dean. The resulting documents shall be on file in the form of departmental or graduate program guidelines in each departmental office, the office of the graduate program coordinator, and the Division of Graduate Studies office. Copies are to be made available to students, and the department shall make reasonable efforts to inform all students about these program regulations.

Petitions and student appeals arising from program or departmental policies and regulations are subject to procedures and review levels within the department or graduate program established as outlined in the preceding paragraphs and Section II, following.

## **II. GRADUATE STUDENTS' RIGHT TO APPEAL OR FILE A COMPLAINT -PRINCIPLES AND PROCEDURES**

The university encourages informal resolution of problems, and students are urged to discuss their concerns with the involved faculty member, the graduate program coordinator, department chair, dean of the college, or graduate dean. Informal resolution of problems by mutual consent of all parties is highly desired and is appropriate at any time. In cases where a formal resolution of problems is needed, separate administrative procedures and timelines have been established that govern a formal appeals process (see Division of Student Affairs documentation).

Whether informal or formal, all participants shall take reasonable steps to protect the rights and, to the extent appropriate, the confidentiality of all parties involved in any proceedings to resolve problems. Additional details on appeals of academic decisions can be obtained from the Division of Graduate Studies office.

### **A. Appealing Academic Decisions**

1. Graduate students have the right to appeal academic decisions that may have been made at different levels: instructor, program committee, department, college or school, or the university. Students should first go to the individual or unit responsible for the decision (e.g., disputed grades should first be taken to the faculty member who assigned the grade; graduate program requirements should be taken to the department; college or school requirements to the college or school; and university requirements to the Division of Graduate Studies).
2. An unfavorable ruling at one level may be appealed to the next successive level(s). A faculty decision can be appealed to the department's graduate program coordinator or the department chair; a department decision can be appealed to the college or school dean in which the graduate program is located; a college-level ruling can be appealed to the Division of Graduate Studies; a Division of Graduate Studies decision can be appealed to the provost and then to the President of the university.



## **B. Appeal of Other University Decisions**

If an appeal of an action or complaint arises from issues not identified above (e.g., sponsored research misconduct, employment issues, or patent and intellectual property claims), the graduate dean, the provost and vice president for academic affairs, and the university administrator involved shall determine the appropriate procedure(s) for processing a complaint or an appeal.

## **C. Appeal of Decisions Regarding Graduate Student Probation, Suspension, and Dismissal Process**

University students in the Division of Graduate Studies are considered to be members of an academic scholarly community committed to shared ethical and professional principles. Integrity, justice, honesty, respect and responsibility represent the basis for establishing the rights accorded to each member of this community. On rare occasions students may fail to meet these expectations. When the student's behavior does not conform to prevailing standards of conduct, the university may impose appropriate sanctions.

Student misconduct that includes instances of academic dishonesty and violations of the California State University Code Governing Student Conduct (Title 5) and university-wide policies established in accordance with state and federal statutes and requirements for compliance may lead to expulsion, suspension, or probation. Examples of failure to meet such expected codes include cheating or plagiarism, misrepresentation of one's self or work, inappropriate collaboration, abusive behavior or hazing, and forgery (for complete listing, see Title 5, Sections 41301 to 41204).

Further, a student who violates the academic, professional and ethical standards in the discipline for which the student is preparing may be subject to academic sanctions, including but not limited to grade reduction, failing grade, suspension, or dismissal from the graduate program, as well as additional sanctions as determined by university procedures. The following program and departmental regulations apply:

1. If a student is failing to meet departmental standards, the department shall first warn the student of this fact in writing. The notification shall specify in what way(s) the student is failing to meet the standards. When conditions such as probation or suspension are imposed, the department shall give at the time of its imposition a written explanation of this status, what is needed to correct deficiencies, and time limits for readmission or regaining graduate standing.
2. Program suspension or dismissal may follow failure to meet conditions of admission or probation; established written grade point or program requirements or other academic and professional program standards; or failure to meet a regularly scheduled examination or formal evaluation. The student has the right to appeal such decisions and to seek further departmental review, according to established departmental and/or program standards (see above, Section I C).
3. Appeals of probation, suspension, or dismissal decisions by faculty that involve judgment of performance normally will not be reviewed beyond the college or school level. If, however, the student feels there has been discrimination, unfairness, or procedural irregularity, the student may appeal to the college or school dean and then to the graduate dean. The student may pursue a grievance according to the Dispute Resolution Procedures established by the university (see Division of Student Affairs documentation).

4. Students who are suspended or dismissed from a graduate program may be eligible to retain their postbaccalaureate standing in the university. However, these students are not permitted to enroll in graduate coursework unless they are admitted to a new graduate degree program.

**References:** Title 5 *California Code of Regulations*  
Graduate Student Academic Petitions Committee Policies and Procedures (APM)

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Recommended by the Academic Senate  
Approved by the President

April 2003  
**May 9, 2003**

## **GRADUATE STUDENT PETITIONS COMMITTEE POLICIES AND PROCEDURES**

Graduate and postbaccalaureate students seeking waivers from requirements, or exceptions and deviations from established regulations or procedures should first determine the appropriate level for accommodating such a request: the department, the Division of Graduate Studies, or other university-level administrative units (see APM 247, *Guidelines and Policies for Graduate and Postbaccalaureate Student Petitions/Appeals*). Often the submission of a formal petition is required for such actions. The Graduate Student Petitions Committee is charged with the responsibility for reviewing and adjudicating such graduate and postbaccalaureate petitions, per the following guidelines.

### **I. AUTHORITY, PURPOSE, AND LEADERSHIP OF THE COMMITTEE**

Graduate students at California State University, Fresno, in pursuit of their educational objectives, are required to conform to academic requirements and policies which have been established by the State Legislature, the Board of Trustees of the California State University system, and the Division of Graduate Studies at California State University, Fresno. In administering these academic requirements and policies, the university endeavors to exercise wisdom and judgment so that the educational needs of the individual student may be served well. Thus, a student is permitted to petition for exceptions to established policies and regulations when he or she has met or proposes to meet a Division of Graduate Studies requirement or regulation by an alternative means that is educationally justifiable. (Note regulations which cannot be waived; see this document, Section II.)

The authority to act on requests for deviations from academic requirements rests ultimately with the president of the university. The president, however, has delegated this responsibility to the Provost and Vice President for Academic Affairs (Provost), who in turn, has delegated it to the Dean of the Division of Graduate Studies. An administrative committee, the Graduate Student Petitions Committee, will serve as the appeals body for decisions made or deferred by the dean of Graduate Studies. The committee has five members: three faculty appointed by the Provost upon recommendation of the University Graduate Committee, one representative from the university graduate office designated by the graduate dean, and one graduate student appointed by the University Graduate Committee. The faculty on the committee shall be members of a Graduate Faculty Group, including at least one who is currently serving as a department graduate program coordinator. The representative from the university graduate office shall possess expertise in admissions and evaluations. The faculty shall serve for two-year terms, with the terms staggered to ensure continuity. The graduate student shall serve a one-year term.

A quorum shall be a simple majority of the current membership. The chair shall be determined by a process of the committee and shall serve for a term of one year. The Dean of Graduate Studies or designee will notify the chair when meetings are needed. Students may expect to hear within two weeks after filing a petition. The committee should plan to meet once per term or more frequently as necessary to accommodate petitions.

The committee serves as a hearing body for requests to waive campus policies and procedures filed with the Dean of the Division of Graduate Studies. Requests which cannot be approved by the graduate dean will be referred to the committee and the student will be advised to file a formal Petition. Committee decisions on petitions will be reported to the student and the Dean of Graduate Studies. A decision made by the Graduate Student Petitions Committee can be appealed to the Provost. The committee is responsible for submitting an annual report of actions taken, the nature and volume of requests received and any recommendations for Policy/procedural changes to the University Graduate Committee.

## II. LIMITATIONS TO COMMITTEE ACTION

The committee has recognized limitations to its authority and responsibility as follows:

- A. State Regulations (Title 5) – These regulations cannot be waived; action by the committee is limited to interpretation and application of the appropriate regulations.
- B. CSU System-Wide Policy - These regulations also cannot be waived; action by the committee is limited to interpretation and application of the appropriate policy statement(s).
- C. University Requirements - Decisions regarding university-wide policies and regulations that apply to all students (undergraduate and graduate) will be subject to established campus guidelines for review levels and procedures including review by university-wide committees (e.g., Division of Student Affairs, Student Academic Petitions Committee, Records Adjustment Committee, Registrar's Office) with representation from members of the Graduate Faculty Group as appropriate.
- D. Administrative Procedures - Changes necessitating verification of official documentation normally are referred to the Registrar's Office (e.g., dual class enrollment, incorrect course number, course withdrawal).
- E. Department Requirements - Decisions regarding interpretation and modifications of the requirements for an academic program or departmental policies and regulations are referred to the department or graduate program concerned for appropriate action within the limits of Title 5 and university policies.
- F. Precedents - Action taken on a petition will not establish precedent for future student petitions.

## III. POLICIES AND PROCEDURES FOLLOWED FOR ACTION ON ACADEMIC PETITIONS

- A. All requests for a waiver of the following are initially submitted to the graduate dean:
  - 1. Admission/Classification/Graduate standing/Advancement
  - 2. Change of Major
  - 3. Educational Leave
  - 4. Excess Unit Study Load
  - 5. Extensions of Time/Time limits/Course Validation
  - 6. Thesis/Committee Requirements/Disputes
  - 7. Others as determined by the Division of Graduate Studies.
- B. Advice on these matters and forms may be obtained through the Division of the Graduate Studies Office.
- C. The graduate dean (or designee) shall consider the request from the student, all documentation and recommendations. A positive recommendation will be based on information from the department and college or school dean. If the Division of Graduate Studies cannot approve the petition, it will be forwarded to the Graduate Student Petitions Committee.

- D. Formal petitions must include:
1. an appropriate Academic Petition Form
  2. a letter from the student with the rationale for the request for a waiver to a university requirement, policy, or procedure
  3. supporting documentation (e.g., evidence of hardship, administrative error, or other circumstances)
  4. written recommendations from the graduate program coordinator and faculty
- E. The committee will have the option to grant a separate hearing to any of the parties to the dispute not to exceed 20 minutes.
1. The presentation must be restricted to material contained in documentation.
  2. Any of the parties to the dispute may bring witnesses.
  3. Students or any of the parties to the dispute may not be represented by legal counsel.
- F. Students requesting to be heard by the Graduate Student Petitions Committee will give permission for their records to be presented to the committee members.
- G. Members of the committee will be expected to recuse themselves from participation in cases of conflict of interest (e.g., the student is from their department).
- H. The student and the graduate dean will be advised of the committee decision.
- I. A decision made by the Graduate Student Petitions Committee can be appealed to the Provost.

**References:** *Title 5 California Code of Regulations*  
*Guidelines and Policies for Graduate and Postbaccalaureate Student Petitions /*  
*Appeals (APM)*

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Recommended by the Academic Senate

April 2003

Approved by the President

Amended by the Academic Senate

December 10, 2007

**Approved by the President**

**January 8, 2008**

## **POLICY ON STUDENT GRADE NOTIFICATION**

### **Federal Requirements and University Policy**

It is the policy of California State University, Fresno to protect the privacy of students' education records in compliance with federal law, the Family Educational Rights and Privacy Act (FERPA). Student grades are education records as defined by FERPA, and may not be disclosed to third parties without the student's prior written consent.

Disclosure may be made directly to an individual student, as long as the information pertains to the individual alone. Other statistical information about the course (*i.e.*, means, grade cutoffs, etc.) may be included as long as it does not identify individual students.

FERPA prohibits the posting of student grades using names, university identification numbers, or social security numbers. Absent student consent, the practice of posting grades publicly is prohibited, even if student names are obscured, and even if only a portion of the student ID number is used.

### **Acceptable Methods of Early Notification**

Faculty members who wish to provide students with information about their grades during the semester and/or also provide students with early notice of their assigned grades before official grades are posted by the university may, but are not required to, use any of the following FERPA-compliant methods. These are, in order of preference:

1. Use secure electronic methods (e.g., Blackboard) which allows students to obtain only their own information.
2. Require students who wish to be notified of their grades to provide a self-addressed stamped envelope. The student is to write the course/section on the front of the envelope. The instructor then records the student's grade on the inside flap of the envelope, seals it, and deposits it in the mail. Postcards should not be used.
3. E-Mail to a student's university e-mail account. This procedure is appropriate if the information sent to the student is only about that student's grade and does not contain information about any other individual student in the message. Other information about the course (*i.e.*, means, grade cutoffs, or other course statistics) may be included as long as it does not identify an individual student.
4. The following method may be used only for classes with an enrollment of 25 students or more:
  - Post students' grades using code words or randomly assigned numbers that are known only to the faculty member and individual students, or
  - Post students' grades using the last five digits of students' ID numbers (not the SSN or any portion of the SSN).

Obtain each student's uncoerced consent to post his/her grade. Ensure that code words, assigned numbers, or last five digits of student ID numbers appear in random order when posting grades. Posting in alphabetical order according to student names may allow others to deduce the identity of individual students, even when using code words or randomly assigned numbers. In order for the consent to be valid, it must be signed, dated, and identify the specific information to which the student consents. Faculty members may provide students with the following form for this purpose, either on the last page of the examination or in a separate form:

I, [name] \_\_\_\_\_, request that my final grade for [specify the course] be posted at/on [specify the location, e.g., *Professor So-and-so's door*] using the last five digits of my student identification number.

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Signature

Student ID #

Date

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Recommended by the Executive Committee, Academic Senate:	December 12, 2005
Approved by the President to take effect immediately:	December 12, 2005
Amended by the Academic Senate	April 10, 2008
Approved by the President	May 6, 2008

## MISSION STATEMENT - INTERNATIONAL EDUCATION

California State University, Fresno (CSUF) recognizes that international education is a fundamental part of general and professional studies in our contemporary world. Increasingly complex international trade relations, the urgent needs of developing nations, concern for the preservation of our global ecology and the constant goal of world peace require that today's students be concerned with the world at large, appreciate and respect cultures and nations other than their own, and graduate with skills necessary to live and work effectively in an inter- national context.

At a minimum, no student presently in college should be exempted from acquiring some sensitivity to the existence, diversity and dynamic interaction of the many cultures and forces at work in our world society. More positively, all students should be encouraged to contribute affirmatively as citizens of a world-wide community. For these reasons, CSUF's international mission is to serve as a center of international initiative and study through which its faculty and students enhance their understanding of other cultures and nations and contribute constructively toward a better future throughout the world.

In accepting a mission in international education, the University is not straying from its primary responsibility to serve the people of California and our more immediate region. On the contrary, we recognize that California and especially the economy and ethnic diversity of the San Joaquin Valley are intimately involved in international developments. Whether we look at the large, growing and richly diverse mosaic of ethnic groups living in and migrating to our region, the placement of our graduates in international businesses, or the importance of foreign markets for Valley agriculture, we recognize that the University is part of a community which extends well beyond our state and national boundaries. Moreover, as citizens of a global community, the people of California and our immediate region have a vital stake in global issues such as health, hunger, population, pollution, war and peace. The University and the citizens of the San Joaquin Valley have vital interests in international life, and we have important resources to share with the world.

In many ways CSUF is ideally suited to accomplishing an international mission. CSUF takes pride in the marvelous ethnic diversity of our region and our strong representation of international students on our campus. The greater Fresno area alone includes more than 75 identified ethnic groups. In addition, foreign student population on our campus represents many nations from throughout the world. The University is committed to employing the diversity we find in our own community and student body as an invaluable set of resources for international education.

International education at CSUF shall include:

1. Preparation of U.S. and foreign students for social, political and economic realities in a culturally diverse and interdependent world.
2. Integration of international perspectives throughout the curriculum in a manner that enhances our overall mission.



3. The hiring, retention and support of faculty skilled in international affairs, world trade and world cultures.
4. Maintenance of a strong and stable international student enrollment.
5. Involvement of international students on campus as valuable educational resources.
6. Academic and cultural experiences of CSUF students studying and traveling abroad.
7. Arrangements involving University programs and resources in technical and educational assistance abroad.
8. International faculty exchange.
9. Ongoing faculty and student research in international cultures, worldwide economy and technology, global ecology and world peace.
10. Active participation in worldwide cultural and scientific exchange and dialogue.

In adopting a mission in international education, CSUF expressly endorses the Guidelines for incorporating an International Dimension in Colleges and Universities (November 19, 1984) and the Statement of International Responsibility of Higher Education (August, 1981) promulgated by the American Association of State Colleges and Universities.

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Approved by the Academic Senate  
Approved by the President

March 1986  
April 1986

## **POLICY AND PROCEDURES FOR IMPLEMENTING TUITION WAIVERS FOR NON-RESIDENT U.S. GRADUATE STUDENTS**

### **I. Authority**

Under the authority of Executive Order 605, California State University, Fresno is authorized to offer a limited number of tuition waivers for non-resident U.S. graduate students.

### **II. Policy**

Under the above authorization, the University shall provide tuition waivers for non-resident U.S. graduate students who demonstrate exceptional scholarly ability and promise. Waivers granted under this program must support the mission, goals and priorities of the University and the Division of Graduate Studies. Non-resident U.S. graduate tuition waivers are to be administered through the Division of Graduate Studies. All such waivers are dependent upon the availability of funding and shall not exceed 25% of the non-resident graduate student enrollment. Waivers may be granted to full-time graduate students enrolled in not less than 10 units per semester and who are in good standing. Waivers may also be awarded to students employed by the University at least 20 hours per week but less than full-time. Priority funding will be given to academic units that provide additional matching support for the student and/or for those units that demonstrate significant progress in meeting the goals of the University for strengthening graduate education. Individual awards are for a period of one academic year.

### **III. Procedures:**

- A. Each Dean will be invited to apply for a number of tuition waivers for students expected to enter graduate programs during the ensuing academic year.

Applications should include appropriate documentation of the need for such waivers, the number of waivers sought, and identification of how such waivers will meet the goals articulated in the *Plan for the 90's*; an appropriate recruitment plan, including minority recruitment considerations; as well as information on any commitment to provide matching funding and to achieve measurable outcomes (e.g. increasing quality and quantity of non-resident graduate students.) All applications should undergo any required review processes within degree program and school-level graduate committees.

- B. The Graduate Dean will review the school applications and recommend to the Level "B" budget group through the Director of Budget and Internal Audit, by January 1 of each year, the total number of non-resident U.S. graduate student waivers proposed to be awarded for the following fiscal year.

- C. The Level "B" budget group will evaluate this request in accordance with available funding, and will make its recommendations to the President by February 1. The President shall determine the number of tuition waivers to be awarded during the subsequent year and will announce their availability no later than February 15.
- D. Each Dean will be responsible for awarding tuition waivers within the appropriate unit and ensuring the timely awarding of waivers consistent with University policies.
- E. Awards made and measurable outcomes, including an emphasis on minority recruitment, will be monitored by the Division of Graduate Studies. As additional awards become available, waivers will be made according to the criteria indicated above.

#### IV. Reference Documents

- Executive Order No. 605, July 21, 1993
- *Plan for the 90's*, June 1993
- The Graduate Student's Financial Assistance Handbook, Fall 1992
- Policy and Procedures for Appointments of Graduate and Teaching Assistants, Academic Policy Manual (pg. 315-316)

## **POLICY AND PROCEDURES FOR IMPLEMENTING TUITION WAIVERS FOR INTERNATIONAL STUDENTS**

### **BACKGROUND**

On July 21, 1993, Chancellor Barry Munitz issued Executive Order 605, outlining procedures under which tuition waivers may be granted. New regulations stipulate that campus Presidents have authority to implement tuition waivers. These may be granted to international students at undergraduate and graduate levels, and to non-resident U.S. graduate students.

The number of tuition waivers issued is at the discretion of the local campus, but may not exceed 7.5% of the undergraduate international students, or 25% of graduate students who are not residents of California.

### **RELEVANT FACTORS**

- *Sister Universities*

California State University, Fresno, has a number of partnership agreements with universities around the world. These agreements usually stipulate that tuition will be waived by both institutions (within limits). A list of the universities with whom California State University, Fresno has existing partnership agreements can be obtained through the Office of International Programs. These arrangements need to be considered in formulation of tuition waiver policies. The President or designee is authorized to enter into the partnership agreements with Sister Universities on behalf of California State University, Fresno and make a commitment to grant up to three (3) tuition waivers per annum within this category. These waivers must be included within the total number of waivers authorized annually by the President as set forth below.

- *U.S. Government Funding of International Students*

Several federal agencies (and others) provide limited funding for living expenses, travel, etc., for international students, provided the U.S. campus will waive tuition. For students from the Third World, this is sometimes the only realistic option for students seeking to come to California State University, Fresno.

### **POLICIES AND PROCEDURES**

- *Number of Awards*

By January 1 of each year, the Director of International Programs will provide the Level "B" budget group through the Director of Budget and Internal Audit with the total number of waivers proposed to be awarded for the following fiscal year. Level "B" will evaluate this request and will recommend to the President by February 1. The President shall determine the number of tuition waivers to be awarded during the subsequent academic year and will announce their availability no later than February 15.

- *Determination of Awards Within the Following Categories:*

Each fiscal year, it shall be the responsibility of the Director of International Programs in consultation with the Office of International Student Services and Programs to determine the number of awards (full or partial) to be utilized within each of the following categories.

1. Sister Universities and Other Academic Institutions

Existing academic agreements with other universities will be honored, and the number of students taking advantage of this opportunity will be monitored by the Director of International Programs. Applications must meet California State University, Fresno admissions standards. Efforts will be made to ensure broad global representation; at the same time, special attention will be given to those regions designated as having high priority for international programs, (i.e., the Pacific Rim and Latin America). Additional waivers may be granted in instances where California State University, Fresno wishes to establish closer academic ties as determined by the Director of International Programs.

2. Government-Subsidized Programs

Tuition waivers may be utilized to assist students who are coming to California State University, Fresno under government-sponsored programs, such as LASPAU or AFGRAD

3. Recruitment

Tuition waivers, either in full or in part, may be used to recruit promising students. Such students may also be recruited to carry out special assignments as determined by the university, (e.g., as research assistants, assisting in the International Students and Services Office, etc). Students will be advised of any such expectation when they are offered a tuition waiver (or earlier).

4. School Discretionary Tuition Waivers

A limited number of tuition waivers will be made available to schools and/or departments that present a convincing rationale to select their own recipients. In such instances, each school dean will assume responsibility for developing appropriate selection processes for each school which will match students to specified needs and will also identify how such waivers meet the goals articulated in the *Plan for the 90's*.

5. Hardship Situations

A limited number of tuition waivers (full or partial) will be made available for students who are unable to continue or complete their studies without some assistance.

**IMPLEMENTATION**

- The Office of International Programs will serve as the clearing house for all international student tuition waivers. That office will monitor all awards, and ensure the observance of University policy.
- Awards of tuition waivers for students from sister universities will be made in accordance with existing agreements.
- Schools and/or departments wishing to grant tuition waivers to selected international students will recommend these persons to the Office of International Programs, which will announce the awards jointly with the appropriate school/department.

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Approved by the President

March 1994

## **POLICY AND PROCEDURES FOR THE APPOINTMENT OF TENURE TRACK FACULTY INCLUDING THE AWARD OF SERVICE CREDIT**

This policy is intended to provide a guide to the appointment of full time tenure track faculty. All appropriate federal and state law and systemwide and university policies including the campus Policy on Nepotism, the campus Equal Educational and Employment Opportunity Plan and the campus Policy on Incompatible Activities and Conflicts of Interest apply to this process. These procedures apply to all full-time tenure track faculty positions, whether funded by regular budget, reimbursed accounts, or other external Sources.

### **I. APPOINTMENT AUTHORITY**

The Provost and Vice President for Academic Affairs or designee (Provost) shall make all faculty appointments. No other person is authorized to appoint faculty, nor to modify or revise the provisions of any appointment or offer of appointment. No other person is authorized to make statements, either oral or written which may be construed to be commitments to employment by the university. Only faculty members whose appointments have been approved by the Provost shall be responsible for the conduct of instruction or fulfill other duties normally performed by a faculty member at California State University, Fresno.

### **II. APPROVAL FOR A SEARCH**

1. College/school deans, <sup>1</sup> in consultation with their academic departments, shall submit requests to the Provost to conduct a search for a tenure track position. The request shall include justification for the position based upon a plan for the department and college/school.
2. Final approval for a search must be obtained from the Provost.
3. Final approval for the distribution of the official vacancy announcement must be obtained from the campus equal educational and employment opportunity (EEEE) officer and the Provost

### **III. FORMATION AND RESPONSIBILITIES OF THE SEARCH COMMITTEE**

1. The primary responsibility for recruitment lies with the department.
2. Acting as the department peer review committee, the search committee shall have sole responsibility, including recommendations to the department chair, dean, and provost. The committee may consult with the tenured faculty and probationary faculty in the department, but the recommending authority for the faculty of the department rests solely with the search committee. The recommendation of the search committee shall constitute the recommendation of the department.
3. The tenured and probationary faculty in the department shall elect all search committees for full-time faculty positions in the department. Each search committee shall have a minimum of three members excluding the department chair and participants in the Faculty Early Retirement Program. <sup>2</sup> The membership of search committees shall consist of full-time faculty from the tenured and/or probationary faculty of the department <sup>3</sup> provided that at least two-thirds of the membership of the committee consists of full-time tenured faculty. <sup>4</sup>

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<sup>1</sup> For purposes of this policy, college/school dean shall include the dean of library services for library faculty, and the dean of student affairs for Student Services Professionals – Academically Related (SSP-AR).

<sup>2</sup> The department chair should meet occasionally with the committee during the selection process, but shall not participate in the deliberations of the committee.

<sup>3</sup> For purposes of recommendations regarding appointment, academic administrators above the level of department chair shall not participate in the search process at the departmental level.

<sup>4</sup> In departments with multiple programs, the program faculty shall constitute a majority of the committee.

4. The department may form a committee consisting of all full-time tenured faculty or all full-time tenured and probationary faculty members in the department.<sup>5</sup> if the department forms a committee consisting of all full-time tenured and probationary faculty, at least two-thirds of the membership of the committee shall be composed of tenured faculty. Since the department chair shall make a separate recommendation, he/she shall not be a member of the search committee.
5. When the department has insufficient full-time tenured and/or probationary members available to form a committee, the department faculty shall elect other tenured and/or probationary faculty available to serve on the committee.<sup>5</sup> Tenured and/or probationary faculty not serving on the committee within the department or unit may review the applications and provide input<sup>6</sup> to the committee but may not participate in search committee deliberations and/or vote in search committee meetings.
6. All search committees are required to have a **non-voting** EEO designee as a member of the committee. The EEO designee shall be from the list available from the campus EEO Officer.
7. The search committee shall elect a chair from its membership.
8. The chair of the search committee is responsible for:
  - a. Ensuring that each member of the search committee has been advised of law, CSU policy, and university policies which bear upon the search and nomination process,
  - b. Ensuring that all policies and procedures regarding the search are adhered to by the members of the committee and the department,
  - c. Ensuring that the search is conducted in full compliance with the law and university policy,
  - d. Meeting regularly with the department chair to keep the chair informed regarding the progress of the search,
  - e. Acting as a liaison between the committee and the appropriate administrative offices,
  - f. Ensuring that copies of all applications, evaluations, correspondence, including email communications, from and to candidates are retained and secured,
  - g. Maintaining ongoing contacts/correspondence with active candidates,
  - h. Obtaining prior authorization before inviting candidates for on-campus visits,
  - i. Arranging schedules for telephone or teleconference interviews and campus visits as appropriate,
  - j. Ensuring that visitations are handled properly and in a timely manner,
  - k. Ensuring that candidates are properly reimbursed for expenses
  - l. Preparing the appropriate nomination forms,
  - m. Keeping the leading candidates informed of the progress of the search,
  - n. Notifying unsuccessful candidates politely,
  - o. Performing other duties necessary to complete a timely and successful search.
9. Each member of the search committee is responsible for compliance with law and all policies including, specifically, the requirement to maintain strict confidentiality.

<sup>5</sup> Whether a small committee or a committee of the whole, each member of the search committee is required to read and evaluate all the applications.

<sup>6</sup> Input provided to the committee by individual faculty members in the department regarding candidates should be committed to writing, identified by source, and placed in the appropriate application file.



10. The committee shall be governed by majority votes. However, it is preferable that the final recommendation(s) should be the result of substantial, if not unanimous, agreement among the committee members.

#### **IV. ROLE OF THE EEO DESIGNEE**

1. The focus of the EEO designee is to provide an ongoing review of the search process to promote equal employment opportunity, and adherence to sound personnel practices.
2. The responsibilities of an EEO Designee are:
  - a. To participate in the recruitment process from its initial stages to completion while keeping the campus EEO Officer informed as appropriate.
  - b. To ensure that the recruitment efforts are far-reaching and include efforts that attracts qualified applicants.
  - c. To assess the extent to which recruitment efforts have been successful in attracting a pool of qualified candidates.
  - d. To monitor the search process at the search-committee level to assure that all applicants are given fair consideration based on the criteria stated in the official vacancy announcement.
  - e. To render a decision as to the need to address any problems related to the conduct of the search with the campus EEO Officer and/or the Associate Vice President for Academic Personnel.<sup>7</sup>

#### **V. VACANCY ANNOUNCEMENT**

1. The search committee, including the EEO designee, shall develop the vacancy announcement. The announcement and the recruitment plan shall be subject to approval by the department chair, the dean, the campus EEO Officer, and the Associate Vice President for Academic Personnel.
2. Each vacancy announcement authorization form submitted for approval shall include:
  - a. Clearly defined criteria for the position, including minimum academic qualifications, specifying both required and preferred criteria.
    - 1) Particular attention must be paid to the definition of the “terminal” degree as a minimum academic qualification for a probationary appointment at this university. If the field/discipline represented by the vacancy recognizes multiple terminal degrees, the vacancy announcement must clearly specify which of these will be acceptable as a minimum academic qualification.
    - 2) If the department and search committee are prepared to accept alternative terminal degrees as equivalents to the preferred terminal degree (above), these must also be clearly stipulated in the vacancy announcement.
    - 3) If the department and search committee are prepared to accept applicants who have not yet completed the terminal degree (commonly characterized as “ABD” or “All but Dissertation”) one of the following scenarios must be clearly stated in the vacancy announcement:

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<sup>7</sup> It is not a violation of the confidentiality of the process to report any problems related to the conduct of the search to designated university officials such as the dean, the campus EEO officer or the Associate Vice President for Academic Personnel.

- a. The stated terminal degree must be completed by effective date of appointment. Failure to complete the terminal degree prior to this date will invalidate the appointment,
- b. The stated terminal degree must be completed by a specific date (usually within the first probationary year). Candidates hired under this exception will be tendered a one-year appointment and retention to subsequent probationary years will be made conditional upon completion of the terminal degree.

Either option requires prior approval of the Provost.

- b. The date by which the application should be submitted for fullest consideration,<sup>8</sup>
- c. Name, mailing address, and email address of the committee chair,
- d. Name of each members of the search committee,
- e. Name of the EEO designee,
- f. URL for the college/school,
- g. If required by the department or college/school, a request to provide transcripts.
3. The criteria listed on the vacancy announcement shall be bona fide occupational qualifications for the position appropriate to the rank being advertised.
4. Minimally, each full-time faculty position shall be opened to a thirty (30) day, national search.<sup>9</sup>
5. Once the official vacancy announcement has been approved, the criteria stated in the official vacancy announcement may not be altered either in writing or in the evaluation process. Should the search committee wish to alter the criteria, the search must be canceled and a new search process initiated.
6. Advertisements shall be submitted to professional publications only after the official vacancy announcement has been approved.<sup>10</sup>

## VI. CRITERIA FOR APPOINTMENT

1. A major responsibility of the university is to select and retain the most qualified faculty available to maintain the academic quality and integrity of the institution.
2. The basic criterion for any faculty position is "ability and fitness for the position to be filled."<sup>11</sup>
3. For purposes of this policy, "ability" requires that the candidate demonstrate that he/she possesses (a) the academic qualifications and, if appropriate other credentials and/or experience required for the position and (b) the skills necessary to perform the essential functions of a faculty position.
4. For purposes of this policy, "fitness" requires that the candidate demonstrate that he/she possesses the interpersonal skills essential for being a productive, cooperative, and collegial

<sup>8</sup> The vacancy announcement shall state that the position is "open until filled" and shall not have a fixed deadline after which applications will no longer be accepted. Applications may continue to be accepted until the search committee decides that it has reached a point where it no longer wishes to consider further applications. Once that determination has been made not to consider further applications, no application received after that determination may be given consideration.

<sup>9</sup> The thirty (30) days begins after the final vacancy announcement has been approved.

<sup>10</sup> The official vacancy announcements are posted on the web at <http://www.fresnostate.edu/academics/aps/vacancy/>

<sup>11</sup> See California Code of Regulations, Title 5 Section 42700(a),

faculty member within a racially, culturally and socio-economically diverse university community.

5. The relationship between a candidate and other candidate(s) or a current faculty member shall not be a consideration in the process.
6. Appointments to a probationary position that may lead to the granting of tenure should be made only if the candidate's background indicates that he/she offers substantial promise that he/she will later meet the criteria for tenure.
7. Appointment to a tenure track or tenured faculty position requires an earned doctorate or an appropriate terminal degree under the campus Policy on Terminal Degrees ([APM 304](#)). A candidate with ABD status may be appointed to a one-year tenure track faculty position as described in Section V.
8. Appointment to a tenured position should only be made if the candidate's background provides evidence that he/she has met the criteria for tenure with the rank of Professor.<sup>12</sup>

## VII. CREATING THE CANDIDATE APPLICANT POOL

1. California State University, Fresno is strongly committed to the principles of equal employment opportunity and nondiscrimination for all. It is the policy of the university to provide programs, services and benefits including employment without regard to race, religion, color, gender, marital status, pregnancy, national origin, age (over 40), mental or physical disability, sexual orientation, special disabled veteran's status, Vietnam era or other covered veteran status. The university does not tolerate discrimination in any form.<sup>13</sup>
2. It is the policy of California State University, Fresno to make every effort to maximize the size, and strength of the applicant pool for full-time faculty positions. All eligible individuals are encouraged to apply and shall be considered for the position pursuant to the university policy. All applicants shall be given fair consideration based on the announced criteria.
3. Academic Personnel Services will post the official vacancy announcement on a nationally recognized job line(s) on the Internet as well as post the announcement on its own web page.<sup>14</sup>
4. Pursuant to systemwide requirements,<sup>15</sup> Academic Personnel Services is designated as the campus location where official copies of all current campus vacancy announcements for tenure track and full-time temporary faculty positions shall be maintained, as well as vacancy announcements for full-time faculty positions that are received from other CSU campuses.
5. The college/school will post all vacancy announcements for full-time faculty positions on the college/school web page by creating a link to the OFFICIAL vacancy announcement on the Academic Personnel Services website. Should the department post the vacancy announcement on its web page, a link should be created to the official vacancy announcement on the Academic Personnel Services website.
6. The department will place vacancy announcements in at least one professional publication appropriate to the discipline; national listservs; and engage in special mailings, advertisements, and recruitment efforts to maximize the size of the applicant pool. The department will bear the costs of such efforts.

<sup>12</sup> See Policy on Retention and Tenure (APM) for information regarding an appointment with tenure.

<sup>13</sup> See campus EEO Plan Section I

<sup>14</sup> Academic Personnel Services posts vacancy announcements for all full-time faculty positions on the website [higherjobs.com](http://higherjobs.com).

<sup>15</sup> CBA Article 12

### VIII. PRELIMINARY REVIEW OF THE APPLICATIONS

1. Applications for full-time positions are to be treated with the strictest confidentiality. All deliberations on applications for full-time positions shall be conducted in executive session and remain confidential as provided by law. **Violations of this confidentiality are considered to be unprofessional conduct and may be grounds for disciplinary action.**  
<sup>16</sup>
2. There shall be an access log for the file of each applicant. All persons shall sign in and out when reviewing the file.
3. All applicants shall be given fair consideration based on the announced criteria.<sup>17</sup> All members of the search committee, including the EEO designee, shall review all of the applications.
4. Each application for the position shall be promptly acknowledged in writing by the chair of the committee.
5. Each applicant shall be directed to the web to complete an Application Form and an Applicant Flow Form.
6. Tenured and probationary faculty who are not members of the search committee may read the vita, placement files, letters of recommendation, and other application materials of candidates for the purpose of providing the search committee with written assessments (one-way information only). These individuals shall also log access in and out of the files.
7. The search committee shall meet in executive session for deliberations and voting at all levels of screening, selection, and nomination.
8. Voting by proxy or by absentee ballot by search committee members is prohibited. Only those search committee members who have read all the files, participated in the deliberations, and are present and voting may participate in making the recommendations
9. The papers of each applicant shall be reviewed against a checklist of the bona fide occupational qualifications as detailed in the vacancy announcement. This checklist shall be prepared and approved by the members of the search committee including the EEO designee prior to the commencement of reading applications.
10. For applicants who have been previously employed in the department, the following materials shall be reviewed: (1) all application materials; (2) student evaluations of instruction; (3) peer reviews of instruction; and (4) any other relevant material in the applicant's Open Personnel File.

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<sup>16</sup> It is not a violation of the confidentiality of the process to report any problems related to the conduct of the search to designated university officials such as the dean, the campus EEO officer or the Associate Vice President for Academic Personnel.

<sup>17</sup> See EEO Plan Section VII.

## **IX. SCREENING THE APPLICANTS**

### **A. GENERAL PROVISIONS**

1. Any applicant not having the required qualifications as stated in the vacancy announcement is disqualified from further consideration.
2. After the preliminary review of applicants, a more detailed evaluation of the stronger applicants shall take place.<sup>18</sup>
3. For each applicant who has been previously employed in the department, the following materials shall be reviewed: (1) all application materials, (2) student evaluations of instruction, (3) peer reviews of instruction; and (4) any other relevant material in the applicant's open personnel file.

### **B. LETTERS OF REFERENCE**

1. The search committee should request letters of reference directly from the applicant's referees. At least three (3) original and signed letters of reference must be obtained directly from supervisors, senior faculty, the dissertation committee chair, and/or other persons in responsible positions who have working knowledge of the candidate's ability and fitness for the position to be filled.
2. A minimum of three (3) current letters of reference<sup>19</sup> with original signatures are required for a nomination to go forward. FAX copies may be used only for screening purposes. Letters of reference provided directly by the applicant are not acceptable.<sup>20</sup>

### **C. REFERENCE CHECKS**

1. At least three (3) telephone or in-person reference checks are required for appointment.<sup>21</sup> More than one member of the search committee shall perform phone reference checks. Reference checks shall include contacts with appropriate individuals at the candidate's previous places of employment/professional experience.
2. A list of nondiscriminatory core questions shall be prepared and approved by the search committee, including the EEO designee, for use during reference checks. Minimally, each referee shall be asked these questions.
3. Prior to the appointment, the dean should do at least one (1) telephone or in-person reference check for each finalist.
4. Prior to inviting a candidate to campus, additional reference checks from individuals not on the list of references provided by the candidate are encouraged.<sup>22</sup> Candidates shall be notified if individuals not on his/her list of references are to be called.<sup>23</sup>
5. All past employers should be contacted prior to the candidate being invited to campus. The current employer may not be contacted until the candidate gives consent. While a candidate may be brought to campus prior to checking with the current employer, no offer of employment shall be extended until the candidate gives consent to contact the current or most recent employer and the current or most recent employer has been contacted.

<sup>18</sup> Any false statement or omission by a candidate may be cause for rejection of an application or for discharge after employment (Education Code 89535)

<sup>19</sup> Letters of reference should be with original signature and no more than one (1) year old.

<sup>20</sup> Letters of reference sent directly by the candidate from a university placement service are acceptable.

<sup>21</sup> Reference checks are normally completed prior to candidates being invited to campus for interviews.

<sup>22</sup> By completing the application form, all applicants authorize the university to investigate their credentials including contacting individuals not on their reference list.

<sup>23</sup> While candidates shall be notified of the intent to check references not on his/her reference list, the names of references to be called shall not be given to the candidate.

6. Summaries of reference checks shall be prepared in writing, signed by the person who made the reference check, and placed in the applicant's file.

#### **D. TELEPHONE CONFERENCE INTERVIEWS**

1. Telephone conference interviews of at least the top five (5) candidates are encouraged prior to bringing tenure track applicants to campus.<sup>24</sup> When telephone conference interviews of applicants are held, they shall be attended by at least a quorum of the search committee. A list of nondiscriminatory core questions shall be prepared and approved by the search committee including the EEO designee for use during the conference interviews. Minimally, each candidate shall be asked these questions.
2. Summaries of telephone conference interviews shall be prepared in writing, signed by the committee chair, and placed in the applicant's file.
3. Before campus visits are scheduled, the department chair, the college/school dean and Associate Vice President for Academic Personnel are to be consulted if there is significant information which may have a bearing on a candidate's potential employment.

#### **X. ON-CAMPUS VISITATIONS**

1. At the time that a tenure track search is authorized, Academic Resources shall allocate the appropriate resources to the college/school dean for expenditure at the time of tenure track interviews. The dean is authorized to sign for the expenditure of these funds.
2. Invitations for campus visits will be extended only after review and approval by the department chair, the dean, the EEO Officer and the Associate Vice President for Academic Personnel. The committee chair shall complete and submit the Tenure Track Faculty Recruitment Authorization for On-Campus Visit form and attach all the appropriate documents.
3. The search committee shall normally recommend the top three (3) candidates for campus visits. Requests for additional candidates to visit may be made.
4. The name(s) of candidate(s) to be invited to campus shall not be released to the campus community without having given each candidate an opportunity to withdraw from the search.<sup>25</sup>
5. An itinerary and informational packet<sup>26</sup> will be prepared for each candidate prior to the campus interview. The itinerary should be transmitted to the candidate as quickly as possible.
6. A list of nondiscriminatory core questions shall be prepared and approved by the search committee, including the EEO designee, for use during the on-campus interviews. Minimally, each candidate shall be asked these questions.
7. When visiting the campus, each candidate for a faculty position shall be expected to give a presentation to the faculty and students of the department and other interested persons.
8. Reimbursement to candidates from State funds is limited to receipted expenses.

<sup>24</sup> Telephone interviews may be taped for future reference provided that, at the beginning of the interview, the candidate's consent is freely given on tape. This consent is required to comply with California statutes.

<sup>25</sup> Each candidate invited to campus should be advised that, because campus constituencies are notified and invited to participate in the interview process, their candidacy will become public information at that point.

<sup>26</sup> See Appendix A. Departments may wish to direct applicants to the website academic personnel services has developed for prospective / new faculty at <http://www.csufresno.edu/aps/newfaculty.html>.

## XI. APPOINTMENT PROCEDURES

1. The search committee shall recommend the candidate or candidates that the search committee deems to be qualified and acceptable.<sup>27</sup> Qualified and acceptable is defined as meaning any candidate who has demonstrated his/her ability and fitness for the position as described in Section VI, Numbers 2, 3 & 4 above and who the search committee believes will be an asset to the department.
2. At the time the search committee makes its recommendation, it shall also forward a written statement regarding the relative strengths and weaknesses of each candidate being recommended as well as the search files of these applicants. Search committees may also rank order the recommended candidates.
3. When nominating tenure track faculty, the search committee shall also make a recommendation regarding the granting of service credit toward probationary period and sabbatical leave eligibility<sup>28</sup> for each candidate who is recommended. Such a recommendation shall conform to systemwide policy and the campus Policy on Service Credit in Section XIII of this policy.
4. The search committee shall make its recommendation(s) to the department chair. The recommendation(s) of the search committee is the recommendation of the department faculty.
5. The department chair shall review the recommendation(s) of the department peer review search committee for merit and for procedural regularity. If a difficulty arises concerning the nomination(s), the department chair shall consult with the search committee. For finalists who have been previously employed in the department, the following materials shall be reviewed: (1) all application materials, (2) student evaluations of instruction, (3) peer reviews of instruction, and (4) any other relevant material in the applicant's Open Personnel File.  
  
The department chair may, after consultation with the search committee, decline to support a recommendation in which case the department chair shall forward a separate recommendation to the college/school dean. If the department chair concurs in the recommendation(s), the department chair shall forward the recommendation with his/her concurrence.<sup>29</sup>
6. The dean shall review the recommendation(s) for merit and for procedural regularity. For finalists who have been previously employed in the department, the following materials shall be reviewed: (1) all application materials, (2) student evaluations of instruction, (3) peer reviews of instruction, and (4) any other relevant material in the applicant's Open Personnel File.
7. If the dean does not concur with the search committee's rankings of the candidates, the dean shall meet to discuss his/her concerns with the search committee chair and department chair to try to come to resolve those concerns. It is the responsibility of the chair of the search committee to communicate the dean's concerns to the search committee.
8. It is the responsibility of the department chair to determine the terms and conditions of a competitive offer in the discipline and inform the dean.

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<sup>27</sup> Prior to submitting the name(s) of recommended candidate(s), each postsecondary degree of the candidate(s) shall be verified directly with the degree granting institution. Transcripts are not adequate to verify degrees.

<sup>28</sup> Service credit does not apply to promotion eligibility.

<sup>29</sup> At this point, the candidate may be notified by the search committee / department chair that his/her name has been recommended to the dean but that no final decision has been made. The candidate should be asked if he/she is still interested in the position.

9. If the dean decides to offer the position to a candidate recommended by the search committee, the dean shall discuss the proposed terms of employment with the candidate,
10. If agreement is reached between the candidate and the dean, and an offer of employment is to be extended, the dean shall prepare the nomination form in consultation with the department chair and/or search committee chair, attaching all appropriate documents. All the terms and conditions of employment shall be included in the offer.
11. In the event the dean exhausts the nominees submitted by the search committee that are acceptable to him/her, the dean may, after discussion with the department chair and search committee chair, decline to approve a remaining nomination(s), if any, in which case the nomination(s) shall be returned to the search committee with written reasons for rejecting these candidates along with a request for a different nominee(s) or a recommendation that the department conduct a new search.
12. The campus EEO Officer and the Associate Vice President for Academic Personnel shall review the search process for procedural regularity. If a difficulty arises concerning the search process or the offer, these individuals shall advise the dean.
13. The Associate Vice President for Academic Personnel shall review the offer of employment for procedural regularity. If a difficulty arises, the dean shall be notified.
14. The Provost shall countersign all offers of employment.
15. If no qualified and acceptable candidate is identified, the search may be extended or canceled upon the recommendation of the dean and the approval of the Provost or designee.



## **XII. OFFERS OF EMPLOYMENT**

1. Offers of employment to faculty positions shall be made through written notification by the dean.<sup>30</sup>
2. The terms of the offer of employment shall be consistent with the official vacancy announcement.
3. No person shall be deemed appointed to a faculty position in absence of an official written offer of employment from the dean.
4. The successful candidate may be provided with informal notification of the university's intent to make a formal offer of employment at the time the written offer is being prepared. Such informal offers are to be considered only as an informal communication between the university and the candidate prior to the final preparation of a written offer of employment. Oral communications and/or acceptances are not binding on the university.
5. For probationary and tenured appointments, the offer of employment shall stipulate the rank and salary of the appointment, and the award of service credit, if any.
6. All offers of employment shall contain:
  - a. Beginning date
  - b. Rank and salary
  - c. Amount of service credit toward probation and sabbatical leave eligibility for prior service, if any
  - d. Assigned department or unit
  - e. Date by which the candidate's response to the offer is expected
  - f. Other conditions of appointment including, as appropriate, such items as assigned time, start-up funds, laboratory space, summer supplement salary, and travel funds.
7. An offer of employment may contain special departmental, college/school or university stipulations consistent with law, CSU policy, and general university policies or procedures. These shall be approved by the dean and Provost and shall be stated in writing in the offer of employment.
8. The acceptance of a position is the candidate's written affirmative and unconditional response to the offer of employment no later than the date stated in the offer of employment.
9. If the candidate seeks to modify the terms and conditions of the written agreement by unilateral modification of the written agreement, a letter stating that the university will not accept such modifications must be sent to the candidate as soon as possible. The letter shall inform the candidate that the written offer can only be accepted as is.
10. If the candidate does not accept the position, the dean shall consult with the department chair, the chair of the search committee and other faculty as deemed appropriate regarding the status of the remaining recommended candidates and proceed accordingly.
11. If the candidate accepts the position, the chair of the search committee shall notify the unsuccessful remaining candidates.

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<sup>30</sup> The Provost or designee must countersign all offers of employment to a faculty position.

### **XIII. POLICY ON SERVICE CREDIT**

1. At the time of the nomination to an initial probationary appointment, the search committee may recommend that one or two years of service toward probation and sabbatical leave eligibility be awarded to the candidate.<sup>31</sup>
2. The search committee shall provide a description or listing of the experiences for which service credit is being recommended.
3. The Provost will approve or disapprove of the service credit award.<sup>32</sup>
4. Normally, service credit will be given for full-time teaching experience at a four-year institution of higher learning. Normally, one year of service may be granted for each two-year period of full-time non-tenure track teaching experience. One year of service credit may be granted for each year of tenure track teaching experience.
5. Pursuant to systemwide policy, a maximum of two years of service credit may be granted.<sup>33</sup>

### **XIV. CLOSING THE SEARCH**

At the conclusion of a search, all search records, including the notes of search committee members, shall be collected, organized, and boxed by the committee chair. The committee chair shall transfer the search records to the dean for retention for five (5) years.

References: Title 5, California Code of Regulations  
CBA Articles 12, 13, 29, 31  
Policy on Nepotism  
Policy on Terminal Degrees  
Policy on Incompatible Activities and Conflicts of Interest

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Recommended by the Academic Senate	4/2004; 4/2013
Approved by the President	5/19/2004 (Effective 7/1/2004) 5/17/2013

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<sup>31</sup> Service credit does not apply to promotion eligibility.

<sup>32</sup> Once granted, service credit may not be withdrawn or voluntarily surrendered.

<sup>33</sup> See CBA Article 13

## APPENDIX A

### INFORMATION FOR CAMPUS VISIT OF PROSPECTIVE CANDIDATE

This list is provided as a guide to search committees in the preparation for campus visits of candidates for tenure track positions. Information packets containing the items listed below should be assembled in an attractive package and made ready for pickup by the candidate when the candidate arrives at the hotel/motel.

#### Campus Items:

1. An annual report of the University
2. An admissions prospectus
3. A copy of the brochure on the campus as an arboretum
4. A recent copy of the Collegian
5. California State University, Fresno Reading List (Provost's Office)
6. Medical, Vision and Dental Benefit Information (Benefits Office)
7. A guide to the Henry Madden Library (available from the Library 8-2403)
8. Student Data Book (available from Institutional Research)

#### Department Items

1. Itinerary for Candidate (a must for a positive interview)
2. California State University, Fresno business card of Faculty Search Committee Chair with campus and home phone number
3. Specific information regarding the department and the College/School

#### Off-Campus Information

1. Information on Campus Relocation Service Providers (from Academic Personnel)
2. The most current issue of the SUNDAY Fresno Bee.
3. Area housing and rental guides (available in stores)
4. A map of the Fresno/Clovis Metropolitan Area
5. Information on child care providers (from local realtors)

#### If requested:

1. Fresno Unified School District boundaries (from FUSD or the Map Library)
2. Clovis Unified School District boundaries (from CUSD or the Map Library).
3. Information about private schools (from local realtors)

**MUCH OF THE ABOVE INFORMATION IS AVAILABLE THROUGH LINKS ON THE FOLLOWING WEBSITE**

<http://www.fresnostate.edu/academics/aps/faculty/newfaculty.html>

**THE CALIFORNIA STATE UNIVERSITY**  
**Office of the Chancellor**  
**401 Golden Shore**  
**Long Beach, CA 90802-4210**  
**(562) 951-4425**

**Code: HR 2004-18**

**Date:** June 28, 2004

**Supersedes: FSA 78-19**

**To:** CSU Presidents

**From:** Jackie R. McClain  
Vice Chancellor  
Human Resources

**Subject:** **Revised CSU Nepotism Policy**

It is the policy of the California State University to seek for its administrators, instructional faculty, and support staff the most qualified candidates through appropriate search procedures preceding each appointment and promotion. There shall be no bars to the appointment of immediate family members in administrative, faculty or staff employment categories, in the same or different units or departments so long as the following standard is met:

*No CSU employee shall vote, make recommendations or in any way participate in decisions about any personnel matter which may directly affect the selection, appointment, evaluation, retention, tenure, compensation, promotion, termination, other employment status or interest of an immediate family member as defined below.*

*In each of the following circumstances, special written provisions must be prepared for review and approval by the head of the organizational unit (e.g. Dean or Director) before an individual may be appointed: (1) If the individual is to be assigned to a position under the supervision or control of an immediate family member who has or may have a direct effect on the individual's progress or performance; or (2) If the individual is to be assigned to work for the same immediate supervisor as another immediate family member.*

*The special written provisions shall include a plan to ensure that personnel matters including evaluation, retention, tenure, promotion, wages, hours and other terms and conditions of employment, will not be decided based on the relationship as*

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**Distribution:**

Chancellor  
Associate Vice Presidents/Deans of Faculty Affairs  
Vice Presidents, Administration  
Vice Presidents, Academic Affairs

Human Resources Directors  
Benefits Officers  
SOSS Director

*an immediate family member. The plan should provide that the head of the organizational unit is to review all decisions on personnel matters. In those cases where related employees will be working for the same immediate supervisor, the plan should include steps to be taken to alleviate any pressures toward favoritism that could occur as a result of supervising members of the same immediate family. The head of the organizational unit shall be responsible for investigating concerns about conflicts of interest or favoritism involving members of the same immediate family.*

*Regarding financial matters, the California State University is covered by the Financial Integrity and State Manager's Accountability Act (FISMA, Government Code §13400 et seq.), which requires separation of duties for financial transactions. These requirements can be found in the State Administrative Manual (SAM, chapter 8080).*

For the purposes of this policy, "immediate family member" is defined as a close relative including: parent, child, grandparent, grandchild, sibling, uncle, aunt, nephew, niece, first cousin, spouse, registered domestic partner, step-parent, step-child, brother-in-law, sister-in-law, father-in-law, mother-in-law, son-in-law, daughter-in-law, and by guardianship and/or adoption or a person residing in the immediate household except live-in household employees or roomers.

Relatives of domestic partners shall be treated as relatives of spouses.

Campuses may enact policies that set reasonable restrictions on an individual's capacity to function as a judge or advocate in specific situations involving a member of his/her immediate family. However, consistent with applicable law, any such restriction cannot have the effect of denying any equal employment opportunity.

Exceptions to this policy are at the discretion of the President or the Chancellor for the Office of the Chancellor.

If you have any questions, please contact Employee Relations at (562) 951-4421.

This Human Resources memorandum is also available on Human Resources Administration's Web page at: <http://www.calstate.edu/HRAdm/memos.shtml>.

JRMCC/ms

## POLICY ON TERMINAL DEGREES

1. Possession of an earned doctorate or other recognized terminal degree in an area appropriate to the individual's teaching / service area<sup>1</sup> is normally required for appointment to a tenure track or tenured faculty position.
2. Rare exceptions to the requirements of the earned doctorate or other recognized terminal degree may be made by the Provost and Vice President for Academic Affairs, but only upon request of the department and college/school or service area. One or more of the following circumstances may justify approval of an exception to the requirement of the doctorate.
  - (a) A candidate possesses, at the time of appointment, the highest (i.e., "terminal") degree appropriate to the teaching / service area, and the field or discipline represented by the vacant position.
  - (b) A candidate has demonstrated, in well-documented form, significant preparation and attainment equivalent to, or surpassing, the educational attainment represented by the terminal degree. The preparation and attainment should be clearly as rigorous and as valuable in the actual performance of the position's duties and responsibilities as the appropriate terminal degree.
  - (c) A faculty member has demonstrated exceptional preparation to offer instruction in a teaching area although the faculty member may possess a doctorate in another area. A member of the faculty tenured in one teaching area in which an appropriate doctorate has been earned, who may be changing to a second teaching area, should be expected to meet current continuing preparation standards applied to a tenured faculty member in this second teaching area.
3. Terminal degree requirements for appointment to a tenure track position shall be clearly stated in any vacancy announcement. Particular attention should be paid in those disciplines where more than one kind of terminal degree may be accepted and/or recognized. The vacancy announcement must also clearly state what degree, if any, may be considered an acceptable equivalent.
4. In exceptional circumstances, and with prior approval from the Provost, individuals who are nearing the completion of the doctorate (ABD) may be appointed to a probationary appointment for an initial period of one year. Completion of the doctorate during that year will be stipulated (in the appointment letter) as a condition for subsequent retention in the probationary position.<sup>2</sup>
5. At least once a year, the Provost and Vice President for Academic Affairs or designee shall discuss with the Personnel Committee of the Academic Senate the actions taken under this policy.

Approved by President  
Amended

May 1977  
November 1999; July 2012 (as interim), April 2013

<sup>1</sup> "Service area" refers to the Library and Student Affairs areas only.

<sup>2</sup> Refer to APM 301 for a complete set of instructions regarding ABD recruitments and appointments.

## POLICY ON REASSIGNMENT OF FACULTY

The purpose of this policy is to provide guidelines for requests for reassignment to another department or program by a tenured or probationary faculty member.

The underlying principle which shall govern considerations of reassignment is as follows:

Except for circumstances following from the reorganization of a department or program, no faculty member should be reassigned to a different academic department without his/her consent and without the consent of the department or other organizational unit to which he/she is to be reassigned. This provision shall not be construed as applying to layoff rules pursuant to the Collective Bargaining Agreement.<sup>1</sup>

### I. Tenured Faculty

1. A tenured faculty member may apply for permanent reassignment to another department at any time.
2. The tenured faculty member shall submit a written request to the dean of the school of the recipient department asking for consideration for a reassignment. The request shall contain a description of the individual's academic qualifications for such a reassignment along with a statement detailing how the faculty member might contribute to the educational goals of the recipient department. A vitae shall accompany the request. The request shall be copied to the Provost and Vice President for Academic Affairs (hereinafter Provost), dean of the school in which the faculty member currently resides, the department chair of the recipient department, and the chair of his/her current department.
3. The recipient dean shall forward the request, including attachments, to the recipient department for consideration.
4. The tenured faculty of the recipient department shall meet as a committee of the whole to consider the request. After a discussion of the pertinent issues and voting by secret ballot, the tenured faculty shall forward a recommendation to the dean. After consultation with the tenured members of the department, the department chair shall make a separate recommendation. Copies of the recommendations shall be provided to the Provost, the dean of the school where the faculty member currently resides, his/her current department chair, and the faculty member making the request.<sup>2</sup>
5. After receiving a positive recommendation from the recipient department, the dean receiving the request shall meet with the dean of the school in which the faculty member currently resides to discuss the possible reassignment.<sup>3</sup> The dean of the school in which the faculty member currently resides shall also confer with the current department chair.

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1. The 1972 campus policy statement on reassignment.

2. A negative recommendation from the faculty of the recipient department shall conclude the process.

3. Except as a result of reorganization of schools or departments, no resources shall be permanently removed from a school as the result of reassignment. Any temporary transfer of resources shall be made only upon the written recommendation of the current school dean and the approval of the Provost..

6. After these discussions, both deans shall jointly make a written recommendation to the Provost. A copy of the recommendation shall go to the chairs of the affected departments and to the faculty member making the request.
7. Any reassignment may only take effect with the approval of the Provost.
8. In the event a tenured faculty is reassigned to another department, he/she shall
  - (a) retain their tenure status
  - (b) retain all seniority points earned to date<sup>4</sup>
  - (c) forfeit all rights and privileges in the department of previous assignment.
9. A faculty member may voluntarily request a permanent forfeiture of all or part of the his/her accrued seniority points. Such a request shall be made in writing to the Provost.
10. A tenured faculty member may be reassigned without his/her consent if the reassignment is part of a departmental or programmatic reorganization.
11. A tenured faculty member may request a temporary reassignment to another department pursuant to Article 38 of the Collective Bargaining Agreement.<sup>5</sup> In such cases, the process delineated above shall be used.
12. The effective date of any reassignment shall be determined by the Provost.

## II. Probationary Faculty

1. A probationary faculty member may be reassigned without his/her consent if the reassignment is part of a departmental or programmatic reorganization.<sup>6</sup> Otherwise, faculty members normally shall not be reassigned to another department during the probationary period.
2. A probationary faculty member may apply for temporary reassignment to another department pursuant to Article 38 of the Collective Bargaining Agreement. In such cases, the process delineated in Section I of this document shall be used.

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4. The calculation of seniority points is described in Article 38 of the CBA.

5. Article 38 deals with layoff including alternatives to layoff, computation of seniority points and reassignment.

6. If as a result of reorganization, a probationary faculty member is assigned to a new department or program, the approved probationary plan shall remain in effect.



3. A probationary faculty member may apply for a vacant probationary position in another department or school. In such cases, the probationary faculty member shall notify his/her dean and department chair. The recruiting department shall receive and process the application of an on-campus faculty member in the same manner as an off-campus applicant. Should a probationary faculty member accept an appointment as a result of a search process, he/she shall resign their current probationary position effective with the appointment date to the new position. He/she shall begin a new probationary period in the new position. He/she shall forfeit any seniority points accrued to date<sup>7</sup> and all rights and privileges in the previous department.

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7. Article 38 states that seniority points are accrued during the probationary period but are not given to the faculty member until the award of tenure. Under the circumstances described, the new position would be considered a new appointment rather than a reassignment.

Reference: CBA Article 38

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Approved by the Academic Senate  
 Approved by the President  
 Amended

November 1972  
 December 1972  
 December 1998

## **POLICY ON TEMPORARY FACULTY**

This policy is intended to provide a guide to the appointment, classification, and evaluation of temporary instructional faculty employees, librarians and counselors, excluding coaching faculty unit employees and grant-related instructional faculty employees, for whom there are separate policies.

### **I. GENERAL PROVISIONS**

1. "Temporary faculty employee" is any faculty unit employee who is serving in a temporary faculty appointment for a specified period of time, whether full-time or part-time.
2. A full-time temporary faculty employee is an appointment in one department and defined in the following ways:
  - 1) an academic year faculty member: 30 WTU in one academic year or a 1.0 (full-time) assignment for both Fall and Spring semesters;
  - 2) a 10 month temporary faculty member: A 1.0 assignment, an average of forty (40) hours in a seven (7) day period, for 10 months during a 12 month period;
  - 3) a 12 month temporary faculty member: A 1.0 assignment, an average of forty (40) hours in a seven (7) day period, for 12 months during a 12 month period.
3. A part-time temporary faculty employee is an individual who has received an appointment in one department for less than 1.0 assignment (i.e., fewer than 30 WTU's or equivalent for the academic year).
4. Temporary employment does not confer any rights to permanent employment to any person. The length of service of a temporary faculty member does not alter the temporary nature of the employment or confer additional rights upon a temporary faculty member. The length of service of a temporary faculty member does not confer any claim to seniority on the part of the temporary faculty member.

### **II. RESPONSIBILITIES**

1. Temporary faculty members are responsible for adherence to and implementation of university and system-wide policies.
2. Temporary instructional faculty members shall normally be assigned instructional duties, and may be assigned non-instructional duties.
3. At the time of initial appointment, a temporary instructional faculty member's primary professional responsibilities will be established. Normally, these responsibilities will consist of direct instruction, plus indirect activities in support of their teaching such as: preparation for class, evaluation of student performance, syllabus preparation and revision, maintaining office hours, and advising students. In addition, temporary faculty may be assigned additional professional responsibilities such as participation on campus committees, working collaboratively and productively with colleagues, and participation in traditional academic functions.
4. The assignment of other non-instructional temporary faculty (such as librarians and counselors) may include responsibilities as listed in Article 20 (Workload) of the Collective Bargaining Agreement (CBA).
5. Additional professional responsibilities of temporary faculty members may include supervision, research, scholarship and creative activity, which contribute to their currency, contributions made within the classroom, and to their professions.

### III. DEPARTMENT LIST OF EVALUATED TEMPORARY FACULTY

1. Departments shall maintain a list of qualified temporary faculty members who have been evaluated (CBA, Article 15.23-15.29) by the Department Chair and/or a Departmental Committee in compliance with department procedures. This temporary faculty list shall include current temporary faculty (temporary faculty in the order of assignment for the current year), and qualified applicants. The temporary faculty list shall also include the courses previously taught in the department when applicable. Note: Department may maintain the list electronically.
2. Additions and changes to the temporary faculty list and all appointments shall be based on careful consideration of the information in the Personnel Action File (PAF) or the pre-employment file for those without a PAF.
3. All recommendations for appointments shall be made from the temporary faculty list. List members are responsible for keeping their application, curriculum vitae, and/or PAF current.
4. PAFs for temporary faculty shall be maintained in the Dean's office. Individuals on the department temporary faculty list who have not held an appointment will not have a PAF. Departments will maintain the application materials until the individual is appointed, upon appointment all department materials will be forwarded to the PAF
5. Applications for temporary faculty positions are to be treated with the strictest confidentiality. All deliberations on the temporary faculty list shall be conducted in executive session and remain confidential as provided by law. Violations of this confidentiality by the Department Chair and/or Committee are considered to be unprofessional conduct and may be grounds for disciplinary action.<sup>1</sup>
6. Access to the temporary faculty list (and related materials) is limited to persons authorized access in the conduct of University business. Individual list members shall not have access to faculty personnel files. All access to PAF or pre-employment files shall be logged.

#### List Maintenance and Records Retention

7. Candidates on the temporary faculty list who have never received an appointment shall be removed from the list after three (3) academic years. Application materials shall be destroyed pursuant to the Records Retention Schedule.<sup>2</sup>
8. Temporary faculty members on the list who have not received an appointment during the previous three (3) academic years will be automatically removed from the list. To be added to the list the individual must apply as a new applicant. Files shall be destroyed pursuant to the Records Retention Schedule. If an application is accepted, courses taught more than three (3) academic years prior will not be considered.

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<sup>1</sup> See APM 114

<sup>2</sup> Refer to the Records Retention schedule maintained on the Vice President for Administration web site.

### New Applicants

9. New applicants apply to the list by submitting the following: 1) application, 2) current vita or resume, 3) transcripts (see #10 below), and 4) names and contact information of at least 3 professional references.
10. Departments must verify degrees and contact at least three (3) references prior to first appointment. It is acceptable to use a clearinghouse service or request official transcripts from the applicant for the degree verification
11. New applicants will be reviewed in accordance to departmental procedures and if qualified, will be added to the department temporary faculty list.
12. When a department needs to recruit candidates for the temporary faculty list, they may request approval to conduct a search. At a minimum, the department would post the approved vacancy announcement for fifteen days on appropriate bulletin boards, web sites, etc. Additional recruitment might include distribution of the vacancy announcement to local colleges and universities, relevant graduate programs, and local companies or agencies. In rare instances, a department may request a search for a temporary faculty position. In such instances, this search will need to be conducted in accordance with procedures found in APM 301, Policy and Procedures for the Appointment of Tenure Track Faculty Including the Award of Service Credit.

## IV. APPOINTMENTS

1. All appointments shall be based solely on knowledge, skills, and abilities of applicants for the position to be filled.
2. New temporary faculty<sup>3</sup> must complete all required forms.
3. After consultation with, and recommendation by the relevant dean, the recommendations regarding temporary appointments are forwarded to the Provost or his/her designee. The Provost or designee shall make all faculty appointments. No other person is authorized to appoint faculty, nor to modify or revise the provisions of any appointment or offer of appointment. No other person is authorized to make statements, either oral or written which may be construed to be commitments to employment by the university. No temporary faculty member shall be deemed appointed in the absence of an official written notification from the Provost or designee.
4. Temporary faculty appointments may be made for a semester; parts of a year, or for one (1) or more years. The length of the appointment shall be noted in the offer of employment.
5. The official offer to a temporary faculty member shall also indicate that the appointment automatically expires at the end of the period stated and does not establish a right to subsequent appointments or any further appointment rights. No other notice shall be provided.
6. Appointment of a temporary faculty member in consecutive academic years to a similar assignment in the same department<sup>4</sup> shall require the same or higher salary placement as in his/her previous employment.

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<sup>3</sup> New temporary faculty includes faculty returning after at least one academic year break in employment.

<sup>4</sup> For purposes of this policy, the Library and Counseling unit are considered "departments."

### **Three year temporary faculty appointments**

7. Pursuant to Articles 12.12 and 12.13 of the CBA, temporary faculty unit employees (excluding coaches) employed during the prior academic year and possessing six or more years of prior consecutive service on campus, shall be offered a three-year temporary appointment following an evaluation pursuant to provisions 15.20(d) and 15.28 of the CBA, where there is a determination by the appropriate administrator that a temporary faculty unit employee has performed the duties of his/her position in a satisfactory manner; and absent documented serious conduct problems.

#### **Colleges, Schools, Departments and other appropriate units must follow the process outlined in Form 306 in the determination of a satisfactory or unsatisfactory evaluation.**

8. If a temporary faculty unit employee is subject to a periodic evaluation pursuant to provisions 15.28 or 15.29 of the CBA, and the temporary faculty unit employee is on an authorized paid or unpaid leave during the period in which the evaluation is scheduled, the employee may request a postponement of the evaluation. If the request is granted, the temporary faculty unit employee's appointment shall automatically be extended through the academic term in which the rescheduled evaluation takes place. If the outcome of the evaluation is a determination by the appropriate administrator of satisfactory performance, the new three-year appointment shall be effective at the beginning of the academic year following the original expiration date of the prior appointment. (CBA, Article 15.30)
9. An initial three-year appointment shall be issued except in cases of documented unsatisfactory performance or serious conduct problems.

### **Full-time appointments**

10. Consistent with the CBA, full-time temporary faculty may be hired to a part-time temporary position in the following academic year.
11. Full-time temporary faculty members shall not be appointed on a conditional basis.<sup>5</sup>

### **Part-time appointments**

12. Following two (2) semesters of consecutive employment in the same academic year, a part-time temporary faculty member offered a subsequent appointment to a similar assignment in the same department or equivalent unit shall receive a one (1) year appointment with a similar WTU assignment. Notices of appointment may be printed to include the assignment for one semester at a time.
13. Part-time temporary faculty members may be appointed on a conditional basis. The conditions established at the time of appointment may relate to enrollment and budget considerations. If a class is canceled, the part-time faculty member shall be paid for class hours taught. Classes may be canceled any time prior to the third class meeting.

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<sup>5</sup> See section I.1 for definition of Full-Time

## V. QUALIFICATIONS & REMUNERATION

1. The minimum academic qualification for a temporary faculty appointment is a master's degree from an accredited graduate program.
2. In order to hire a person with less than a master's degree and/or to request other exceptions, the department must have the approval of the Provost. Persons whose experience or training is recognized by professional or occupational standards as affording expertise directly related to specific instructional areas may be appointed if it can be shown that such persons have the best qualifications among available candidates, and that the instructional areas are important to the university.
3. The initial appointment of temporary faculty should normally require formal education and experience that are comparable to a similarly qualified tenure track academic employee.
4. The classification for a temporary faculty member at the time of the initial appointments is as follows:

	TEMPORARY	COMPARABLE
HIGHEST	FACULTY	TENURE TRACK
DEGREE	CLASSIFICATION	CLASSIFICATION
Baccalaureate	Lecturer A	Assistant Prof./Sr. Asst. Librarian
Master's Degree	Lecturer A	Assistant Prof./Sr. Asst. Librarian
Terminal	Lecturer B	Assistant Prof./Sr. Asst. Librarian
Terminal	Lecturer C	Associate Prof./Assoc. Librarian
Terminal	Lecturer D	Professor/Librarian

Appointment to Lecturer C or Lecturer D is dependent upon meeting the qualifications for the comparable rank of permanent full-time faculty.

5. Appointment to a higher classification may be considered at the time a temporary faculty member is offered a new appointment.
6. A temporary faculty member may advance within a salary range by receiving Service Salary Increases (SSI) and/or other means defined in the CBA.
7. Eligible temporary faculty members may apply for range elevation to a higher classification pursuant to the campus Policy on Range Elevation for Temporary Faculty (APM 332).

## VI. SPECIAL CONSIDERATIONS REGARDING APPOINTMENTS

1. Appointment of individuals employed by school districts or other agencies which require contracts for reimbursement for service must be processed at least sixty (60) days prior to the commencement of service.
2. Appointment of a retired faculty member may adversely impact retirement, employment eligibility and/or Social Security benefits.<sup>6</sup>
3. Nominations for appointment to reimbursed positions (replacements for faculty released by grants, contracts, etc.) must be accompanied by appropriate documentation, including relevant contract numbers, teaching responsibilities of the person being replaced, etc.

## VII. EVALUATION

1. Temporary faculty must be evaluated in accordance with the periodic evaluation procedure<sup>7</sup>, campus policy<sup>8</sup>, and the departmental policy on teaching effectiveness. This evaluation shall include student ratings of courses and peer evaluations for those with teaching duties, peer review by a committee of the department or equivalent unit, and evaluations by appropriate administrators for all temporary faculty.
2. A temporary faculty member's teaching shall be assessed on a regular basis according to the schedule and procedures outlined in the Policy on the Assessment of Teaching Effectiveness (APM 322) and the departmental policy on teaching effectiveness. The results of these assessments shall be placed in the PAF of the faculty member.
3. Temporary faculty holding three-year appointments shall be evaluated at least once during the term of their appointment and may be evaluated more frequently upon the request of either the employee or the President.
  - a. After consultation with the departmental peer review committee and the department chair, the appropriate administrator shall prepare a written evaluation of a temporary faculty member's performance using Form 306 by the date provided on the Faculty Affairs calendar and place this evaluation in the faculty member's PAF. The temporary faculty member shall be provided a copy of the written evaluation.
  - b. If a temporary faculty unit employee is subject to a periodic evaluation pursuant to provisions 15.28 or 15.29 of the CBA, and the temporary faculty unit employee is on an authorized paid or unpaid leave during the period in which the evaluation is scheduled, the employee may request a postponement of the evaluation. If the request is granted, the temporary faculty unit employee's appointment shall automatically be extended through the academic term in which the rescheduled evaluation takes place. If the outcome of the evaluation is a determination by the appropriate administrator of satisfactory performance, the new three year appointment shall be effective at the beginning of the academic year following the original expiration date of the prior appointment. (CBA, Article 15.30)
  - c. All evaluations shall be placed in the PAF.
  - d. Upon request, a faculty member shall be provided the opportunity to meet with the appropriate administrator regarding material to be placed in the file to which the faculty member objects. The request to meet, if any, shall be made within five (5) days of the receipt of notification. If no meeting is requested, the material will be placed in the file. If a meeting is requested, it shall take place within ten (10) days of the request made by the faculty member. (CBA, Article 11.5)

<sup>6</sup> CalPERS members retiring on or after January 1, 2013 will not be eligible for employment for 180 days after official retirement date. Prior to nominating such individuals, Faculty Affairs should be consulted.

<sup>7</sup> See Article 15 of the CBA for "periodic evaluation" procedures.

<sup>8</sup> See APM 322 Policy on Assessment of Teaching Effectiveness.

### **VIII. PERSONNEL ACTION FILE (PAF)**

1. Each temporary faculty member shall have one (1) PAF for employment information and documentation that may be relevant to recommendations or actions regarding the faculty member.<sup>9</sup>
2. The PAF shall be maintained in the office of the dean.<sup>10</sup> All access to the PAF shall be logged.

### **IX. PRIVILEGES AND BENEFITS**

1. Full-time temporary faculty members are members of the Academic Assembly and have voting rights in the department pursuant to University policy.<sup>11</sup>
2. Temporary faculty members shall receive faculty privileges, including the right to purchase faculty parking decals and receive a faculty ID card, which provides the following advantages:
  - a. use of library facilities and faculty borrowing privileges
  - b. use of Instructional Media Services facilities and equipment
  - c. use of state car and/or travel expense allocations when approved
  - d. use of laboratory and research facilities when applicable and approved use of Student Union facilities
  - e. use of a university e-mail account.
3. Temporary faculty members in academic year classifications who have an appointment for at least six (6) weighted teaching units (i.e., 0.40 time base) for at least one semester are eligible for health benefits. (CBA, Article 32)
4. Temporary faculty members who hold a three-year appointment are eligible for the CSU Fee Waiver Program. (CBA, Article 26)
5. After five years of continuous full-time service, full-time temporary faculty members are “vested” in the CalPERS retirement system.

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<sup>9</sup>See APM 323 Policy on Personnel Files for additional information.

<sup>10</sup>See APM 323 Policy on Personnel Files for additional information.

<sup>11</sup>See APM 113 Policy on Academic Organization.



## VIII. DISTRIBUTION

A copy of this policy will be available to all faculty members on the Office of Faculty Affairs' web site under Academic Policies.

References and other related policies:

CBA	Articles: 10, 11, 12, 15, 20, 26, 31, 32
APM 113	<u>Policy on Academic Organization</u>
APM 301	<u>Policy and Procedures for the Appointment of Tenure Track Faculty including the Award of Service Credit</u>
APM 303	<u>Policy on Nepotism</u>
APM 304	<u>Policy on Terminal Degrees</u>
APM 322	<u>Policy on Teaching Effectiveness</u>
APM 323	<u>Policy on Faculty Personnel Files</u>
APM 332	<u>Policy on Range Elevation for Temporary Faculty</u>

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**Approved by Academic Senate**

May 1997

February 26, 2015

**Approved by President**

June 1997; April 2000; April 24, 2013

May 5, 2015

## **POLICY ON GRANT RELATED INSTRUCTIONAL FACULTY**

This policy is on the appointment, classification and evaluation of faculty employees who are placed in a grant related / specially-funded instructional faculty classification.

### **I. GENERAL PROVISIONS**

1. "Grant related / Specially-Funded instructional faculty employee" <sup>1</sup> is any individual who is serving in classification code 2387 or 2388.
2. Only an individual, who holds a full-time faculty appointment, either permanent or temporary, in an academic department or equivalent unit, may be appointed to classification code 2387 or 2388.
3. The purpose of these classifications is to permit a temporary classification change for individual faculty members whose extraordinary level of externally funded scholarship imposes extra requirements for leadership and accountability skills and efforts.
4. Employment in classification code 2387 or 2388 may only occur with the approval of the President or designee.
5. Each appointment to either of these classifications is to be made, as appropriate, for one academic year or a twelve (12) month period only, subject to renewal after faculty consultation and within the limits of the grant support.
6. No tenure accrual or salary rights are attached to either class. An individual retains tenure rights, if any, and salary normally accruing from a regular faculty appointment.
7. Appointment to either class does not constitute a promotion; nor does the non-renewal of an appointment to either class constitute a demotion.

### **II. RESPONSIBILITIES**

1. Normally, an individual appointed as a grant related / specially-funded instructional faculty member shall have the responsibility as Project Director and/or Principal Investigator for a grant.
2. In addition to the responsibilities as a grant related / specially-funded instructional faculty member, the individual shall also have normal governance service responsibilities expected of all other faculty in their regular appointment including but not limited to departmental service committees, and retention, tenure and promotion committees.

### **III. APPOINTMENTS**

1. The letter appointing a faculty member to a grant related specially-funded instructional faculty classification shall indicate that the appointment automatically expires at the end of the period stated and does not establish a right to subsequent appointments in this class. No other notice shall be provided.
2. Upon completion of one (1) year in a grant related / specially-funded instructional faculty appointment in the same department, faculty members are eligible to be considered for a Service Salary Increase pursuant to the provisions of Article 31 of the CBA. Such consideration requires the submission of a Faculty Activity Report.

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<sup>1</sup> Pursuant to an agreement between the CSU and the CFA, the CSU will not employ systemwide more than one hundred (100) faculty in these classifications at any one point in time.

#### **IV. QUALIFICATIONS**

A faculty member appointed to these classifications must be an individual of regional and national professional stature. The purpose of these classifications is to permit a temporary classification change for individual faculty members whose extraordinary level of externally funded scholarship imposes extra requirements for leadership and accountability skills and efforts.

#### **V. REMUNERATION**

1. Appointees to these classifications will receive compensation comprising the base salary pertaining to the rank and salary of their normal faculty appointment plus a 5% to 35% differential above such base salary. Minimally, the differential portion, including related employee benefits, of the total compensation paid to each appointee of these positions will be reimbursed from funds furnished to the campus for that purpose by the grant, from individual gifts and bequests, and by foundation allocation. The letter of appointment shall state the amount of the differential.
2. All grant related / specially-funded compensation must have prior approval of the President or designee. Any initial compensation plan or changes during the course of the grant must be approved.
3. Changes in compensation during the course of a grant related / specially-funded instructional appointment shall be limited to any GSI, SSI or FMI granted to the faculty member during this time.
4. When the appointment to a grant related / specially-funded instructional position is concluded, the individual shall revert back to the salary of his/her prior faculty position, if any, as determined by the amount of the differential stated in the letter of appointment.

#### **VI. EVALUATION**

1. All grant related / specially-funded instructional faculty members shall provide the department chair and the dean with an annual report of their activities for which they received the appointment. A copy of this report shall be placed in the faculty member's Open Personnel File.
2. Grant related / specially-funded instructional faculty members shall be evaluated according to the policies and procedures which pertain to their regular faculty rank.

#### **VII. OPEN PERSONNEL FILE**

1. Each faculty member shall have one (1) Open Personnel File for employment information and information that may be relevant to personnel recommendations or actions regarding the faculty member.
2. The Open Personnel File shall be maintained in the office of the dean.<sup>1</sup>

#### **VIII. PRIVILEGES AND BENEFITS**

Grant related / specially-funded instructional faculty shall have all the privileges and employment benefits accruing to their regular faculty appointment.

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<sup>1</sup> For additional information on personnel files, refer to the university Policy on Faculty Personnel Files.

**IX. DISTRIBUTION**

Academic Personnel Services shall provide a copy of this policy to all grant related / specially-funded instructional faculty members at the time of their initial appointment.

**References:** CSU Human Resources, HR 2004-17, February 16, 2004  
[http://www.calstate.edu/HRAadm/pdf/RO3?Grant\\_Rel\\_Specially\\_Funded\\_Inst\\_Fac.pdf](http://www.calstate.edu/HRAadm/pdf/RO3?Grant_Rel_Specially_Funded_Inst_Fac.pdf)

Policy on Faculty Personnel Files (APM)

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Recommended by the Academic Senate  
Approved by the President

April 2000  
5/00; **April 20, 2005**

## POLICY ON COACHES

This policy is intended to provide a guide to the appointment, classification and evaluation of coaches as temporary faculty employees.

### I. DEFINITIONS

- A. "Temporary faculty employee" is any individual who is serving in a temporary faculty appointment for a specified period of time, whether full-time or part-time.
- B. The terms "coaching faculty member" or "coach" as used in this policy refers to a faculty unit employee in the following classifications: 2373, 2374, 2375, 2376, 2377, 2378, 2379, 2380, 2381, 2382, 2383, 2384.
- C. Except for the composition of a search committee in Section III 5 below, this policy does not apply to head coaches in classification 2373, 2374, or 2375, who supervise two (2) or more full-time coaches in any of the classifications referenced in Item #2 above.<sup>1</sup>
- D. Temporary employment as a coach does not confer any rights to permanent employment to any person. The length of service of a temporary faculty member whether full-time or part-time, does not alter the temporary nature of the employment or confer additional rights upon a temporary faculty member. The length of service of a temporary faculty member, whether full-time or part-time, does not confer any claim to seniority on the part of the temporary faculty member.
- E. "Appropriate administrator" as used in this policy refers to the Director of Athletics or designee.
- F. All coaches appointed as temporary faculty employees shall hold their appointment as members of the Athletic Department. Assignments to other departments for instructional or other purposes shall not entitle the coaching employee to consideration for employment in the second department.
- G. Probationary or tenured faculty members who accept an assignment as a coach shall maintain all their rights as a full-time faculty member in their academic department.

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<sup>1</sup> This provision is derived from Article 1 of the CBA.

## II. RESPONSIBILITIES

- A. All coaches are responsible for adherence to and implementation of university and trustee policies, particularly those contained in the Academic Policy Manual, and the Collective Bargaining Agreement.
- B. Specific assignments of coaches shall be determined by the appropriate administrator, committed to writing, and placed in the coach's Personnel Action File. At the request of a coach, the appropriate administrator shall discuss assignment and future assignments with the coach.
- C. By virtue of the nature of coaching service, the assignments, location of assignments, and schedule of assignments may vary. Such assignments shall be made by the appropriate administrator. A coach shall be reimbursed for approved expenses incurred by assignments at off-campus locations.
- D. A coach may request a particular schedule within the confines of program requirements. All work schedules shall be subject to approval by the appropriate administrator.
- E. The assignments of a coach may include but shall not be limited to, coaching and related duties, service on appropriate system wide committees and task forces, public services, teaching responsibilities and student advising.
- F. Under administrative direction, the HEAD COACH is responsible for planning and directing the recruitment, conditioning, training and athletic performance of student athlete team members and for conducting the program in compliance with university, conference, NCAA, state, and federal legislation. The Head Coach shall assume full responsibility for the success of team performance, and for student athletes in meeting their academic performance and eligibility criteria. The Head Coach shall promote intercollegiate athletics as an integral part of the university.
- G. In addition, the Head Coach is responsible for:
  - 1. Reporting to the designated Athletics Administrator responsible for the management of his/her sport;
  - 2. Operating and managing of the overall sport program;
  - 3. Supervising and evaluating assistant coaches and sport staff, to include their compliance with NCAA, conference and university rules and policies;

4. Developing and implementing a plan to recruit student athletes and to maintain comprehensive recruiting logs to demonstrate and verify compliance with NCAA rules regarding recruiting;
5. Instructing athletes by developing sport specific skills and coaching strategies to enhance student athlete and team performance;
6. Developing and enforcing written team rules and expectations to supplement those of the Athletic Department for the conduct of all student athletes on and off the field, and on and off the campus;
7. Promoting student athlete education, and enforcing participation, behavioral conduct and appearance rules and requirements;
8. Supporting the conditioning and training of athletic team members in conjunction with the strength/weight coach, athletic trainers, and team physicians;
9. Planning and conducting practices within NCAA rules for hours, days and weeks;
10. Assisting in the monitoring and maintenance of academic progress and eligibility status of student athlete team members through graduation, in cooperation with Academic Support Services, and the Student Athlete Assistance Program;
11. Planning, monitoring and being accountable for the administration of the sport's budget, in conjunction with the sport supervisor and the Athletics Department's business processes;
12. Arranging a competitive competition schedule within parameter and established budget guidelines, and assisting in the coordination of team travel as needed;
13. Planning, monitoring and being accountable for the assignment of athletic scholarships to team members;
14. Cooperating with the Assistant Director of Athletics for Compliance Services to assure that the coaching staff, students, and teams are in compliance with NCAA, state and federal legislation, conference and university rules and regulations, policies and procedures;
15. Adhering to the university's Student-Athlete Recruitment Code;
16. Supporting and enforcing the university's Student Athlete Code of Conduct and the Student Athlete Assistance program and instructing student athletes on the provisions of the codes;
17. If applicable, oversee the selection, purchase, fitting and maintenance of team equipment;
18. Preparing data and reports as necessary in support of NCAA, conference and university requirements;
19. Conducting the sport program, at all times, within NCAA, conference and university rule compliance;
20. Supporting the Bulldog Foundation and community events through team and personal participation;

21. Assuring booster club compliance within university and NCAA and conference rules and regulations;
  22. Providing a liaison function between the booster club and the Athletics Department administration;
  23. Representing the Athletic Department and the university in a professional manner at all times; and
  24. Performing other duties as may be assigned by the Athletic Director or designee.
- H. Under administrative direction, the **ASSISTANT COACH** is responsible for assisting the Head Coach in planning and directing the recruitment, conditioning, training and athletic performance of student athlete team members and in conducting the program in compliance with university, conference, NCAA, state, and federal legislation. The Assistant Coach, with the Head Coach, shall assume responsibility for the success of team performance, and for student athletes in meeting their academic performance and eligibility criteria. The Assistant Coach shall promote intercollegiate athletics as an integral part of the university.
- I. In addition, the Assistant Coach is responsible for:
1. Assisting in planning and directing the education of student athletes in the techniques, skills, and theory of the sport;
  2. Supporting the conditioning and training of athletic team members in conjunction with the strength training coaches, athletic trainers, and team physicians;
  3. Assisting in monitoring and maintaining academic progress and eligibility status of student athlete team members, and cooperate with Academic Support Services;
  4. Supporting the Student Athlete Assistance Program;
  5. Assisting as requested in contest scheduling and the coordination of team travel
  6. Cooperating with the Assistant Director of Athletics for Compliance Services to assure that the coaching staff, students, and team are in compliance with NCAA, conference and university rules, regulations, policies and procedures;
  7. Assisting the Head Coach in the responsibility for student athlete education, enforcement of participation, behavioral conduct, and appearance rules and requirements;
  8. Preparing data and reports as necessary in support of NCAA, conference and university requirements;
  9. Conducting the sport program, at all times, within NCAA, conference and university rule compliance;
  10. Supporting the Bulldog Foundation and community events through team and personal participation;



11. Assuring booster club compliance with university and NCAA rules and regulation;
12. Representing the Athletics Department and the university in a professional manner at all times; and
13. Performing other duties as may be assigned by the Director of Athletic or designee.

### **III. NOMINATION PROCEDURES**

- A. Authorization to conduct a search for a full-time temporary employee must be obtained from the President or designee.<sup>2</sup>.
- B. Normally, each full-time coaching temporary faculty position shall be opened to a national search.
- C. All searches shall be conducted in a manner consistent with university policies related to hiring including those related to the confidentiality of the search process.
- D. The Director of Athletics or designee shall normally develop and approve vacancy announcements for coaching positions. Such announcements shall be subject to approval by the President or designee. Each vacancy announcement shall include criteria for the position, including minimum academic qualifications.
- E. Search committees for head coaches shall be appointed by the Director of Athletics. Minimally, such search committees shall include one (1) tenured faculty member appointed by the Director of Athletics.
- F. For the appointment of a Head Coach, the search committee shall forward its nominations directly to the Director of Athletics.
- G. Applications for Assistant Coach positions shall be reviewed by the appropriate Head Coach.
- H. The Director of Athletics shall review all nominations and, if approved, shall initiate a written offer of employment and the employment contract. The contract shall stipulate the assignments of the coach.

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<sup>2</sup> The Director of Athletics is the President's designee.

- I. Applications for coaching positions are to be treated with the strictest confidentiality. All deliberations on applications for coaches shall be conducted in executive session and remain confidential as provided by law. Violations of this confidentiality is to be considered to be unprofessional conduct and grounds for disciplinary action.

#### IV. **APPOINTMENTS**

- A. All appointments shall be based solely on merit for the position to be filled.
- B. The President or designee shall make all coaching faculty appointments. No other person is authorized to appoint coaches, nor to modify or revise the provisions of any appointment or offer of appointment. No other person is authorized to make statements, either oral or written, which may be construed to be commitments to employment by the university.
- C. Full-time coaching appointments may be made for a semester, parts of a year, or for one (1) or more years. The length of the appointment shall be noted in the offer of employment.
- D. The official offer to a coach shall also indicate that the appointment automatically expires at the end of the period stated and does not establish a right to subsequent appointments or any further appointment rights. No other notice shall be provided.
- E. Appointment of a coach in consecutive academic years to a similar assignment in the same department shall require the same or higher salary placement as in his/her previous employment.
- F. Full-time coaches may be appointed on a conditional basis and those conditions may include, but shall not be limited to, adherence to NCAA by-laws, and other NCAA regulations. Termination of a full-time coach's contract for lack of funds or lack of work must comply with the provisions of Article 38 (Layoff) of the Collective Bargaining Agreement.
- G. The Athletic Department shall maintain a list of full-time coaches who have been employed by and evaluated by the department. If a coach applies for a subsequent appointment, careful consideration shall be given to the contents of the employee's Personnel Action File (including student ratings, peer evaluations, if any, and evaluations by the direct supervisor); and his/her application shall receive careful consideration.

- H. Upon completion of the equivalent of a full-time annual contract in the Athletics Department, a coach shall receive a salary increase equivalent to the percentage of the negotiated Service Salary Increase, provided that they meet the requirements of Article 31, and only during years when the parties have agreed to provide Service Salary Increases pursuant to Article 31 of the Collective Bargaining Agreement.
- I. If a coach applies for a subsequent appointment and does not receive one, his/her right to file a grievance shall be limited to allegations of a failure of the department to give careful consideration to the contents of his/her Open Personnel File, and his/her employment application.

**V. QUALIFICATIONS AND REMUNERATION**

- A. For each coaching position, the Athletics Department shall maintain written criteria, which are appropriate to the sport/assignment.
- B. The minimum academic qualification for a coaching appointment shall be a baccalaureate degree from an accredited four-year institution. Exceptions to this policy must be approved by the President.
- C. Appropriate placement in a salary classification shall be determined at the time of initial appointment.
- D. Changes in the classification level shall be based primarily upon completion of additional academic work; or for additional documented professional preparation and/or experiences that are clearly valuable to the coaching assignment.

**VI. EVALUATION**

- A. All coaches shall be evaluated on a regular basis. These evaluations shall include evaluation by the direct supervisor; an opportunity for written peer input; and, for those coaches with teaching responsibilities, student ratings of instruction.
- B. Student ratings of instruction shall be conducted in the manner prescribed in APM 322, the Policy on the Assessment of Teaching Effectiveness.
- C. An annual written evaluation shall be prepared by the direct supervisor.

**VII. PERSONNEL ACTION FILE**

- A. Each coach shall have one (1) Personnel Action File for employment information and information that may be relevant to personnel recommendations or actions regarding a coach.
- B. The Personnel Action File shall be maintained in the Office of the Director of Athletics.
- C. The Personnel Action File of each coach shall be handled according to Article 11 of the Collective Bargaining Agreement and APM 323, the Policy on Faculty Personnel Files.
- D. Minimally, the Personnel Action File of a coach shall contain:
  - 1. A copy of the offer of employment and employment contract;
  - 2. A copy of the position announcement under which the coach was hired;
  - 3. A copy of the written assignment(s) of duties;
  - 4. A copy of the annual evaluation(s) by the direct supervisor;
  - 5. If instruction is part of the assignment, student ratings of instruction;
  - 6. If instruction is part of the assignment, peer evaluations of instruction;
  - 7. Peer input as provided in Section VI.1, if available.
- E. With the exception of staff performing clerical tasks, all instances of access to the Personnel Action File shall be logged and the log record shall be a permanent part of the file.
- F. The Personnel Action File is to be held in confidence and is accessible only to the affected coach and persons authorized in the conduct of official university business.

**VIII. PRIVILEGES AND BENEFITS**

- A. Full-time Unit 3 coaches are members of the Academic Assembly.
- B. Unit 3 Coaches shall receive faculty privileges including the right to purchase faculty parking decals and receive a faculty ID card, which provides the following advantages:
  - 1. Use of library facilities and faculty borrowing privileges
  - 2. Use of Instructional Media Services facilities and equipment
  - 3. Use of state car and/or travel expense allocations when approved

4. Use of laboratory and research facilities when applicable and approved
  5. Use of Student Union facilities
  6. The ability to purchase Associated Student Body card for access to campus events.
- C. Unit 3 Coaches academic year classifications who have a contract for at least a .40 time-base for a period of at least one semester and those in 10-month or 12-month classifications at .50 time-base for more than 6 months are eligible to receive health benefits from CalPERS in accordance with the provisions of Article 32 of the Collective Bargaining Agreement.
- D. Coaches in with at least six (6) years of full-time equivalent service are eligible for the CSU Fee Waiver Program subject to the provisions of Article 26 of the Collective Bargaining Agreement.

#### **IX. DISTRIBUTION**

A copy of this policy shall be provided to all coaches at the time of their initial appointment.

References: CBA Articles 11, 12, 20, and 31

#### **Recommended by The Academic Senate**

May 1997  
Amended October 16, 2000;  
December 2, 2008;  
Appendix A added January 23, 2007  
April 3, 2017

#### **Approved by the President**

June 1997  
  
January 23, 2007  
May 10, 2017

## **POLICY ON ADJUNCT FACULTY**

This policy is intended to provide a guide to the appointment, classification, and evaluation of Adjunct faculty.

### **I. DEFINITIONS AND RESPONSIBILITIES**

1. "Adjunct" is any individual who is serving as a "Volunteer Employee" (Classification Code 0050) for a specified period of time, whether full-time or part-time. Visiting Professors may be appointed to this position. Adjunct faculty are not members of the Unit 3 (Faculty) Bargaining Unit.
2. Appointment as an Adjunct does not confer any rights to permanent employment to any person. The length of service of an adjunct faculty member, whether full-time or part-time, does not alter the temporary nature of the appointment or confer additional rights upon him/her.
3. The responsibilities of an adjunct faculty member are to be determined by normal departmental procedures. These typically include one or more of the following duties:
  - a. classroom teaching or other professional responsibilities of faculty such as performing responsibilities in the Library, the Division of Student Affairs, or Athletics
  - b. participation in departmental seminars and related instructional and scholarly activities, including coordination or administration of special programs and supervision of special programs, and supervision of special student or faculty activities and projects
  - c. attendance at departmental meetings in an advisory capacity but not a member of the consultative body
  - d. Other mutually agreed upon activities such as furthering research and teaching programs of the department and/or school involved.
4. The responsibilities of an adjunct faculty member shall be described in the letter of appointment.
5. An adjunct faculty member is responsible for adherence to and implementation of university and trustee policy.

### **II. NOMINATION PROCEDURE**

1. All nominations for appointment to a position of Adjunct to teach or offer any academic service under the auspices of California State University, Fresno shall be made only after a complete review of the qualifications of the individual and upon the recommendation of the appropriate department or unit.
2. Each applicant for appointment as an adjunct faculty member shall submit an application package which consists of (a) a standard SC-1 form; (b) a current vita and (c) three (3) letters of reference. Each applicant is given an Applicant Flow Form which is to be returned directly to the Affirmative Action Officer.

3. Receipt of all applications for adjunct positions shall be acknowledged by the department.
4. Review of applications for adjunct positions shall follow normal department appointment policies.
5. Prospective adjunct faculty members shall be approved on the basis of their qualifications as university-level instructors. The department shall review the complete application package for each applicant. When a department determines the suitability of an applicant for an adjunct position, the department shall also determine the specific responsibilities the individual will be expected to perform.
6. If a department recommends an individual for an adjunct appointment a completed Part-Time Applicant Pool Form and nomination shall be sent to Academic Personnel Services via the office of the school dean. A completed SC-1 form must also be submitted.
7. School deans are responsible for securing and maintaining appropriate references. Deans shall maintain academic resumes (and transcripts where appropriate) to be forwarded upon request.
8. A person shall be nominated to teach only those courses authorized by the department committee and listed on the pool form.
9. Access to application materials is limited to persons authorized access in the conduct of University business. Individual applicants shall not have access to these files.
10. Applications for adjunct positions are to be treated with the strictest confidentiality. All deliberations on applications shall be conducted in executive session and remain confidential as provided by law. **Violation of this confidentiality is considered to be unprofessional conduct and is grounds for disciplinary action.**

### III. APPOINTMENT

1. All appointments shall be based solely on ability and fitness for the position to be filled.
2. The Provost or designee shall make all faculty appointments. No other person is authorized to appoint faculty, nor to modify or revise the provisions of any appointment or offer of appointment. No other person is authorized to make statements, either oral or written, which may be construed to be commitments to employment by the university.
3. Once final authorization is given, the dean shall issue a written offer of appointment and employment contract. The contract shall stipulate the assignments of the adjunct faculty member.
4. Appointments to the position of Adjunct may be full-time or part-time. Appointments to the position of Adjunct Professor may be made for a semester, parts of a year, or for one (1) or more years. The length of the appointment shall be noted in the offer of employment.

5. The official offer to an adjunct position shall also indicate that the appointment automatically expires at the end of the period stated and does not establish a right to subsequent appointments or any further appointment rights. No other notice shall be provided.

#### **IV. QUALIFICATIONS**

1. The minimum academic qualifications for an adjunct appointment is normally a master's degree from an accredited graduate program.
2. In order to appoint a person with less than a master's degree, the department must have the approval of the Provost. Persons whose experience or training is recognized by professional or occupational standards as affording expertise directly related to specific instructional areas may be appointed if it can be shown that such persons have the best qualifications among available candidates, and that the instructional areas are important to the university.
3. Appointment to an adjunct faculty position should normally be at a rank equivalent to that of a similarly qualified tenure track academic employee.

#### **V. EVALUATION**

1. Each adjunct faculty member who teaches a class shall be evaluated on a regular basis according to the schedule outlined in the Policy on the Assessment of Teaching Effectiveness for temporary faculty. The results of these evaluations shall be placed in the Open Personnel File of the faculty member.
2. Department chairs shall prepare a written assessment of the performance of an adjunct faculty member at the end of each academic year. This evaluation shall be placed in the Open Personnel File.

#### **VI. OPEN PERSONNEL FILE**

1. Each adjunct faculty member shall have one (1) Open Personnel File for employment information and information that may be relevant to personnel recommendations or actions regarding the faculty member.
2. The Open Personnel File shall be maintained in the office of the school dean.<sup>1</sup>

#### **VII. PRIVILEGES AND BENEFITS**

1. Adjunct Professors are covered under State Workers Compensation.
2. Adjunct faculty members shall receive faculty privileges including the right to purchase faculty parking decals and receive a faculty ID card, which provides the following advantages:
  - a. use of Library facilities and faculty borrowing privileges
  - b. use of Instructional Media Services facilities and equipment

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1. For additional information on personnel files, refer to the University Policy on Faculty Personnel Files.



- c. use of state cars and/or travel expense allocations when approved
- d. use of laboratory and research facilities when applicable and approved
- e. use of Student Union facilities
- f. the ability to purchase Associated Student Body card for access to campus events.

### **VIII. DISTRIBUTION**

A copy of this policy shall be provided to all adjunct faculty members at the time of their initial appointment.

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Approved by Academic Senate  
Approved by President

May 9 1997  
June 1997

## **POLICY ON TEACHING ASSOCIATES**

This policy is intended to provide a guide to appointment, classification, and evaluation of Teaching Associates.

### **I. DEFINITIONS AND RESPONSIBILITIES**

1. "Teaching Associate" (Classification 2353, 2354) is a graduate student who is appointed as a university employee in order to provide the student with an apprenticeship experience and financial support for graduate education. Teaching associates serve at the pleasure of the President. Teaching Associates are not members of the Unit 3 (Faculty) Bargaining Unit.
2. Appointment as a Teaching Associate does not confer any rights to permanent appointment to any person. The length of service of a Teaching Associate does not alter the temporary nature of the appointment or confer additional rights upon him/her.
3. Teaching Associates may serve a maximum of twenty (20) hours per week. Work Assignments are to be closely associated with their program of study or the academic department in which they are enrolled.
4. A Teaching Associate with less than twenty (20) hours per week may hold a concurrent appointment in another student classification provided that the maximum number of hours for both appointments does not exceed twenty (20) hours per week.
5. Teaching Associates enrolled in a master's degree may be the instructor of record for lower division courses including introductory laboratories, workshops, and activity classes which are a part of a lecture-laboratory or activity. Teaching Associates enrolled in a doctoral program may be the instructor of record for upper division courses.
6. The responsibilities of a Teaching Associate are to be determined by normal departmental procedures. Responsibilities, under the close supervision of a faculty member, typically include:
  - a. classroom and/or laboratory instruction
  - b. making assignments to students
  - c. preparing course materials
  - d. administering examinations
  - e. assessing student performance, including determining course grades
  - f. tutoring students
  - g. supervising small discussion groups
  - h. assisting students outside of class or laboratory hours
  - i. attending meetings scheduled by the faculty for purposes of briefing, coordination, and discussion of course content and materials
  - j. participating in distance learning activities
  - k. performing other assignments supportive of university instruction.
7. Normally, Teaching Associates are designated to teach courses at the lower division level. In the rare instances that a Teaching Associate range is considered for teaching an upper division class, the department must (a) provide strong written justification for this appointment and (b) secure approval from the dean of graduate studies, or designee, prior to the beginning of the semester.
8. Introductory classes where the Teaching Associate is the instructor of record, he/she is responsible for instructional content of the course, for planning examinations, and/or for determining the term grade for students under the supervision of a faculty member.

9. Teaching Associates are not to be assigned clerical or routine tasks appropriately performed by hourly student help.<sup>1</sup>
10. Each Teaching Associate shall be assigned a faculty supervisor who will be responsible for the completion of duties, supervision of time, and quality of work. It is the responsibility of the department to ensure that the assignment contributes significantly to the quality of the Teaching Associate's graduate educational experience.
11. With the appointment of Teaching Associates in laboratory or activity courses, the department assumes the responsibility for their close supervision, training and evaluation. The department must:
  - a. provide instruction to the Teaching Associates on laboratory safety, objectives of the assigned experiments, teaching materials and methods, and other responsibilities as appropriate
  - b. hold regularly scheduled meetings of all Teaching Associates in multiple-section courses to accomplish the objectives of the course and to coordinate the various class or laboratory sections.
  - c. Evaluate the Teaching Associate in compliance with section VII.
12. Departments are responsible to inform each Teaching Associate about university and trustee policies that relate to his/her assignment and to assist the Teaching Associate in the implementation of these policies.
13. The responsibilities of a Teaching Associate shall be described in the letter of appointment.

## II. NOMINATION PROCEDURE

1. All nominations for appointment to a position of Teaching Associate to teach or offer any academic service under the auspices of California State University, Fresno shall be made only after a complete review of the qualifications of the individual and upon the recommendation of the appropriate department or unit.
2. The opportunity to apply for a Teaching Associateship shall be made available to all graduate students and eligible applicants in the department and/or program. Each department shall publicize the opportunity to all graduate students and applicants in the program. Each applicant for appointment as a Teaching Associate shall complete an application for appointment as a Teaching Associate.
3. The department shall acknowledge receipt of all applications for Teaching Associateships.
4. Review of applications for Teaching Associateships shall follow normal department appointment policies. At a minimum, the departmental procedures shall include a review of applications by the program graduate committee or other appropriate committee in the department.
5. Prospective teaching associateships shall be approved on the basis of their qualifications and academic standing. The department shall review the application for each applicant. The department shall determine the specific responsibilities the individual will be expected to perform.
6. If a department recommends an individual for appointment as a Teaching Associate, a the completed application and a nomination form shall be sent to the school dean.
7. A person shall be nominated to perform only those duties authorized by the department committee.
8. Access to application materials is limited to persons authorized access in the conduct of university business. Individual applicants shall not have access to these files. It continues to be the case that a teaching associate should be required to meet his/her assignment without regard to the specific number of hours required, similar to faculty and other exempt employees. The salary rate is for the term of the assignment, not an hourly rate.
9. Applications for Teaching Associateships are to be treated with the strictest confidentiality. All deliberations on applications shall be conducted in executive session and remain confidential as provided by law. **Violation of this confidentiality is considered to be unprofessional conduct and is grounds for disciplinary action.**

### III. APPOINTMENT

1. All appointments shall be based solely on ability and fitness for the position to be filled. For specific qualifications, see Section IV below.
2. The Provost or designee shall make all Teaching Associate appointments. No other person is authorized to appoint Teaching Associates, nor to modify or revise the provisions of any appointment or offer of appointment. No other person is authorized to make statements, either oral or written, which may be construed to be commitments to future appointment by the university.
3. The initial appointment to the position of Teaching Associate may be made for a semester or an academic year. Subsequent appointments depend upon performance, progress toward the advanced degree, and budgets and/or enrollments. The length of the appointment shall be noted in the position offer.
4. All Approved appointments shall be checked by the hiring Department after the add/drop deadline to verify continued eligibility.
5. The Dean of Graduate Studies, or designee, is responsible for ensuring the eligibility and compliance of all applicants.
6. If a contract is canceled, the Teaching Associate must be paid for the hours taught or worked. Classes must be canceled prior to the third meeting.
7. The official offer to a Teaching Associate shall also indicate that the appointment automatically expires at the end of the period stated and does not establish a right to subsequent appointments or any further appointment rights. No other notice shall be provided.

### IV. QUALIFICATIONS FOR APPOINTMENT AND REAPPOINTMENT

1. Initial appointment to the position of Teaching Associate shall require:
  - a. possession of an approved baccalaureate degree
  - b. for graduate students with conditional classified standing in the discipline current enrollment in at least six (6) units of graduate study in the program is required.
  - c. for graduate students already matriculating in the program, a pattern of significant and satisfactory progress toward the completion of the graduate degree is required.
  - d. communication skills appropriate to the instructional setting
  - e. evidence of subject matter competence
  - f. other qualifications as necessary to perform assigned duties.
2. Credential students, unclassified students, and graduate students outside of California State University, Fresno are ineligible for a Teaching Associateship.

3. In addition to the qualifications listed above, reappointment to the position of Teaching Associate requires a pattern of significant progress in accomplishing graduate degree requirements. At a minimum, this means
  - a. that the applicant is earning a 3.0 grade point average or better during each semester of appointment
  - b. that the applicant is enrolled in at least six (6) units of coursework toward the graduate degree with the exception of thesis/project/comprehensive exam semesters. (Withdrawal from a course(s) after the fourth week does not constitute acceptable progress.)
  - c. that the applicant completes all prerequisite coursework in the first semester of appointment unless such prerequisites as listed by the department on the "Graduate Admission Request" cannot be completed in a single semester
  - d. that the applicant meets the requirements for and achieves both classified standing and advancement to candidacy in a timely manner (i.e. has achieved classified graduate standing, advancement to candidacy, and other degree requirements according to University policy announced in the General Catalog).
  - e. that the applicant receives satisfactory teaching evaluations as defined in section VII.

## **V. REMUNERATION**

1. Teaching Associates are compensated according to the campus schedule for Teaching Associate. Reappointment of a Teaching Associate shall be at the same or higher salary level as in the previous appointment.
2. Benefits for Teaching Associates are determined by the Unit 11 CBA.

## **VI. TUITION WAIVERS**

### **1. Background**

CSU Executive Order 611 (E0611) allows campus presidents or their designees to waive tuition for graduate students employed as TAs (Class Code 2353 and 2354). Funding for the waivers depends on discretionary allocations from the campus president.

### **2. Definitions**

TA – TA is a graduate student who is appointed as a university employee and typically teaches lower division courses, including laboratories, as the instructor of record.

Tuition waiver – E0611 restricts waivers to tuition only. University fees such as health and activities fees, non-resident fees, international student fees, parking, individual course fees, graduation and other processing fees are not included in the waiver.

### **3. Student Eligibility**

Funding for TA tuition waivers is dependent on the fiscal resources of the university, and are therefore not guaranteed. To be considered for a TA tuition waiver, students must

- a. be admitted to an approved graduate degree program at Fresno State,
- b. be hired as a TA within the department housing the graduate degree,
- c. complete a FAFSA by the published priority deadline, and
- d. be ineligible for a State University Grant (SUG).

4. To maintain eligibility for a TA tuition waiver, students must

- a. meet all qualifications described in IV.3
- b. teach at least 2 sections or 3 WTUs (.20 FTE) of coursework,
- c. have classified standing

5. Terms

Only TAs are eligible for tuition waivers. GAs (Graduate Assistants) or RAs (Research Assistants) are not eligible. TA tuition waivers are limited to 4 semesters at the university, excluding summer semesters. Tuition waivers for doctoral students will be no greater than the maximum amount provided to masters students in the department of their employment. Tuition waivers for doctoral students will also be limited to a maximum of 4 semesters, excluding summer semesters.

6. Distribution of Funds

Early each spring semester, the Provost, in consultation with the President, will announce the amount of funds available for TA tuition waivers for the next academic year. The funds will be distributed through the Division of Graduate Studies to colleges hosting TAs. The distribution will be based upon the number of the eligible TAs from the prior fall semester. While the university endeavors to fully fund all eligible TAs, if the allocation of funds is not sufficient, each dean, in consultation with the affected departments, will determine how to divide the available funds.

7. Procedures

- a. To receive a TA (TA) tuition waiver, students must file a FAFSA each year by the published priority deadline.
- b. Students who enroll in 6 units (equivalent to 4 weighted graduate-level units) or less will receive funding based on half-time enrollment and those who enroll in more than 6 units will receive support based on full-time enrollment.
- c. Departments will forward the names and student ID numbers of eligible TA tuition waiver recipients, and copies of their TA contracts for the next academic semester, to the Division of Graduate Studies office one week prior to the Early Registration fee payment deadline (approximately July 31st for the fall semester, and December 1st for the spring semester).
- d. Graduate Studies personnel will verify enrollment for those recommended, and will work with the Financial Aid office in identifying TA's who have been awarded a State University Grant (SUG). In order for a TA to be eligible for a tuition waiver, the student must not have received a SUG.
- e. Graduate Studies personnel will post the fee waivers to the student accounts. It is important for students and their departments to adhere to the deadlines established by Graduate Studies. If the fee waiver is not processed in a timely manner, Accounting Services will defer tuition until such time as the waiver is processed.

## VII. EVALUATION

1. Each Teaching Associate who teaches a class shall be evaluated on a regular basis according to the schedule outlined in the Policy on the Assessment of Teaching Effectiveness for temporary faculty. The results of these evaluations shall be placed in the academic file of the Teaching Associate.
2. The Policy on Assessment of Teaching Effectiveness includes both Student Ratings and Peer Evaluations. In the case of Teaching Associates, all Peer Evaluations will be completed by faculty.
3. Any additional performance evaluation methods, timelines, or criteria will be given to the TA within 14 days of appointment.
4. Draft evaluations shall be given five days prior to placement in the personnel file. The TA shall be provided the opportunity to meet with the Chair or appropriate administrator to discuss the draft. The request to meet shall be made within five days of receipt of the draft evaluation. The meeting with the Chair or appropriate administrator must take place within 10 days of the request. A final copy of the evaluation will be provided to the TA within five days after placing in the personnel file.

### Reference:

CSU classification and qualification standards: Teaching Associates

Link to: [http://www.cal\\_tate.edu/tier3/HR-Adm/pdf/E99/Teaching\\_Associate.pdf](http://www.cal_tate.edu/tier3/HR-Adm/pdf/E99/Teaching_Associate.pdf)

### **Recommended by Academic Senate**

May 1997

November 4, 2015

March 28, 2016

### **Approved by President**

June 1997

March 12, 2003

December 17, 2015

April 21, 2016

## POLICY ON GRADUATE ASSISTANTS

This policy is intended to provide a guide to the appointment, classification and evaluation of Graduate Assistants.

### I. DEFINITIONS AND RESPONSIBILITIES

1. "Graduate Assistant" (Classification 2355) is a graduate student who is appointed as a University employee to provide the student with an apprenticeship experience and with financial support for graduate education. Graduate Assistants serve at the pleasure of the president. Graduate Assistants are not members of the Unit 3 (Faculty) Bargaining Unit.
2. Appointment as a Graduate Assistant does not confer any rights to permanent appointment to any person. The length of service of a Graduate Assistant does not alter the temporary nature of the appointment or confer additional rights upon him/her.
3. Graduate Assistants may be appointed outside their own department or graduate program.
4. A full time assistantship is defined as a maximum of twenty (20) hours per week of service. Full-time Graduate Assistants may not be appointed concurrently in other CSU classifications. Part-time Graduate Assistants may be appointed to another student classification up to a combined total of twenty (20) hours per week.
5. Appointments to the Graduate Assistant classification may be allowed for any fraction up to full time (20) hours per week) as long as the fraction is exactly equivalent to a two (2) decimal FTE without rounding.
6. The responsibilities of a Graduate Assistant are to be determined by normal departmental procedures. Responsibilities, under the close supervision of a faculty member, typically include:
  - a. assisting the faculty member in the preparation of course materials and instructional aids
  - b. setting up laboratory experiments and equipment
  - c. providing research and library assistance
  - d. tutoring in small group or individual situations
  - e. supervising informal study areas or homework solving sessions
  - f. assisting in the evaluation of student examinations and assignments
  - g. assist in distance learning
  - h. maintaining office hours to provide direct contact to students and to clarify course material or course content for students
  - i. performing other duties directly related to the instructional program which require knowledge and skills beyond those generally possessed by undergraduate assistants
6. Graduate Assistants shall not be responsible for the instructional content of a course, for selection of student assignments, for planning of examinations, or for determining the term grade for students, nor are they assigned responsibility for instructing the



entire enrollment of a class, or for providing the entire instruction of a group of students enrolled in a class.

7. Graduate Assistants shall not be assigned as the instructor of record
8. Departments are responsible to inform each Graduate Assistant of university and trustee policies that relate to his/her assignment and to assist the Graduate Assistant in the implementation of these policies.
9. The responsibilities of a Graduate Assistant shall be described in the offer of appointment.
10. In the event a graduate assistant has an extended absence or does not complete the assigned work, then the salary may be docked.

## II. NOMINATION PROCEDURE

1. All nominations for appointment to a position of Graduate Assistant to perform any academic service under the auspices of California State University, Fresno shall be made only after a complete review of the qualifications of the individual and upon the recommendation of the appropriate department or unit.
2. The opportunity to apply for a graduate assistantship shall be made available to all graduate students in the department, including eligible applicants. Each department and/or program shall publicize the opportunity to all graduate students and applicants in the program. Each applicant for appointment as a Graduate Assistant shall complete and sign the form "Application for Graduate Assistant or Teaching Associate".<sup>1</sup>
3. Departments shall acknowledge receipt of all applications for graduate assistantships.
4. Review of applications for graduate assistantships shall follow normal department appointment policies. At a minimum, the departmental procedures shall include a review of applications by the program graduate committee or other appropriate committee in the department.
5. Prospective graduate assistants shall be approved on the basis of their qualifications and academic standing.
6. If a department recommends an individual for appointment as a Graduate Assistant, a completed "Application for Graduate Assistant and Teaching Associate" and a "Teaching Associate and Graduate Assistant" nomination form shall be sent to the Dean. After review by the dean, the nomination **shall be** reviewed by the Dean of the Division of Graduate Studies and Academic Personnel Services.
7. Access to application materials is limited to persons authorized access in the conduct of University business. Individual applicants shall not have access to these files.
8. Applications for graduate assistantships are to be treated with the strictest confidentiality. All deliberations on applications shall be conducted in executive session and remain confidential as provided by law. **Violation of this confidentiality is considered to be unprofessional conduct and is grounds for disciplinary action.**

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<sup>1</sup> Departments are encouraged to maintain a pool of qualified applicants to fill positions when emergencies arise.

### III. APPOINTMENT

1. All appointments shall be based solely on ability and fitness for the position to be filled. For specific qualifications, see Section IV below.
2. The Provost or designee shall make all Graduate Assistant appointments. No other person is authorized to appoint Graduate Assistants, nor to modify or revise the provisions of any appointment or offer of appointment. No other person is authorized to make statements, either oral or written which may be construed to be commitments to appointment by the university.
3. Appointments to the position of Graduate Assistant may be made on a month by month or a semester / term basis. the length of the appointment shall be noted in the offer of appointment. Any adjustments must be made in workload rather than in date of appointment. The only exception is when a graduate assistant must be replaced because of illness, resignation, etc.
4. Contracts of Graduate Assistants are conditional upon progress toward the advanced degree, budget and enrollment. Subsequent appointments are based upon prior performance as a Graduate Assistant and progress toward the advanced degree. The length of the appointment shall be noted in the position offer.
5. The official offer to a Graduate Assistant shall also indicate that the appointment automatically expires at the end of the period stated and does not establish a right to subsequent appointments or any further appointment rights. No other notice shall be provided.

### IV. QUALIFICATIONS AND REMUNERATION

1. Initial appointment to the position of Graduate Assistant requires:
  - a. possession of a baccalaureate degree from a regionally accredited university
  - b. For graduate students with conditional classified standing in the discipline, current enrollment of at least six (6) units in graduate study in a graduate program is required.<sup>2</sup>
  - c. For graduate students already matriculating in a graduate program, a pattern of significant and satisfactory progress toward the completion of the graduate degree is required.
  - d. communication skills appropriate to responsibilities of the graduate assistantship
  - e. evidence of subject matter competence
  - f. other qualifications as necessary to perform assigned duties.
2. Credential students, unclassified students, and graduate students outside the CSU, are ineligible for a graduate assistantship.
3. In addition to the qualifications listed above, reappointment to the position of Graduate Assistant requires a pattern of significant progress in accomplishing graduate degree requirements. At a minimum, this means
  - a. that the applicant is earning a 3.0 grade point average or better during each semester of appointment

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<sup>2</sup> Graduate Assistants must be enrolled or matriculating in the department where service is being rendered.

- b. that the applicant is enrolled in, and completes, two (2) courses or six (6) units of equivalent graduate level work toward the graduate degree including work toward the completion of the thesis / project each semester (withdrawal from a course(s) after the fourth week does not constitute acceptable progress)
  - c. that the applicant completes all prerequisite coursework in the first semester of appointment unless such prerequisites as listed by the department on the "Graduate Admission Request" cannot be completed in a single semester
  - d. that the applicant meets the requirements for and achieves both classified standing and advancement to candidacy in a timely manner (i.e. have achieved classified graduate standing, advancement to candidacy, and other degree requirements according to University policy announced in the General Catalog).
- 4. All approved appointments are rechecked by the Division of Graduate Studies after the add/drop deadline to verify continued eligibility.
  - 5. The Dean of the Division of Graduate Studies is responsible for verifying the eligibility and compliance of all applicants.
  - 6. Graduate Assistants are compensated according to the campus schedule for Graduate Assistant Stipends. Initial appointment to a graduate assistantship is normally at Level I of the schedule. Reappointment of a Graduate Assistant shall be at the same or higher salary level as in the previous appointment.<sup>3</sup>
  - 7. Since the Graduate Assistant classification is a student classification, graduate assistants are not provided benefits.<sup>4</sup>

## V. EVALUATION

- 1. Departments should prepare a written assessment of the performance of a Graduate Assistant at the end of each semester. This evaluation shall be placed in the academic file of the Graduate Assistant.
- 2. Departments should provide the Graduate Assistant who has completed his/her degree an opportunity to assess his/her experience in this apprenticeship. As part of that assessment, the department chair should conduct an exit interview for each Graduate Assistant. The information obtained from these assessments should be used to evaluate the overall apprenticeship program in the department.

## VI. PRIVILEGES AND BENEFITS

Graduate Assistants are covered under State Workers Compensation.

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<sup>3</sup> It continues to be the case that a graduate assistant should be required to meet his/her assignment without regard to the specific number of hours required similar to faculty and other exempt employees. The salary rate is for the term of the assignment, not an hourly rate.

<sup>4</sup> Graduate Assistants are eligible to purchase student health coverage through health and psychological services at group rates.

**VII. DISTRIBUTION**

The department shall provide a copy of this policy to all Graduate Assistants at the time of their initial appointment.

**Reference:** CSU Classification and Qualification Standards: Graduate Assistant

Link to: [http://www.calstate.edu/tier3/HR-Adm/pdf/E99/Graduate\\_Assistant.pdf](http://www.calstate.edu/tier3/HR-Adm/pdf/E99/Graduate_Assistant.pdf)

Technical Letter (HR 2001 – 20)

<http://www.calstate.edu/HRAdm/pdf2001/HR2001-20.pdf>

Recommended by Academic Senate	May 1997
Approved by President	June 1997
Amended	<b>March 12, 2003</b>

**THE CALIFORNIA STATE UNIVERSITY AND COLLEGES**

Office of the Chancellor  
400 Golden Shore  
Long Beach, California 90802  
(213) 590-5596

**Code: FSA 81-13  
Supplement No.1**

Date: July 28, 1981

To: Presidents

From: Robert E. Tyndall  
Acting Vice Chancellor  
Faculty and Staff Affairs

Subject: Use of Student Assistant Classes

This FSA is a revision of FSA 81-13 which it replaces. There have been numerous recent campus inquiries regarding the need for policy clarification concerning the use of the Student Assistant Classes (Class Codes 1870 and 0100). It is important that the limited nature and the restrictions upon the use of the Student Assistant classes be reaffirmed. It should be noted, however, that since appointments to Work Study Classes (Class Codes 1871 and 1872) are subject to Federal Work Study guidelines, the policy statements which follow do not apply to work study classes.

The Student Assistant classes (Class Codes 1870 and 0100) were designed for people who are primarily students and also work on campus part time. This is in contrast to persons who are full time employees and part time or sometime students. The Student Assistant's commitment to her/his studies is such that full time work is appropriate only when school is not in session.

1. The Student Assistant class is intended to provide a vehicle for students to work part time while they are in school, partially to enable them to gain valuable experience related to their educational goals and partially to assist them with financial support during the period when they are in school. It is not intended that the Student Assistant classes be used when a position would be better covered by one of the established classes. At present a number of staff positions are occupied by employees who are also part time students. It is expected that this practice will continue.

2. When school is not in session due to quarter/semester breaks and summer recess. Student Assistants may work up to a maximum of 40 hours per week but shall not be scheduled to work overtime. The Controller's Office will not issue payments to Student Assistants in excess of 168 hours for a 21-day pay period nor in excess of 178 hours for a 22-day pay period without approval of this office. Also note that Student Assistants do not earn credits for holiday pay.
3. When school is in session. Student Assistants may work up to, but normally not in excess of, 20 hours per week. Under emergency or other unusual situations, it is permissible for Student Assistants to work up to 30 hours in a week. If Student Assistants work in excess of 20 hours per week on some occasions, there should be a balancing assignment in other weeks so that the overall average will not greatly exceed 20 hours per week. Campuses are to monitor instances of excessive weekly workloads for Student Assistants to insure conformity to this FSA.

Questions regarding use of appropriate student and established classes should be directed to William Lahey or Wally Moore --ATSS 635-5606 or 5588 or (213) 590-5606 or 5588. Questions regarding payroll appointment processing should be directed to M.L. McCarty at ATSS 635-5584 or (213) 590-5584.

RET/cec

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Distribution: Vice Presidents Academic Affairs  
 Associate Vice Presidents/Deans. Faculty Affairs  
 Vice Presidents Administration  
 Business Managers  
 Personnel Officers  
 Affirmative Action Officers  
 Payroll Supervisors  
 Auxiliary Organizations  
 Chancellor's Office Staff

## **Policy and Procedures for Fingerprinting and Conducting Background Checks**

### **A. Introduction**

Beginning in 1974, the California State University system began requiring that campuses obtain the fingerprints of all new hires and conduct background checks through the Department of Justice. The policy was modified over the years to focus on those who fill certain designated positions, particularly those who work in child care, residence halls, health centers, those who handle cash, student records and financial data, or who work in budget, accounting and payroll offices, or who have access to master keys and pass keys, or those in positions usually requiring bonding.

Later, when campuses were delegated the authority to continue fingerprinting, California State University, Fresno did continue this practice. Thus, for many years the University has had a procedure in place to fingerprint all new employees to staff and management positions. Background checks have been done only on those in positions whose duties are consistent with those outlined above. Copies of past executive orders are in Appendix A.

As sensitivity to identify theft and security heightened in the ensuing years, so did interest in revisiting the system-wide policy. In March 2005, the Chancellor's Office distributed new instructions to campuses outlining the types of background checks that are to be performed and reconfirming the authority of each campus to conduct such checks.

### **B. Policy**

The need to protect the University learning and working environment must be balanced with the need to protect the privacy of the applicant or employee. Background checks may include checks of employment records, degrees and certifications, social security records, workers' compensation claims, criminal records, civil records, credit reports, motor vehicle records, and in some cases sex offender registries.

**(1) For Staff, Confidential and Management Employees:** Designated University employees appointed for more than ninety (90) days, and successful candidates for designated Sensitive Positions lasting more than ninety (90) days shall be fingerprinted; provided, however, an employee appointed for less than 90 days in a position responsible for the care, supervision, or discipline of minor children as determined in subsection B(2) shall be subject to a background check that shall include, at a minimum, fingerprinting and receipt of a criminal history statement, and the results of such check shall be reviewed and cleared prior to the employee undertaking these responsibilities. Candidates who are to be hired, and employees of the University who are appointed or transferred to Sensitive Positions<sup>1</sup> or who acquire new job duties that are within the scope of a Sensitive Position are required to undergo a background check.

A background check shall be conducted on successful candidates for all Sensitive Positions appointed for more than ninety (90) days, including volunteers and consultants performing duties considered comparable to those of Sensitive Positions. The background check will normally be completed prior to the effective date of appointment and, in any case, the appointment shall be contingent on successful completion of a background check. The new or promoted employee may work while the results of the background check are being obtained by the University.

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<sup>1</sup> Defined in Appendix C. The President may add or delete classifications at any time.

**(2) For Prospective and Incumbent Faculty, Staff, and Management Personnel:** Members of the faculty, staff, and management, new hires and volunteers shall be subject to background checks (including, as appropriate, criminal records, motor vehicle records, and sex offender registries) as a condition of gaining University clearance to perform any of the following:

- (1) Work in connection with any day-care program, camp or clinic offered to minor children and hosted by the University when the employee has responsibility for the care, supervision, or discipline of such minors (for the purpose of this provision, a “day-care program, camp or clinic refers to any such activity that involves minors and is run by the University or is a day-care program, camp or clinic not run by the University but the campus either conducts the background check of University employees producing a criminal history statement or is informed of the results of such background check of University employees);
- (2) Direct supervision of non-matriculated students who are minors, such as teaching at University High School, mentoring Science Fair students, etc.; and/or
- (3) Research on human subjects who are minors (not including matriculated students);.

Should questions arise regarding whether an activity, event, day-care program, camp or clinic involving minor children is subject to this policy, the following criteria shall be evaluated by the manager of the event or activity:

- (1) Amount & Nature of Supervision
  - (a) the degree to which University employees are responsible for the care, supervision, or discipline of minors or whether such responsibility will devolve upon the employee due to the absence of chaperones or other care-givers; and
  - (b) the ratio of adults (including both University employees and external chaperones) to children
- (2) Duration and Itinerary
  - (a) the length of the event or activity;
  - (b) whether the event or activity has a planned schedule or itinerary;
  - (c) the degree to which minor participants and employees be allowed discretion in their activities; and
  - (d) the degree to which participants will be either one-on-one with any adult or be allowed to move around the campus without direct supervision.

**Prior** to scheduling an activity, event, day-care program, camp or clinic involving minor children, the responsible manager must obtain a written determination from either the AVP for Human Resources or the AVP for Faculty Affairs, which specifies either: a) the event or activity is not subject to this policy; or b) the requirement that University personnel involved must undergo a background check based on the criteria above.



### **C. Procedures**

The purpose of these procedures is to establish protocols and guidelines for background checks which maintain the public trust and protect the students and employees of the University by ensuring a thorough hiring process. *These procedures do not apply in instances where the campus is conducting an investigation of a current employee for alleged wrongful conduct. The procedures may vary for sworn positions in public safety and for dispatchers, where additional rules apply.*

#### **1. Departments Affected**

All organizational units of the University are covered by this policy.

#### **2. References** (see Appendix A for b, c, e and f)

- a) Education Code Section 89535 (g) and (h) <sup>2</sup>
- b) FSA 82-31, Revision of Policy on Fingerprinting of Employees
- c) FSR 85-72 Fingerprinting Practices
- d) HR 2002-23 Selection of CSU Police Personnel and Police Officer Testing
- e) HR 2005-10 Background Checks
- f) HR 2008-25 Background Checks – Update: CSU Employees Working at Sports Camps and Clinics
- g) HR 2012-04 Background Checks Update: Criminal Records Checks for CSU Bargaining Unit Employees Working at Camps and Clinics in which Minor Children Participate

#### **3. Definitions**

- a) Candidate – an individual who files an employment application for a posted vacancy, has gone through a recruitment and selection process, and has been identified as the nominee for the vacancy. For the purposes of this policy, individuals identified as nominees for a Faculty vacancy (to be employed by the University in CSU Bargaining Unit 3) are only included in this definition if they are applying for Sensitive Positions.”
- b) Employee – an individual who is currently employed by the University.
- c) Faculty – an individual who is employed by the University in CSU Bargaining Unit 3.
- d) Volunteer - anyone who has been approved by a manager to work for the University without compensation and who has completed the Volunteer Application and Appointment Form.
- e) Volunteer - anyone who has been approved by a manager to work for the University without compensation and who has completed the Volunteer Application and Appointment Form.
- f) Consultant – anyone who is compensated by the University pursuant to the policy on hiring consultants.
- g) Release Form – a campus approved form (see Appendix B) indicating the type of background check(s) to be conducted. The form shall be signed and returned by the candidate, employee, volunteer or consultant prior to the initiation of the background check.

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<sup>2</sup> Education Code 89535 reads "Any Permanent Or Probationary Employee May Be Dismissed, Demoted, Or Suspended For The Following Causes: ... (G) Conviction Of A Felony Or Conviction Of Any Misdemeanor Involving Moral Turpitude (H) Fraud In Securing Appointment ...

- h) Sensitive Positions – Per HR 2005-10, HR 2008-25, and HR 2012-04 positions requiring a background check may involve, but are not limited to, those which have:
1. responsibility for the care, safety and security of adults or property ,
  2. responsibility for or the care, supervision, security, or discipline of minors as described in subsection B(2).
  3. direct access to, or control over, cash, checks, credit cards, and/or credit card account information,
  4. authority to commit financial resources of the University through contracts greater than \$5,000,
  5. control over campus business processes, either through functional roles or system security access,
  6. access to detailed personally identifiable information about students, faculty, staff or alumni, which might enable identity theft,
  7. access to controlled substances, or
  8. possession of building master or sub-master keys for building access, or regular access to such keys.

Examples of the above include all management (MPP), coaching, health center, child care center, and public safety positions. Positions in the sciences and on the farm that have access to dangerous or radioactive chemicals are included. Also included are all positions for which a background check is required by law, and candidates for any position who indicate or admit to a felony conviction or conviction of certain misdemeanors at the time of application. A complete list of affected positions is in Appendix C.

Criminal History Statement – the results of the background check completed by the California Department of Justice in Sacramento and the FBI National Crime Information Center after information has been digitized in local, state, and federal files that indicate all arrest and conviction records on a candidate. The Department of Justice may submit the Criminal History Statements to the Chief of Police, the Associate Vice President for Human Resources, or the Associate Vice President for Faculty Affairs, depending on the method of fingerprinting used. Information from traditional hardcopy fingerprinting is returned to the Chief of Police. Results from the Live Scan process are returned to the others listed. A background check producing a criminal history statement is required for all sensitive positions.

- i) Detailed Personally Identifiable Information which Might Enable Identity Theft – based on California Civil Code Section 1798.29, personal information means an individual's first name or first initial and last name in combination with any one or more of the following data elements, when either the name or the data elements are not encrypted:
1. social security number,
  2. driver's license number or California Identification Card number, or
  3. an account number, credit or debit card number, in combination with any required security code, access code, or password that would permit access to an individual's financial account.

Personal information does not include publicly available information that is lawfully made available to the general public from federal, state, or local government records.

#### **4. Responsibilities of Human Resources and Faculty Affairs**

a) Initiating the process

Human Resources and Faculty Affairs will provide the candidate, employee, volunteer or consultant with information and necessary forms to be completed for a background check. Any fingerprint form provided to the candidate, employee or volunteer, including a Livescan form, shall indicate that a criminal record check shall be submitted to the California Department of Justice and the FBI National Crime Information Center. All documents associated with the background check must be returned to the appropriate personnel office. If an external recruiting firm is used to assist with a recruitment, the firm may conduct its own background checks. In that case, written confirmation from the firm will suffice as proof that the appropriate background checks have been conducted in compliance with this policy.

b) Receiving results from fingerprints

If the background check is generated through the automated fingerprint process, Live Scan, then results will be electronically sent and accessed by one of the Live Scan Administrators, either the Associate Vice President for Human Resources or the Associate Vice President for Faculty Affairs. If the background check is generated through the manual fingerprint process, the Chief of Police will contact the Associate Vice President for Human Resources or Associate Vice President for Faculty Affairs if a Criminal History Statement is returned on a candidate or employee as part of the employment process.

c) Decisions about employment

The review of a criminal history report will be conducted by the Associate Vice President for Human Resources or the Associate Vice President for Faculty Affairs, in consultation with other administrators to determine whether a criminal conviction precludes employment or reassignment. If an individual has a criminal case pending, his or her suitability for continued employment may be reviewed upon disposition of the case.

The determination as to whether a criminal record or other background check results may preclude employment is based on a review of the job duties and the nature of the background check results. If the background findings are unrelated to the assigned job duties, they will normally not preclude employment. Alternatively, certain types of convictions will automatically preclude hiring or promoting individuals into Sensitive Positions. For example, individuals with convictions for theft, embezzlement, identify theft or fraud will not be hired into positions with fiduciary responsibilities. Each case will be reviewed on an individual basis taking into consideration the following criteria:

1. seriousness of the crime or misdemeanor,
2. relationship between the job duties and the conviction,
3. age of the candidate or employee at the time of the conviction,
4. applicant's conduct, performance and rehabilitation efforts since the conviction,
5. whether or not the conviction was revealed on the employment application, and
6. past determinations in similar circumstances.

The appropriate office will provide a summary of the results of the background check to the candidate or the employee.

If additional background reviews are necessary (as in the case of sworn personnel and dispatchers) all information requested of the candidate or employee will be sent by Human Resources to the appropriate vendor. The vendor will provide to the Vice President for Human Resources a report of all information collected, and a summary will be provided to the candidate or employee as required by applicable law.

#### **5. Responsibility of Employee**

Upon any conviction of a crime, other than a minor traffic violation<sup>3</sup> an employee in a Sensitive Position is required to report the conviction immediately to the Associate Vice President for Human Resources or the Associate Vice President for Faculty Affairs.

#### **6. Appeal process**

An appeal by the candidate or employee may be made to the appropriate vice president if the individual believes the information provided is inaccurate. The appeal will be referred to another vice president, not involved in the initial employment decision, whose decision shall be final.

### **D. Methods of conducting background checks**

Background checks may be conducted by several means.

#### **1. Live Scan**

The Live Scan process is an automated fingerprinting process in which fingerprints are electronically scanned and sent directly to the California Department of Justice, which uses them to conduct a California and FBI criminal history search. For prospective Faculty and incumbent Faculty subject to background check under Section B., and for staff and management appointments to Sensitive Positions other than sworn police officers, this electronic process will normally be used. Human Resources or Faculty Affairs are responsible for ensuring that the processing is completed in a timely manner.

- a) The individual will be given a Live Scan request form (BC118016 or BC118016A) to complete and bring to the campus Police Department within ten (10) days of hire.<sup>4</sup> This form serves as the Release Form. (see Appendix B)
- b) The individual will make an appointment with the campus Police Department to have fingerprints taken within 10 days of the effective date of hire.
- c) At the time of the appointment, the campus Police Department will take fingerprint impressions, process the Live Scan form, and electronically send the information to the Department of Justice.
- d) Results from the review by the Department of Justice can only be accessed electronically by the Live Scan Administrators, the Associate Vice President for Human Resources or the Associate Vice President for Faculty Affairs.

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<sup>3</sup> Traffic convictions must be reported if the individual is responsible for operating university vehicles. All DUI convictions must be reported by any individual in a position of risk.

<sup>4</sup> In the case of an individual hired or reassigned for a job that involves the care, supervision, security or discipline of minors, the Livescan request will be given to the employee, who will report to campus police, and the Associate Vice President for Human Resources or the Associate Vice President for Faculty Affairs shall review and clear the fingerprint results prior to the individual undertaking such job.

- e) The Associate Vice President for Human Resources or the Associate Vice President for Faculty Affairs, in consultation with other administrators, will review results from the Department of Justice and determine if additional consultation is necessary, or if a job offer may be rescinded.
- f) If a job offer is rescinded, the individual will be provided with a copy of the information received from the Department of Justice.
- g) If a job offer is rescinded, the individual may appeal the decision to the appropriate vice president.
- h) After a decision has been made, the information necessary to document the hiring decision is noted in the recruitment file and all other reports are destroyed.

## **2. Manual Fingerprint Process**

Taking fingerprints on a fingerprint card in order to conduct a criminal history search has been the long-standing practice of the University prior to the availability of new technology used in the Live Scan process described above. Although it is the intention of the University to use the electronic process, if it becomes necessary to use the hardcopy process, it is described below.

- a) The individual will be provided a Release Form to complete and return to Human Resources or Faculty Affairs within ten (10) days of hire.<sup>5</sup> (see Appendix B)
- b) The individual will make an appointment with the Police Department to have the fingerprint card completed.
- c) The completed fingerprint card will be returned by the Police Department to Human Resources or Faculty Affairs.
- d) The fingerprint card will be mailed to the Department of Justice for a fingerprint review.
- e) The Department of Justice will return results of the fingerprint scan to the Chief of Police who will provide them to the Associate Vice President for Human Resources or the Associate Vice President for Faculty Affairs.
- f) The Associate Vice President for Human Resources or the Associate Vice President for Faculty Affairs, in consultation with other administrators, will review the results from the Department of Justice and determine if additional consultation is necessary, or if it may be necessary to rescind a job offer.
- g) If a job offer is rescinded, the individual may appeal the decision to the appropriate vice president.
- h) If a job offer is rescinded, the individual will be provided with a copy of the information received from the Department of Justice.
- i) After a decision has been made, the information necessary to document the hiring decision is noted in the recruitment file and all other reports are destroyed.

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<sup>5</sup> The provisions of footnote 4 apply to the manual process.

### 3. Other types of background checks:

Degree Verification: The University is required to verify the college degree for the final candidate for any position requiring a college degree and for anyone who states on his or her application that a college degree has been completed. This includes current employees being appointed to a new position. The University or search firm may contact the granting institution directly, or may ask the candidate or employee to request a certified copy of the transcript documenting the awarding of the degree.

Reference Checks: References checks shall be made for all candidates for any position. Contact may be made by the hiring manager or members of the search committee pursuant to the applicable hiring policy.

Credit Check: Depending on the specific job duties a credit check may be required. If a credit check is requested, applicable federal and state statutes shall be followed. These include the Fair Credit Report Act (FCRA; 15 U.S.C. Section 1681), the California Information Practice Act (Civil Code Section 1798.17), and the Labor Code (Section 432.7). The positions designated for credit checks are listed in Appendix C and include only the most senior level positions.

Department of Motor Vehicles: If a candidate or employee of the University is required to drive on university business, the individual's driving record shall be obtained from the Department of Motor Vehicles and may be reviewed by the Risk Manager. In some situations, where the need to drive is immediate, the candidate or employee may be required to provide the driving record from the Department of Motor Vehicles to the Risk Manager at the point of hire or before.

If a specialized driver's license is required for a position, the candidate for the position must provide proof of the specialized license. In certain cases, including but not limited to employees whose primary responsibility is driving or employees who routinely transport groups of students, faculty or staff, a more thorough Department of Motor Vehicles check may be conducted.

Professional Licenses: If a professional license is required for a position, the candidate must provide official proof of the professional license. The documentation provided by the candidate may be independently verified by the University.

	Recommended By the Senate	Approved by the President
Interim Policy		August 25, 2006
Interim Policy		March 25, 2009
Policy	March 21, 2011	August 15, 2011
Interim Policy		August 9, 2012
Policy	December 2, 2013	December 2013

Appendix A  
Prior California State University System Executive Orders  
and Technical Letters

1. FSA 82-31, Revision of Policy on Fingerprinting of Employees
2. FSR 85-72 Fingerprinting Practices
3. HR 2005-10 Background Checks
4. HR 2008-25 Background Checks – Update: CSU Employees Working at Sports Camps and Clinics
5. HR 2012-04 Background Checks Update: Criminal Records Checks for CSU Bargaining Unit Employees Working at Camps and Clinics in which Minor Children Participate
- 6.

Appendix B  
Release Forms, Summaries of Rights, and  
Live Scan Request Form

- 1.) Applicant/Employee Disclosure Statement FCRA – ICRA
- 2.) California Investigative Consumer Reporting Agencies Act (ICRA) A Summary of Your Rights Under California Law
- 3.) Applicant/Employee Authorization FCRA - ICRA
- 4.) Request for Information from Applicant/Employee and California Information Practices Act Notice



**California State University, Fresno**  
**Applicant/Employee**  
**Disclosure Statement**  
FCRA - ICRA<sup>6</sup>

In connection with your application for employment or consideration for a different position at the University, a consumer report or an investigative consumer report may be obtained as part of a background check. The University has identified in Appendix C those positions that require background checks.

The consumer report, or investigative consumer report, will be used for employment purposes to evaluate an individual for: employment, promotion, reclassification, reassignment or retention as an employee. The University will obtain any such reports from [name, address and phone number of the specific consumer reporting agency to be used].

The background check may include information concerning your:

- employment history,
- education,
- qualifications,
- motor vehicle record,
- character, general reputation and personal characteristics as they relate you your job duties,
- social security verification,
- police and criminal records,
- civil records,
- workers' compensation claims,
- credit and indebtedness history (only for senior administrative positions).

This information may be obtained from public records, through personal interviews with your friends or associates with whom you are acquainted or who may have knowledge concerning the above items of information, in compliance with applicable law.

Attached to this Disclosure Statement are: 1) a summary of your rights under the federal Fair Credit Reporting Act (FCRA); and 2) a summary of the provisions of Civil Code Section 1786.22, a section of the California Investigative Consumer Reporting Agencies Act (ICRA) that sets for certain duties of investigative consumer reporting agencies to provide you with files and information.

You must acknowledge below receipt of this Disclosure Statement. You must also authorize in writing the procurement of the consumer report or investigative consumer report before such a report may be obtained. A separate authorization form is attached.

**I hereby acknowledge that I have received the Applicant/Employee Disclosure Statement, FCRA – ICRA.**

Print name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

<sup>6</sup> FCRA: Fair Credit Reporting Act – Applies only when an employment background check is prepared by an outside screening company.

ICRA: California Investigative Reporting Agencies Act – Applies when a third party conducts the background check.

## **California Investigative Consumer Reporting Agencies Act (ICRA)**

### **A Summary of Your Rights Under California Law**

Under California law, upon presentation of proper identification<sup>7</sup> you are entitled to find out from an investigative consumer reporting agency (CRA) what is in your file as follows:

1. In person, by visual inspection of your file during normal business hours and on reasonable notice. You may be accompanied by *one* other person of your choosing, who must furnish reasonable identification. The CRA may require you to furnish a written statement granting permission to the CRA to discuss your file in such person's presence.
2. By obtaining a summary of it via telephone call, if you have made a written request, with proper identification, for telephone disclosure and the toll charge, if any, for the telephone call is prepaid by you or charged directly to you.
3. By requesting in writing, with proper identification, that a copy of it be sent to a specified addressee by certified mail. The CRA complying with such requests for certified mailings shall not be liable for disclosures to third parties caused by mishandling of mail after such mailings leave the investigative CRA.

The CRA may not charge you more than the actual copying costs for providing you with a copy of your file. The CRA will provide trained personnel to explain any information furnished to you. The CRA will provide a written explanation of any coded information contained in files maintained on you. If you choose to visually inspect the file under option 1 above, this written explanation will be provided whenever the file is provided to you.

Please note that the CRA used by Fresno State is:

[name, etc]

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<sup>7</sup> The term "proper identification" as used above shall mean that information generally deemed sufficient to identify a person. Such information includes documents such as a valid driver's license, social security number, military identification card, and credit cards. Only if the consumer is unable to reasonably identify himself/herself with the information described herein, may an investigative CRA require additional information concerning your employment and personal or family history in order to verify your identity.

California State University, Fresno  
**Applicant/Employee Authorization**  
FCRA - ICRA<sup>8</sup>

I, \_\_\_\_\_[print name], hereby authorize California State University, Fresno to obtain a consumer report or an investigative consumer report about me from [agency name, etc.] in connection with the University's assessment and consideration of my application for employment or any of the other purposes described in the Disclosure Statement provided to me by the University. I acknowledge that I have received the Disclosure Statement and have read it and the attachments thoroughly.

I hereby authorize and request, without any reservation, any present or former employer, school, police department, financial institution, division of motor vehicle, consumer reporting agencies, or other persons or agencies having knowledge of me to furnish the University and/or [name of agency] with any and all background information in their possession regarding me which may be obtained pursuant to law, in order that my employment qualification may be evaluated.

I also agree that a fax or photocopy of this authorization with my signature is to be accepted with the same authority as the original.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

- ☐ *If you would like to receive a copy of the investigative consumer report, if one is obtained, please check this box and you will be provided a copy within 3 business days of the date it is received by the University.*

**Return signed form to the office of Human Resources (staff and managers), or Faculty Affairs**

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<sup>8</sup> FCRA: federal Fair Credit Reporting Act – Applies only when an employment background check is prepared by an outside screening company.

ICRA: California Investigative Consumer Reporting Agencies Act– Applies when a third party conducts the background check.

**California State University, Fresno**  
**Request for Information from Applicant/Employee and**  
**California Information Practices Act Notice**

Print name: \_\_\_\_\_  
*Last First Middle*

Birth date: \_\_\_\_\_ (mm/dd/yy) Social security #: \_\_\_\_\_

Driver's license #: \_\_\_\_\_ State (if other than California): \_\_\_\_\_

Business phone #: \_\_\_\_\_ Home phone #: \_\_\_\_\_

Email: \_\_\_\_\_

Current mailing address: \_\_\_\_\_  
\_\_\_\_\_

Current home address (if different than above): \_\_\_\_\_  
\_\_\_\_\_

Other names you have used: \_\_\_\_\_

Have you ever been convicted of a crime? ☐ No ☐ Yes – complete information below

Crime	Date	City/County/State
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Crime	Date	City/County/State
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Attach additional page if needed.

**Information Practices Act Notice (Civil Code Section 1798.17)**

This information is being requested by California State University, Fresno (the University). The University is authorized to maintain this information pursuant to Education Code Section 89500, 89535, and CSU systemwide policy per HR 2005-10. Submission of the information requested on this form is mandatory. Failure to provide the requested information will mean that you will be ineligible for the position you are seeking. The principal purpose for which this information is to be used is to assist the University in evaluating your eligibility, qualifications, and suitability for the position you are seeking. You have a right of access to records containing personal information maintained by the University. The name, business address and telephone number of the person at the University who is responsible for maintaining the requested information and will be able to inform you of the location of this information is:

*For staff and management positions:*

Ms. Janice A. Parten  
Associate Vice President for Human Resources  
5150 N. Maple Avenue M/S JA 41  
Fresno, Calif. 93740-8026  
559-278-2364

*For faculty positions:*

Dr. Michael Caldwell  
Assoc. Vice President for Faculty Affairs  
5200 N. Barton M/S ML 55  
Fresno, Calif. 93740-8027  
559-278-3027

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Return to Human Resources or Faculty Affairs**

APM 315-14  
December 2013

Appendix C  
List of Sensitive Positions

## **POLICY ON THE COMPOSITION OF SEARCH COMMITTEES FOR DESIGNATED ADMINISTRATIVE POSITIONS**

### **I. POLICY STATEMENT**

This policy provides guidelines on the composition of search committees for certain Designated Administrative Positions. These Designated Administrative Positions have been identified based on the positions' broad-based working relationships with faculty, students and staff, and the search committees should be representative of the various constituencies which have an interest in the outcome of the selection.

### **II. DEFINITIONS**

- A.** Designated Administrative Positions: Provost and Vice President for Academic Affairs, Vice Presidents (or equivalent), Executive or Deputy Directors, Associate Vice Presidents (or equivalent), and Deans (see Appendix A).
- B.** EEO Designee: The role of the EEO designee is to provide an ongoing review of the search process to promote equal employment opportunity, and adherence to sound personnel practices.
- C.** Interim Appointment: Interim appointments are made to fill a vacancy between the appointments of regular incumbents.

### **III. SCOPE**

This policy applies to the composition of Designated Administrative Position search committees for all positions listed in Appendix A, except as noted in Section IV.

### **IV. EXCEPTIONS**

- A.** Administrative positions not identified on Appendix A.
- B.** Administrative positions reporting to a Dean, such as Associate or Assistant college/school Deans, shall adhere to appropriate Faculty Affairs procedures and/or formally approved college/school Articles of Governance.
- C.** Administrative appointments not specified elsewhere in this policy will follow appropriate Human Resources and/or Faculty Affairs policies and procedures.
- D.** Administrative (MPP) coaching positions.
- E.** Center and Institute Directors reporting to the Provost (excluding the Center for Faculty Excellence).

### **V. PROCEDURES**

#### **A. APPOINTMENT AUTHORITY**

- 1. The President or designee is the appointing administrator for all administrative appointments.
- 2. The Hiring Manager is the administrator to whom the position will report.

#### **B. CRITERIA FOR APPOINTMENT**

- 1. A major responsibility of the university is to select and retain the most qualified administrators available to maintain the academic quality and integrity of the institution.

### **C. RESPONSIBILITIES OF THE SEARCH COMMITTEE**

1. The primary initiative for recruitment lies with the appointing administrator. The appointing administrator or designee shall convene the first session of the search committee, outline the characteristics and responsibilities of the position, identify the required and preferred qualifications of candidates, and establish a deadline for the search committee to forward recommendations. A close and ongoing consultative relationship between the search committee and the appropriate administrator shall be maintained.
2. A search committee shall be composed as described in Section VI of this policy.
3. The search committee chair shall be elected from the committee's membership except in cases where the hiring manager is a member of the search , in which case, the hiring manager is entitled to serve as chair unless they choose otherwise;
4. No member of a search committee may apply for or accept a nomination for the position under consideration without first resigning from the committee.
5. The chair of the search committee is responsible for
  - a. Ensuring that each member of the search committee has been advised of law, CSU policy, and university policy which bear upon the search and nomination process,
  - b. Ensuring that all policies and procedures regarding the search are adhered to by the members of the committee,
  - c. Ensuring that the search is conducted in full compliance with law and CSU policy,
  - d. Acting as a liaison between the search committee and the appointing administrator or designee,
  - e. Obtaining prior authorization from the appointing administrator before inviting candidates for on campus visits,
  - f. Arranging interviews and campus visits as appropriate,
  - g. Ensuring that campus visitations are handled properly and in a timely manner,
  - h. Developing a recruitment plan to be assessed by the campus EEO officer.
6. Each member of the search committee is responsible for compliance with law and all policies including, specifically, the requirement to maintain strict confidentiality.
7. The committee shall be governed by majority votes of the membership. However, it is preferable that the final recommendations should be the result of substantial, if not unanimous, agreement among the committee members.
8. A search committee normally serves until the completion of its charge. However, the appropriate administrator, after consultation with the search committee and the Executive Committee of the Academic Senate, may discharge the search committee at any time. When a search committee is discharged, the party who takes that action shall provide the reasons for that action in writing to the search committee, the Executive Committee of the Academic Senate and the administration.

### **D. ROLE OF THE EEO DESIGNEE**

1. The focus of the EEO designee is to provide an ongoing review of the search process to promote equal employment opportunity, and adherence to sound personnel practices.
2. The responsibilities of an EEO designee are:
  - a. To participate in the recruitment process from its initial stages to completion while keeping the campus EEO officer informed as appropriate.
  - b. To ensure that the recruitment efforts attract a diverse pool of qualified candidates.

- c. To assess the extent to which recruitment efforts have been successful in attracting a pool of qualified candidates.
- d. To monitor the search process at the search committee level to assure that all candidates are given fair consideration based on the criteria stated in the official vacancy announcement.
- e. To render a decision as to the need to address any problems related to the conduct of the search with the campus EEO officer and/or the director of human resources.

#### **E. VACANCY ANNOUNCEMENT**

- 1. Prior to posting the vacancy announcement, the hiring manager, will consult with the search committee to develop the vacancy announcement. The campus EEO officer must also approve the vacancy announcement.
- 2. Once a vacancy announcement has been posted, the criteria stated in the vacancy announcement cannot be altered. Should the hiring manager, after consultation with the search committee, wish to alter these criteria, the hiring manager will consult with University Human Resources for appropriate procedures.

#### **F. APPLICANT POOL**

- 1. The California State University, Fresno is committed to maintaining and implementing employment policies and procedures in compliance with applicable state and federal equal employment opportunity laws and regulations. Executive Order 883 prohibits discrimination and Executive Order 927 prohibits harassment, on the basis of a protected status: race, color, religion, national origin, ancestry, age, sex (including gender identity, per HR 2004-12), sexual orientation, marital status, pregnancy, mental disability, physical disability, medical condition and covered veteran status. Retaliation against individuals for complaining about these proscribed conduct, opposing such conduct, or participating in an investigation or proceeding involving such conduct is prohibited by both executive orders.
- 2. Further, the California State University, Fresno's statement of commitment to equal employment opportunity principles is also found in the various collective bargaining agreements.

#### **G. PRELIMINARY REVIEW OF THE APPLICATIONS**

University Human Resources will provide initial screening of applications in comparison to the vacancy announcement, and provide to the search committee a list of applicants that meet all minimum qualifications. All search committee members shall review all of the application materials for all qualified candidates. In searches that may utilize a third-party search firm, the search firm will provide to the search committee a list of qualified applicants. Search Committee members have the option of reviewing all applications.

If an external candidate is likely to ask for or receive retreat rights (with or without tenure) in a department, a meeting with the tenured faculty of the appropriate department with the candidate shall be scheduled during the campus visit. After meeting with the external candidate, the department shall provide written documentation of their recommendation to the hiring manager and the search committee.

#### **H. COMMITTEE RECOMMENDATION PROCESS**

- 1. The search committee shall make its recommendations to the appropriate administrator.
- 2. The appropriate administrator may consult with the search committee prior to making the final appointment.



3. The appropriate administrator shall review the recommendation(s) for merit and for procedural regularity and shall ensure that the hiring procedures were reviewed by the EEO coordinator or designee.
4. For academic administrative appointments that also include faculty appointments, the President or Provost shall consult with the dean of the college/school and chair of the department in which the faculty appointment may occur. Normally, such consultation will occur after the search committee makes its recommendations. University policies on faculty appointments including the Policy on Retention and Tenure and the Policy on Terminal Degrees shall be followed.
5. If no qualified and acceptable candidate is identified, the search may be canceled or extended by the appropriate administrator.

#### **I. OFFERS OF EMPLOYMENT**

1. Only the President or designee is authorized to make an offer of employment through written notification.

### **VI. COMPOSITION OF SEARCH COMMITTEES**

#### **A. THE BELOW CRITERIA APPLY TO SEARCH COMMITTEES FOR ALL DESIGNATED ADMINISTRATIVE POSITIONS COVERED BY THIS POLICY.**

1. All faculty members serving on administrative search committees for Designated Administrative Positions shall be full-time tenured faculty. Faculty participants in the Faculty Early Retirement Program shall not be eligible for service.
2. The hiring manager may select an off-campus (community) representative, with interests appropriate to the position, to serve on the search committee as one of their appointees.
3. Faculty designated by the Academic Senate to serve on search committees shall be selected by the Executive Committee of the Academic Senate and chosen from names solicited by a call for service from the Academic Assembly.
4. Faculty designated by a college/school to serve on search committees shall be elected by the full-time tenured faculty of the college/school.
5. Should an academic college/school fail to select its representatives within thirty (30) calendar days after the call for representatives, the Executive Committee of the Academic Senate shall make the appointments to the committee.
6. MPP members designated by the hiring manager to serve on search committees shall be full-time employees.
7. Staff members who serve on search committees shall be full-time permanent employees (employees represented by collective bargaining units other than Unit 3 – Faculty) with a preference given to employees who work within the Divisional area of the Designated Administrative Position. A request to serve on the search committee will be sent to all eligible bargaining unit employees within the applicable Divisional area (or college/school). The eligible bargaining unit employee will be randomly selected from those who expressed an interest in serving on the search committee.

8. Students serving on search committees shall be full-time students in good standing, selected by Associated Students, Inc. In cases where the composition of the search committee calls for participation of a student with graduate status, the full-time requirement is waived.
9. Each search committee shall include, as a non-voting member, the EEO designee.
10. Each search committee composition defined below represents the minimum representation for Designated Administrative Positions. Additional appointments to search committees may be made with prior consultation with the Executive Committee of the Academic Senate.

B. PRESIDENT

The composition of the search committee for the position of President is governed by the regulations of the CSU Board of Trustees.

C. POSITIONS REPORTING TO THE PRESIDENT (selections will be made in accordance with Section VI.A above)

1. Provost and Vice President for Academic Affairs

- a. Up to four (4) persons selected by the President;
- b. A Dean nominated by the Council of Deans;
- c. The chair of the Academic Senate or designee;
- d. Four (4) full-time tenured faculty members holding the rank of Professor, including a Department Chair, excluding participants in the Faculty Early Retirement Program, selected by the Executive Committee of the Academic Senate;
- e. When possible, each college/school should have a representative on the search committee for Provost.
- f. One (1) full-time permanent staff member selected in accordance with Section VI.A.7. above; and
- g. One (1) full-time student selected by Associated Students, Inc.

2. Other Vice Presidents, Chief Information Officer, Chief Financial Officer

- a. Up to five (5) persons selected by the President, including a Dean nominated by the Council of Deans;
- b. Two (2) full-time tenured faculty members, excluding participants in the Faculty Early Retirement Program, selected by the Executive Committee of the Academic Senate;
- c. Two (2) full-time MPPs who report to the respective Vice President/CIO/CFO, selected by the President.
- d. One (1) full-time permanent staff member selected in accordance with Section VI.A.7. above; and
- e. One (1) full-time student selected by Associated Students, Inc.

3. Director of Athletics

- a. Up to four (4) persons selected by the President, who may include the Deputy Title IX Coordinator for Athletics and members of auxiliaries such as the Athletic Corporation and/or the Bulldog Foundation;
- b. Two (2) full-time coaches (one head coach representing men's sports and one head coach representing women's sports) shall be selected by the President. <sup>(1)</sup>

- c. Two (2) full-time tenured faculty members, selected by the Executive Committee of the Academic Senate;
  - d. One (1) full-time student selected by Associated Students, Inc.
- 4. Other Directors, Assistants and Officers reporting Directly to the President
  - a. Up to four (4) persons selected by the President;
  - b. One (1) person selected by the Provost;
  - c. Two (2) full-time tenured faculty members selected by the Executive Committee of the Academic Senate; and
  - d. One (1) permanent staff member selected by the President.
- D. POSITIONS REPORTING TO THE PROVOST AND VICE PRESIDENT FOR ACADEMIC AFFAIRS (selections will be made in accordance with Section VI.A. above)
  - 1. College/School Dean
    - a. Up to four (4) persons selected by the Provost, at least one of whom shall be a Department Chair from within the college/school;
    - b. Three (3) full-time tenured faculty members of the college/school holding the rank of Professor, excluding participants in the Faculty Early Retirement Program, selected by the full-time faculty of the college/school in a manner determined by them;
    - c. One (1) full-time permanent staff member selected in accordance with Section VI.A.7. above; and
    - d. One (1) full-time student who is a declared major in the college/school selected by Associated Students, Inc.
  - 2. Dean of Library Services
    - a. Up to four (4) persons selected by the Provost;
    - b. Three (3) full-time tenured library faculty members holding the rank of Librarian, excluding participants in the Faculty Early Retirement Program, selected by the full-time Library faculty in a manner determined by them;
    - c. One (1) full-time permanent staff member randomly selected in accordance with Section VI.A.7. above; and from staff in the library.
    - d. One (1) full-time student selected by Associated Students, Inc.
  - 3. Dean of Research and Graduate Studies; Dean of Undergraduate Studies; Dean of Continuing and Global Education; Dean of Fresno State Visalia Campus.
    - a. Up to four (4) persons selected by the Provost;
    - b. Three (3) full-time tenured faculty members, excluding participants in the Faculty Early Retirement Program, selected by the Executive Committee of the Academic Senate;
    - c. One (1) full-time permanent staff member selected in accordance with Section VI.A.7. above; and
    - d. One (1) full-time student, selected by Associated Students, Inc. In the case of the Dean of Research and Graduate Studies, the student shall have graduate status;

4. Associate Vice Presidents (or Equivalent) and Other Designated Positions

- a. Up to six (6) persons selected by the Provost;
- b. Two (2) full-time tenured faculty members, excluding participants in the Faculty Early Retirement Program, selected by the Executive Committee of the Academic Senate; and
- c. One (1) full-time permanent staff member selected in accordance with Section VI.A.7. above.

E. POSITIONS REPORTING TO A VICE PRESIDENT OUTSIDE OF ACADEMIC AFFAIRS (selections will be made in accordance with Section VI.A. above)

1. Executive or Deputy Directors, Assistant or Associate Vice Presidents (or Equivalent)

- a. Up to six (6) persons selected by the appropriate Vice President;
- b. Two (2) full-time tenured faculty members, excluding participants in the Faculty Early Retirement Program, selected by the Executive Committee of the Academic Senate; and
- c. One (1) full-time permanent staff member selected in accordance with Section VI.A.7. above.

F. CHANGES INVOLVING DESIGNATED ADMINISTRATIVE POSITIONS

1. Temporary appointments to a Designated Administrative Position shall be designated as “interim” and shall be limited to no more than twelve (12) months. Prior to extending an appointment beyond 12 months, the President shall consult with the Executive Committee of the Academic Senate.
2. Prior to making any proposed title changes to a Designated Administrative Position that are the result of any organizational changes, the President or applicable administrator shall consult with the Executive Committee of the Academic Senate.

**VII. RELATED POLICIES AND REFERENCE DOCUMENTS**

- CSU Technical Letter, HR/Appointments 2013-03, Recruitment and Hiring Guidelines for MPP and Staff (Non-represented and Represented) Positions
- California Code of Regulations Title 5 Div 5 Section 42702, Staff Organization and Appointment of Employees
- UPM G-61, Delegation of Authority for Position Management and Employment Transactions
- California State University, Fresno Affirmative Action Plan
- Policy on Retention and Tenure (APM 325)
- Policy on Terminal Degrees (APM 304)
- Appendix A, List of Designated Administrative Positions covered by this Policy

**VIII. HISTORY/REVISION DATES**

Recommended by the Academic Senate	May 1982
Approved by the President	May 1982
Amended	5/93; 5/98; 12/98; February 19, 2003
Latest Revisions:	March 23, 2012
Draft Revision reviewed by Cabinet	November 19, 2015
First Review by Academic Senate	March 13, 2017
Recommended by the Academic Senate	April 16, 2018
Revisions approved by Academic Senate	November 27, 2018
Approved by President	January 18, 2019

**IX. NEXT EVALUATION DATE**

Five (5) years from approval date.

## APM 320 - APPENDIX A

### LIST OF DESIGNATED ADMINISTRATIVE POSITIONS COVERED BY THIS POLICY

The following is a list of the Designated Administrative Positions covered by APM 320. If a new senior level position reporting to a Cabinet member is created, the Vice President for Administration will consult with the Executive Committee of the Academic Senate to determine if position should be designated and thus added to list below. This list also designates the search committee described in Section VI.A. to be used for each position.

#### **Cabinet Members**

#### **Section VI**

Provost and Vice President for Academic Affairs	C 1
Chief Information Officer	C 2
Vice President for Administration and Chief Financial Officer	C 2
Vice President for Student Affairs and Enrollment Management	C 2
Vice President for University Advancement	C 2
Director of Athletics	C 3
Chief of Staff to the President	C 4
Executive Director of Governmental Relations	C 4
Vice Provost	D 4
Director of University Communications	E 1

#### **Deans**

College / School Deans	D 1
Dean of Library Services	D 2
Dean of Continuing and Global Education	D 3
Dean of Fresno State Visalia Campus	D 3
Dean of Research and Graduate Studies	D 3
Dean of Undergraduate Studies	D 3

#### **Associate Vice Presidents (reporting to Provost) and Other Designated Positions**

Assistant Vice President for International Student Support Programs	D 4
Associate Vice President for Faculty Affairs	D 4
Associate Vice President, Academic and Institutional Effectiveness	D 4

#### **Executive and Deputy Directors, Associate and Assistant Vice Presidents and Other Designated Positions (reporting to VP other than Provost)**

Associate Vice President for Auxiliary Operations	E 1
Associate Vice President for Development	E 1
Associate Vice President for Enrollment Management	E 1
Associate Vice President for Facilities Management	E 1
Associate Vice President for Financial Services	E 1
Associate Vice President for Human Resources	E 1
Associate Vice President for Student Affairs/Dean of Students	E 1
Associate Vice President for Student Health, Counseling and Wellness	E 1
Associate Vice President Student Success Services	E 1
Budget and Resource Planning Manager	E 1
Chief of Police / Director of Public Safety	E 1
Deputy Chief Information Officer	E 1
Deputy Director of Athletics	E 1
Director of Procurement & Support Services	E 1
Executive Director of Advancement Services	E 1
Executive Director of Alumni Relations	E 1
Senior Associate Athletics Director/Business Operations	E 1
Title IX Coordinator	E 1

## POLICY ON ASSESSMENT OF TEACHING EFFECTIVENESS

Teaching is central to the mission of the University and, therefore, its effectiveness must be assessed. The dual purpose of the assessment of teaching effectiveness is to provide the individual instructor with specific information to enhance instruction and to provide information for use in personnel actions. The primary responsibility for assessing all aspects of teaching effectiveness rests with the faculty.

This policy establishes the framework for the assessment of teaching effectiveness, including procedures for the two major components of the assessment: (a) peer evaluation of instruction; (b) student ratings of instruction. Standards for each component shall be established by academic departments. Standards should be based on the principle that the primary purpose of teaching assessment is to provide meaningful feedback to instructors. Assessment for administrative personnel purposes is a secondary goal. Moreover, statistical data must be analyzed with the realization that serious limitations exist relative to the accumulation and analysis of such data. Also, students cannot effectively evaluate all aspects of teaching, especially course content, so departments should use multiple methods of assessment. It is recommended that quantitative student ratings count for between 30 and 50 percent of the assessment of any instructor.

In assessing the teaching effectiveness of a faculty member, care should be taken to avoid bias based upon race, color, religion, national origin, ancestry, marital status, age, physical disability, mental disability, medical condition, veteran's status, sex, and sexual orientation.

**I. The assessment of teaching effectiveness shall address four basic elements of instruction:** course content, instructional design, instructional delivery, and assessment methods.

- A. Course Content. The assessment of course content shall include a review of the currency of the content of a course, the appropriateness of the level of the content of a course, and the appropriateness of the sequencing of the content to best achieve the learning objectives for the course.
- B. Instructional Design. The assessment of the instructional design of the course shall include a review of learning objectives, syllabi, instructional support materials, organization of lectures, and the use of technology appropriate to the class.
- C. Instructional Delivery. The assessment of delivery shall include a review of oral presentation skills, written communication skills, skills using various forms of informational technology, and the ability to create an overall environment conducive to student learning.
- D. Assessment Methods. The evaluation of assessment methods shall consist of a review of the tools, procedures, and strategies used for measuring student learning, and providing timely and meaningful feedback to students.

## II. Peer Evaluation Forms and Student Rating Questionnaires

- A. Each Department shall adopt peer evaluation forms that will assess course content, instructional design, instructional delivery, and assessment methods. In the absence of a formally adopted departmental form, the department shall use a university-wide template provided by the Provost. Each department may adopt a protocol for face-to-face real time peer observations of teaching where applicable. The results of these peer evaluations may be used both formatively and summatively.
- B. Student rating questionnaires shall provide for the assessment of the applicable components identified in Section I. The student rating questionnaires shall be unsigned. Departments shall select questions having demonstrated reliability and validity from a campus-wide pool approved by the Academic Senate and Provost. When possible, the instructor should also receive adjusted scores that take into account external factors beyond the control of the instructor.
- C. The data from peer evaluations and student ratings shall be used in personnel decisions relating to retention, tenure and promotion.
- D. Additional student ratings of courses may be requested by the instructor or required by the college/ school Personnel Committee, Dean or Provost.

## III. Frequency of Implementation

- A. Peer Evaluation Reports
  - 1. Each department or equivalent unit shall establish a written policy which describes the frequency and scheduling of peer evaluation of courses. The following minimum frequency shall apply:
    - a. For part-time temporary faculty, the first time a course is taught by the instructor and, thereafter, at least one section every other year of employment regardless of a break in service.
    - b. For full-time temporary faculty, two sections each semester for the first year and two sections each academic year thereafter.
    - c. For probationary faculty, two sections (to include as many different courses as possible) every semester.
    - d. For tenured faculty, one section each academic year on a rotating basis such that during a five year period the maximum number of different courses is evaluated.
  - 2. Additional peer evaluation reports may be requested by the instructor or required by the College/School Personnel Committee, Dean or Provost on a case by case basis.



**B. Student Ratings of Instruction**

Each department or equivalent unit shall establish a written policy which describes the frequency and scheduling of student ratings of instruction. Each faculty member shall have a minimum of two sections rated by students annually.

Student ratings programs for librarian faculty unit employees, counselor faculty unit employees, and coaching faculty unit employees may be developed at the campus level. If such programs are established, the evaluation process shall be developed by a committee comprised of faculty unit employees and appropriate administrators. (CBA, Article 15.18)

**IV. Confidentiality**

Information obtained from peer evaluation reports and/or student rating questionnaires shall be confidential. Possession or use of this information shall be restricted to

- A. the instructor, who may at his/her discretion, make such information available to others;
- B. those charged with conducting evaluations or administering this policy;
- C. those with access to the Personnel Action File.

**V. Use and Housing of Student Ratings Data**

- A. Student ratings data shall not be used for any extraordinary purposes including, but not limited to, comparison of programs, departments, colleges, or any external entity or institution without the approval of the Academic Senate.
- B. Data collected from the assessment of teaching effectiveness will be housed in the Offices of the Academic Senate on behalf of the Academic Assembly.

**VI. Administration of Peer Evaluation Reports**

**A. Conducting Peer Evaluation of Courses**

- 1. Only tenured and probationary faculty shall conduct peer evaluations of courses. Probationary faculty may perform evaluations of temporary faculty only. Tenured faculty shall be evaluated only by other tenured faculty at a higher rank, except full professors who may evaluate faculty at any rank. Tenured faculty being considered for promotion and participants in the Faculty Early Retirement Program may not participate in personnel committee actions. However, they may conduct peer evaluations of courses pursuant to this policy.
- 2. Department chairs shall assign peer evaluator(s) to review faculty members.
- 3. Prior to the peer evaluation, the evaluator(s) shall notify the faculty member of the materials that will be required for the evaluation. It is the responsibility of the faculty member to provide the materials to the

evaluator. The materials shall include those designated on the peer evaluation form.

4. When classroom visits (including assessments of online and hybrid courses) are utilized as part of the evaluation of a faculty unit employee, 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. (CBA, Article 15.14)
5. Evaluators shall not interview students before, during or after the peer evaluation.

**B. Reports**

1. Using the departmentally approved form, a written report on the peer evaluation of a course shall be prepared by the evaluator. The report shall include a review of the relevant components listed in Section I.
2. The peer evaluator(s) and the faculty member should discuss the evaluation prior to the submission of the written report to the department chair.
3. Each report shall be signed by the evaluator(s) and submitted to the department chair for placement by the Dean's Office in the Personnel Action File after appropriately notifying the faculty member.

**VII. Administration of Questionnaires for Student Ratings of Instruction**

**A. Administration of Student Rating Questionnaires**

1. Student rating questionnaires shall be proctored by a faculty member, student, or administrative assistant. The questionnaire may not be proctored by the instructor of record for the course.
2. The instructor being rated may not be present in the classroom during the administration of the questionnaire.
3. Proctor Responsibilities.
  - a. The proctor shall not interview students before, during, or after the class session.
  - b. The administration of the questionnaire shall occur during the last half of the scheduled term of instruction and shall be administered during the first fifteen minutes of class. Nothing besides a pencil and the rating form shall be handed out during the administration of the questionnaire.
4. Standardized instructions to the rating questionnaire will be provided by the proctor. All proctors will receive standardized written instructions on administering the forms as well as a written statement about the use and processing of the evaluations to be read to the students. These standardized instructions shall:
  - a. inform students that the results will not be available to the instructor until after final grades have been submitted.

- b. inform students of the purpose of the questionnaire, which is to enhance teaching effectiveness and to provide information for staffing decisions including retention, tenure, and promotion (if any);
- c. inform students that the original or a copy of the original of the comments (if any) will be given to the instructor;
- d. inform students that the instructor may not be present in the classroom during the administration of the questionnaire.
- e. inform students that care should be taken to avoid bias based upon race, color, religion, national origin, ancestry, marital status, age, physical disability, mental disability, medical condition, veteran's status, sex, and sexual orientation.

B. Analysis of Student Rating Data

1. *Quantitative Results*

- a. A statistical summary of the quantitative results of the student ratings shall be generated. This summary shall be user-friendly. This summary shall be known as the Statistical Summary. The department uses the quantitative data from the Statistical Summary to compare against departmental standards.
- b. The instructor shall receive a copy of the statistical summary. In the interest of instructional improvement and fairness to retention/tenure/promotion candidates, these copies should be provided to the instructor as soon as possible after final grades are turned in. Candidates for retention/ tenure/ promotion should have priority over temporary and tenured faculty in the receipt of this information.
- c. After final grades are turned in by the instructor, the Statistical Summary shall be placed in the Personnel Action File

2. *Open-Ended Student Comments*

- a. The department may require that students be given the opportunity to provide comments in conjunction with numerical student ratings. A copy of the student comments shall be given to the department chair and the faculty member. The department chair shall not share the student comments with review committees. The department chair shall review the student comments in a timely fashion for evidence of gross violations of university policy.
- b. In the interest of instructional improvement and fairness to retention/tenure/promotion candidates, these copies shall be provided to the instructor as soon as possible after final grades are submitted.

### **VIII. Preparation of an Overall Evaluation of Teaching Performance**

For recommendations regarding personnel actions such as retention, tenure and promotion, five year review, contract renewal of lecturers, and peer evaluation of courses, the statistical summary of student ratings along with other appropriate information in the Personnel Action File shall be assessed to identify patterns and trends of teaching performance and effectiveness.

The preparation of the overall assessment of teaching effectiveness shall be conducted by a review committee composed of faculty of appropriate rank. Probationary faculty may only perform evaluations of temporary faculty. In general, tenured faculty shall be evaluated only by other tenured faculty at a higher rank, except full professors who may evaluate faculty at any rank.

### **IX. Summary of Policy**

In accord with the foregoing provisions, departments shall develop written policies and procedures in accord with colleges as appropriate that describe:

- A. the selection of items from the campus-wide pool of validated items.
- B. the frequency (if the minimum described above is to be exceeded) and scheduling of student ratings.
- C. how faculty peers will be selected to prepare the overall evaluation of teaching.
- D. the minimum standards for teaching effectiveness.

Recommended by  
The Academic Senate  
April 15, 1991  
September 27, 2010  
April 30, 2015

Approved by the President  
May 6, 1991  
January 2011  
June 16, 2015

## **POLICY ON FACULTY PERSONNEL FILES**

This policy outlines the various files maintained by the University on individual faculty members, their purpose, and their use.

### **A. PERSONNEL ACTION FILE**

1. The Personnel Action File (PAF) is defined in Article 11 of the Collective Bargaining Agreement, and is maintained for every faculty employee, full-time or part-time. During the retention, tenure, or promotion review of a faculty member, a Working Personnel Action File (WPAF)--formerly called the Retention, Tenure and Promotion (RTP) File--is incorporated by reference into the PAF.
2. The PAF is the one (1) official personnel file for employment information that may be relevant to personnel recommendations or actions regarding a faculty member. Personnel recommendations relating to retention, tenure, promotion, or termination based upon work performance, or any other personnel action, shall be based on the PAF. <sup>1 2</sup> Should the President make a personnel decision on any basis not directly related to the professional qualifications, or on work performance of the individual faculty member in question, those reasons shall be reduced to writing and entered into the PAF, and shall be immediately provided to the faculty member.
3. The school or college dean is the custodian of all PAFs for faculty in his/her unit, and is responsible for the security of the file and its contents.
4. It is the policy of the California State University to maintain accurate and relevant personnel files.
5. The PAF is held in confidence and is accessible only to the affected faculty member and persons authorized in the conduct of official University business.
6. With the exception of secretaries performing clerical tasks, all instances of access to the PAF shall be logged and the log record shall be a permanent part of the file.
7. A faculty member may place any information in her/his own file which s/he feels is relevant to her/his employment status. A faculty member has the right to respond to or rebut any information which has been placed by another individual in her/his file.
8. The dean is the only university official who is authorized to place material in the PAF. Such placement shall only occur after the affected faculty member has been given a copy, without charge, of the material to be placed in the file five (5) days prior to the placement of the material in the file. A copy of the notice shall be attached to the document being placed in the file. This provision does not apply to material referenced in the Temporary Suspension or Disciplinary Action Procedure of the Collective Bargaining Agreement.

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<sup>1</sup> Course assignments are not considered personnel actions.

<sup>2</sup> The PAF may also be used in hiring recommendations, merit pay reviews, post-tenure reviews, and for other purposes consistent with university policies.

9. Upon request a faculty member shall be provided the opportunity to meet with the appropriate administrator regarding material to be placed in the file to which the faculty member objects. The request to meet shall be made within five (5) days of the receipt of the notification and shall be addressed to the appropriate administrator with a copy to the Provost. The meeting shall take place within ten (10) days of the request made by the faculty member. This provision shall not apply to material created for the periodic evaluation, nor performance reviews pursuant to Article 15 Evaluation, nor to material referenced in Article 17 Temporary Suspension, nor Article 19 Disciplinary Action of the Collective Bargaining Agreement.
10. The appropriate administrator shall consider all information provided by the faculty member concerning the relevancy and accuracy of any material to be placed in the file prior to making a final decision to place material in the file. This provision shall not apply to material created for periodic evaluation, nor material referenced in Article 17 Temporary Suspension, nor Article 19 Disciplinary Action of the Collective Bargaining Agreement.
11. Only material identified by source may be placed in the PAF. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. References to unnamed sources or complainants are prohibited. Anonymous letters should be given to the individual faculty member concerned.
12. A faculty member has the right to review all materials in her/his own PAF. A faculty member may request an appointment with the Office of the Dean for the purpose of inspecting her/his own file. Such appointment(s) will be scheduled promptly during normal office hours. The manner of inspection shall be subject to reasonable conditions. The faculty member has the right to have another individual of her/his own choosing accompany her/him to inspect the PAF.
13. Following receipt of a faculty member's written request, the dean shall, within fourteen (14) days, provide a copy of all requested materials. Depending upon the amount of materials copied, the faculty member may be required to bear the cost of duplicating such materials.
14. If, after examination of the PAF a faculty member believes that any portion of her/his own file is inaccurate or irrelevant, s/he may submit a written request that the material be corrected or deleted from the file. Such requests should be directed to the dean, as custodian of the file. The request should describe corrections and/or deletions that should be made, and the facts and reasons supporting such a request. In the event the request is denied, the request shall be attached to the disputed material and shall accompany the disputed material when used in a personnel recommendation or action.
15. If the request for correction or deletion is denied by the dean, the faculty member has the right to submit a request to the President, or the President's designee, no later than seven (7) days after the date of such a denial. Within twenty-one (21) days of receipt of such request, the President, or designee, shall provide a written response to the faculty member. If the President, or designee, grants the request, the record shall be corrected or deleted and the faculty member shall be sent a written notice to that effect. If the President, or designee, denies the request, the response shall include reason(s) for the denial.

16. The PAF is maintained for each faculty member during the entire period of employment.
17. Files for individuals who have been separated from university employment <sup>3</sup> are maintained in the colleges/schools for five (5) years.
18. Files of employees separated by reasons of (a) dismissal for cause, or (b) disability retirement, or (c) as the result of a written agreement between the university and the employee, are maintained indefinitely. In these instances, the files are maintained by Academic Personnel Services or the Office of the Chancellor, as appropriate.

## **B. WORKING PERSONNEL ACTION FILE**

1. The Working Personnel Action File (WPAF), formerly called The Retention, Tenure and Promotion File (RTP File), is defined in Article 11.8 of the Collective Bargaining Agreement.
2. The WPAF is used during performance evaluations for retention, tenure and/or promotion and is considered a part of <sup>4</sup> the PAF.
3. The WPAF is held in confidence and is accessible only to the affected faculty member and persons authorized access in the conduct of official University business.
4. With the exception of secretaries performing clerical tasks, all instances of access to the WPAF shall be logged and the log record shall be a permanent part of the PAF.
5. Only material identified by source may be placed in the WPAF. This includes statements made by peer review committees as part of the review process. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. References to unnamed sources of complainants are prohibited.
6. Materials for evaluation submitted by a faculty member for use in the campus Retention, Tenure or Promotion (RTP) process shall be deemed incorporated by reference into the PAF, but need not be physically placed in the PAF. The inventory of items submitted by the faculty member for review during the RTP process shall be permanently placed in the PAF at the conclusion of the RTP process each year.
7. WPAFs are disassembled at the conclusion of each annual review process. Material listed on the inventory provided by the faculty member at the beginning of the process is returned to the faculty member. All other materials, including recommendations generated as part of the review, are returned to the PAF.<sup>5</sup>

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<sup>3</sup> This provision refers to persons who have separated from the university through routine resignation or retirement; or, as in the case of temporary faculty, the completion of a fixed period of employment.

<sup>4</sup> The relevant language in the CBA says that the WPAF is “incorporated by reference” into the PAF.

<sup>5</sup> Additional detailed information regarding the handling and contents of the WPAF may be found in current instructions on the APS Web site or in various provisions within the Academic Policy Manual.

### **C. PRIVATE FILES**

1. Department chairs, college/school deans, and other academic administrators may maintain private files. These files may contain correspondence, notes of meetings or conversations, and other data.
2. The contents of these private files may not be used as the basis of a personnel recommendation or action.
3. These private files are maintained at the discretion of the individual responsible for the file.

### **D. HANDLING OF FILES FOR PART-TIME LECTURERS**

1. Departments maintain a part-time lecturer application pool file and may maintain a private file on all active part-time lecturers.
2. The part-time lecturer application pool file contains the position applications for all candidates for part-time positions. The application of each candidate for a part-time position is maintained in the file for five (5) years from the date of submission.
3. Access to the part-time lecturer application pool file is limited to persons authorized access in the conduct of university business. Individual applicants shall not have access to the part-time lecturer pool application files.
4. Departments shall review the part-time lecturer application pool file prior to making nominations for part-time positions. Additionally, if an individual who has been previously employed by the University applies for a temporary position, whether full-time or part-time, the contents of the candidate's PAF shall also be considered.

### **E. MEDICAL AND POLICE RECORDS**

Campus medical records and campus police records are not subject to the provisions for the PAF. Content and access to these files is controlled by statutory regulation. However, any campus medical record or campus police record used as the basis for a personnel recommendation or action must be placed in the PAF.

### **F. PRE-EMPLOYMENT FILE**

1. The Pre-Employment File consists of the records involved in the hiring of the affected faculty member. The records include confidential papers received from placement bureaus, letters of recommendation, summaries of reference checks, and other pre-employment information.
2. These files on full-time faculty members are maintained in the Office of Academic Personnel Services until the faculty member receives tenure or until five (5) years after separation from university employment, whichever comes first.
3. The affected faculty member shall not have access to this material.



### **G. SEARCH RECORDS**

Records developed during a search process for faculty employees are maintained in the Office of the School Dean for five (5) years after the close of the search. These records are not available to faculty members after the close of the search.

### **H. ACADEMIC PERSONNEL SERVICES --- EMPLOYMENT FILES**

1. Academic Personnel Services maintains status records on each faculty member. These records include information on academic rank and salary, employment status, leaves, and other relevant information essential to personnel/payroll operations.
2. The information in these files is accessible only to the affected faculty member and persons authorized access in the conduct of official University business.
3. Requests to add or delete information from this file must be made, in writing, to the Provost with a copy to the Academic Personnel Officer. The request shall include reasons for the requested addition/deletion to the file.

### **I. PAYROLL FILES**

The Payroll Office maintains files on each University employee which include general payroll information and records such as tabulation of sick leave, vacation, leaves of absences, changes of personnel/pay status and similar items. Faculty members may review this information upon request.

**REFERENCES:** CBA Articles 11, 15, 17, 19

Approved by the Academic Senate	May 1968
Approved by the President	June 1968
Amended	5/72; 10/83; 6/84; 3/95; 11/99
<b>Amended</b>	<b>December 7, 2011</b>

## **POLICY ON PROBATIONARY PLANS AND FACULTY MENTORING**

### **PURPOSE**

It is the position of California State University, Fresno that the professional career of a faculty member should be one of continuing professional growth. The purpose of probationary plans is to communicate the standards, criteria and expectations of the department, college/school, and university during the probationary process and to provide clear, consistent, supportive, accurate, and dependable communication to the probationary faculty member.

The Policy on Retention and Tenure states <sup>1</sup>

The tenure decision is the most important personnel decision made by the university on individual faculty members. Therefore, this decision must be made with great care based upon documentation gathered and analyzed during the probationary period.

The probationary period should be one of professional growth and development in addition to being a period of evaluation. The department and the probationary faculty member share responsibility for establishing clearly the goals for the probationary period through the preparation of a mandatory probationary plan.

The faculty member should receive a continuing assessment of progress toward the goals established in the probationary plan, periodic opportunity to review the goals with the mentoring committee and the department chair, collegial guidance, advice and assistance and other mutually agreed upon support.

Tenure is not a right of a probationary faculty member nor solely a reward for services and accomplishments during the probationary period. A decision in favor of tenure must be based upon evidence that indicates that there is a high probability that the faculty member will continue to be a valuable and productive colleague.

The department and the probationary faculty member share the primary responsibility for establishing clear goals for the probationary period. Moreover, the probationary faculty member should be apprised clearly of the criteria that will be employed in the evaluation. Guidance, advice, collegial support, and periodic review of the goals are characteristic of the ideal probationary experience. Therefore, continuing assessment of progress toward the goals shall be made through the probationary review process.

All probationary faculty members will be appointed to a two-year initial appointment. A probationary plan will be developed and implemented for each new probationary faculty member in the first year of probationary status. The first probationary review shall take place in the second year of the appointment. This policy describes the process by which this is accomplished. Normal evaluations by students and peers as well as other normal procedures for gathering evaluative data will continue.

The responsibility for working with the mentor and taking full advantage of this process rests with the probationary faculty member.

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<sup>1</sup> The Policy On Retention And Tenure (APM 325)

## PROCEDURES

### I. PROBATIONARY PLAN

Each department and/or college/school shall develop a model probationary plan. The probationary plan in the appendix to this policy should be used as a guide for formatting and style only; specific standards and language in a faculty member's individual probationary plan (e.g., number of publications, stipulations about order of authorship, etc.) shall conform to department expectations for tenure.

The department and/or college/school model probationary plan shall identify clearly the standards and expectations of the department that must be met for any future recommendation for tenure. While differences may occur in the probationary plans of individual faculty members in the department, departmental standards and expectations must be applied consistently to all probationary faculty members in the department. Consistent with the university policy, the plan shall reflect activities commencing with the initial appointment of the probationary faculty member to a tenure-track position at this university.

The faculty member, and/or any level of review may request a modification to the approved probationary plan. All such modifications shall follow the approval process outlined in sections III to V below at the time of the annual probationary review.

If at any stage in this process, the review of the proposed probationary plan has not been completed within the specified period of time, the proposed probationary plan shall automatically be forwarded to the next level of review.

### II THE ROLE OF THE MENTOR

California State University, Fresno is committed to providing the support necessary to give a new probationary faculty member every opportunity to understand and achieve the goals for retention and tenure. Central to this commitment is the mentoring process that is an integral part of the probationary plan process.

A mentor is expected to

- a. Help the new probationary faculty member
  1. Develop a sense of belonging to our university community and participate in academic governance
  2. Understand the unique aspects and expectations of being a faculty member at California State University, Fresno.
  3. Prepare the draft probationary plan.
- b. Work with the probationary faculty member to achieve the expectations of the probationary plan
- c. Be a resource for answering questions, solving problems, providing support, and giving advice on professional matters, and
- d. Be sensitive and responsive to the needs and interests of the probationary faculty member.

To achieve these goals, the mentor(s) are expected to

- a. Meet regularly with the probationary faculty member and actively engage the mentee in dialog;
- b. Assist in identifying opportunities and establishing a network of contacts both on campus and professionally;
- c. Support scholarly development in the discipline and collaboration across disciplines;

- d. Assist in understanding the policies and procedures that are relevant to the probationary faculty member's responsibilities and advancement;
- e. Provide positive feedback, constructive criticism and encouragement;
- f. Assist the probationary faculty member to establish priorities including budgeting time between professional and other responsibilities, and the balancing of teaching, research, and service;
- g. Respect the independence and the academic freedom of the probationary faculty member; <sup>2</sup>

While the role of the mentor is not supervisory, <sup>3</sup> the mentor may have greater contact with the probationary faculty member. Mentors may participate on peer review committees involved in the performance review of the mentee. Although comments by the mentor may be incorporated into the peer review, the mentor's comments should not be valued as substitute for or a preliminary evaluation of the department peer review committee.

Due to changing commitments, incompatibility, or where the relationship is not otherwise productive, either the probationary faculty member or the mentor should seek advice from the department chair. It is recognized that changes in mentoring relationships can and may be made without prejudice or fault for either person. Changes in mentors can be made without rewriting the probationary plan. However, such changes shall be noted in the annual probationary review. In any case, the probationary faculty member should be encouraged to seek out additional mentoring as appropriate.

### III. DEPARTMENT PROCEDURES

1. The department chair shall appoint a mentor(s) at the time of the initial probationary appointment. <sup>4</sup>
2. The mentor(s) and the probationary faculty member shall prepare a draft probationary-plan.
3. The probationary plan shall:
  - a. Be appropriate to the individual's assignments and responsibilities
  - b. Provide stated standards and expectations that are reasonable, clear, and specific.
  - c. Ensure that the stated standards and expectations are consistent among faculty members in the department.
4. The mentor(s) and the probationary faculty member shall discuss the draft probationary plan with the department chair. Appropriate modifications may be made to the plan prior to submission to the tenured faculty of the department.
5. The probationary faculty member shall have input into the formulation of the proposed plan. However, it is the tenured faculty of the department, including the chair, who ultimately determine the criteria, standards, and expectations for the probationary faculty member.
6. A draft probationary plan shall be completed by the deadline noted in the Academic Personnel Calendar and submitted to the department peer review committee and the department chair for review, and possible modifications.
7. Differences between the candidate, the mentor, the department peer review committee, and/or the chair shall be resolved, if possible, at the department level.
8. The proposed plan, and unresolved differences, if any, shall be submitted to the appropriate college/school peer review committee and the dean by the date noted in the Academic Personnel Calendar.

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<sup>2</sup> University Statement On Academic Freedom (APM 103)

<sup>3</sup> Due to the nature of the role of the department chair, a department chair should not be a mentor.

<sup>4</sup> Mentor(s) shall be tenured member(s) of the faculty. Ideally, the mentor(s) should be a member(s) of the tenured faculty of the department. However, a mentor(s) could be a tenured faculty member(s) selected from outside the department, as appropriate.

#### IV. COLLEGE/SCHOOL PROCEDURES

1. The appropriate college/school peer review committee<sup>5</sup> and the dean shall review each proposed probationary plan to ensure that
  - a. The stated standards and expectations are appropriate to the individual's assignments and responsibilities; and
  - b. Stated standards and expectations are reasonable, clear, and specific; and
  - c. The stated standards and expectations are consistent among faculty members in the same department.
2. After appropriate consultation, the college/school committee and/or the dean may recommend modifications in the probationary plan.
3. The dean shall attempt to resolve any differences between the proposed plan submitted by the department and the plan recommended by the college/school committee and/or the dean.
4. The proposed plan and unresolved differences, if any, shall be submitted by the college/school peer review committee and the dean to the Provost by the date noted in the Academic Personnel Calendar.

#### V. PROVOST AND VICE PRESIDENT FOR ACADEMIC AFFAIRS (PROVOST)

1. The Provost or designee shall review each proposed probationary plan.
2. The Provost or designee shall be the final arbiter of any outstanding disagreements regarding the content of the probationary plan, and may require additional modifications to the plan.
3. The Provost or designee shall approve the final, official version of the probationary plan.
4. The probationary faculty member shall be informed that the probationary plan has been finalized. A copy of the probationary plan shall be placed in the probationary faculty member's Open Personnel File accompanied with a signed statement by the probationary faculty member acknowledging receipt of the plan.
5. The probationary plan shall be placed in the designated section of the faculty members' RTP File for reference during each probationary review.

**Reference:** Policy on Retention and Tenure (APM)

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#### **Recommended by the Academic Senate**

April 1988

April 13, 2015

#### **Approved by the President**

May 1988

June 1994

May 2002

July 15, 2011

June 16, 2015

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<sup>5</sup> This is the college/school peer review committee that handles retention and tenure recommendations; Librarians and SSP-ARs do not have separate college/school peer review committees.

## **POLICY ON RETENTION AND TENURE**

This document spells out policies, organizational structures, and procedures for retention and tenure. All procedures and actions at all levels shall conform to University policies and the Unit 3 Collective Bargaining Agreement.

A “probationary period” is the period of service prior to the granting or denial of tenure credited to a faculty member who has received a probationary appointment.<sup>1</sup>

“Tenure” refers to the right of a faculty member awarded tenure at this campus to continued permanent employment at this campus as a faculty member except when such employment is voluntarily terminated or terminated by the employer pursuant to the collective bargaining agreement or law.<sup>2</sup>

“President” refers to the university’s President or her/his designee. Unless announced otherwise, the Provost serves as the President’s designee for purposes of the Retention, Tenure, and Promotion (RTP) process.

### **I. GENERAL POLICY**

Appointment or reappointment with tenure is the most important personnel decision made by the university regarding an individual faculty member. Tenure is not a right of a probationary faculty member or solely a reward for services and accomplishments during the probationary period. A decision in favor of tenure must be based upon evidence that indicates a high probability that the faculty member will continue to be a valuable and productive colleague throughout his/her academic career.

Therefore, this decision must be made with great care based upon documentation gathered and analyzed during the probationary period. The probationary period should be one of professional growth and development in addition to being a period of evaluation.

To assist the probationary faculty member and provide clear expectations for retention and tenure, the university has adopted the probationary plan process. The department and the probationary faculty member share the primary responsibility for establishing clear expectations and goals for the probationary period through the preparation and approval of a mandatory probationary plan.<sup>3</sup> The college/school and President, through a consultative process, share in the responsibility for establishing clear expectations and goals by reviewing, affirming, or suggesting modifications in plans as outlined in the Policy on Probationary Plans and Faculty Mentoring.<sup>4</sup>

The probationary faculty member should receive continuing assessment of progress toward the goals established in the probationary plan, periodic opportunities to review the goals with the Mentoring Committee and the department chair, collegial guidance, advice and assistance, and other mutually agreed upon support, as described in the Policy on Probationary Plans and Faculty Mentoring (APM 324).

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<sup>1</sup> CBA Article 13.2.

<sup>2</sup> CBA Article 13.13.

<sup>3</sup> See Policy on Probationary Plans and Faculty Mentoring (APM 324).

<sup>4</sup> APM 324.

Any full-time faculty member appointed to a probationary position and serving a period of probation is eligible to be considered for tenure. The normal period of probation shall be six (6) years of full-time probationary service, including service credit granted at the time of appointment. Appointment to a seventh (7th) year shall be either with tenure or to a terminal year. Any deviation from the normal six (6) year period, including credited service, shall be the decision of the President following consideration of recommendations from the department peer review committee, the department chair if making a separate recommendation, the college/school peer review committee, University Board on Retention, Tenure and Promotion (if applicable), and appropriate administrators.

One (1) year of service for a faculty member in an academic year position is two (2) consecutive semesters of full-time employment within an academic year. One (1) year of service for a faculty member in a twelve (12) month position is any consecutive twelve (12) months of full-time employment. One (1) year of service for a faculty member in a ten (10) month position is ten (10) months employment within a twelve (12) month period.<sup>5</sup> For the purpose of calculating the probationary period, a year of service commences with the first fall term of appointment.<sup>6</sup>

Reappointment with tenure shall be effective at the beginning of the academic year succeeding the academic year in which tenure is awarded.

## II. CRITERIA FOR RETENTION AND TENURE

- A. Terminal degree requirements are considered to have been met by virtue of the appointment to the probationary position.
- B. The basis for a positive recommendation for reappointment to two additional probationary years (retention without tenure) is satisfactory progress toward the achievement of the criteria and standards in the Scholarship of Teaching; in the Scholarship of Application, Integration, and Discovery; and in university and community service, as described below and as established in the Probationary Plan, including an established pattern of productive working relationships with peers and colleagues. Only achievements while a probationary faculty member at this university shall be considered toward completion of the probationary plan.
- C. The basis for a positive recommendation for reappointment with tenure is the satisfactory completion of the goals in the Scholarship of Teaching; in the Scholarship of Discovery, Application, and Integration; and in university and community service, as described below and as established in the Probationary Plan, including an established pattern of productive working relationships with peers and colleagues.<sup>7</sup>

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<sup>5</sup> Only librarians are eligible for a ten-month appointment.

<sup>6</sup> See CBA Article 13.6.

<sup>7</sup> Allegations of non-collegial working relationships by reviewers must be supported by documentation in the Working Personnel Action File (WPAF).

- D. The responsibilities of all full-time faculty members include effective teaching; professional, scholarly, and creative activities; and university and public service.<sup>8</sup> A strong record of demonstrated effectiveness in the Scholarship of Teaching is the primary and essential criterion for tenure, but is not sufficient in and of itself. Although there is no weighting of the other two (2) categories, an overall high level of performance in both professional/scholarly/creative activities and university and public service must be documented, as well as a record of excellence in at least one (1) category other than the Scholarship of Teaching.

The documentation of the scholarly activities of teaching, application, integration, and discovery, and university and public service should be rich and varied. It should consist of evidence gathered over time during the probationary period from a variety of sources, namely, self-evaluation, peer evaluation, student ratings, and other evaluations. Assessment of scholarly activities should be relevant to and fit the probationary faculty member's field of expertise. The responsibility for documenting performance in these areas resides with the faculty member.

### 1. **Teaching Effectiveness**<sup>9</sup>

The Scholarship of Teaching (teaching effectiveness) is an essential precondition or retention and tenure. Teaching is considered to be a "scholarly act" that includes the clear communication of knowledge of the discipline and subject matter, and the transformation and extension of that knowledge.

It is expected that the probationary faculty member will continually improve her/his understanding of student learning, increase their knowledge of pedagogy, and strengthen teaching skills throughout the probationary period and will demonstrate both the accomplishment of clear, precise communication in teaching as well as the application of that knowledge.

The "scholarly act of teaching" is demonstrated through understanding and current knowledge, including the use of measures of student learning, in such activities as:<sup>10</sup>

- a. clearly defined student learning objectives
- b. appropriate learning exercises
- c. prepared exercise packets
- d. samples of student exams and essays
- e. designed course materials
- f. creation of course software
- g. published research in teaching and learning
- h. teaching portfolio analysis
- i. experiential learning, such as service-learning.

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<sup>8</sup> See Article 20 of the CBA. For faculty without teaching responsibilities, professional effectiveness in assigned responsibilities is substituted for teaching.

<sup>9</sup> Non-instructional faculty such as librarians and SSP-ARs shall substitute professional effectiveness in their assigned responsibilities for the scholarship of teaching. Strong evidence of professional effectiveness is a precondition for tenure for faculty without instructional responsibilities. It is expected that faculty with non-instructional responsibilities will demonstrate professional competence and effectiveness, including demonstration of the skills necessary to perform assigned responsibilities throughout the probationary period. A careful assessment will be made of the performance of assigned responsibilities including quality of work, soundness of judgment, willingness to initiate and complete projects, and effectiveness of professional interactions with faculty and students.

<sup>10</sup> From the list, faculty members are expected to accomplish only those items that are appropriate to their discipline and enumerated in their probationary plan.



Probationary faculty are expected to participate in conferences, seminars, and workshops that enhance effectiveness in the scholarly act of teaching<sup>11</sup> for the purpose of

- a. Acquiring theoretical and empirical research based knowledge about the effective learning and teaching;
- b. Reflecting upon and practicing such knowledge in the educational setting; and
- c. Demonstrating the transformational effect from experience in utilizing various pedagogies.

Teaching is a scholarly endeavor demonstrated and assessed in accordance with APM 322, Policy on Assessment of Teaching Effectiveness. Additional requirements shall include: course syllabi and content, clearly defined learning objectives, samples of exams, learning exercises, handouts, results of classroom research activities, writing requirements including student exams and essays, and teaching portfolios.

Constructive and professional relationships with students are important for a strong academic program. Therefore, it is expected that the probationary faculty member will be evaluated for demonstrated sound academic advising, effective counseling of students on course related matters, the ability to work with a diverse student population, and the faculty member's availability on a regular basis to assist the students with their academic needs.

## **2. Professional Growth and Scholarly/Creative Activities**

All faculty members are expected to engage in a demanding program of professional development and scholarly or creative activities:

- a. As a teacher-scholar strengthening and updating professional expertise for classroom instruction, (Scholarship of Teaching);
- b. As a scholar strengthening and broadening the faculty member's scholarly and academic credentials (Scholarship of Discovery);
- c. As a practitioner engaging in both theory and application (Scholarship of Application); and
- d. As an integrated scholar placing specialties in a broader context (Scholarship of Integration).

The Scholarship of Discovery is documented through critically evaluated and professional recognized activities such as:<sup>12</sup>

- a. Journal articles;
- b. Monographs;
- c. Proceedings;
- d. Poems;
- e. Stories;
- f. Artistic Creations;
- g. Awarded grants and evidence of subsequent work;
- h. Public performances;
- i. Published books;
- j. Public presentations.

<sup>11</sup> Faculty are encouraged to attend events such as those sponsored by the Center for the Scholarly Advancement of Learning and Teaching (CSALT) to strengthen and update their professional expertise in classroom instruction.

<sup>12</sup> From the list, faculty members are expected to accomplish only those items that are appropriate to their discipline and enumerated in their probationary plan.

The Scholarship of Application is documented by using knowledge to address demanding, substantive human problems such as:

- a. Conducting applied research and evaluation;
- b. Providing technical assistance;
- c. Developing new products, practices, clinical procedures, new artistic works, consultation with community organizations;
- d. Performing clinical service;
- e. Promoting experiential learning and professional development;
- f. Engaging in community-based research.

The Scholarship of Integration is documented by making connections across disciplines through such activities as:

- a. Designing new courses;
- b. Writing textbooks;
- c. Developing videocassettes and television programs;
- d. Writing for non-specialists;
- e. Sponsoring colloquia and forums;
- f. Shaping a core curriculum;
- g. Preparing quality computer software;
- h. Integration of professional experiences in classrooms;
- i. Critical review articles.

The faculty member is expected to engage the Scholarship of Discovery, Integration, or Application, or a combination thereof, appropriate to their discipline and as described in the probationary plan. These activities will be demonstrated through documented scholarly research activities, refereed or juried publications, public performances and exhibits, and presentations; participation in professional conferences, workshops, or seminars; activities leading to the improvement of teaching skills such as the development of innovative courseware; service learning; the development of new products; the development of new clinical procedures; grant and contract activity; participation in professional organizations; post-doctoral studies; and other creative and scholarly activities.

### **3. University and Public Service**

Faculty members are expected to participate productively, collegially, and collaboratively in the collective efforts and functions of the department, college/school, university and, on occasion, the CSU.

It is expected that the faculty member will demonstrate university and community service through such activities as:<sup>13</sup>

- a. Participation on department, college/school and/or university committees, and commissions, including participation on the academic senate;
- b. Service to the university, profession and community;
- c. Working collaboratively and productively with colleagues;
- d. Mentoring colleagues;

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<sup>13</sup> This list is derived from faculty responsibilities described in Article 20 of the Collective Bargaining Agreement.

- e. Participation in traditional academic functions;<sup>14</sup>
  - f. Participation in group projects directed toward department, college/school, and university goals;
  - g. Contributions to the community-at-large such as organizational leadership and presentations, as well as any other relevant participation in groups serving the public interest.<sup>15</sup>
- E. Individuals who have administrative appointments may have retreat and tenure rights in an academic department or unit.
- 1. Administrators serve at the pleasure of the President. Tenure cannot be acquired through service in an administrative (MPP) position.
  - 2. After consultation with the affected academic department or unit and at the time of the initial appointment, persons appointed as provost or appointed as a college/school dean will normally receive tenure in an academic department or unit.
  - 3. Other administrators may have faculty appointments in an academic department or unit. Tenure may be awarded in an academic department or unit according to university policy. Evaluation for tenure in an academic department or unit shall follow this retention and tenure policy.
  - 4. All administrators who did not receive tenure at the time of the initial appointment, who desire a faculty appointment in an academic department or unit, shall be evaluated through the normal probationary process. This includes the preparation and satisfactory completion of the mandatory probationary plan.
- F. Individuals may be appointed with tenure to a faculty position using the following criteria and standards:
- 1. The individual must be a teacher and a scholar with an established record of achievement and normally must be qualified for appointment at the rank of Professor or equivalent in the department or unit in which tenure is being considered.
  - 2. Except in rare instances, the individual shall have been previously awarded tenure at a four (4) year, accredited institution of higher education.
  - 3. Appointments with tenure shall be made only after a thorough evaluation of the individual's qualifications and a written recommendation from the tenured faculty of the appropriate department or unit. Except in rare instances, tenure shall be awarded only when a clear, positive, department or unit recommendation exists.

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<sup>14</sup> Traditional academic functions include activities such as participation in convocation and commencement activities, student outreach activities, etc.

<sup>15</sup> Those community service contributions which relate directly to one's discipline or position will be given greater weight.

### III. CONSIDERATION FOR EARLY TENURE

The following process and criteria must be met before reappointment with tenure prior to the conclusion of the normal probationary period (“early tenure”). The normal probationary period is defined as six (6) years, comprised of probationary years earned on this campus plus any years of service credit granted at the time of initial appointment.

#### A. Procedure

An individual consultation with the Provost must take place prior to consideration for early tenure. The probationary faculty member seeking early tenure shall provide the Provost with a letter outlining her/his accomplishments. This letter shall be sent to the Provost two weeks prior to the scheduled consultation. A Working Personnel Action File (WPAF) is not to be submitted at this time. Encouragement from the Provost for consideration for early tenure does not guarantee that early tenure will be granted.

#### B. Criteria for Early Tenure

Faculty members seeking early tenure must provide evidence of sustained excellent performance in all three areas: Scholarship of Teaching; The Scholarship of Application, Integration, and Discovery; and university and community service, as described above.<sup>16</sup>

##### 1. Teaching Effectiveness

The probationary faculty member must demonstrate a record of sustained excellent performance in the Scholarship of Teaching as described in Section II during the probationary period.

Excellence in the Scholarship of Teaching shall be demonstrated through outstanding student ratings, outstanding peer evaluations, receipt of outstanding teaching awards, national or regional recognition for outstanding teaching, or other applicable evidence the candidate can provide that the Provost deems acceptable (e.g., students the faculty member has mentored receiving meritorious recognition for art work, research and/or publications).

##### 2. Professional Growth and Scholarly or Creative Activities

The probationary faculty member must demonstrate a sustained record of excellence in the Scholarship of Discovery, Application, and Integration as described in Section II above.

##### 3. University and Public Service

The probationary faculty member must demonstrate a sustained record of excellent university and public service as described in Section II above.

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<sup>16</sup> Completion of the probationary plan at an early date is not a sufficient basis for early tenure. In all cases, the documented performance must demonstrate sustained excellence in all three categories and distinguish the faculty member from successful candidates who applied for tenure according to the normal six-year probationary calendar.

#### IV. PROCEDURES<sup>17</sup>

Responsibilities of departments and department chairs shall be fulfilled by programs and program coordinators when so authorized by the President.

##### A. General Procedures Applicable to the Entire Retention and Tenure Process

The Office of Faculty Affairs will provide instructions and forms for the preparation of the WPAF and for the preparation of recommendations on its website.

The President will issue, as part of the Faculty Affairs Calendar, the deadline dates for each step in the RTP process.

1. Probationary faculty members hired without service credit shall submit a WPAF for evaluation in the second, fourth, and sixth probationary years. Those hired with one year of service credit shall submit in the second, fourth, and fifth probationary years. Those hired with two years of service credit shall submit in the second and fourth probationary years. For purposes of this provision, probationary years are to be counted starting with the first year of the faculty member's tenure-track appointment, regardless of service credit.<sup>18</sup>
  - a. As part of these regular evaluations, any level of review may recommend that a faculty member be evaluated in the third or fifth probationary year, as appropriate, if, after fully reviewing the WPAF, it is determined that the faculty member is not making normal progress toward tenure. In such cases, the faculty member shall submit an WPAF the next year in accordance with the recommendation.
  - b. Notwithstanding the foregoing, a faculty member may submit his/her WPAF for evaluation if he/she wishes to apply for early tenure in accordance with Section III.
  - c. In academic years in which a probationary faculty member is not subject to RTP review, the probationary faculty member shall be subject to periodic evaluation (i.e., "off-year" reviews).<sup>19</sup>
    - (1) Periodic evaluations shall be conducted by the department peer review committee and the college/school dean. If the department chair does not participate in the department peer review committee, the chair may make separate recommendations.

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<sup>17</sup> Procedures for Librarians: The procedures outlined in the Library's Articles of Governance shall be used in place of Sections IV.F and IV.G. Procedures for Counselors: the procedures outlined in the Counseling Area's Articles of Governance shall be used in place of Sections IV.F and IV.G.

<sup>18</sup> This provision complies with APM 324, which states "All probationary faculty members will be appointed to a two-year initial appointment. A probationary plan will be developed and implemented for each new probationary faculty member in the first year of probationary status. The first probationary review shall take place in the second year of the appointment.

<sup>19</sup> CBA Article 15.26-15.28.

- (2) Periodic evaluation procedures shall be developed by each college/school and approved by the President after consideration of the recommendations of the appropriate faculty committee(s). Such procedures shall, for probationary faculty unit employees who teach, include, without limitation, student ratings of teaching performance, peer reviews, administrative reviews, and an updated curriculum vita.<sup>20</sup>
  - (3) A written record of the periodic evaluation shall be placed in the probationary faculty member's Personnel Action File (PAF), and the probationary faculty member shall receive a copy.
2. The candidate, the chair of the peer review committee at each level, the department chair, and the appropriate administrators are responsible to assure that the procedures and established timelines are followed.
  3. All deliberations of consultative bodies on individual personnel cases shall be conducted in executive session and remain confidential as provided by law. **Violations of this confidentiality are considered unprofessional conduct and grounds for disciplinary action.**<sup>21</sup>
  4. Only individuals authorized by university policy to discuss clarifications of evidence or recommendations with higher level committees or appropriate administrators may do so. Such discussions shall only occur in the presence of the assembled peer review committee or appropriate administrator. Such discussions shall only occur at the request of a peer review committee or appropriate administrator. **Discussion of personnel cases outside of the committee setting is prohibited.**
  5. All committees designated to make recommendations in the RTP process must be elected. Vacancies can only be filled by election. Substitution of elected members by proxies is prohibited.
  6. Each peer review committee recommendation shall be approved by a simple majority of the membership of that committee present and voting.<sup>22</sup>
  7. Voting by proxy or by absentee ballot is prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.
  8. The probationary faculty member has the responsibility to place materials in the WPAF that provide documentation regarding individual achievement in each category to be reviewed. In addition, the probationary faculty member is responsible for providing a completed and signed application form and an updated vita.

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<sup>20</sup> Please refer to the Faculty Affairs Web site for the "off-year" review policies and procedures for individual schools, colleges, the library, and counselors.

<sup>21</sup> It is not a violation of this confidentiality to report to appropriate administrators (i.e., the dean or the Associate Vice President for Faculty Affairs) any inappropriate conduct that may have occurred.

<sup>22</sup> If there is a tie vote, the WPAF shall go forward with a recommendation from the peer review committee.

9. Because the dean is the custodian of the PAF it is the dean's responsibility to see that the following information is placed in the candidate's WPAF:
  - a. The Access Log and Check Sheet;
  - b. A copy of the approved Probationary Plan and a description of any non-instructional assignments;
  - c. The Retention and Tenure Form as prepared and completed by the department peer review committee;
  - d. Numerical data on student ratings including departmental and, if available, college/school norms;
  - e. A copy of the student ratings form used by the department or college/school;
  - f. All peer evaluations (in reverse chronological order);
  - g. Any letters and/or other written comments which have been signed and included in the Personnel Action File from students, colleagues, or other individuals regarding a faculty member's performance in any category to be used as evidence in the review process;
  - h. All previous Retention and Tenure Forms including written reasons (in reverse chronological order); and
  - i. The President's final decision for each probationary year review.
10. A faculty member has the right to place any information into the WPAF that s/he feels is pertinent to the evaluation process. The material placed in the WPAF should document progress toward completion of the probationary plan. Accomplishments and achievements evaluated under the categories of Scholarship of Discovery, Application and Integration (see Section II.d.2) shall be completed after appointment to the university and must bear affiliation to California State University, Fresno. When work presented for evaluation was initiated prior to appointment to the university, the faculty member should include a statement indicating which part of the work was developed and/or completed after appointment. Faculty shall not be prohibited from including for consideration accomplishments and achievements that build upon previously conducted research.
11. After the established deadline(s) set by the President each year, materials may not be added to the WPAF unless: (a) the material was not accessible prior to the deadline, and (b) the appropriate level of review at the time of the written request approves the addition of these materials to the file. This provision does not affect requests for additional information or clarification from committees or administrators, recommendations, reasons, responses, etc., placed in the WPAF pursuant to university procedures in the normal course of the RTP process.<sup>23</sup>

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<sup>23</sup> See Article 15.12 of the CBA.

12. **Recommendations on retention and tenure shall be based solely upon the contents of the candidate's WPAF.** Should the President make a decision on any basis not directly related to the professional qualifications, work performance, or personal attributes of the person in question, those reasons shall be stated in writing and entered into the Personnel Action File and shall be immediately provided to the probationary faculty member.
13. The Office of Faculty Affairs should provide a training workshop each year on retention and tenure policies and practices.
14. A faculty member may participate on a peer review committee at only one level of review. That is, a faculty member may not attend meetings at more than one level where recommendations for retention and tenure and/or promotion are discussed. Peer evaluations, assessments of publications and committee work, etc., and other forms of evaluation (resulting in written reports at the department level) do not constitute "participation."
15. No faculty member being considered for promotion may serve on any retention, tenure, or promotion peer review committee or make a separate recommendation as department chair.
16. Department chairs who have not received tenure may not make recommendations in the RTP process.
17. At all levels of review, before recommendations are forwarded to a subsequent review level, the probationary faculty member shall be given a copy of the Retention and Tenure Form and the reasons for the recommendation on the deadline date published by Faculty Affairs, a date five (5) days prior to these materials being placed in the WPAF.<sup>24</sup> The faculty member may, at his/her discretion, request a meeting with the person or group making the recommendation within five (5) days of this notification. Such a meeting must take place within ten (10) days of this request. However, the faculty member's right to submit a written rebuttal must be executed within the ten (10) day period stipulated by the Unit 3 Collective Bargaining Agreement. A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to all previous levels of review. This provision shall not require that evaluation timelines be extended.
18. The appropriate sections of the retention and tenure form and the accompanying reasons shall be prepared by the chair of the peer review committee at each level. **Under no circumstances is the candidate for retention and/or tenure to be involved in the preparation of the Retention and Tenure Form.**
19. The recommendation, and written explanation of the reasons for it, and all rebuttals and responses, if any, shall become part of the WPAF on the date indicated above.

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<sup>24</sup> The deadline dates in the calendar of faculty personnel actions published by Faculty Affairs are to be interpreted literally as the day on which an action is intended to transpire. For example, the specific date assigned to the department committee is the day on which the R&T Form and its accompanying recommendations/reasons are to be finished *and* the date on which a copy of these materials is to be given to the candidate.



20. The probationary faculty member is provided with the recommendation and reasons for two purposes: (a) to facilitate the faculty member's professional growth and development especially where shortcomings are identified; and (b) to enable the probationary faculty member to respond to a recommendation.
21. An individual faculty member may only have access to her/his own PAF/WPAF.

#### **B. Reasons for Recommendations**

The burden of proof for retention and tenure rests with the probationary faculty member's record of achievement in relation to the standards and expectations in the Probationary Plan as documented in the WPAF. It is also understood that reasonable people may disagree in the evaluation of evidence. Further, scholars in a particular field or activity have the chief competence for judging the work of their colleagues. The retention and tenure process requires that the judgment of the university, through its peer review committees and appropriate administrators, be made with full and careful consideration of this peer judgment and be consistent with academic freedom and standards of fairness and due process.

Faculty assessment should be flexible, recognizing the mission of the university, the priorities of departments, the strengths of individuals, and the uniqueness of the disciplines. In evaluating the faculty member's performance, committees and appropriate administrators shall exercise reasonable flexibility, balancing where the case requires, heavier commitments and responsibilities in one area with lesser accomplishments in another. The committees and appropriate administrators must judge whether the faculty member is engaging in activities that are sound and productive and contributing to the mission of the university. All evaluations of performance shall be based on documented patterns of performance.

#### **C. Timelines**

1. At the beginning of each academic year, deadlines for the completion of the WPAF and timelines for recommendations shall be published through the Academic Personnel Calendar.
2. If any stage of the evaluation/recommendation process is not completed within the time specified in the Faculty Affairs Calendar, the file shall be automatically transferred to the next level of review and the faculty member shall be so notified. **In such cases, the level failing to make the recommendation by the timeline shall not make a recommendation.**
3. The President shall notify a probationary faculty member who has served fewer than two years of probation of the final decision on retention no later than February 15.<sup>25</sup>

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<sup>25</sup> CBA Article 13.11.

4. The President shall normally notify a probationary faculty member who has served more than two (2) years of probation of a final decision on retention, reappointment with tenure, or a terminal year appointment prior to the end of the academic year, but no later than June 1. Official notification to a probationary faculty member of a terminal year appointment shall indicate that the faculty member has no further appointment rights. Terminal year appointments shall be limited to probationary faculty who have served a minimum of three (3) years of probation.<sup>26</sup>
5. No person shall be deemed to have been reappointed or to have been awarded tenure because notice is not given or received by the time prescribed. It is the responsibility of the probationary faculty member concerned to make inquiry to determine the decision of the President, who shall give notice without delay.<sup>27</sup>

**D. Review Process**

1. Probationary faculty members shall be reviewed at the department and college/school levels.
2. If all review levels have recommended retention or tenure (as appropriate to the individual's RTP application), the WPAF shall go directly to the President at the conclusion of the college/school level review.
3. WPAFs shall be reviewed by the University Board on Retention, Tenure and Promotion only in the event that there is a negative recommendation or the absence of a recommendation at any level. Upon completing its review, the Board will then forward the recommendations to the President.

**E. Department Level<sup>28</sup>**

1. The probationary and tenured faculty of the department shall elect a department peer review committee (or a separate committee) for each candidate of tenured full-time faculty members at a rank higher than the faculty candidate. The peer review committee shall consist of a minimum of three (3) members, excluding participants in the Faculty Early Retirement Program. The department may choose to elect members of other departments to the committee.<sup>29</sup> The department, if so desired, may function as a committee of the whole; that is, the department peer review committee may consist of all eligible tenured full-time faculty in the department. In either event, the recommendations of the peer review committee(s) are the recommendations of the departments.

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<sup>26</sup> CBA Article 13.12.

<sup>27</sup> CBA Article 13.17 states in part, "lack of official notification shall not result in the award of tenure."

<sup>28</sup> Includes programs designated by the Provost. Solely for the purpose of this policy, Librarians and Counselors (SSP-ARs) will only have departmental peer review committees.

<sup>29</sup> New footnote 29: Prior to the vote, the member of the department making the nomination must justify why it is necessary or advantageous to elect faculty from outside of the department.

2. Departments have the primary responsibility to state, in writing, and in detail, the reasons for their recommendations. The department is responsible for preparing a complete description and analysis of the factors significant in the departmental evaluation consistent with the criteria previously described.
3. Each peer review committee's independent recommendation shall be approved by a simple majority of the membership of that committee and shall be based solely on information and documentation in the WPAF. Meetings of the department peer review committee--which include confidential, careful, and thorough deliberations leading to a vote--are the required process for arriving at a recommendation.
4. Department chairs may decide to submit an independent recommendation or to participate as a member of the department peer review committee.<sup>30</sup> The department chair shall make known her/his decision, in writing to the probationary and tenured faculty in the department, after consultation with the probationary and tenured faculty of the department and prior to the date beginning the campus RTP process. A copy of the notification shall be placed in the WPAF. The chair shall apply this decision to all RTP candidates in that academic year. If the department chair makes an independent recommendation, s/he shall not participate in deliberations or attend meetings of the departmental peer review committee. If the chair does not make an independent recommendation, s/he may participate as a member of the department peer review committee.
5. The department peer review committee and the department chair (if making independent recommendations) shall indicate their recommendations and the vote on the Retention and Tenure Form. The reasons for the recommendation shall accompany the Retention and Tenure Form.
6. There shall be no meetings between the department peer review committee and the department chair, if the department chair is making a separate recommendation.
7. Voting by proxy and/or absentee ballot is prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.
8. The department chair shall forward the WPAF including the recommendations of the department peer review committee and the department chair (if separate) to the college/school dean by the deadline specified in the Faculty Affairs Calendar.

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<sup>30</sup> CBA Article 15.34 department or college/school procedures may not limit the discretion of the department chair in this matter.

**F. College/School Level**<sup>31</sup>

1. The dean shall transmit copies of all department and department chair evaluations/recommendations and supporting materials to the appropriate college/school peer review committee. This committee shall be established and shall function according to written college/school procedures and guidelines. The college/school peer review committee shall be elected by the probationary and tenured faculty in the college/school. Each department/program shall have no more than one (1) representative on the College Committee. There shall be a minimum of three (3) eligible members.
  - a. For faculty candidates for tenure and promotion to Associate Professor, full-time tenured faculty at the rank of Associate Professor or Professor may serve on the college/school peer review committee.
  - b. For faculty candidates for tenure and/or promotion to Professor only full-time tenured faculty at the rank of Professor may serve on the college/school peer review committee.
2. The procedures used in the college/school shall be made available to all members of the college/school and to the University Board on Retention, Tenure and Promotion. These college/school procedures shall make available to each probationary faculty member a means to respond to or appeal the recommendation of the department peer review committee and/or chair.
3. The college/school peer review committee shall examine the evaluations and recommendations of the department peer review committee and the department chair and shall make a thorough evaluation of the documentation for each probationary faculty member being reviewed for retention and/or tenure. The college/school peer review committee shall make an independent recommendation by the date specified in the Faculty Affairs Calendar which shall include the reasons for the recommendations of the college/school committee.
4. In the event that the probationary faculty member is recommended for termination by the department peer review committee and/or the department chair, the probationary faculty member shall have the right to make a separate appearance before the college/school peer review committee and the dean to present her/his case prior to those levels formulating their recommendations. Both the peer review committee and the dean must allow presentations of at least thirty (30) minutes in separate meetings. **Discussions must be limited to information and documentation in the WPAF.**
5. The college/school peer review committee's recommendations shall be approved by a simple majority of the membership of the committee. **These recommendations shall be based solely upon the information and documentation in the WPAF.** Votes by proxy and/or absentee voting are prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.

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<sup>31</sup> Solely for the purposes of this policy, Librarians and SSP-ARs do not have separate college/school peer review committees. For SSP-ARs, the Vice President for Student Affairs (or MPP designee) shall serve as the equivalent of the college/school dean, as that function is described in this section.

6. Upon independent review of the department peer review committee and department chair recommendations and WPAF, and by the date specified in the Faculty Affairs Calendar, the college/school dean shall make a written independent recommendation concerning retention and/or tenure based solely on information and documentation in the WPAF. The recommendation shall include reasons for the action.
7. The college/school peer review committee may request clarifications of either recommendations or evidence in the WPAF. All requests for clarification and the responses shall be in writing and placed in the WPAF.
8. The dean may request clarification of either recommendations or evidence in the WPAF. All requests for clarification and responses shall be in writing and placed in the WPAF.
9. A copy of the recommendations of the college/school peer review committee and the dean shall also be sent to the department chair and the chair of the department review committee.
10. All evaluations and recommendations from the department peer review committee, the department chair, the college/school peer review committee, and the dean shall be transmitted by the dean to the Office of Faculty Affairs by the date specified in the Faculty Affairs Calendar. Faculty Affairs shall forward to the University Board on Retention, Tenure and Promotion all WPAFs in which there is a negative recommendation or the absence of a recommendation at any level. All other WPAFs shall proceed directly to the President for final review and decision.

#### 4. University Level

1. The University Board on Retention, Tenure and Promotion (UBRTP) shall examine the evaluations and recommendations of the department and college/school levels for WPAFs in which any level has made a negative recommendation or there is the absence of a recommendation. The Board shall make a thorough evaluation of the documentation for each such probationary faculty member. The Board shall make independent recommendations directly to the President. **These recommendations shall be based solely on information and documentation in the WPAF.**
2. UBRTP is a Subcommittee of the Personnel Committee of the Academic Senate. It shall consist of nine (9) full-time tenured members with the rank of Professor or equivalent who do not occupy a position of department chair or above, elected from the faculty. The election shall follow the procedures for the election of Senators in the Bylaws of the Academic Senate, including the requirement that the nominee meets the eligibility requirements for UBRTP and agrees that s/he will serve if elected. UBRTP members may not serve simultaneously on the Personnel Committee of the Academic Senate, or a department or college/school level peer review committee that makes recommendations on retention, tenure, or promotion. No more than one (1) UBRTP member may be from any one (1) college/school. Solely for the purpose of constituting membership on UBRTP, Unit 3 Librarians and Counselors shall together constitute a single college/school. UBRTP members shall serve three-year overlapping terms.

3. All deliberations of the Board shall be conducted in executive session. All meetings of the Board may be conducted if a simple majority of the Board's members is present. The Board's recommendations shall be approved by a simple majority of the membership of the Board. Voting by proxy and/or absentee ballot is prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.
4. The faculty member under review shall have the right to make an appearance before the UB RTP to present his/her case prior to the Board's formulation of its recommendation. The Board must allow presentations of at least thirty (30) minutes. **Discussions must be limited to information and documentation in the WPAF.**
5. UB RTP may request clarifications of either recommendations or evidence in the WPAF. All requests for clarification and responses shall be in writing and placed in the WPAF.
6. The Board shall forward recommendations from all levels to the President. The probationary faculty member shall be notified in writing of the Board's recommendation and the reasons for the recommendation by the date specified in the Faculty Affairs Calendar. A copy of the recommendations shall also be sent to the department chair, the chair of the department peer review committee, the dean, and the chair of the college/school peer review committee.

#### 5. President's Decision<sup>32</sup>

1. In the event that a probationary faculty member has been recommended for termination by the department peer review committee, the department chair, the college/school peer review committee, the dean, or UB RTP, the probationary faculty member shall have the right to make an appearance before the President to present her/his case prior to the President issuing his/her decision. The President must allow a presentation of at least thirty (30) minutes. **Discussion must be limited to information and documentation in the WPAF.**
2. The President shall review and consider the recommendations for retention and/or tenure, the WPAF, and written rebuttals (if any).
3. The President may request clarifications of either recommendations or evidence in the WPAF. All requests for clarification and the responses shall be in writing and placed in the WPAF.

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<sup>32</sup> Unless announced otherwise, the Provost makes the final decision as the President's designee.

4. The President shall make a final, independent decision on each retention and/or tenure recommendation and shall notify each probationary faculty member under review in writing of that decision and of the reasons for the decision by the date specified in the Collective Bargaining Agreement.<sup>33</sup>

**REFERENCES:** CBA Articles 11, 13, 15, 16, 20, 27, 28, 29  
 Final Report of the Faculty Scholar Blue Ribbon Committee (APM)  
 Policy on the Assessment of Teaching Effectiveness (APM)  
 Policy on Probationary Plans and Faculty Mentoring (APM)

**Recommended by  
the Academic Senate**

**Approved by the President**

November, 1972

December, 1972

5/73; 4/80; 5/82; 7/84; 12/84; 6/86; 11/86; 12/87;  
 6/88; 10/89; 4/93; 5/94; 11/95; October 14, 2003;  
 January 22, 2007; January 13, 2010, April 22, 2013  
 May 17, 2013

April 15, 2015

June 16, 2016

February 6, 2019

February 8, 2019

<sup>33</sup> Lack of official notice shall not result in the award of tenure (CBA Article 13.17). No person shall be deemed to have been reappointed or to have been awarded tenure because notice is not given or received by the time prescribed. It is the responsibility of the faculty member concerned to make inquiry to determine the decision of the President, who shall give notice without delay.

## PERIODIC EVALUATION OF TENURED FACULTY

### **INTRODUCTION**

Tenured faculty have earned the right under California law to continued employment by virtue of probationary and tenured service during which both competence and performance have been rigorously reviewed and found to meet high professional standards. Therefore, in light of the special nature of tenured appointments, performance appraisals are formative in that the focus is upon the enhancement of instructional performance.

Periodic evaluation of tenured faculty serves as a means to stimulate the on-going professional development of faculty and to assure the overall quality of instruction. Further, Title 5, CSU Policy and collective bargaining agreement require that tenured faculty not subject to promotion review shall be evaluated at least every five years. The evaluation shall include assessment by the peer review committee, the department chair, and the dean of faculty responsibility including teaching effectiveness, professional development, and university and community service.

### **STANDARDS**

Teaching Effectiveness: This will be assessed in accordance with the current Policy on Assessment of Teaching Effectiveness. (Academic Policy Manual, pg. 322-1)

Professional Development: The faculty member being evaluated must demonstrate a pattern of professional development consistent with the discipline.

University and Community Service: The faculty member being evaluated must provide evidence of consistent university and community service.

### **PROCESS**

The periodic evaluation of tenured faculty shall be conducted by either a committee of the whole, or a committee consisting of a minimum of three (3) tenured full professors elected by the tenured faculty of the department. The department chair may concur with the assessment of the committee or may submit a separate assessment.

The faculty member being evaluated shall present a current vita, statement of accomplishment, a self-evaluation, and five-year report of professional development activities and university/community service to the department chair. All of these materials shall be a part of the assessment report. Departments may encourage faculty to develop five-year goals and objective statements to facilitate the evaluation process.

The committee shall develop an assessment report based upon the committee's evaluation of the quality and currency of: 1) materials submitted by the faculty member; 2) peer and student evaluations conducted since the last periodic evaluation which are representative of the faculty member's teaching responsibilities during the past five-year period; 3) relevant materials in the Personnel Action File; and 4) other written materials such as course syllabi, examinations, and assessments of research/scholarly activities.



## POLICY ON PROMOTION

This document spells out policies, organizational structures, and procedures for promotions. All procedures and actions at all levels shall conform to University policies and the Unit 3 Collective Bargaining Agreement.

The term "promotion" refers to the advancement of a probationary or tenured faculty member who holds academic or librarian rank to a higher academic or librarian rank or who holds a Student Services Professional - Academically Related (SSP-AR) classification to a higher rank.<sup>1</sup>

"President" refers to the university's President or her/his designee. Unless announced otherwise, the Provost serves as the President's designee for purposes of the Retention, Tenure, and Promotion (RTP) process.

### I. GENERAL POLICY

The period prior to promotion should be one of professional growth and development. The department and the individual faculty member share responsibility to establish clearly the goals for promotion. The faculty member should receive an informal periodic assessment of progress toward the goals as well as collegial guidance, advice, and assistance. This responsibility should be shared with the department chair, mentors, and other colleagues seeking to help the faculty member, and the faculty member seeking promotion to make the period prior to promotion as formative as possible.

Promotion shall be accompanied by salary advancement as specified by the Collective Bargaining Agreement.

Promotion is neither a faculty member's right nor solely a reward for past services and accomplishments. A decision in favor of promotion must be based upon evidence that indicates there is a high probability that the faculty member will assume the increased responsibilities and leadership inherent in the higher ranks.

Probationary faculty normally shall not be promoted during probation. Probationary faculty shall be considered for promotion at the time they are considered for tenure.<sup>2</sup> Under exceptional circumstances, probationary faculty during their probationary period may be promoted to the rank of Associate Professor but not to the rank of Professor.<sup>3</sup>

Promotion of a tenured faculty member shall normally be effective at the beginning of the sixth (6th) year after appointment to his/her current rank. In such cases, the performance review shall take place during the year preceding the effective date of the promotion. This provision shall not apply if the faculty member requests in writing that he/she not be considered.<sup>4</sup>

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<sup>1</sup> Hereafter, the use of the terms "Associate Professor" or "Professor" in this policy also refers to the equivalent ranks for Librarians and SSP-ARs.

<sup>2</sup> See CBA Article 14.2.

<sup>3</sup> See CBA Article 14.2.

<sup>4</sup> See CBA Article 14.3.

Upon application and with a positive recommendation from the appropriate department or equivalent unit, a tenured faculty member (or one receiving tenure simultaneously) may be considered for promotion to Professor or equivalent rank before having satisfied the service requirements noted above. Current and prospective leave and special assignment do not affect the promotion eligibility of a faculty member.<sup>5</sup>

Promotion shall be effective at the beginning of the academic year succeeding the academic year in which promotion is awarded.

Timelines for the promotion process shall be announced by the President after consideration of the recommendations, if any, of the appropriate faculty committee(s). Promotion applications shall not normally be accepted after the announced timeline for applications.<sup>6</sup>

## II. CRITERIA FOR PROMOTION

- A. Terminal degree requirements are considered to have been met by virtue of the appointment to a probationary/tenured position.
- B. A positive recommendation for promotion shall be based solely upon a positive assessment of the overall quality of performance and achievement in the Scholarship of Teaching; the Scholarship of Discovery, Application, and Integration; and in University and Community Service as described below; including an established pattern of productive working relationships with peers and colleagues as demonstrated through the evidence presented in the candidate's Working Personnel Action File (WPAF).<sup>7</sup> Only achievements while a probationary faculty member at this university shall be considered for promotion to Associate Professor. For promotion to the rank of Professor, primary consideration will be given to performance since the initial appointment or last promotion at this University.
- C. The responsibilities of all full-time faculty members include effective teaching; professional, scholarly, and creative activities; and university and public service.<sup>8</sup> A strong record of effectiveness in the Scholarship of Teaching is essential criterion for promotion, but is not sufficient in and of itself. Professional growth and scholarly/creative activities are also important. Achievement in University and public service, while not a substitute for achievements in teaching effectiveness or professional growth and scholarly/creative activities, is considered essential in evaluating a candidate's overall qualifications for promotion.
- D. Documentation of the scholarly activities of teaching, application, integration, and discovery and university and public service should be rich and varied. It should consist of evidence gathered over time from a variety of sources, namely, self-evaluation, peer evaluation, student ratings, and other evaluation. Assessment of scholarly activities should be relevant to and fit the faculty member's field of expertise. The responsibility for documenting performance in these areas resides with the faculty member.

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<sup>5</sup> Promotion eligibility is defined in Article 14 of the Collective Bargaining Agreement.

<sup>6</sup> CBA Article 14.5.

<sup>7</sup> Allegations of non-collegial working relationships by reviewers must be supported by documentation in the WPAF.

<sup>8</sup> See Article 20 of the CBA. For faculty without teaching responsibilities, professional effectiveness in assigned responsibilities is substituted for teaching.

## 1. Teaching Effectiveness<sup>9</sup>

The Scholarship of Teaching (teaching effectiveness) is an essential precondition for promotion. Teaching is considered to be a “scholarly act” that includes the clear communication of knowledge of the discipline and subject matter and the transformation and extension of that knowledge.

It is expected that the faculty member will continually improve his/her understanding of student learning, increase her/his knowledge of pedagogy, and strengthen teaching skills throughout the probationary period and will demonstrate both the accomplishment of clear, precise communication in teaching as well as the application of that knowledge.

The "scholarly act of teaching" is demonstrated through understanding and current knowledge, including the use of measures of student learning, in such activities as:<sup>10</sup>

- a. clearly defined student learning objectives
- b. appropriate learning exercises
- c. prepared exercise packets
- d. samples of student exams and essays
- e. designed course materials
- f. creation of course software
- g. published research in teaching and learning
- h. teaching portfolio analysis
- i. experiential learning, such as service-learning.

Faculty are expected to participate in conferences, seminars, and workshops that enhance effectiveness in the scholarly act of teaching<sup>11</sup> for the purpose of:

- a. Acquiring theoretical and empirical research based knowledge about effective learning and teaching;
- b. Reflecting upon and practicing such knowledge in the educational setting; and
- c. Demonstrating the transformational effect from experience in utilizing various pedagogies.

Teaching is a scholarly endeavor demonstrated and assessed in accordance with APM 32<sup>i</sup>2, Policy on Assessment of Teaching Effectiveness. Additional requirements shall include: course syllabi and content, clearly defined learning objectives, samples of exams, learning exercises, handouts, classroom research activities, writing requirements including student exams and essays, and teaching portfolios.

Constructive and professional relationships with students are important for a strong academic program. Therefore, it is expected that the faculty member will be evaluated for demonstrated

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<sup>9</sup> Non-instructional faculty such as librarians and SSP-ARS shall substitute professional effectiveness in their assigned responsibilities for the scholarship of teaching. Strong evidence of professional effectiveness is a precondition for tenure for faculty without instructional responsibilities. It is expected that faculty with non-instructional responsibilities will demonstrate professional competence and effectiveness, including demonstration of the skills necessary to perform assigned responsibilities throughout the probationary period. A careful assessment will be made of the performance of assigned responsibilities including quality of work, soundness of judgment, willingness to initiate and complete projects, and effectiveness of professional interactions with faculty and students.

<sup>10</sup> From the list, faculty members are expected to accomplish only those items that are appropriate to their discipline.

<sup>11</sup> Faculty are encouraged to attend events such as those sponsored by the Center for the Scholarly Advancement of Learning and Teaching (CSALT) to strengthen and update their professional expertise in classroom instruction.

sound academic advising, effective counseling of students on course related matters, the ability to work with a diverse student population, and availability of the faculty member on a regular basis to assist students with their academic needs.

## **2. Professional Growth and Scholarly/Creative Activities**

All faculty members are expected to engage in a demanding program of professional development and scholarly/creative activities:<sup>12</sup>

- a. As a teacher-scholar, strengthening and updating professional expertise for classroom instruction (Scholarship of Teaching);
- b. As a scholar, strengthening and broadening the faculty member's scholarly and academic credentials (Scholarship of Discovery);
- c. As a practitioner, engaging in both theory and application (Scholarship of Application); and
- d. As an integrated scholar, placing specialties in a broader context (Scholarship of Integration).

The Scholarship of Discovery is documented through critically evaluated and professionally recognized activities such as:

- a. Journal articles
- b. Monographs
- c. Proceedings
- d. Poems
- e. Stories
- f. Artistic creations
- g. Awarded grants and evidence of subsequent work
- h. Public performances
- i. Published books
- j. Public presentations.

The Scholarship of Application is documented by using knowledge to address demanding, substantive human problems such as:

- a. Conducting applied research and evaluation;
- b. Providing technical assistance;
- c. Developing new products, practices, clinical procedures, new artistic works, consultation with community organizations;
- d. Performing clinical service;
- e. Promoting experiential learning and professional development;
- f. Engaging in community-based research.

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<sup>12</sup> From the lists given, faculty members are expected to accomplish only those items that are appropriate to their discipline.

The Scholarship of Integration is documented by making connections across disciplines through such activities as:

- a. Designing new courses;
- b. Writing textbooks;
- c. Developing videocassettes and television programs;
- d. Writing for non-specialists;
- e. Sponsoring colloquia and forums;
- f. Shaping a core curriculum;
- g. Preparing quality computer software;
- h. Integrating professional experiences in classrooms;
- i. Writing critical review articles.

The faculty member is expected to engage the scholarship of discovery, integration or application or a combination thereof appropriate to their discipline. These activities will be demonstrated through documented scholarly research activities, refereed or juried publications, public performances and exhibits, and presentations; participation in professional conferences, workshops, or seminars; activities leading to the improvement of teaching skills such as the development of innovative courseware; service learning; the development of new products; the developing new clinical procedures; grant and contract activity; participation in professional organizations; post-doctoral studies; and other creative/ scholarly activities.

### **3. University and Public Service**

Commensurate with rank, faculty members are expected to participate productively, collegially, and collaboratively in the collective efforts and functions of the department, college/school, university and, on occasion, the CSU.

It is expected that the faculty member will demonstrate university and community service through such activities as:<sup>13</sup>

- a. Participation on department, college/school and/or university committees and commissions, including participation on the academic senate;
- b. Service to the university, profession and community;
- c. Working collaboratively and productively with colleagues;
- d. Mentoring colleagues;
- e. Participation in traditional academic functions such as convocation and commencement activities, student outreach activities, etc;
- f. Participation in group projects directed toward department, college/school and university goals;
- g. Contributions to the community-at-large such as organizational leadership and presentations, as well as other relevant participation in groups serving the public interest. Community service contributions that relate directly to one's discipline or position will be given greater weight.

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<sup>13</sup> This list is derived from faculty responsibilities described in Article 20 of the Collective Bargaining Agreement.

### **III. ADDITIONAL CRITERIA FOR PROMOTION TO FULL PROFESSOR (OR EQUIVALENT)**

Full Professors play a critical role in determining the University's intellectual quality. Therefore, it is incumbent upon those seeking the highest academic faculty rank to present a record of accomplishment commensurate with senior status in the discipline and in the University. This means, in general, that the faculty member's teaching, scholarship, and service should demonstrate broadly-recognized, well-established distinction in his/her discipline. The standards for promotion will be sustained activity and quality contributions.<sup>14</sup>

#### **A. General Requirements**

Prior promotion to the rank of Associate Professor does not necessarily imply eventual promotion to Professor, nor should length of service, by itself, produce such an expectation. Probationary faculty shall not be promoted to the rank of Professor. Normally, a faculty member is eligible to be considered for Promotion in the fifth year following promotion to Associate Professor (with the promotion becoming effective at the start of the sixth year). Anything less than this five-year period would be considered an "early" consideration, as described in Section IV below. The period of review shall be the period since the faculty member's last promotion or, in the case of those with an initial appointment at the Associate Professor rank, the period from initial appointment on this campus.<sup>15</sup> The candidate's cumulative contributions to the university and the profession will be considered in order to assess contributions to the discipline. A comprehensive vita should be included in the WPAF to fully document the candidate's entire academic career.

#### **B. Teaching Effectiveness<sup>16</sup>**

Teaching is the most important responsibility faculty members have. Promotion to Professor requires that the candidate demonstrate a sustained pattern of excellent teaching, supported by peer evaluations, student ratings, and a teaching portfolio. The successful candidate for promotion will also provide evidence that his/her teaching has matured over the course of her/his academic career.

#### **C. Research, Scholarship, & Creative Activity**

Candidates for promotion to Professor must demonstrate achievement and substantial activity in, and contributions to, the discipline. This expectation could be met, in part, by demonstrated leadership in their professional communities— but leadership alone cannot serve as the sole substitute for the significant research, scholarship, or artistic productivity that defines distinction in the discipline.

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<sup>14</sup> As provided for in Article 15.12(d) of the CBA, one method a candidate may employ to establish recognition beyond the confines of the campus could be the use of an external reviewer. Nothing in this policy should be construed as precluding or prohibiting external review as part of this evaluation process.

<sup>15</sup> At the time of the application, the Associate Professor must be either tenured or applying for tenure.

<sup>16</sup> Non-instructional faculty such as librarians and SSP-ARS shall substitute professional effectiveness in their assigned responsibilities for the scholarship of teaching. Strong evidence of professional effectiveness is a precondition for promotion of faculty without instructional responsibilities. It is expected that faculty with non-instructional responsibilities will demonstrate professional competence and effectiveness, including demonstration of the skills necessary to perform assigned responsibilities since the last promotion. A careful assessment will be made of the performance of assigned responsibilities including quality of work, soundness of judgment, willingness to initiate and complete projects, and effectiveness of professional interactions with faculty and students.

#### **D. University & Public Service**

Faculty seeking promotion to Professor should show substantial evidence of increasing leadership responsibilities at both the department and college/school levels. Significant university-wide service is also expected, though equivalent community service may be considered an acceptable alternative.

### **IV. CONSIDERATION FOR EARLY PROMOTION**

The following process and criteria must be met before early promotion is granted.

#### **A. Procedure**

An individual consultation with the Provost must take place prior to consideration for early promotion. A faculty member seeking early promotion shall provide the Provost with a letter outlining his/her accomplishments. This letter shall be sent to the Provost two weeks prior to the scheduled consultation. The WPAF is not to be submitted at this time. Encouragement from the Provost to consider applying for early promotion does not guarantee that early promotion will be awarded.

#### **B. Criteria for Early Promotion**

Faculty members seeking early promotion must provide evidence of sustained excellent performance in all three areas: Scholarship of Teaching; the Scholarship of Discovery/Application/Integration; and university and public service as described above.<sup>17</sup> In order to meet this standard, it is expected that the documented performance must demonstrate sustained excellence in all three categories and distinguish the faculty member from successful candidates who applied for promotion during the normal time-in-rank review cycle.

##### **1. Teaching Effectiveness**

The faculty member must demonstrate a sustained pattern of teaching excellence as described in Section II above for the period since the last promotion.

Excellence in the Scholarship of Teaching shall be demonstrated through outstanding student ratings, outstanding peer evaluations, receipt of outstanding teaching awards, national or regional recognition for outstanding teaching or other applicable evidence the candidate can provide that the President deems acceptable (e.g. students the faculty member has mentored receiving meritorious recognition for art work, research and/or publications).

##### **2. Professional Development and Scholarly/Creative Activities**

The faculty member must demonstrate a sustained pattern of excellence in the Scholarship of Application/Integration/Discovery as described in Section II above.

##### **3. University and Public Service**

The faculty member must demonstrate a sustained pattern of excellence in university and public service as described in Section II above.

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<sup>17</sup> Completion of the probationary plan at an early date is not a sufficient basis for early promotion.

## V. PROCEDURES<sup>18</sup>

Responsibilities of departments and department chairs shall be fulfilled by programs and program coordinators when so authorized by the President.

### A. General Procedures Applicable to the Entire Process.

The Office of Faculty Affairs will provide instructions and forms for the preparation of the WPAF and for the preparation of recommendations on its website.

The President will issue, as part of the Faculty Affairs Calendar, the deadline dates for each step in the promotion process.

1. The candidate, the chair of the peer review committee at each level, department chair, and the appropriate administrators are responsible to assure that the procedures and established timelines are followed.
2. All deliberations of consultative bodies on individual personnel cases shall be conducted in executive session and remain confidential as provided by law. **Violations of this confidentiality will be considered unprofessional conduct and grounds for disciplinary action.**<sup>19</sup>
3. Only individuals authorized by University policy to discuss clarifications of evidence or recommendations with higher level committees or appropriate administrators may do so. Such discussions shall only occur in the presence of the assembled peer review committee or appropriate administrator. Such discussions shall only occur at the request of a peer review committee or appropriate administrator. **Discussion of personnel cases outside of the committee setting is prohibited.**
4. All committees designated to make recommendations in the promotion process must be elected. Vacancies can only be filled by election. Substitution of elected members by proxies is prohibited.
5. Each peer review committee recommendation shall be approved by a simple majority of the membership of that committee present and voting.<sup>20</sup>
6. Voting by proxy or by absentee ballot is prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.
7. The faculty member is responsible for placing materials in the WPAF to document individual achievement in each category to be reviewed. The faculty member is also responsible for providing a completed and signed application form and an updated vita.

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<sup>18</sup> Procedures for Librarians: The procedures outlined in the Library's Articles of Governance shall be used in place of Section IV.D. and IV.E. Procedures for Counselors: The procedures outlined in the Counseling Area's Articles of Governance shall be used in place of Section IV.D. and IV.E.

<sup>19</sup> It is not a violation of this confidentiality to report to appropriate administrators (i.e. the dean or the Associate Vice President for Faculty Affairs) any inappropriate conduct that may have occurred.

<sup>20</sup> If there is a tie vote, the WPAF shall go forward without a recommendation from the peer review committee. (See CBA 15.42-43)



8. Because the dean is the custodian of the Personnel Action File (PAF) it is the dean's responsibility to ensure that the following information is placed in the candidate's WPAF:
  - (a) The Access Log and Check Sheet;
  - (b) The Promotion Form as prepared and completed by the department peer review committee;
  - (c) Numerical data on student ratings including departmental and, if available, college/school norms;
  - (d) A copy of the student ratings instrument used by the department or college/school;
  - (e) All peer evaluations (in reverse chronological order);
  - (f) Any letters and/or other written comments which have been signed and included in the PAF from students, colleagues, or other individuals regarding a faculty member's performance in any category to be used as evidence in the review process; and
  - (g) All previous Promotion Forms including written reasons (in reverse chronological order).<sup>21</sup>
  - (h) The President's final decision letter on any previous application for promotion that was denied.
9. A faculty member has the right to place any information into the WPAF that s/he feels is pertinent to the evaluation process. Primary consideration will be given to performance since the initial appointment or last promotion at this University.
10. After the established deadline(s) set by the President each year, materials may not be added to the WPAF unless: (a) the material was not accessible prior to the deadline, and (b) the appropriate level of review at the time of the written request approves the addition of these materials to the File. This provision does not affect requests for additional information or clarification from committees or administrators, recommendations, reasons, responses, etc. placed in the WPAF pursuant to university procedures in the normal course of the promotion process.<sup>22</sup>
11. **Recommendations on promotion shall be based solely upon the contents of the candidate's WPAF.** Should the President make a decision on any basis not directly related to the professional qualifications, work performance, or personal attributes of the person in question, those reasons shall be stated in writing and entered into the PAF and shall be immediately provided to the faculty member.
12. The Office of Faculty Affairs should provide a training workshop each year on promotion policies and practices.
13. A faculty member may participate on a peer review committee *only at one level of review.* That is, a faculty member may not attend meetings at more than one level where recommendations for retention and tenure and/or promotion are discussed. Peer evaluations, assessments of publications and committee work, etc. and other forms of evaluation (resulting in written reports at the department level) do not constitute "participation."

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<sup>21</sup> This provision applies only if the faculty member has previously applied for and been denied promotion to the rank for which s/he is currently being considered.

<sup>22</sup> See Article 15.12 of the CBA.

14. No faculty member being considered for promotion may serve on any retention, tenure, or promotion peer review committees.<sup>23</sup>
15. Department chairs who have not received tenure may not make recommendations in the promotion process.
16. At all levels of review, before recommendations are forwarded to a subsequent review level, the faculty member shall be given a copy of the Promotion Form and the reasons for the recommendation on the deadline date published by Academic Personnel Services, a date five (5) days prior to these materials being placed in the WPAF.<sup>24</sup> The faculty member may, at his/her discretion, request a meeting with the person or group making the recommendation within five (5) days of this notification. Such a meeting must take place within ten (10) days of this request. However, the faculty member's right to submit a written rebuttal must be executed within the ten (10) day period stipulated by the Unit 3 Collective Bargaining Agreement. A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to all previous levels of review. This provision shall not require that evaluation timelines be extended.
17. The appropriate sections of the Promotion Form and the accompanying reasons shall be prepared by the chair of the peer review committee at each level. **Under no circumstances is the candidate for promotion to be involved in the preparation of the Promotion Form.**
18. The recommendation and written explanation of the reasons for it, and all rebuttals and responses, if any, shall become part of the WPAF on the date indicated above.
19. The faculty member is provided with the recommendation and reasons for two purposes: (a) to facilitate the faculty member's professional growth and development especially where shortcomings are identified; and (b) to enable the faculty member to respond to a recommendation.
20. An individual faculty member may only have access to his/her own PAF or WPAF.

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<sup>23</sup> A department chair may not make a separate recommendation if he/she is being reviewed for promotion during the same academic year.

<sup>24</sup> The deadline dates in the calendar of faculty personnel actions published by Faculty Affairs are to be interpreted literally as the day on which an action is intended to transpire. For example, the specific date assigned to the department committee is the day on which the Promotion Form and its accompanying recommendations/reasons are to be finished and the date on which a copy of these materials is to be given to the candidate.

## B. Reasons for Recommendations

The burden of proof for promotion rests with the faculty member's record of achievement. It is also understood that reasonable people may disagree in the evaluation of evidence. Further, scholars in a particular field or activity have the chief competence for judging the work of their colleagues. The promotion process requires that the judgment of the University, through its peer review committees and administrators, be made with full and careful consideration of this peer judgment and be consistent with academic freedom and standards of fairness and due process.

Faculty assessment should be flexible, recognizing the mission of the university, the priorities of departments, the strengths of individuals, and the uniqueness of the disciplines. In evaluating the faculty member's performance, committees and appropriate administrators shall exercise reasonable flexibility, balancing, where the case requires, heavier commitments and responsibilities in one area with lesser accomplishments in another. The committees and appropriate administrators must judge whether the faculty member is engaging in activities that are sound and productive and contributing to the mission of the university. All evaluations of performance shall be based on documented patterns of performance.

## C. Timelines

1. If any stage of the evaluation/recommendation process is not completed within the time specified in the administrative calendar, the file shall be automatically transferred to the next level of review and the faculty member shall be so notified. **In such cases, the level that failed to make the recommendation in accordance with the timeline shall make no recommendation at all.**
2. At the beginning of each academic year, deadlines for the completion of WPAFs and timelines for recommendations shall be published through the Faculty Affairs Calendar.
3. The President shall notify a faculty member being considered for promotion of the promotion decision prior to the end of the academic year but no later than June 15.
4. No person shall be deemed to have been promoted because notice was not given or received by the time prescribed. It is the responsibility of the faculty member concerned to make inquiry to determine the decision of the President, who shall give notice without delay.

#### D. Department Level<sup>25</sup>

1. Departments have the primary responsibility to state, in writing, and in detail, the reasons for their recommendations. The department is responsible for preparing a complete description and analysis of the factors significant in the departmental evaluation consistent with the criteria previously described.
2. The probationary and tenured faculty of the department shall elect a department peer review committee (or a separate committee for each candidate) of tenured full-time faculty members at a rank higher than the faculty candidate. The peer review committee shall consist of a minimum of three (3) members, excluding participants in the Faculty Early Retirement Program. The department may choose to elect members of other departments to the committee.<sup>26</sup> The department, if so desired, may function as a committee of the whole; that is, subsequent to a departmental election, the department peer review committee may consist of all eligible tenured full-time faculty in the department. In either event, the recommendations of the peer review committee(s) are the recommendations of the department.
3. Each peer review committee's independent recommendation shall be approved by a simple majority of the membership of that committee and shall be based solely on information and documentation in the WPAF. A meeting(s) of the department peer review committee which includes confidential, careful, thorough deliberations leading to a vote is the required process for arriving at a recommendation.
4. Department chairs may decide to submit an independent recommendation or to participate as a member of the department peer review committee.<sup>27</sup> The department chair shall make known her/his decision, in writing to the probationary and tenured faculty in the department, after consultation with the probationary and tenured faculty of the department and prior to the date beginning the campus promotion process. A copy of the notification shall be placed in the WPAF. The chair shall apply this decision to all promotion candidates in that academic year. If the department chair makes an independent recommendation, s/he shall not participate in deliberations or attend meetings of the departmental peer review committee. If the chair does not make an independent recommendation, s/he may participate as a member of the department peer review committee.
5. The department peer review committee and the department chair (if making independent recommendations) shall indicate their recommendations and the vote for the recommendations on the Promotion Form. The reasons for the recommendation shall be attached to the Promotion Form.
6. There shall be no meetings between the department peer review committee and the department chair, if the department chair is making a separate recommendation.

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<sup>25</sup> Includes programs designated by the Provost. Solely for the purpose of this policy, Librarians and Counselors (SSP-ARs) will only have departmental peer review committees.

<sup>26</sup> Prior to the vote, the member of the department making the nomination must justify why it is necessary or advantageous to elect faculty from outside of the department.

<sup>27</sup> CBA Article 15.37. Department or college/school procedures may not limit the discretion of the department chair in this matter.

7. Voting by proxy and/or absentee ballot is prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.
8. The department chair shall forward the WPAF including the recommendations of the department peer review committee and, the department chair (if separate) to the college/school dean by the deadline specified in the academic personnel calendar.

#### E. College/School Level<sup>28</sup>

1. The dean shall transmit copies of all department and department chair evaluations/recommendations and supporting materials to the appropriate college/school peer review committee. This committee shall be established and shall function according to written college/school procedures and guidelines. The college/school peer review committee shall be elected by the probationary and tenured faculty in the college/school. Each department/program shall have no more than one (1) representative on the College Committee. There shall be a minimum of three (3) eligible members.
  - a. For faculty candidates for tenure and promotion to Associate Professor, full-time tenured faculty at the rank of Associate Professor or Professor may serve on the college/school peer review committee.
  - b. For faculty candidates for tenure and/or promotion to Professor only full-time tenured faculty at the rank of Professor may serve on the college/school peer review committee.<sup>2</sup>  
 The procedures used in the college/school shall be made available to all members of the college/school and to the University Board on Retention, Tenure and Promotion. These college/school procedures shall make available to each faculty member being reviewed for promotion a means to respond to or appeal the recommendation of the department peer review committee and/or chair.
3. The college/school peer review committee shall examine the evaluations and recommendations of the department peer review committee and the department chair and shall make a thorough evaluation of the documentation for each faculty member being reviewed for promotion. The college/school peer review committee shall make an independent recommendation which shall include the reasons for the recommendation of the college/school committee.
4. In the event that a faculty member is not recommended for promotion by the department peer review committee and/or the department chair, the faculty member shall have the right to make a separate appearance before the college/school peer review committee and the dean to present his/her case prior to those levels formulating their recommendations. Both the peer review committee and the dean must allow presentations of at least thirty (30) minutes in separate meetings. **Discussions must be limited to information and documentation in the WPAF.**
5. The college/school peer review committee's recommendations shall be approved by a simple majority of the membership of the committee. **These recommendations shall be based solely upon the information and documentation in the WPAF.** Votes by proxy and/or absentee voting are prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.

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<sup>28</sup> Solely for the purposes of this policy, Librarians and SSP-ARs do not have separate college/school peer review committees. For SSP-ARs, the Vice President for Student Affairs (or MPP designee) shall serve as the equivalent of the college/school dean, as that function is described in this section.

6. Upon independent review of the department peer review committee and department chair recommendations and WPAFs, the college/school dean shall make a written independent recommendation concerning promotion based solely on information and documentation in the WPAF. The recommendation shall include reasons for the action.
7. The college/school peer review committee may request clarifications of either recommendations or evidence in the WPAF. All requests for clarification shall be in writing.
8. The dean may request clarification of either recommendations or evidence in the WPAF. All requests for clarification shall be in writing.
9. All evaluations and recommendations from the department peer review committee, the department chair, the college/school peer review committee, and the dean shall be transmitted by the dean to the office of Faculty Affairs by the date specified in the Faculty Affairs Calendar. Faculty Affairs shall forward to the University Board on Retention, Tenure and Promotion all WPAFs in which a recommendation to deny promotion was made at any level, or there is the absence of a recommendation at any level. All other WPAFs shall proceed directly to the President for final review and decision.

#### **F. University Level**

1. The University Board on Retention, Tenure and Promotion (UBRTP) shall examine the evaluations and recommendations of the department and college/school levels for WPAFs in which any level has made a recommendation to deny promotion or there is the absence of a recommendation, and shall make a thorough evaluation of the documentation for each such faculty member. The Board shall make independent recommendations directly to the President. **These recommendations shall be based solely on information and documentation in the WPAF.**
2. UBRTP is a Subcommittee of the Personnel Committee of the Academic Senate. It shall consist of nine (9) full-time tenured members with the rank of Professor or equivalent who do not occupy a position of department chair or above, elected from the faculty. The election shall follow the procedures for the election of Senators in the Bylaws of the Academic Senate, including the requirement that the nominee meets the eligibility requirements for UBRTP and agrees that s/he will serve if elected. UBRTP members may not serve simultaneously on the Personnel Committee of the Academic Senate or a department or college/school level peer review committee that makes recommendations on retention, tenure or promotion. No more than one (1) UBRTP member may be from any one (1) college/school. Solely for the purpose of constituting membership on UBRTP, Unit 3 Librarians and Counselors shall together constitute a single college/school. UBRTP members shall serve three-year overlapping terms.
3. All deliberations of the Board shall be conducted in executive session. All meetings of the Board may be conducted if a simple majority of the Board's members is present. The Board's recommendations shall be approved by a simple majority of the membership of the Board. Voting by proxy and/or absentee ballot is prohibited. Only those committee members who are present and voting when the recommendations are made may sign the recommendation form.

4. The faculty member under review shall have the right to make an appearance before the University Board on Retention, Tenure and Promotion to present his/her case prior to the Board's formulation of its recommendation. The Board must allow presentations of at least thirty (30) minutes. **Discussions must be limited to information and documentation in the WPAF.**
5. UB RTP may request clarifications of either recommendations or evidence in the WPAF. All requests for clarification shall be in writing.
6. The Board shall forward recommendations from all levels to the President. Faculty members shall be notified in writing of the Board's recommendations and the reasons for the recommendation by the date specified in the Academic Personnel Calendar. A copy of the recommendation shall also be sent to the department chair, the chair of the department peer review committee, the dean, and the chair of the college/school peer review committee.

#### **G. President's Decision<sup>29</sup>**

1. In the event that a faculty member has not been recommended for promotion by the department peer review committee, the department chair, the college/school peer review committee, the dean, or the University Board on Retention, Tenure and Promotion, the faculty member shall have the right to make an appearance before the President to present his/her case prior to the President issuing his/her decision. The President must allow a presentation of at least thirty (30) minutes. **Discussions must be limited to information and documentation in the WPAF.**
2. The President shall review and consider the recommendations for promotion, the WPAF, and written rebuttals (if any).
3. The President may request clarifications of either recommendations or evidence in the WPAF. All requests for clarification shall be in writing.
4. The President shall make a final, independent decision on each promotion recommendation and shall notify each faculty member under review in writing,<sup>30</sup> of that decision and of the reasons for the decision by the date specified by the Collective Bargaining Agreement.<sup>31</sup>

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<sup>29</sup> Unless announced otherwise, the Provost makes the final decision as the President's designee.

<sup>30</sup> Notice of the President's decision is mailed to the home address of the faculty member return receipt requested. The university cannot mail letters return receipt requested to post boxes.

<sup>31</sup> No person shall be deemed to have been promoted because notice was not given or received by the time prescribed. It is the responsibility of the faculty member concerned to make inquiry to determine the decision of the President, who shall give notice without delay.

**REFERENCES:**

CBA Articles 11, 14, 15, 16, 20, 27, 28, 29, 31

Final Report of the Faculty Scholar Blue Ribbon Committee (APM)

Policy on the Assessment of Teaching Effectiveness (APM)

**Recommended by  
the Academic Senate****Approved by the President**March 1977  
Amended

June 1975 (Interim)

June 1977

4/83; 10/84; 6/86; 10/86; 5/87; 6/88; 10/89; 4/93; 5/94;  
11/95; 11/99; 11/00; October 14, 2003, May 4, 2007

July 15, 2011

September 24, 2012

October 2, 2012



The assessment report of the committee and the department chair will be shared with the tenured faculty member. The faculty member shall be provided the opportunity to make a thirty minute presentation to the committee and department chair if the assessment is a negative assessment. The faculty member may also submit his/her comments regarding the assessment in writing. The assessment report of the committee and the department chair, with relevant documents used in the evaluation process, shall be forwarded to the dean along with any recommendation the committee and/or chair choose to make. The dean shall consult with the chair and committee and may add an independent assessment before discussing the assessments and any recommendations with the faculty member. The entire assessment report, including the dean's assessment, shall be placed in the faculty member's Personnel Action File.

The faculty member being evaluated may submit a rebuttal within seven (7) days of the issuance of the final assessment report. This rebuttal is to be included in the Personnel Action File.

### **OUTCOMES**

Following a positive review and in consultation with the department chair, department committee, as well as with the faculty member, the dean may take appropriate action in accordance with the university, school and department policies based upon the periodic evaluation. Possible actions include, but are not limited to: letters of commendation; special consideration for teaching assignments, professional travel, assigned time, professional development opportunities and recognitions or rewards.

Satisfactory performance in the teaching effectiveness area accompanied by an unsatisfactory evaluation of both professional development and university/community service shall mandate an interim evaluation the following year using the same criteria and standards.

An unsatisfactory evaluation of teaching effectiveness will also mandate that an interim evaluation to be conducted the following academic year using the same criteria and standards.

If the periodic evaluation conducted is a result of a previously unsatisfactory evaluation, the following actions may be taken: scheduling of further interim periodic evaluations; additional student and/or peer evaluations of teaching; establishment of performance goals with scheduled self-reporting of progress; other professional development activities designed to improve specified aspects of performance; and if appropriate, verbal or written recommendations (development program) or a recommendation for discipline pursuant to Article 19 of the collective bargaining agreement.

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Approved by the Academic Senate  
Approved by the President  
Revised

May 1981  
May 1981  
February 1995

## POLICY ON MARKET-BASED SALARY INCREASES

The Provost and Vice President for Academic Affairs (hereinafter Provost) may grant a salary increase to a probationary or tenured faculty member to address market considerations.<sup>1</sup> Such increases shall not be bound by the eight (8) service salary increases that a faculty member is eligible for upon appointment or promotion.

A Market-Based Salary Increase shall be in the form of a permanent increase in the base salary of the recipient.

### I. ELIGIBILITY

All probationary and tenured faculty members are eligible to apply for and receive a Market-Based Salary Increase under the terms of this policy.

### II. PROCEDURES

#### A) Applications

1. Applications for a Market-Based Salary Increase must be submitted by the individual applicant to the Department Chair and the Provost on the form provided by the University for this purpose.
2. Applications for Market-Based Salary Increases shall normally be accompanied by (1) documentation supporting the market-based salary lag or (2) evidence of a bona-fide offer of employment (i.e., a written contract offer) from another accredited college or university.

#### B) General Guidelines

The following are the general procedures that apply to this process.

1. The Chair of the Department Review Committee and the Chair of the Department are responsible for ensuring that these procedures are followed.
2. All deliberations related to recommendations regarding Market-Based Salary Increases shall be conducted in executive session and remain confidential. **Violations of confidentiality shall be considered unprofessional conduct and grounds for disciplinary action.**
3. An individual may withdraw an application for a Market-Based Salary Increase at any time during the process.

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<sup>1</sup> In general, increases in the base pay of faculty employees may only occur when a faculty member receives a Market-Based Salary Increase, is promoted and receives a salary increase, or during those fiscal years in which the California Faculty Association and the California State University specifically agree to provide increases in one or more of the following categories: (a) Across the board general salary increases; (b) Service Salary Increases; (c) Post-Promotion Increases, or (d) Equity Increases. Information about the terms on which such increases may be granted is contained in Article 31 of the Collective Bargaining Agreement.

### C) **Review Procedures**

1. Each Department shall elect a review committee of at least three (3) tenured faculty members to make recommendations on applications for Market-Based Salary Increases. In the alternative, the tenured members of the Department may function as a committee of the whole. The Department Chair may not be a member of this review committee or participate in its deliberations. The recommendation of the Department Review Committee is the recommendation of the Department.
2. An applicant for a Market-Based Salary Increase shall not be eligible to participate as a member of the Department Review Committee.
3. The Department Review Committee shall forward to the Department Chair a written recommendation (either positive or negative) along with the Department's written assessment of the applicant and all supporting documentation. A positive recommendation shall include a recommendation on the amount the Department feels should be awarded. If there is more than one applicant, there shall be no ranking of applications.
4. If the Department Review Committee does not assess an application and make a recommendation within a reasonable time or, if a deadline has been established, by the established deadline, the application shall be considered by the Department Chair.
5. The Department Chair shall separately review the application and the accompanying recommendation and documentation. The Department Chair shall forward an independent written assessment and recommendation, either positive or negative, on the applicant. The Department Chair shall forward the recommendation of the Department Review Committee and the Chair's recommendation with all supporting documentation to the School or College Dean. A positive recommendation shall include a recommendation on the amount the Department Chair feels should be awarded. If there is more than one applicant, there shall be no ranking of applications.
6. If a Department Chair does not assess an application and does not make an independent recommendation within a reasonable time or, if a deadline has been established, by the established deadline, the application shall be considered by the Dean without the Chair's recommendation.
7. The School or College Dean shall separately review the application and the accompanying recommendation and documentation. The Dean shall make an independent written assessment and recommendation, either positive or negative, on the applicant. The Dean shall forward the recommendation of the Department Review Committee, the recommendation of the Department Chair and the Dean's recommendation with all supporting documentation to the Provost. A positive recommendation shall include a recommendation on the amount the Dean feels should be awarded. If there is more than one applicant, there shall be no ranking of applications.

8. At the time the Dean forwards the recommendations to the Provost, the Dean shall also forward complete copies of all recommendations to the applicant.
9. If the Dean does not assess an application and make a recommendation within a reasonable time or, if a deadline has been established, by the established deadline, the application shall be considered by the Provost without the Dean's recommendation.
10. If the applicant has received a negative recommendation from either the Department Review Committee, the Department Chair, or the Dean, the applicant may submit a written rebuttal, not to exceed five (5) pages, to the Provost no later than seven (7) days after receiving a copy of the recommendations.
11. The Provost shall review the application and all the assessments, recommendations, and written rebuttals, if any, and make a final determination regarding the award of a Market-Based Salary Increase.
12. The Provost shall notify the applicant, in writing, of the final determination to award or deny a Market-Based Salary Increase. If the applicant is successful, the Provost's notification shall include the amount of the award.
13. The decision to grant or deny a Market-Based Salary Increase shall not be considered during deliberations regarding the granting of reappointment, promotion, or tenure.
14. The decision to grant a Market-Based Salary Increase and the amount of the increase shall not be subject to grievance procedure.

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Approved by the Academic Senate	March 1996
Approved by the President	April 1996
Rev. Approved by the Academic Senate	November 7, 2008
Approved by the President	December 2, 2008

## **SERVICE SALARY INCREASE PROGRAM**

Pursuant to Article 31 of the CBA, the campus shall have a merit pay program.<sup>1</sup> This program shall consist of two components for merit pay. These components are the Service Salary Step Increase (SSI) and the Faculty Merit Increase (FMI). There shall be separate compensation pools for each component of the merit pay program.

For fiscal years 1999/2000 and 2000/01, the compensation pool for faculty members eligible for a SSI shall be calculated by multiplying the total salary and benefits of each eligible faculty member by two and sixty-five one-hundredths percent (2.65%). The remainder of the compensation pool shall be designated for the Faculty Merit Increase Program.

There shall be no requirement to expend all the funds available in either compensation pool identified for this program. Any portion of funds not expended in any fiscal year shall automatically be added to the merit pool for the next year.

A SSI refers to upward movement within a salary range. Therefore, a SSI shall be in the form of a permanent increase in the base salary of the individual. The amount of the increase in any year shall be subject to negotiations between the California State University and the California Faculty Association.

### **I. ELIGIBILITY**

1. SSI eligibility is limited to those faculty who following appointment or the most recent promotion have received no more than
  - (a) four (4) steps on the salary schedule in effect prior to the 1995-98 Agreement, or
  - (b) eight (8) Service Salary Step Increases under the salary schedule(s) in effect since that Agreement, or
  - (c) a combination of both (a) and (b) above which does not exceed a total of eight (8) Service Salary Step Increases on the salary schedule.
2. Pursuant to Article 12 of the Agreement, part-time faculty must have completed twenty-four (24) units to be eligible for a SSI.
3. No SSI's will be granted above, nor shall the granting of a SSI result in a salary rate above, the SSI maximum rates of pay for all bargaining unit ranks and classifications on the salary schedule.
4. Academic Personnel Services will provide each department with the names of faculty members in the department who are or will be eligible to be considered for a SSI during the academic year.

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<sup>1</sup> For purposes of these procedures, the Library is treated as a school, the Student Affairs Area is treated as a school, and Athletics is treated as a school.

5. All persons who are eligible to be considered for a SSI or who will become eligible during the current fiscal year AND who submit a Faculty Activity Report shall be considered for a SSI during this review process.

## II. INFORMATION TO BE PROVIDED

In order to facilitate the process, Academic Personnel Services will provide each college/school/department with the following information:

- (1) the name of each faculty unit employee in the unit
- (2) the rank/classification of each faculty unit employee in the unit
- (3) the date of appointment of each faculty unit employee in the unit
- (3) the annual salary of each faculty unit employee in the unit
- (4) the SSI eligibility of each faculty unit employee in the unit.

## III. FACULTY ACTIVITY REPORTS (FAR)

1. All faculty unit employees shall submit an annual FAR which shall be used in the consideration for a SSI. (See Appendix A, Guidelines)
2. The format for the annual FAR shall be the format provided by the California State University. Faculty members may not append evidentiary documents or otherwise supplement the information requested in these reports.
3. For a SSI during the **1999-2000 academic year**

All faculty members shall submit a report of their activities to their department chair with a copies to the school dean and Provost, by **October 1, 1999**. This report shall detail in separate sections the following:

- a) all appropriate activities for the period **July 1, 1998 through June 30, 1999** for fiscal year 1999/2000 for a SSI to be effective on the appropriate date, and
- c) shall include the faculty member's rank/classification, salary, date of appointment, and whether the faculty member is eligible for a SSI.

4. For a SSI during the **2000-2001 academic year and thereafter**

All faculty members unit employees shall submit a report of their activities to their department chair, dean and Provost by **October 1 of each year thereafter** which shall be utilized for the consideration for a SSI.

This report shall detail the following:

- a) all appropriate activities for the period **July 1 through June 30 of each fiscal year** for fiscal year 2000/01 and thereafter to be effective on the appropriate date, and
- b) shall include the faculty member's rank/classification, salary, date of appointment, and whether the faculty member is eligible for a SSI.

#### IV. FACULTY RESPONSIBILITIES

The primary professional responsibilities of instructional faculty members are: teaching, research, scholarship, creative activity, and service to the University, profession and to the community.

Faculty members have additional professional responsibilities such as: advising students, participation in campus and system-wide committees, maintaining office hours, working collaboratively and productively with colleagues, and participation in traditional academic functions.

The performance of instructional responsibilities extends beyond duties in the classroom and includes such activities as: preparation for class, evaluation of student performance, syllabus preparation and revision, and review of current literature and research in the subject area, including instructional methodology. Research, scholarship and creative activity in the faculty member's field of expertise are essential to effective teaching. Mentoring students and colleagues is another responsibility that faculty members are frequently expected to perform.

The professional responsibilities of faculty members include research, scholarship and creative activity which contribute to their currency, and the contributions made within the classroom and to their professions. The professional responsibilities of faculty members are fulfilled by participation in conferences and seminars, through academic leaves and sabbaticals that provide additional opportunities for scholarship and preparation, and through a variety of other professional development activities.

Instructional faculty members are not normally expected participate in all of these activities during each academic term or year.

#### V. CRITERIA

The criteria for the award of a SSI shall be as follows:

Faculty shall be eligible for Service Salary increases pursuant to the Collective Bargaining Agreement for satisfactory performance, commensurate with rank, work assignment and years of service, for the quality of the faculty member's overall performance.

For faculty whose responsibilities are non-instructional, evidence of demonstrated professional effectiveness may be substituted for teaching. Faculty unit employees whose performance does not include assignments in all of the areas shall nonetheless be eligible to be considered for a SSI on the basis of their performance in the individual areas of their assignment.

**In the evaluation of the candidate's performance within these criteria, committees and appropriate administrators shall exercise reasonable flexibility, balancing where the case requires, heavier commitments in one area with lesser commitments in another. Evaluators should also recognize that faculty responsibilities, priorities and opportunities vary according to rank, work assignment, and years of experience. The committees and appropriate administrators must judge whether the faculty member is engaging in a pattern of activities which is sound, productive, and contributes to the overall mission of the department, the school, and the University.**

## **VI. PROCEDURES**

### **A) General Guidelines**

The following are the general procedures that apply to the entire process.

1. The department chair and the dean are responsible to assure procedures and established timelines are followed.
2. All deliberations related to recommendations regarding a SSI shall be conducted in executive session and remain confidential. Violations of this confidentiality are considered to be unprofessional conduct and may be grounds for disciplinary action.
3. At each level of review, a faculty member may be requested to provide supporting data. These materials should already be in the Open Personnel File. If they are not in the Open Personnel File, they shall be added to the Open Personnel File. Copies of the supporting data shall be provided by the faculty member within seven (7) days of the request.
4. Each level shall make an independent recommendation from the annual FAR presented.
5. A faculty member shall not review his/her own annual FAR for a SSI. However, no faculty member shall become ineligible for service on a departmental or appeal committee because he/she submitted an annual FAR for a SSI.
6. Failure to meet any established deadline for recommendations shall automatically result in the forwarding of all annual FARs to the next level of review.
7. All persons who are eligible to be considered for a SSI or who will become eligible during the current fiscal year AND who (a) submit a FAR shall be considered for a SSI during this review process.
8. A faculty member may review, and may submit a written rebuttal to, the recommendations to the dean. Any rebuttal may not exceed three (3) typewritten, single spaced pages and must be submitted within four (4) days.
9. The department shall forward its recommendations on SSIs before determining recommendations on FMIs.

### **B) Departmental Peer Review Procedures**

1. Each department<sup>2</sup> shall vote to determine its own procedure for evaluating Faculty FARs and recommending SSIs. Departmental recommendations shall be made by either a committee of faculty unit employees, the department chair, a designee, or combination of the above at the discretion of the department. All faculty unit employees in the department, including part-time lecturers, are eligible to vote for and serve on any committee elected by the department to evaluate Faculty FARs and recommend SSIs.

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<sup>2</sup> For purposes of this policy, “department” also means “program” for those programs so recognized by the Provost.



2. The determination of procedures shall be made in consultation with all faculty unit employees in the department including part-time lecturers.
3. The department shall forward a recommendation to the dean on each faculty member in the department who is eligible for an SSI and submits an annual FAR. A copy of the recommendation shall be given to the affected faculty member.
4. The department shall provide a reason(s) for each recommendation.
5. If a department does not make a recommendation by the established deadline to do so, the annual FAR shall be considered by the dean without the recommendation of the department.

**C) Dean's Decision**<sup>3, 4</sup>

1. The dean shall review all faculty FARs and recommendations from the department and any written rebuttals. The dean shall review the Open Personnel File of each faculty member being considered for a SSI to assess the overall suitability of the faculty member for an increase.. A copy of the recommendation shall be given to the affected faculty member.
2. The dean may grant or deny a SSI and shall provide a reason(s) for each recommendation.
3. The decision to grant or deny a SSI shall not be subject to the grievance procedure as provided in Article 10 of the Collective Bargaining Agreement, but shall be subject to the Faculty Merit Increase Appeal Process as described in Section VII of this policy.

**VII. Appeal Process**

**A) *Eligibility for Filing an Appeal***

1. Any faculty member may appeal the dean's decision to deny a SSI.
2. The faculty member may file an appeal with the Appeals Committee via Academic Personnel Services no later than fourteen (14) days after receipt of the dean's decision. The appeal shall be no longer than three (3) typewritten single spaced pages. The appeal shall state the reason(s) the faculty member believes that he/she should receive a SSI.

**B) *Election of an Appeal Panel***

1. Each department shall elect the equivalent of one-tenth (1/10th) of its FTEF to serve as part of an Appeals Panel from which an Appeals Committee to hear appeals regarding SSI's and FMI's shall be selected by lot.

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<sup>3</sup> For purposes of this policy, "Dean" also means the Dean of Library Services for librarians, the Vice President for Student Affairs and Dean of Students for SSP-AR's, and the Director of Athletics for coaches.

<sup>4</sup> Prior to the final decision, the dean will normally consult with the Provost.

2. Each faculty member who is elected to the panel shall serve a staggered three (3) year term. However, once an individual has served on an Appeals Committee, he/she shall be excused from further service and his/her department shall elect a replacement.
3. All faculty unit employees in the department are eligible for election to the Appeals Panel.
4. Service on the Appeals Panel and Appeals Committee is a normal faculty responsibility.

**C) *Appeals Committee***<sup>5</sup>

1. Five (5) individuals shall be selected by lot from the Appeals Panel to serve on the Appeals Committee. Faculty unit employees who are appealing a Faculty Merit Increase decision or a denial of a Service Salary Increase shall not serve on the committee during that year.
2. Selection by lot shall be by the Vice President for Administration or designee in the presence of a designated representative of the exclusive bargaining agent and the appropriate administrator.
3. No more than one person from any one college/school may serve on the Appeals Committee at one time.<sup>6</sup>
4. The Appeals Committee shall hear all Service Salary Increase Appeals individually. All SSI appeals shall be heard first.
5. The Appeals Committee will be provided with the appellant's
  - (a) Faculty FAR
  - (b) all the recommendations
  - (c) rebuttals, if any
  - (d) letter of appeal.

In addition, the Appeals Committee shall review the Open Personnel File of any faculty member who is appealing a denial of a SSI.

6. The Provost or designee and the appellant (or his/her representative) may present evidence to the panel. In such instances, the faculty member or his/her representative shall first present his/her appeal with the appropriate administrator providing a response, if any. A written copy of the presentation may be provided to the Appeals Committee.

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<sup>5</sup> In Fall 1999, there will be two (2) appeal committees selected. One committee will hear appeals for the time period up until June 30, 1998. The second committee will hear appeals for the period July 1, 1998 to June 30, 1999. The second committee will also hear appeals of denials of Service Salary Increases.

<sup>6</sup> For purposes of this provision, the library faculty, the SSP-AR faculty, and the coaching faculty shall be considered one (1) school.

7. The proceedings shall not be open to the public and shall not be a hearing. Therefore, witnesses shall not be permitted to testify orally or to submit written statements on behalf of either party.
8. There shall be no tape recordings or verbatim minutes.
9. No member of the Appeals Committee shall discuss any appeal with anyone other than another member of the Committee. A member of the Appeals Committee may not seek information independent of the process.
10. All written and oral information, including the deliberations of the Appeals Committee, are confidential.
11. All the decisions of the Appeals Committee shall be final and binding and are not subject to the grievance procedures outlined in Article 10 of the Collective Bargaining Agreement.
12. At the conclusion of the appeals process, the Appeals Committee shall give the President all the records of the committee and related documentation. The materials shall be retained by the President for three (3) years.

**Reference:** CBA Articles 20, 31

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Approved by the Academic Senate	September 1999
Approved by the President	September 1999

## **APPENDIX A**

### **CALIFORNIA STATE UNIVERSITY, FRESNO FACULTY ACTIVITY REPORT GUIDELINE**

The following campus guideline should assist you in completing the CSU Annual Activity Report. Using this outline is optional. Below the category from the CSU Activity Report are types of activities you might wish to consider including when submitting information. Feel free to improvise.

#### **I. Teaching & Contributions to Student Development /Other Primary Work Assignment**

- A. List Courses Taught and Enrollment by Term**
- B. Summarize your student evaluations of instruction (include overall evaluation of the course).**
- C. Describe any changes in teaching approach or in responsibilities**

new preparations taught  
new courses you have developed  
new program you have developed

#### **D. Describe your responsibilities in advising, supervision or similar activities**

The number of students by term that you

- i. Have been assigned formal advising responsibility
- ii. Have supervised an independent study
- iii. Have participated on a project/thesis/dissertation committee
- iv. Have chaired a project/thesis/dissertation committee
- v. Have participated on or chaired a Qualification Examination Committee
- vi. Have supervised in field work / student teaching, etc.

Student clubs or activities including board memberships you have served as advisor or sponsor including the activities with these groups.

Publications or other professional activities in which you involved your students.

#### **E. Other**

List any activities for which you received assigned time  
List any core curriculum you have formulated  
List any service learning activities  
Anything you believe to be relevant and not covered elsewhere

## **II. Scholarly/Creative Activities and Professional Development / Practice**

### **A. List/describe work completed (books, journal articles, performances, editing, presentations, grant proposals, etc.**

Works with status (e.g. submitted, accepted; published)

- i. Books
- ii. refereed/juried publications (by type)
- iii. non-refereed publications (by type)
- iv. performances (by type) (indicate if invited / refereed)
- v. professional editorial responsibilities
- vi. presentations given (indicate if invited / refereed)
- vii. papers given (indicate if invited / refereed)
- viii. grant proposals by
  - a. Total number of proposals submitted
  - b. Grants approved and funded
  - c. Grants Currently under review

### **B. Works in Progress -- Describe work accomplished.**

Suggest using guideline for A.

### **C. Other**

Involvement in local, state, regional, national and international professional organizations including offices held  
 professional consulting  
 clinical services provided  
 course software developed  
 colloquia, workshops, or other forums sponsored by you  
 video productions or television programs created by you  
 anything you believe to be relevant not listed elsewhere

## **III. University and Community Service**

### **A. Department committees/service**

### **B. College, University, Systemwide Committees/Service**

You may wish to indicate when you have chaired an activity

### **C. Professional Service Activities**

### **D. Community Service Activities**

Presentations / speeches / talks before community groups  
 Service work with community groups  
 Collaborative projects with local, state, national agencies including schools  
 and type of involvement.

**E. Other**

Anything you believe to be relevant and not listed elsewhere

**IV. Special Accomplishments and Other Activities not Listed Above**

Awards or other forms of recognition received

Special accomplishments and other activities not included above

## **POLICY ON RANGE ELEVATION FOR TEMPORARY FACULTY**

This document spells out policies, organizational structures, and procedures for the range elevation of lecturers, both full-time and part-time. All procedures and actions at all levels shall conform to university policies and the Collective Bargaining Agreement. In particular, this policy assumes that the criteria to be employed in assessing the candidate's fitness for a range elevation shall be appropriate to the candidate's specific work assignment.<sup>1</sup>

The term "range elevation" refers to the placement of a part-time or full-time temporary faculty member (hereafter, Lecturer)<sup>2</sup> on a higher salary range. Range elevation shall be accompanied by advancement of at least five percent (5%). When a Lecturer receives a new appointment, the faculty member may be placed on higher salary range. Range Elevation is neither a right of a Lecturer nor solely a reward for past service and accumulation of employment.

### **I. ELIGIBILITY FOR RANGE ELEVATION**

Faculty who are eligible for range elevation shall be limited to any Lecturer, full-time or part-time, who have no more SSI eligibility in their current range, and have served five (5) years in their current range.

### **II. CRITERIA FOR RANGE ELEVATION**

The burden of proof for range elevation rests with the applicant's record of achievement. It is also understood that reasonable people may disagree in the evaluation of evidence. Further, faculty members in a particular field or activity have the chief competence for judging the work of their colleagues. The range elevation process requires that the judgment of the university, through its administrators and peer review committees, be made with full and careful consideration of this peer judgment and be consistent with academic freedom and standards of fairness and due process.

- A) The basis for a positive recommendation for range elevation shall be based upon a positive assessment of the overall quality of the faculty member's performance commensurate with the specific work assignment, an established pattern of productive working relationships with peers and colleagues, the proposed range, and time base, as demonstrated through the evidence documented in the Personnel Action File (PAF).
- B) Length of service or time in range shall not be considered.
- C) Accumulated teaching, or other, experience is not considered sufficient for range elevation.
- D) For Lecturers holding instructional appointments, the primary criteria used in this evaluation will be teaching effectiveness and maintaining currency in the discipline in which the candidate teaches. Teaching effectiveness will be assessed using the following rubric:

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<sup>1</sup> See Article 12.19 of the Unit 3 Collective Bargaining Agreement.

<sup>2</sup> Hereafter, the term "Lecturer" as used in this policy also refers to equivalent temporary employees who are Librarians or SSP-ARs.

**Table 1: Criteria for Range Elevation for Lecturers with Instructional Assignments**

Lecturer A to B	Lecturer B to C and Lecturer C to D
<p>Demonstrates a consistent commendable level of facilitating outcomes-based student learning by providing evidence of all of the following, as appropriate to the individual lecturer's work assignment:</p> <p>Continually refining and improving teaching practices based on self-reflection and feedback from student and faculty evaluations;</p> <p>Clearly aligning assignments and assessments with course outcomes;</p> <p>Applying innovative and effective ways of teaching subject matter to diverse student populations;</p> <p>Successfully adapting best pedagogical practices while developing or revising outcomes-based course materials;</p> <p>Effectively using course materials that reflect the current state of knowledge and practices in the field.</p>	<p>Demonstrates a consistent commendable level of facilitating outcomes-based student learning by providing evidence of all of the following, as appropriate to the individual lecturer's work assignment:</p> <p>Continually refining and improving teaching practices based on self-reflection and feedback from student and faculty evaluations;</p> <p>Clearly aligning assignments and assessments with course outcomes;</p> <p><i>Developing</i> and applying innovative and effective ways of teaching subject matter to diverse student populations;</p> <p>Successfully <i>developing</i> and adapting best pedagogical practices while developing or revising outcomes-based course materials;</p> <p>Effectively <i>developing</i> and using course materials that reflect the current state of knowledge and practices in the field;</p> <p>Successfully collaborating with faculty in teaching and learning activities.</p>

Currency in the candidate's teaching discipline will be assessed by examining evidence in the PAF, application letter, and Curriculum Vita (CV) that demonstrates several of the following activities. (This list is for illustrative purposes only, and is non-exhaustive.)

- Increased mastery of the discipline by obtaining one or more formal graduate degrees.
- Presentation of original research/scholarship at professional meetings or conferences of the discipline.
- Peer-reviewed publication of original research/scholarship in recognized journals of the discipline.
- Public exhibitions, performances, or other creative activities demonstrating mastery of the artistic discipline.
- Significant external employment and/or experience in professions relevant to the discipline.
- Possession of current licenses, certifications, and/or professional credentials to practice in professions relevant to the discipline.
- Significant and frequent participation in professional development activities related to scholarship and/or pedagogy of the discipline. Attendance at, and participation in, workshops, continuing education courses, professional seminars, and similar activities sponsored by disciplinary organizations.



- Composition and submission of grant proposals to conduct research in the discipline, to support pedagogy, or to advance the educational mission of the University.
  - Other professional activities (e.g., editing a disciplinary journal) that demonstrate peer recognition of disciplinary currency and/or mastery (e.g., serving as a consultant, adjudicator, or external reviewer).
- E) For Lecturers holding non-instructional appointments, the primary criteria used in this evaluation will be the facilitation of student success and maintaining currency in the profession in which the candidate practices. Facilitation of student success will be assessed using the following rubric:

**Table 2: Criteria for Range Elevation for Lecturers with Non-Instructional Assignments**

Lecturer A to B (or equivalent ranks)	Lecturer B to C and Lecturer C to D (or equivalent ranks)
<p>Demonstrates a consistent commendable level of facilitating student success by providing evidence of all of the following, as appropriate to the individual's work assignment:</p> <p>Continually refining and improving professional practices based on feedback and self-reflection;</p> <p>Successfully adapting and implementing current knowledge and best professional practices to serve diverse student populations.</p>	<p>Demonstrates a consistent commendable level of facilitating student success by providing evidence of all of the following, as appropriate to the individual's work assignment:</p> <p>Continually refining and improving professional practices based on feedback and self-reflection;</p> <p>Successfully <i>developing</i>, adapting, and implementing current knowledge and best professional practices to serve diverse student populations.</p> <p>Successfully collaborating with colleagues in professional activities.</p>

Currency in the profession in which the candidate practices will be assessed by examining evidence in the PAF, application letter, and Curriculum Vita (CV) that demonstrates several of the following activities. (This list is for illustrative purposes only, and is non-exhaustive.)

- Increased mastery of the discipline by obtaining one or more formal graduate degrees.
- Presentation of original research/scholarship at professional meetings or conferences of the profession.
- Peer-reviewed publication of original research/scholarship in recognized journals of the profession or relevant disciplines.
- Public exhibitions or other creative activities demonstrating mastery of the discipline and currency in subject matter.
- Significant external employment and/or experience in the profession (e.g., service on professional boards, holding office in one or more professional organizations, or service to public agencies).
- Possession of current licenses, certifications, and/or professional credentials to practice in the profession.

- Significant and frequent participation in professional development activities. Attendance at, and participation in, workshops, continuing education courses, professional seminars, and similar activities sponsored by the profession's organizations.
- Composition and submission of grant proposals to conduct research in the a relevant discipline, to support student success, or to advance the educational mission of the University.
- Other activities that demonstrate peer recognition of professional currency and/or mastery (e.g., serving as a consultant, adjudicator, or external reviewer).

### III. PROCEDURES

Programs and program coordinators when so authorized by the Provost shall fulfill responsibilities of departments and department chairs.

#### A) General Provisions

The following are the general procedures that apply to the entire range elevation process:

1. The candidate, the chair of the department peer review committee, department chair, and the appropriate administrator are responsible to assure that the procedures and established timelines are followed.
2. All deliberations of consultative bodies on individual personnel cases shall be conducted in executive session and remain confidential as provided by law.  
**Violations of this confidentiality are considered to be unprofessional conduct and may be grounds for disciplinary action.**
3. All peer review committees designated to make recommendations in this process must be **ELECTED**. Vacancies can only be filled by election. Substitution of elected members by proxies is prohibited.
4. The candidate has the responsibility to place materials in the PAF, which provide documentation regarding individual achievement addressing the criteria (above) relevant to the candidate's specific work assignment. In addition, the candidate is responsible for providing an updated CV and a letter of application.
5. At all levels of review, before recommendations are forwarded to a subsequent review level, the candidate shall be given a copy of the recommendation five (5) days prior to these materials being placed in the PAF. The candidate may, at his/her discretion, request a meeting with the person or group making the recommendation within five (5) days of this notification. Such a meeting must take place within ten (10) days of this request. However, a faculty member's right to submit a written rebuttal must be executed within the ten (10) day period stipulated by the Unit 3 Collective Bargaining Agreement. A copy of the response or rebuttal statement shall accompany the PAF and also be sent to all previous levels of review. This provision shall not require that evaluation timelines be extended.
6. At either level of review, but prior to the final decision, applicants for range elevation may withdraw without prejudice from consideration.
7. The recommendation, and the reasons and all rebuttals and responses, if any, shall become part of the PAF.
8. An applicant for range elevation may have access only to his/her own Personnel Action File.

B) Timelines

1. At the beginning of each academic year, the Provost (or designee) shall announce deadlines for the submission of requests for consideration for range elevation.
2. If the departmental evaluation/recommendation process is not completed within the time specified in the administrative calendar, the file shall be automatically transferred to the dean and the faculty member shall be so notified. **In such cases, the department shall not make a recommendation.** Deadlines may be extended with the written authorization of the Provost.
3. No person shall be deemed to have been elevated to a higher range because notice was not given or received by the time prescribed. It is the responsibility of the faculty member concerned to make inquiry to determine the decision of the dean, who shall give notice without delay.

C) Application for Range Elevation

1. A Lecturer who wishes to be considered for range elevation shall provide to the department and the dean the following:
  - a) letter of application, not to exceed five (5) single spaced typewritten pages, clearly stating the request and why the applicant believes that he/she meets the criteria for range elevation stated above,
  - and
  - b) complete and up-to-date vita CV.
2. The application and the vita CV shall be placed in the PAF of the applicant. This material will be deemed to have been placed in the PAF at the request of the Lecturer and will not require a five (5) day notice prior to placement in the file.
3. It is the responsibility of the lecturer applicant to see that any appropriate documentation in support of his/her application has been placed in the Personnel Action File.

D) Department Level

1. Departments have the primary responsibility to state, in writing, and in detail, the reasons for their recommendations. **Recommendations on range elevation shall be based solely upon the contents of the faculty member's PAF.** The department is responsible for preparing a complete description and analysis of the factors significant in the departmental evaluation consistent with the criteria previously described.
2. The probationary and tenured faculty of the department shall **ELECT** a department peer review committee (or a separate committee for each applicant) of tenured full-time faculty members. The department, if so desired, may function as an elected a committee of the whole; that is, the department peer review committee may consist of all eligible tenured full time faculty in the department. In either event, the recommendations of the peer review committee(s) are the recommendations of the department.
3. The meeting(s) of the peer review committee shall include confidential, careful and thorough deliberations leading to a vote. Each peer review committee's independent recommendation shall be approved by a simple majority of the membership of that committee and shall be based solely on information and documentation in the PAF.

4. The department chair may decide to submit an independent recommendation or to participate as a member of the department peer review committee.<sup>3</sup> The department chair shall make known his/her decision, in writing to all department faculty, after consultation with the probationary and tenured faculty of the department and prior to the date beginning the campus process. A copy of the notification shall be attached to the recommendation.

The chair shall apply this decision to all applicants in that academic year. If the department chair makes an independent recommendation, s/he shall not participate in deliberations or attend meetings of the departmental peer review committee. If the chair does not make an independent recommendation, s/he may participate as a member of the department peer review committee.

5. The department peer review committee or the department chair (if making a separate recommendation) may ask the candidate to provide clarification, including documentation, for material in the PAF. The faculty member shall have ten (10) days to respond.
6. The department peer review committee and the department chair (if making independent recommendations) shall attach their written recommendations, including the reasons for the recommendations. If the chair is making a separate recommendation, then there shall be no meetings between the department peer review committee and the department chair.
7. At the conclusion of the department level review, the applicant shall be given a copy of the recommendation. The applicant shall have ten (10) days to respond before the recommendation is forwarded to the dean.
8. The department chair shall forward the recommendations of the department and the chair (if separate) and the PAF to the dean.

E) Dean's Decision

1. In the event that an applicant is not recommended for range elevation by the department peer review committee, and/or the department chair (if the chair is making a separate recommendation), the applicant shall have the right to make an appearance before the dean to present his/her case. The dean must allow a presentation of at least thirty (30) minutes. **Discussions must be limited to information and documentation in the PAF.**
2. The dean shall review and consider the recommendation(s) for range elevation, relevant material, and information contained in the PAF.
3. The dean may request clarification of either the recommendation(s) or evidence in the PAF. In such circumstances, the dean may meet with appropriate parties to discuss clarification of the information and documentation in the PAF prior to making the final decision.
4. The dean shall make a final, independent decision on each range elevation recommendation and shall notify each applicant, in writing, of that decision and of the reasons for the decision.<sup>4</sup> Should the dean make a decision on any basis not directly related to the professional qualifications, work performance, or personal attributes of the person in question, those reasons shall be stated in writing and entered into the PAF and shall be immediately provided to the applicant.

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<sup>3</sup> The decision of the chair shall be the same as that for faculty in the RTP process during that same academic year.

<sup>4</sup> Prior to making the final decision, the dean may consult with the Provost.

#### **IV. APPEALS**

1. A denial of range elevation shall be subject to the peer review process as described in Article 10.11 of the CBA except that the peer panel's decision shall be final.
2. All appeals relating to denials of range elevation shall be heard by a single peer panel.

**References:** CBA Articles 10, 11, 12, 31

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**Approved by Academic Senate**

April 2013

February 26, 2013

**Approved by President**

May 2013

July 18, 2013

May 5, 2015

## **Policy on the Periodic Review of Administrators**

### **I. INTRODUCTION**

Under Title 5, California Code of Regulations, all members of the Management Personnel Plan (MPP) are subject to an annual performance review. In addition, selected MPPs are also subject to a comprehensive administrative performance review, which shall normally occur at four-year intervals from the date of the permanent appointment, with the exception of the Provost, who shall undergo an initial evaluation two years from the date of appointment and thereafter be evaluated every four years. The President or designee may require a comprehensive review at any time. The comprehensive review of an academic administrator may be requested by a formal petition signed by 51 percent of the tenured and probationary faculty under the administrator's jurisdiction.

Periodic review of administrators serves as a means to stimulate the on-going professional development of administrators and to assure the overall quality of the administration of the university. Therefore, these reviews and assessments are formative in that the focus is upon the enhancement of performance. All MPPs serve at the pleasure of the President.

### **II. CRITERIA**

Administrative Effectiveness: The administrator shall be evaluated regarding overall performance in relation to assigned responsibilities.

Professional Development: The administrator being evaluated must demonstrate a pattern of professional development consistent with the position.

University and Community Service: The administrator being evaluated must provide evidence of university and community service consistent with the position.

### **III. PROCESS**

The administrator's immediate supervisor shall initiate the process and receive the results of the comprehensive review by establishing a committee consisting of faculty, staff, and peers.

The administrator shall be notified of the upcoming performance appraisal and the projected schedule for completion of the appraisal. If the administrator is a dean, the members of the college/school shall be notified through the Executive Committee of the College/School. The administrator being evaluated shall present current vitae, statement of accomplishment including a self-evaluation and a five-year report of professional development activities and university/community service. The administrator may provide any annual reports or other data for consideration.

A committee as designated in Section IV shall conduct the periodic evaluation of an administrator. The direct supervisor or designee will convene the committee. The direct supervisor will provide the committee with a projected schedule for completion of the review. The committee will elect a chair from its membership.

The comprehensive review shall include a review of a self-evaluation report by the administrator being evaluated and any other information the administrator may provide. The administrator may provide a list of individuals/groups to be contacted by the committee. In such instances, the committee shall contact any person / group on the list provided by the administrator.

The evaluation committee is responsible for the systematic acquisition of information and comments from administrators/managers, faculty, staff, students, and off campus constituencies, as appropriate, which have direct knowledge of the administrator's work. In cases where student input is appropriate, committees shall invite the Associated Students to suggest ways of soliciting student input in the reviews.

As employees of the California State University, administrators enjoy the same due process protections against anonymous or otherwise unattributed comments as any other employee. Committees must provide protection for the maintenance of confidentiality of the information gathered and the due process rights of the individual under review. All committee deliberations shall be held in executive session. **Violations of this confidentiality are considered unprofessional conduct and may be grounds for disciplinary action.**

The committee shall develop a questionnaire in consultation with the direct supervisor. The completed questionnaires may be signed or unsigned. All written statements, open-ended comments on the questionnaire, letters, etc. must be signed. Unsigned comments cannot be accepted or considered and must be handled pursuant to university policy on anonymous communications.

The committee may meet with identifiable groups of individuals such as a department faculty and/or staff so long as any comments made are attributed to the group. The committee may not conduct interviews with individuals. If specific quotes or comments are used in the report, the source shall be attributed. The committee may not consider for or incorporate into the final report information that cannot be attributed to a specific source for possible review at a later date

The committee shall develop an assessment report based upon the committee's evaluation of the quality of the administrator's performance. The report shall be based on an assessment of the materials submitted by the administrator and the information developed by the committee. The report shall consist of an evaluation of the administrator's full range of responsibilities, with particular emphasis, as appropriate, on leadership and managerial effectiveness. This assessment shall include an analysis of the performance of leadership and managerial effectiveness relative to assigned responsibilities and goals.

The committee shall complete a preliminary report that shall be provided to the administrator being evaluated. The administrator shall have an opportunity to provide a written response to the committee and/or meet with the committee prior to the committee submitting a final report to the direct supervisor. If the administrator submits a written response to the committee's draft report, the response shall be forwarded with the final report. The committee shall consider the administrator's comments prior to finalizing the report.

The final assessment report of the committee shall be forwarded to the direct supervisor and the administrator along with any formative recommendations that the committee may wish to make.<sup>1</sup> The administrator shall have an opportunity to provide the direct supervisor with a written response to the final report. The direct supervisor shall review the final assessment report and any responses. The direct supervisor may meet with the committee, or its chair, to discuss the findings and recommendations of the committee or request additional information from the committee. The direct supervisor may request additional information from the administrator.

The direct supervisor shall then, in succession,

- analyze the results of the report,
- discuss the report with the individual,
- place a copy of the report and the administrator's response, if any, and any statement or comments by the supervisor in the individual's Open Personnel File, and
- forward a copy of the report with the administrator's response, if any, and any statement or comments by the supervisor, to the President and, in the case of the Associate Deans, to the Provost.

In the case of a dean,<sup>2</sup> the dean shall review either in writing and/or in a faculty meeting, any changes in the administration and/or direction of the college/school as a result of this review.

#### **IV. EVALUATION COMMITTEES**<sup>3 4</sup>

The direct supervisor shall establish a committee consisting of faculty, staff, and peers consistent with the committees outlined below:

A. For the Provost, the committee shall consist of

- One (1) Vice President selected by the President
- One (1) academic administrator selected by the President
- Two (2) full-time tenured faculty members randomly selected campus wide
- One (1) academic staff randomly selected from within Academic Affairs
- Two (2) department chairs randomly selected at large

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<sup>1</sup> In a separate communication, the committee shall also give the direct supervisor all letters, completed questionnaires, notes of committee members, and any other information considered by the committee. Unless needed for a separate investigation of alleged misconduct, the administrator being evaluated shall not have access to this data

<sup>2</sup> This provision includes the Dean of Library Services, the Vice President for Student Affairs and Dean of Students, and the Director of Athletics

<sup>3</sup> The letters in this section correspond to the categories in Appendix A of this policy.

<sup>4</sup> Service on an evaluation committee is a normal and reasonable duty for a faculty member or staff member selected for service.



- B. For academic administrators above the college/school level, the committee shall consist of
- One (1) academic administrator selected by the supervisor
  - Three (3) full-time tenured faculty members randomly selected campus wide
  - One (1) academic staff randomly selected from within the individual's jurisdiction
  - Two (2) department chairs randomly selected campus wide.
- C. For academic administrators at the college/school level, the committee shall consist of
- One (1) peer chosen by the supervisor
  - Three (3) full-time tenured faculty members randomly selected from the college/school
  - One (1) academic staff randomly selected from within the administrator's jurisdiction
  - One (1) department chair randomly selected from within the college/school
  - One (1) department chair randomly selected from outside the college/school
- D. Vice President for Student Affairs / Dean of Students, the committee shall consist of
- One (1) Vice President selected by the President
  - Two (2) full-time tenured faculty members randomly selected by and from the Academic Senate
  - Two (2) staff randomly selected from within Student Affairs
  - Two (2) managers under the jurisdiction of the Vice President for Student Affairs randomly selected at large
- E. For the Vice President for Administration and the Vice President for Advancement, the committee shall consist of
- One (1) Vice President selected by the President
  - Two (2) full-time tenured faculty members randomly selected by and from the Academic Senate
  - Two (2) staff randomly selected from within the Vice President's jurisdiction
  - Two (2) managers under the jurisdiction of the vice president randomly selected at large
- F. For the Director of Athletics<sup>6</sup>
- One (1) Vice President selected by the President
  - Two (2) full-time tenured faculty members randomly selected by and from the Academic Senate
  - Two (2) full-time coaches randomly selected from Athletics
  - Two (2) staff randomly selected from Athletics
  - One (1) person selected by lot from a pool consisting of the Assistant/Associate Directors of Athletics
  - One (1) person selected by lot from a pool consisting of the department chairs of Animal Science, Kinesiology, and Recreation Administration.
  - The two (2) Faculty Athletic Representatives

<sup>5</sup> In the event that there are no department chairs (heads) in the area, a second chair shall be randomly selected campus wide.

<sup>6</sup> References include all persons in those categories who report to the Director of Athletics, regardless of the source of funding.

G. For the Executive Director, Auxiliary Organizations

- One (1) Vice President selected by the President
- Two (2) full-time tenured faculty members randomly selected by and from the Academic Senate
- Two (2) staff randomly selected from the Auxiliary Organizations
- One (1) manager randomly selected from within the Auxiliary Organizations
- One (1) manager randomly selected from outside the Auxiliary Organizations

H. For managers under the jurisdiction of a Vice President other than the Provost and Vice President for Academic Affairs, the committee shall consist of

- One (1) manager selected by the supervisor
- Two (2) full-time tenured faculty members randomly selected by and from the Academic Senate
- Two (2) staff randomly selected from within the individual's jurisdiction
- One (1) manager, if any, under the individual's jurisdiction randomly selected at large and One (1) manager from outside the individual's jurisdiction but from the same vice presidential area. In the event that there is no manager who reports to the individual, two managers shall be selected from outside the individual's jurisdiction but from within vice presidential unit.

I. Executive Assistant to the President

- One (1) Vice President selected by the President
- Two (2) persons selected by the President
- Two (2) full-time tenured faculty members randomly selected by and from the Academic Senate
- Two (2) staff randomly selected campus wide

Reference: Title 5, *California Code of Regulations*

Recommended by the Academic Senate      May 1981; March 2014

Approved by the President      May 1981; May 1995; April 2000;  
May 29, 2014

**APPENDIX A**  
**MEMBERS OF THE MANAGEMENT PERSONNEL PLAN**  
**SUBJECT TO PERIODIC REVIEW**

The following is a list of the positions covered by this policy. This list also designates the committee to be used for each position.

Provost and Vice President for Academic Affairs	A
Associate Provost	B
Associate Provost for Academic Resources	B
Associate Vice President for Faculty Affairs	B
Associate Vice President for Grants and Research	B
Associate Vice President for Information Systems and Technology and Director of Information Technology Services	B
Deans	C
Associate Deans	C
Associate University Librarian	C
Vice President for Administration	E
Budget Officer	H
Director of Human Resources	H
Financial Management/University Controller	H
Director of Facilities Management	H
Chief of Police	H
Director of Business Information Technology Systems	H
Director of Environmental Health and Safety	H
Vice President for Student Affairs and Dean of Students	D
Associate Vice President / Associate Dean & Director, University Health and Psychological Services	H
Assistant Vice President for Enrollment Services	H
Executive Director, Student Life	H
Executive Director, Academic Enhancement Services & Director, EOP/Retention Support Programs	H
Executive Director, Federal Programs and Judicial Officer	H
Vice President for Advancement	E
Associate Vice President for Advancement	H
Assistant Vice President for University Relations	H
Director of Athletics	F
Executive Assistant to the President	I
Executive Director, Auxiliary Organizations	G

The President is reviewed periodically by procedures outlined by the CSU Board of Trustees and implemented by the Chancellor.

## UNIVERSITY STATEMENT ON FACULTY RIGHTS AND RESPONSIBILITIES

Faculty members enjoy the right to exercise academic freedom within the context of their professional responsibilities as set forth in the University Statement on Academic Freedom. Faculty members also have the reasonable expectation of a safe and secure work environment that respects individual differences and promotes an accepting climate for diverse perspectives.

To ensure that the rights of all faculty members are respected, it is the obligation of each faculty member, to promote academic responsibility and ethical professional conduct in keeping with the educational mission of the university. Through their professional conduct, faculty members should promote and protect academic freedom, promote respect for the learning process, and enhance public recognition of the unique role of educational institutions in our society. The faculty at California State University, Fresno also recognizes that public higher education is a public service and a public trust.

In the Collective Bargaining Agreement Between the California State University and the California Faculty Association, the parties recognize explicitly the role that academic freedom and academic responsibility play in the academy. The Preamble of that document states:

It is the purpose of these parties in entering this Agreement to promote high standards of education in the CSU. The CSU shall support the pursuit of excellence and academic freedom in teaching, research, and learning through the free exchange of ideas among faculty, students, and staff.

The parties recognize that quality education requires an atmosphere of academic freedom and academic responsibility. The parties acknowledge and encourage the continuation of academic freedom while recognizing that the concept of academic freedom is accompanied by a corresponding concept of responsibility to the university and its students.

Consistent with the AAUP definition of academic freedom,<sup>1</sup> the AAUP Statement on Professional Ethics,<sup>2</sup> and the CBA, academic freedom does not absolve faculty members from their obligations to conform their conduct to the mandates of law, CSU or university policies.<sup>3</sup>

Faculty members have the obligation to establish and maintain ethical professional conduct in and outside of the classroom that reflect and enhance the meaning of academic freedom. Each faculty member also has obligations to colleagues that derive from the common membership in the community of scholars. In fulfilling their obligations, faculty members are expected to have a presence on campus commensurate with their responsibilities during the entire period of active employment this period of active employment includes attendance at the academic assembly on the first day of the academic year through participation in commencement exercises on the last day.

The standard of professional conduct to which all faculty members at this university are expected to adhere, and that is premised on academic freedom and academic responsibility and consistent with the AAUP Statement on Professional Ethics, is as follows:

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<sup>1</sup> 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretative Notes, AAUP

<sup>2</sup> Statement on Professional Ethics, AAUP, 1987

<sup>3</sup> When applying the mandates of law, CSU and university policy, appropriate administrators and department chairs shall consider the academic freedom of faculty as defined by the University Statement On Academic Freedom.

1. Each faculty member is expected to observe the stated policies, procedures and regulations of the university, and to fulfill all contractual and legal obligations.
2. As members of an educational profession, all faculty members are expected to
  - (a) seek and to state the truth in their roles as teachers and scholars as they see it
  - (b) develop and improve their instructional and scholarly competence by remaining current in their fields, updating and revising course syllabi, participating in appropriate professional development activities, and disseminating knowledge through formal and informal instruction
  - (c) practice, foster, and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off campus, not only for themselves, but also for all members of the academic community
  - (d) avoid any personal or professional conflicts of interest which would compromise the exercise of intellectual honesty, <sup>4</sup> freedom of inquiry and instruction, or freedom of expression on or off campus by themselves or others, especially by declining to instruct, evaluate, or supervise anyone with whom they have a personal or professional relationship.
  - (e) assure that their outside interests do not compromise or conflict with their professional responsibilities to the university.
3. As teachers, all faculty members are expected to
  - (a) take responsibility for promoting academic standards in the classroom and the curriculum
  - (b) create an atmosphere of mutual respect, in and out of the classroom, between faculty and students by showing due consideration for the reasoned opinions of students
  - (c) create an atmosphere of mutual respect by not practicing or tolerating uncivil or demeaning behavior toward students in an instructional setting
  - (d) be accessible to students outside the classroom during office hours and at others times mutually convenient to the faculty member and the student.
  - (e) ensure that the evaluation of each student reflects the true merit of each student's academic performance.
  - (f) guard against the improper disclosure of confidential information regarding students
  - (g) serve as intellectual guides, advisers, and role models to students

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<sup>4</sup> As noted in the Statement on Professional Ethics: "although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry."

4. As scholars and researchers, all faculty members are expected to
  - (a) practice and foster honest academic conduct appropriate to the highest standards of academe and their discipline
  - (b) acknowledge the contributions of others, including their students, to their academic work
  - (c) show consideration for the opinions and contributions of other scholars
  - (d) recognize that the scope and nature of research activities will vary between faculty members and that, integral to academic freedom, the professional pursuits of faculty members, whether theoretical or applied, have a valuable role in a university dedicated to the pursuit of knowledge.
  - (e) recognize that the scope and nature of scholarly activities will vary between faculty members and that, integral to academic freedom, the scholarly pursuits of faculty members, whether through the scholarship of discovery, integration or application, and whether involved in generating research results or the dissemination of knowledge, have a valuable role in a university dedicated to the pursuit and dissemination of knowledge.
5. As colleagues, all faculty members are expected to
  - (a) work in a cooperative and collegial manner to achieve the goals established by the department, the college/school and the university
  - (b) show due consideration of the academic preparation, opinions, contributions and professional judgments of their colleagues in the department, college/school, or university
  - (c) seek objectivity in their professional evaluation of colleagues
  - (d) refrain from practicing or tolerating uncivil or demeaning behavior toward a colleague in the department, college/school or university
  - (e) guard against the improper disclosure of confidential information regarding faculty, administrators, and staff.
6. As members of the university community, all faculty members are expected to
  - (a) accept their share of responsibilities for the governance of the institution through service on department, college/school and university committees, boards, or the Academic Senate
  - (b) maintain the right to criticize policies and procedures as well as other regulations and seek their revision through recognized consultative processes
  - (c) show respect for and due consideration of the role and contributions that each member of the university community, whether faculty, staff, student or administrator, makes toward the mission of the university.

7. As citizens, all faculty members are expected to
- (a) publicly distinguish when they speak or act as private citizens from when they do so as an official representative of the university
  - (b) promote conditions of free inquiry through the advancement of the public understanding of academic freedom.

**References:** AAUP 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretative Notes

AAUP Statement On Professional Ethics, 1987

CBA Article 20

Recommended by the Academic Senate  
Approved by the President

September 2001  
October 5, 2001

## **FACULTY WORKLOAD: POLICIES AND PROCEDURES<sup>1</sup>**

The President of each campus is responsible for the overall conduct of the campus' educational program including the utilization of budgeted instructional faculty positions and the proper assignment of individual faculty workloads.

Variations in campus curricula require variations in the use of instructional faculty positions allocated to each campus. There is, nevertheless, need for a common frame of reference for faculty workload assignments. The intent of this document is to stipulate those policies and procedures which are to be common guides to each President in determining how best to use instructional positions to operate academic programs most effectively.

### **I. Definition of Faculty Workload\***

The normal workload of a full-time faculty member consists of two components:

- A) 12 weighted teaching units (WTU) of direct instructional assignments, including classroom and laboratory instruction and instructional supervision (such as student thesis, project or intern supervision) equivalent to 36 hours per week, and
- B) 3 WTU equivalencies of indirect instructional activity such as student advisement, curriculum development and improvements, and committee assignments (4 to 9 hours per week).

Thus Weighted Teaching Units are a measure of the weekly rate of faculty effort.

### **II. Assignment of Faculty Workloads**

#### **A) Legislative Restrictions**

Recent budget language requires "...that no instructional faculty positions... shall be used for administration, department chairmanships, administrative assistance or non-instructional research."

Funds budgeted for instructional positions are therefore prohibited from being used or disencumbered for support of:

1. the budgeted function of the Institutional Support Program;
2. administrative functions at the campus, school or division level of organization;
3. department chairperson or comparable positions or duties; or
4. positions or duties related to non-instructional research.

In order that we may be prepared to respond appropriately to any questions raised in management audits, if the President has any doubts regarding the propriety of a particular assignment in terms of the legislative mandate or Trustee policy, he or she may submit the case to the Chancellor's Office for review.

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\* Faculty belong to workweek group 4D7E as defined in the California State University Salary Schedule (issued annually).



B) System Policy

1. Each campus shall meet its budgeted FTES (full-time equivalent students) with its budgeted faculty allocation within the following limits:

± 150 FTES (campus size 10,000 or less)

± 200 FTES (campus size over 10,000 FTES)

2. Assignment of individual faculty to direct instructional activities should be made in accordance with the Faculty Workload Formula in Appendix A. This Workload Formula is the basis for calculating the faculty workload reported in the Academic Planning Data Base.

It is intended that the workload formula should not, in and of itself, serve as a basis for significant deviations from historic campus class size experience; a flexible approach to class size by the campus is encouraged where it is consistent with the optimal use of faculty skills and is not detrimental to the quality of instructional programs.

3. In special cases, approved by the President (or a designated Vice President), a faculty member may be assigned up to three WTU (four WTU for individuals whose course assignments would each normally generate four WTU) for an exceptionally heavy indirect instructional activity. Such assignments are primarily possible because of the assignment of 15 WTU of direct instructional activity per faculty position used for part-time appointments and the related unavailability of part-time faculty to perform the indirect instructional activity. However, assignments for legitimate non-administrative instructional support functions may also be authorized in addition to that derived from the averaging-in of part-time faculty workloads.

More than four WTU may be assigned to an individual faculty member for indirect instructional activities if in the judgment of the President such an assignment is necessary for the effective conduct of the academic program. Individual exceptions may be granted only through direct application to the President of each campus.

- a) Such assignments are not to be used in such a way as to cause widespread or across-the-board deviation from or reduction of normal instructional workloads.
- b) Assigned WTU should not be provided to individuals where such an assignment results in a workload in excess of 12 WTU. Exceptions to this provision must be individually approved by the President (or a designated Vice President). All such assignments should be reported.
- c) Records of all WTU assignments for indirect instructional activities are subject to review and audit and should include:
  1. A description of the specific task(s) to be performed and the number of WTU assigned;
  2. formal approval of the assignment; and
  3. an after-the-fact evaluation of the assignment.

- d) Each campus must prepare an annual report summarizing its use of assigned WTU during the previous fiscal year. Such a report should include a summary of assigned WTU by academic department and purpose of assignment and will serve as the basis for campus administrative review of assigned WTU activities.
  - e) Unusually heavy responsibility in any of the indirect instructional activities listed in Appendix B may serve as the basis for these workload adjustments which take the form of assigned WTU in lieu of WTU generated through direct instructional activity. All such assignments should be reported in the Academic Planning Data Base.
4. Variations in course credit hours and workload formula factors make it impossible always to schedule faculty members for exactly 12 WTU of direct instruction each term; however, the workloads during the semesters or quarters should be balanced, so that faculty members are responsible for a full workload on an annual average basis. Where made necessary by calendar considerations, and in rare instances only, such adjustments may be made between one fiscal year and the next if a faculty member has not been present for the full preceding academic year.

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<sup>1</sup> EP&R 76-36, issued by the Chancellor, August 16, 1976. This statement on faculty workload should be read in conjunction with the corresponding sections of the Memorandum of Understanding. If any disagreement arises between the two documents, the MOU shall prevail.

**APPENDIX A****THE CALIFORNIA STATE UNIVERSITY AND COLLEGES  
FACULTY WORKLOAD FORMULA****Classes meeting 1 hour for 1 unit of credit -- K factor: 1**

- C-1 Large lecture: Unlimited except by physical facilities or scheduling necessities
- C-2 Lecture-Discussion, including methods: normal limit 40
- C-3 Lecture-Composition: )  
Lecture-Counseling: ) normal limit 30  
Lecture-Case Study: )
- C-4 Composition; accounting; )  
Mathematics; Mathematical )  
Statistics, Logic, and )  
Philosophy; Business Math )  
and English; Science Math; )  
Music (Harmony, Theory, )  
Composition, Counterpoint )  
Orchestration, Instrumentation, )  
Conducting, Form and Analysis, )  
Sight Singing); Speech: Public )  
and Correction; Foreign Language )  
(including literature and culture )  
courses taught in the foreign )  
language); Engineering Lecture )  
Problems; Linguistics: )
- C-5 Undergraduate Seminars ) normal limit 20  
Graduate Discussion )  
Honors and Graduate Seminars : Normal limit 15
- C-6 Clinical Processes: Lower Division -- normal limit 20  
Education (testing) Upper Division -- normal limit 10  
Nursing Grad. Division -- normal limit 10  
Psychology (or physical facilities in all divisions)  
Driver Training in simulator

**Classes meeting 2 hours for 1 unit of credit -- K factor: 1.3**

- C-7 Art, Anthropology, Science activities: normal limit 24 or physical facilities
- C-8 Education Workshops (includes )  
methods taught on an activity basis )  
in education and subject area ) normal limit 30  
Social Science activity: )  
Science demonstration: )

- C-9 Music activity - large group: normal limit 40
- C-10 Instrumental or vocal instruction: normal limit 10
- C-11 Physical Education and Recreation activity: ) normal limit 30, (or physical facilities)
- C-12 Speech, Drama, and Journalism activities: normal limit 20
- C-13 Business and Accounting Labs; Geography; Foreign Language; Home Economics; Psychology; Library Science; Photography; Engineering; Industrial Arts; Agriculture; Mathematics; Statistics: ) normal limit: physical facilities or scheduling necessities
- C-14 Remedial Instruction: EOP courses only: normal limit 15  
 Mathematics  
 Reading  
 Speech  
 Writing

Classes meeting 3 hours for 1 unit of credit -- K factor: 1.5

- C-15 Laboratories in Art; Foreign Language; English (as a foreign language); Home Economics; Industrial Arts; Kinesiology; Speech Correction; Cartography; Audio-Visual; Mathematics Library Science; Political Science ) normal limit: physical facilities

Classes meeting 3 hours for 1 unit of credit -- K factor: 2.0

- C-16 Laboratories in Science; Psychology; Natural Resources; Agriculture; Engineering/Meteorology; Photograph: ) normal limit: physical facilities, generally 24; allowable range 8-24 based upon learning situation, hazard to health and equipment, and availability of equipment.
- C-17 Demonstration-Laboratory, for clinical practice in off-campus facilities, conducted by college facility: ) normal limit 8

Classes meeting more than 3 hours for 1 unit of credit -- K factor : 6.0

- C-18 Coaching major intercollegiate sports: normal limit 20  
 (Not more than four per year for women)  
 (Not more than four per year for men)  
 (The sum including coeducational sports not to exceed eight per year)

Classes meeting more than 3 hours for 1 unit of credit -- K factor: 3.0

C-19	Coaching minor intercollegiate sports	)	Normal limit 20
C-20	Production courses or workshops in: Art; Drama; Journalism; Music; Photography; Radio-TV; Debate; (resulting in a major public per- formance, showing or distribution.	) ) ) )	Normal limit 20
C-21	Music - - major performance groups: Symphony orchestra College band College chorus		normal limit 40

S - - Allowance for supervisory staff:

(Only for courses providing individual supervision)

Undergraduate level:

S-25	Supervision of directed teaching and public school nursing	)	ratio: 1:25
S-36	Supervision of field work Driver Training in car off campus Work Study Project Supervision	) ) ) )	ratio: 1:36
S-48	Music - Studio Instruction (majors only)		ratio: 1:48

Graduate level:

S-25	Supervision of directed teaching and public school nursing Supervision of field work Work study Theses and projects	) ) ) ) )	ratio: 1:25
S-12*	MSW Field Courses	)	ratio: 1:12

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\* To be used at campus option; to avoid confusion with C-12, code "23" in the Academic Planning Data Base.

## APPENDIX B

Activities for which Weighted Teaching Units may be assigned.

### Code<sup>1</sup>

#### 11. Excess Enrollment

- a) For classes with census date enrollment of between 75 and 120 and exceptional workload, a graduate assistant or student assistant may be allocated.
- b) For classes with census date enrollment of over 120, a graduate assistant, a student assistant, or an additional 3 WTU may be assigned.

Assignment of graduate assistants is a preferable way of handling such large class loads, but it is recognized that qualified graduate assistants are not always available.

In no case shall a faculty member be granted assigned WTU for more than one class with excess enrollments.

#### 12. New Preparations

A faculty member may be given assigned WTU for preparation of courses never before taught by that particular faculty member, if courses actually taught include two or more such new preparations.

#### 14. Course or Supervision Overload

A faculty member may be given assigned WTU equal to course or supervision overload earned in a prior fiscal year provided that calendar considerations so necessitate and the faculty member has not been present for the full preceding academic year.

#### 15. Non-traditional Instruction<sup>2</sup>

#### 16. In-Service Training Activities for K-12 School Personnel<sup>3</sup>

A faculty member may be given assigned WTU for activities involving in-service training for K-12 school personnel. Typically, the activities are provided on the school site using a variety of instructional modes, and do not necessarily involve an instructor regularly meeting a group of students in an assigned classroom or laboratory setting on campus.

#### 17. Credit by Examination/Evaluation<sup>4</sup>

#### 18. Instructional Support for Graduate Students

A faculty member may be given assigned WTU for special graduate student testing duties, in particular for conducting comprehensive examinations for master's degree candidates and examinations in fulfillment of foreign language requirements.

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<sup>1</sup> This is the code used for reporting assigned WTU in the Academic Planning Data Base.

<sup>2</sup> Added by EP&R 78 - 58

<sup>3</sup> Added by ER&R 81 - 61

<sup>4</sup> Added by EP&R 78 - 58

21. Special Instructional Programs

- a) A faculty member may be given assigned WTU for participation in a team teaching effort. The total assigned and earned WTU associated with a team-taught course may not exceed the WTU generated by the course multiplied by the number of faculty members teaching the course. In addition, no individual faculty member may be given more WTU, both earned and assigned than the course generates.
- b) A faculty member may be given assigned WTU for program and tape production for instructional television.
- c) A faculty member may be given assigned WTU for liaison duties among multiple sections of the same course.
- d) A faculty member may be given assigned WTU for the administration and evaluation of tests for credit by examination.

22. Instructional Experimentation, Innovation, or Instructionally Related Research

- a) A faculty member may be given assigned time for development and implementation of experimental programs involving:
  - 1. Instructional Television
  - 2. Computer assisted instruction
  - 3. Other innovations in instruction
- b) A faculty member may be given assigned time for documented research evaluations which are demonstrably related to the instructional functions and programs of the college.

23. Instruction Related Services

A faculty member may be given assigned WTU for his services related to college clinics, study skill centers, farms, art galleries, and other campus institutions and facilities which are ancillary to the instructional program.

31. Advising Responsibilities

- a) A faculty member may be given assigned WTU for carrying an excessive advising load due to a relatively high proportion of part-time faculty in his department.
- b) A faculty member may be given assigned WTU for carrying a greater than normal share of departmental or school advising responsibilities.
- c) A faculty member may be given assigned WTU for services as departmental graduate advisor.

32. Instruction-Related Committee Assignments

- a) A faculty member may be given assigned WTU for participation over and above normal levels in such areas as curriculum, personnel, budget, library, audiovisual, and selection committees at the department, school or college level.
- b) A faculty member may be given assigned WTU for membership in or liaison to special committees whose activities have significant bearing on the instructional programs of the college, or the CSUC system at large.

33. Curricular Planning or Studies

- a) A faculty member may be given assigned WTU for special individual or committee-related curriculum planning, development and redevelopment activities.
- b) A faculty member may be given assigned WTU for development of special tests for credit by examination.

34. Accreditation Responsibilities

A faculty member may be given assigned WTU for accreditation responsibilities.

35. Instruction-Related Facilities Planning

A faculty member may be given assigned WTU for duties related to planning of instructional facilities.



## POLICY ON OFFICE AND CONSULTATION HOURS

- I. Full-Time Faculty** - All full-time faculty members, regardless of teaching modality, shall maintain an average of at least five office and consultation hours per week during which faculty members are available to either meet personally in their offices (office hours) or communicate electronically (consultation hours) with students. Full-time faculty members with reduced teaching assignments shall maintain office and consultation hours consistent with the table below.
- II. Part-Time Faculty** - Although there is no specific requirement for office and consultation hours for part-time faculty members, they should be reasonably available to the students consistent with the table below.
- III. Office Hours** – Approximately sixty percent of office and consultation hours shall be specifically posted to inform students when the professor is available for advising without an appointment. This portion of office hours shall be face-to-face. These office hours cannot be met, entirely or in part, by stipulating “by appointment only.”
- IV. Consultation hours** – Approximately forty percent of office and consultation hours can be available for email or other electronic communication with students.
- V. Student notification** - Posted office hours shall be on file in the department office and shall be clearly communicated to students in the course syllabus by posting at the assigned office of each faculty member and through electronic means. Department chairs are responsible for ensuring that the office hours are reasonably accommodating to student needs within the context of each faculty member’s schedule. Faculty members shall notify the department when they are unable to keep established office hours.

Credit Units Taught	Minimum Office and Consultation Hours
>9	5
7-9	4
4-6	3
<4	2

## DEFINITIONS

Office Hours: In-office, fixed-time hours of availability

Consultation Hours: Synchronous and/or asynchronous electronic communication such as email

### **POLICY ON FINAL EXAMS**

Final examination periods are officially part of the academic year and, as such, a component of required faculty obligations. Final examinations or final class meetings are required in all courses and shall be held at the time and place identified in the Schedule of Courses. No final examination may be scheduled prior to the time specified in the Schedule of Courses. Any exceptions must receive written approval of the department chair and dean.

The general nature of the examination or final class meeting should be described in the course syllabus. Illness, accident, or other contingencies may prevent a student from taking the final examination at the scheduled time. In such cases, the instructor should assign a make-up examination or, if appropriate, a grade of incomplete.

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Approved by the Academic Senate  
Approved by the President

December 1992  
January 1993

## **POLICY ON INCOMPATIBLE ACTIVITIES AND CONFLICTS OF INTEREST**

This policy is intended to provide guidelines related to activities which may be deemed inconsistent, incompatible, in conflict with, or inimical to employment as a faculty member at California State University, Fresno.

### **I. GENERAL POLICY**

Acceptance of a full-time faculty position with California State University, Fresno implies the faculty member accepts the responsibilities of such a position as both a faculty member and as an employee of the State of California. Consistent with Article 20 of the Collective Bargaining Agreement, the responsibilities of a faculty member include teaching classes as scheduled, maintaining a schedule of office hours, attending scheduled meetings, involvement in research and/or related professional efforts appropriate to professional development, and service in a productive and collaborative manner with colleagues and other faculty to carry out the objectives of the university. In keeping with his/her employment, a faculty member has an obligation to conduct his/her activities in a manner such that their responsibilities to the State, and to the university and its students are not impaired.

The university expects that each faculty member will devote attention essential to meet the responsibilities of a faculty appointment. Faculty members are defined as exempt employees under the federal Fair Labor Standards Act of 1938 and do not work a fixed work week. Consistent with the traditions of the academy and the practices of the university, the only fixed "hours of duty" for a faculty member with an academic year appointment are normally those hours when the faculty member is scheduled to teach, to hold an office hour, to attend a meeting or perform other scheduled activities. The university also has the right to call a faculty member to campus when the individual is needed for university business during the period of active employment.

Section 19990 of the California Government Code provides that "A state officer or employee shall not engage in any employment, activity, or enterprise which is clearly inconsistent, incompatible, in conflict with, or inimical to his or her duties as a state officer or employee." Each faculty member should be alert to and avoid any activity which is inconsistent, incompatible, in conflict with or inimical to his/her responsibilities.

Section 19990 specifies activities and enterprises deemed by the State of California to be inconsistent, incompatible, in conflict with, or inimical to state employment. Activities and enterprises deemed to fall in these categories shall include, but not be limited to, all of the following:

- (a) Using the prestige or influence of the state or the university for private gain or advantage or the private gain of another.
- (b) Using state time, facilities, equipment, or supplies for private gain or advantage or for any purpose other than the performance of official university business.

- (c) Performance for compensation other than state salary of any service for any person or public or private agency if such person or agency performs any action which is subject to review, recommendation, or approval by the employee or any of his/her subordinates.
- (d) Performance for compensation other than state salary at any time of any service which his/her duties require him/her to render.
- (e) Acceptance of any obligation on the part of any faculty member which would prevent him/her from performing the responsibilities for which he/she is employed, or the acceptance of any responsibilities which would be in conflict with the purposes of the university.
- (f) Engaging in any activity which is contrary to a policy of the Trustees of the California State University or otherwise inimical to the welfare of the CSU or its institutions including the willful violation of any law, the willful violation of any regulation of the Board of Trustees or any directive of the Chancellor respecting his/her employment or the performance of his/her duties.
- (g) Subject to any other laws, rules, or regulations as pertain thereto, not devoting his or her full time attention, and efforts to his or her responsibilities as a faculty member.

## **II. OUTSIDE ACTIVITIES**

1. The university recognizes that the capacity and productivity of individual faculty members varies across a wide spectrum. Such capacities militate against across-the-board regulations concerning outside activities. While the university will not prescribe any form of outside employment, it does have an interest in any form of outside activity which may have an adverse effect on the performance of an individual full-time faculty member.
2. Consistent with state law and Article 35 of the Collective Bargaining Agreement, outside employment shall not conflict with normal work assignments or satisfactory performance of all the responsibilities of a faculty member. The university may, upon written request, require a faculty member to provide a written statement of the amount and approximate distribution of time devoted to continuous outside employment during the academic term to which he/she has been appointed. Such requests may be made when the appropriate administrator has determined that such information is necessary to ascertain compliance with provision Article 35.1 of the Collective Bargaining Agreement.
3. There is no limit to the amount of income a faculty member may make in outside employment.

4. In all private business agreements, especially consulting agreements, the client must be informed in writing that the faculty member is acting as a private person and that the university is not in any way a party to the agreement.
5. No official university stationery or forms shall be used in connection with outside employment nor shall the name, the seal, or the logo of the university be used in advertising.
6. No university facilities or other state resources may be used in any non-university work except as provided in contracts or other agreements approved by appropriate officers of the university.
7. "Resources" is broadly defined to include staff, office space, facilities, all forms of campus mail, equipment, supplies, stationery or forms.

### **III. ADDITIONAL EMPLOYMENT**

1. Consistent with Article 36 of the Collective Bargaining Agreement, additional employment refers to (1) any employment compensated by CSU, (2) funded by the general fund or (3) nongeneral funds including CSU auxiliaries, that is in addition to the primary or normal employment of a faculty member.
2. A faculty member is limited in CSU employment to the equivalent of one (1) full-time position in his/her primary or normal employment. An "overage" of 25% of a full-time position shall be allowed if the overage employment: (a) consists of employment of a substantially different nature from his/her primary or normal employment; (b) is funded from non-General Fund sources; or (c) is the result of the accrual of part-time employment on more than one campus.
3. The "25% overage" is calculated as a percentage of full-time workload or, when appropriate, full-time time base. The total additional employment of a faculty member shall not exceed a total of twenty-five percent (25%) overage.
4. If a faculty member holds more than one appointment, primary or normal employment of the faculty member shall refer to an appointment of more than a fifty percent (50%) time base. If no appointment is greater than a fifty percent (50%) time base, the normal employment shall refer to the appointment deemed normal by CSU.
5. A faculty member shall inform the President, at the time of appointment, of any appointments elsewhere in CSU.
6. The applicable time period for twelve (12) month faculty member shall be the calendar year, exclusive of the faculty member's earned vacation periods.
7. The applicable time period for ten (10) month or academic year faculty members shall be the academic year exclusive of time periods between academic years, time periods between academic terms, and the vacation periods of a faculty unit employee.

#### **IV. USE OF STATE RESOURCES FOR PERSONAL BENEFIT <sup>1</sup>**

State resources are provided to each faculty member in order to achieve the educational objectives of the university and to assist the faculty member in the performance of his/her responsibilities as a teacher, scholar, and colleague. The use of these resources for private/business gain or advantage is prohibited. "Resources" is broadly defined to include staff, office space, facilities, all forms of campus mail, equipment, supplies, stationery or forms.

#### **V. POLITICAL ACTIVITIES <sup>2</sup>**

As private citizens, faculty members may enjoy and exercise all the political rights guaranteed by the Constitution and laws of the United States and the State of California. The Attorney General has reaffirmed a previous opinion that "the right to engage in politics is a privilege of citizenship which should not be denied state employees in the absence of express or necessarily implied statutory prohibition, or unless the particular activity is harmful to state government. No political activity should be engaged in on state time."

Employees of The California State University are subject to provisions of law relating to elections and political activities applicable to all state employees and are included within the provisions of the California Government Code. State and university employees in the conduct of official business should remain neutral towards candidates or ballot measures. The use of state resources to promote a political organization and/or a candidate, advocate on behalf of a ballot measure, or to solicit political contributions is prohibited. "Resources" is broadly defined to include staff, office space, facilities, all forms of campus mail, equipment, supplies, stationery or forms.

Faculty members who have discussions of candidates or ballot measures in class should take great care to see that the representative views of all students are expressed. The distribution of material in exclusive support of a particular political party, candidate or ballot measure during a class session is prohibited.

#### **VI. POLITICAL REFORM ACT OF 1974**

The Political Reform Act of 1974 was enacted by the people of the State of California by an initiative which is intended to prevent conflicts of interest by requiring public officials with decision-making authority to disclose financial interests which could foreseeably cause conflicts. A list of designated positions and disclosure categories has been established by The California State University. Designated university officials are

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<sup>1</sup> Article 6 of the Unit 3 Collective Bargaining Agreement provides the California Faculty Association with access to faculty mailboxes, including electronic mail, for the purposes of communication to faculty unit employees.

<sup>2</sup> This section is addressing the political rights and responsibilities of employees. Nothing in this section shall be construed to limit the right of the California Faculty Association as the exclusive bargaining agent to express its positions on political issues as part of its communication to faculty unit employees.

required to file annual financial disclosure statements and to disqualify themselves from making, participating in, or attempting to influence any governmental decision which will affect their financial interests.<sup>3</sup> The Director of Human Resources has been designated as the filing officer on campus and further information may be obtained from that office.

## VII. CONFLICTS OF INTEREST

1. Each faculty member should be alert to and avoid actual or apparent conflicts of interest. Potential conflicts or apparent conflicts of interest should be handled in a professional manner. A faculty member is therefore obligated to identify a potential or apparent conflict of interest through his/her department chair, dean, or committee chair and excuse him/herself from an evaluative or decision-making role when a conflict presents itself or to make arrangements with the university through the department chair, dean or committee chair to provide for proper handling of an acknowledged conflict of interest.
2. Conflicts of interest include, but are not limited to the following,
  - (a) Relationships as defined in the campus Policy on Nepotism,
  - (b) Relationships as defined in the campus Policy on Faculty Student Consensual Relations,
  - (c) Relationships created by outside business/financial arrangements with other University employees whom the individual supervises or evaluates,
  - (d) Relationships created by outside business/financial arrangements with private or public agencies, or private businesses which do business with the University,
  - (e) Requirements of financial disclosure as outlined in the campus Interim Procedures for Conflict of Interest Policy on Principal Investigators

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<sup>3</sup> The list of designated university officials who are required to file annual financial disclosure statements is appended as Appendix A.

References: CBA Articles 6, 20, 35, 36

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Approved by the Academic Senate  
 Approved by the President  
 Amended

March 1980  
 May 1980  
 January 1998

**APPENDIX A**  
**LIST OF POSITIONS**  
**REQUIRED TO COMPLETE**  
**ANNUAL FINANCIAL DISCLOSURE STATEMENTS**

Assistant Vice President  
Associate Dean  
Associate Director, AIC  
Associate Director, Customer Service, CCMS  
Associate Director, ITS  
Associate Provost  
Associate Vice President  
Budget Officer  
Buyer II  
Buyer III  
Buyer Trainee  
Dean  
Director, Accounting Services  
Director of Athletics  
Director, Facilities Planning  
Director, Financial Aid  
Director, Human Resources  
Director, Grants and Research  
Director, Procurement & Support Services  
Director, Public Safety  
Director, Student Life and Development  
Director, University Health and Counseling Services  
Director, Utility Management  
Executive Director, Auxiliary Services  
President  
Property Clerk  
Provost  
Vice President  
University Controller



## **POLICY ON FACULTY-STUDENT CONSENSUAL RELATIONS\***

### **INTRODUCTION**

Faculty have a professional responsibility to exhibit the best scholarly and ethical standards of their profession; to demonstrate respect for students as individuals; to adhere to their proper roles as intellectual guides and counselors; to make every effort to foster honest, academic conduct; to assure that their evaluation of students reflects each student's true merit; and to avoid any exploitation, harassment, or discriminatory treatment of students ("Statement on Professional Ethics," American Association of University Professors (rev. June 1987)).

The university normally has no interest in private romantic or sexual relationships between individuals. However, the university does have a responsibility to protect the integrity of the learning environment and evaluation processes. This policy addresses consensual relations only; non-consensual or coerced relationships are dealt with in the university "Policy Prohibiting Sexual Harassment." Amorous relationships between faculty and student in which the faculty member is not in a position to evaluate or supervise the student may lead to difficulties. Such relationships, however, are not within the scope of this policy so long as the instructor does not participate in decisions that may reward or penalize the student.

There exists numerous possibilities for problems ensuing from romantic or sexual relations between faculty and students. A few are noted here for purpose of illustration and admonishment. (1) A student may be unintentionally coerced into a relationship by the difference in power and prestige between the instructor and the student. Thus, what appears to be consensual may not be. (2) A relationship, over time, may degenerate into a case of sexual harassment. Legally, the fact that a sexual relationship seemed to be voluntary or began as voluntary is not necessarily a successful defense to harassment charges. (3) An instructor may favor a student involved in the relationship, sacrificing objectivity, or other students may perceive favoritism and claim sexual harassment based upon an intimidating, hostile, offensive, or otherwise adverse learning environment. Faculty-staff romantic or sexual relationships may appear to be an abuse of the instructor's authority, creating the appearance of a conflict of interest even if no such conflict exists. (4) The instructor may unintentionally create a suspicious, intimidating environment in a class or within a department as other students learn of the relationship and speculate about its effect on themselves, their grades, etc.

Violations of the standards described herein may lead not only to university sanctions, but could also subject faculty to legal proceedings initiated by an aggrieved individual and/or by a government agency.

### **POLICY**

It shall constitute unprofessional conduct for university faculty to engage in romantic or sexual relationships with students which occur when the faculty member either currently has or foreseeably will be given responsibility for the evaluation (including recommendations for jobs, advancements, etc.) or supervision of the student. In the event the romantic or sexual relationship existed prior to the beginning of the faculty-student relationship, the faculty member shall immediately discuss the relationship with the School Dean with a view towards seeking alternative classes, advisors, etc. for the student. If no alternative classes, advisors, etc. can be identified, either the romantic or sexual relationship must be terminated. University response to violations of this policy will vary as appropriate to the facts of each case. Such actions may include but are not limited to oral and written reprimands, and/or disciplinary action, including suspension, demotion and dismissal.

*\*For purposes of this policy, the terms "faculty" and "instructor" include any university employee performing in an instructional or supervisory role with students.*

Approved by the Academic Senate  
Approved by the President

May 1992  
June 1992

**CALIFORNIA STATE UNIVERSITY, FRESNO  
FRESNO, CALIFORNIA 93740-0054**

**OFFICE OF THE VICE PRESIDENT  
ACADEMIC AFFAIRS**

(209) 278-2636

21 September 1993

TO: University Community

FROM: Alexander Gonzalez, Provost  
Tom Ebert, CFA President  
Lyman Heine, Chair, Academic Senate  
Art Parham, Chair, Personnel Committee

RE: Consensual Relations Policy

Because of the importance of this issue to the academic community, we want to ensure that everyone is aware of the policy on consensual relationships. This policy was adopted by the Academic Senate, approved by the President, and has been in effect since June, 1992.

The policy is designed to protect the integrity of the student's learning environment. This policy deals only with "consensual" relationships and not with relationships that are "coerced" and fall under the definition of Sexual Harassment. The adoption and implementation of this policy is an attempt to protect university employees as well as the university from allegations of sexual harassment that may arise at the termination of a consensual relationship.

Please take time to carefully read and consider this policy. If you have questions about it, please contact either Sharon Brown-McGowan, Associate Vice President for Academic Affairs, Academic Personnel (#83027), or Tom Ebert, CFA President (#83033).

Attachment

**(See Policy on reverse side.)**

**POLICY ON ASSIGNMENT OF**  
**STUDENT-FACULTY RATIOS**

The following criteria and procedures are to be used to determine assignment of Student-Faculty Ratios (SFR's):

1. SFR's are to be assigned by the Office of the Vice President for Academic Affairs based on a thorough analysis of the following factors:
  - a. Recent History
  - b. Programmatic Needs (e.g. size of classes, the number of majors, general education role)
  - c. Systemwide Averages
  - d. Mode and Level Analysis
  - e. Capacity of Available Rooms and Laboratories
2. Consultation must occur with individual deans and department chairs before a program's assigned SFR is changed.
3. Consultation must occur with the University Budget Committee before changes in assigned SFR's are made.

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Approved      April 1980

## POLICY ON ASSIGNED TIME

Faculty workloads may be reduced for research, grants, contracts, service, and special projects for the department, college/school or university through special assignment (assigned time). The Provost and Vice President for Academic Affairs (Provost) or designee must approve all assigned time.

CSU system policy requires that detailed records be maintained on all assigned time. The records are to include a description of the task to be performed within the assigned time, and formal approval of the assigned time.

Each semester, the campus submits to the Chancellor's Office a report on the assigned time authorized. In addition, the campus is expected to maintain a local summary that may be used as a basis for a review or audit of assigned time activities.

There are several types of assigned time:

- (1) those assignments made for a specific and designated project to be completed within the period of a semester or, on occasion, an academic year,
- (2) those assignments, for instructionally related activities of an ongoing nature.
- (3) assigned time for research <sup>1</sup>
- (4) reimbursed time for research; grant or contract activity <sup>2</sup>
- (5) assigned time for service activities

All requests for assigned time shall describe clearly the purpose for which the assigned time is requested, including a description of the benefits expected to accrue to the university, college/school and/or department.

All Requests for assigned time shall be forwarded through the department chair and dean to the Provost or designee. <sup>3</sup> The dean, after consultation with the department chair, shall forward a recommendation to the Provost. If necessary, the Provost shall review the proposal with the dean to ensure its appropriateness prior to making a final decision. The faculty member shall be notified of the final decision in writing.

At the close of each academic year, <sup>4</sup> each faculty member receiving assigned time is responsible for submission of a report on the performance of activities for which the assigned time was granted. The report shall be submitted to the office that authorized the assigned time. <sup>5</sup> The report is due no later than the first day of the fall semester of the following academic year.

References:                      CBA Article 20  
    Policy on the Assigned Time for Research Program (APM)  
    Policy on the Administration of Grant and Contract Activity (APM)

Recommended by the Academic Senate  
 Approved by the President

March 2003  
**March 20, 2003**

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<sup>1</sup> See Assigned Time for Research Program (APM 507)

<sup>2</sup> See Policy On The Administration of Grant And Contract Activity (APM 501)

<sup>3</sup> Department chairs do not have the authority to give assigned time for assignments within the department.

<sup>4</sup> If assigned time is for one semester only, the report shall be submitted by the first day of the next semester.

<sup>5</sup> This report may be included as part of the annual report of activities that goes to the department chair or other supervisor.

## POLICY ON ASSIGNED TIME FOR EXCEPTIONAL LEVELS OF SERVICE

This policy outlines the principles and procedures for the administration of “assigned time for exceptional levels of service” required in the Collective Bargaining Agreement between the CFA and CSU (July 1, 2014 – June 30, 2017). In this document, “application” shall refer to all papers and forms submitted by a faculty member for the purpose of requesting assigned time for this service. “Proposal” shall refer to that part of the application in which the faculty member describes the manner in which the assigned time is to be used.<sup>1</sup> The appropriate administrator (academic dean) is designated by the President to oversee the implementation of this program and to ensure compliance with Article 20 of the Unit 3 Collective Bargaining Agreement (CBA).<sup>2</sup>

Every full-time faculty member has the right to, and a developmental need for, assigned time for this purpose.

### GENERAL PROVISIONS (from Article 20 of the CBA)

- 1. For each fiscal year 2014/15, 2015/16, and 2016/17, the CSU will provide a pool of \$1.3 million, allocated based on campus full-time equivalent students (FTES), to provide assigned time to faculty employees who are engaged in exceptional levels of service that support the CSU's priorities, but who are not otherwise receiving an adjustment in workload to reflect their effort.*
- 2. Assigned time from this pool may be awarded for student mentoring, advising, and outreach, especially as these activities support underserved, first-generation, and/or underrepresented students; the development and implementation of high-impact educational practices; curricular redesign intended to improve student access and success; service to the department, college, university, or community that goes significantly beyond the normal expectations of all faculty; assignment to courses where increases to enrollment have demonstrably increased workload; and other extraordinary forms of service to students.*
- 3. Such adjustments shall be in addition to any adjustments already in place on a campus. Faculty members already receiving assigned time for the same general category of activity (e.g. assigned time for excess enrollments, assigned time for committee service) shall not be eligible for support from this pool for the same activities.*
- 4. In 2014/15, assigned time under this program shall be awarded in the spring and be based on work performed during the 2014/15 academic year. Awards shall consist of WTUs and may be banked for use in the 2015/16 academic year. Campuses shall establish timelines for 2015/16 and 2016/17 so that assigned time is taken during the academic year in which the activities occurred. All faculty unit employees are eligible to apply.*
- 5. Priority shall be given to applications which demonstrate that the quality of students' educational experience could not have been maintained without an increase in the faculty member's workload.*
- 6. Denials shall specify the reasons. Appeals shall be heard by a faculty committee designated for the purpose. Decisions of the appeals committees shall be final and binding and not subject to Article 10 of the CBA. Awards granted after appeal in 2014/15 and 2015/16 shall be funded from the pool allocated for this program in the subsequent fiscal year and shall not exceed 10% of the annual pool. Any unused funds from this program in 2014/15 or 2015/16 shall roll over for use in the following Academic Year. Appeals in 2016/17 must be funded from the available funds for 2016/17, including any rollover from previous years.*

<sup>1</sup> Assigned Time for Exceptional Service application forms are available on the Faculty Affairs web site.

<sup>2</sup> It is the purpose of this policy to address only the implementation of assigned time for exceptional service as required by the CBA in Article 20.

7. *Campuses shall expend all funds allocated to them under this program. Each campus shall provide an accounting of expenditures for this program for the prior fiscal year by no later than November 1 of the subsequent year. For accounting purposes, costs of reassigned time shall be calculated based on the minimum salary for assistant professor.*

8. *Consideration shall be given to at least the following:*

*a. In the assignment of workload, consideration shall be given at least to the following factors: graduate instruction; online instruction; activity classes; laboratory courses; supervision; distance learning; sports; and directed study. Consideration for adjustments in workload shall be given to at least the following: class size/number of students; course and curricular redesign; preparation for substantive changes in instructional methods, including development of online and hybrid courses; research, scholarly, and creative activities; advising; student teacher supervision; thesis supervision; supervision of fieldwork; service learning; student success initiatives; assessment and accreditation activities; and service on a department, college, or University committees.*

*b. In determining what is "excessive" or "unreasonable" under this section, the items listed under a (above), as well as the number of students seeking to take courses in the academic area, the distribution of student enrollment, the level of support provided the program, and the effects of the introduction of new instructional technologies, and the prior practices of the University shall be among the primary elements to be considered. The parties agree that consideration of the prior practices of the University shall include the calculation of Weighted Teaching Units in prior years.*

## I. ELIGIBILITY

1. All faculty employees are eligible.

## II. PROCEDURES

### A. General

1. In the Spring semester of each academic year, the Office of Faculty Affairs shall establish and announce dates for the submission and review of assigned time for exception levels of service requests.
2. It shall be the sole responsibility of an individual faculty member to apply for this assigned time and failure to do so in a timely fashion will not excuse an applicant from meeting the application deadline established by the dean.
3. Eligible faculty wishing to do so shall submit an application for assigned time for exceptional levels of service on the University form available on the Faculty Affairs web site. Basic application information shall include: a) the purpose of the assigned time; b) the semester during which the assigned time will be used or if the "banking" provision is being requested.

### B. Departmental Level Review

1. Departments have the primary responsibility of stating, in writing, the reasons for their recommendations regarding these assigned time for exceptional levels of service proposals. The department shall elect a committee for this purpose consisting of at least three (3) full-time tenured faculty members who are not applying for assigned time for exceptional levels of service and are not participants in the Faculty Early Retirement Program. If the department does not have three full-time tenured members, the membership of the department may elect any other full-time tenured faculty member willing to serve on this committee.

2. Department chairs may be elected to the departmental committee or may choose to write a separate recommendation as an independent level of review. The department chair must indicate his/her preference prior to the deadline for applicants to submit proposals.
3. Departments may, at their discretion, separately rank-order applications. (Failure to rank-order at the department level may place some applicants at a slight disadvantage, as rank-ordering is mandatory at the school/college review level.)
4. Each faculty member applying for assigned time for exceptional service shall receive a written copy of the recommendation of the committee, and the recommendation of the department chair (if any). Written recommendations shall include the reasons for the recommendation.

C. School/College Level Review

1. The school/college shall elect a committee for this purpose consisting of at least three (3) full-time tenured faculty members who are not applying for assigned time for exceptional service and are not participants in the Faculty Early Retirement Program. At the discretion of the school/college's faculty members, the unit's standing personnel peer review (RTP) committee may serve as the committee.
2. The school/college committee will examine all applications and proposals. The committee will also review the recommendations of the departmental committee and the department chair (if any).
3. The school/college committee shall forward to the dean (or equivalent) separate rank-ordered lists of meritorious applications. Regardless of its relative rank, each leave application/proposal shall be clearly identified as meritorious or not meritorious.
4. The school/college committee shall notify each leave applicant, in writing, of: a) the committee's recommendation to the dean; b) the rank-order of the proposal; and c) the reasons for the ranking and recommendation.

D. The Dean's Decision

1. The dean (or equivalent appropriate administrator) shall review: a) all original applications/proposals; b) recommendations of the departmental committee; c) recommendations of department chairs (if any); d) recommendations of the school/college committee.
2. Before arriving at a final decision regarding each application, the dean shall consider the following factors:
  - a) the overall quality of the proposal;
  - b) the consistency of the proposal with *General Provisions No. 2* above.
3. Upon arriving at a decision on each application, the dean shall, in writing, notify the applicant of that decision. This notification shall include the reasons for the approval or denial of the proposal. If approved, the notification will also provide conditions (if any) imposed on the assigned time.

III. ALLOCATION OF ASSIGNED TIME FOR EXCEPTIONAL LEVELS OF SERVICE AND APPEALS

1. Resources will be distributed to each college/school on the basis of *FTES (Full-Time Equivalent Students)* positions.
2. Appeals for denials shall be heard by a committee elected by the Academic Senate designated for this purpose. Decisions of the appeals committee shall be final and binding, and not subject to Article 10 (Grievance) of the CBA.

**REFERENCE:** CBA Article 20

**History**

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Recommended by Academic Senate  
March 12, 2015

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Approved by President  
May 5, 2015



## **POLICY ON CENTER FOR ENHANCEMENT OF TEACHING AND LEARNING**

### **Overview**

Faculty professional development, incorporation of technology into teaching methodologies, faculty scholarship, and the validation of the learning process have all received much attention from scholars and teachers over the past several years. If indeed faculty are to incorporate the latest technological advances into the curriculum, if there are increased expectations for faculty scholarship and research, and if the academic community is going to be expected to document and to demonstrate the learning process through what has been identified as "student outcome assessment", then it is necessary to provide the means and resources to facilitate faculty in accomplishing these four objectives and in becoming the teacher/scholar of the future. In addition, in accordance with the Plan for the 90's and other relevant current trends within the University such as the retention, tenure and promotion procedures, educators demonstrating successful innovations in the area of teaching will more likely be given strong consideration for retention, tenure and promotion.

Further, the future academic community needs to be provided with a forum and a conduit through which discourses may begin about the "teacher/scholar" model and by which coordination and development activities for the integration of technology into the curriculum may be facilitated.

The following proposal will outline a model for a Center for the Enhancement of Teaching and Learning, (CETL), which includes a mission, goals and objectives, identifies an organizational structure for CETL, and presents a budget for the operation of the CETL.

### **Mission**

The Center for Enhancement of Teaching and Learning at California State University, Fresno, provides assistance and resources to support teaching excellence and professional growth. Under the guidance of an advisory board, CETL sponsors programs and consultation designed to enhance instruction and learning; serves as a clearinghouse for information regarding higher education instruction; stimulates discourse among faculty on academic matters; promotes the use of technology in teaching; and encourages the development of grant proposals to support faculty research contributing to effective teaching and learning with a diverse student population.

### **Objectives**

The following list of goals and objectives is intended as a sample only and has been constructed in accordance with the previously stated Mission of the CETL:

- to provide forums for faculty to share teaching ideas and techniques;
- to gather and disseminate information related to university teaching;
- to recognize outstanding teaching and scholarship through the teacher/scholar model;
- to stimulate the development of grant proposals for research on effective teaching and learning;

- to identify master/mentor teachers to be used as role models;
- to facilitate innovative integration of technology in teaching;
- to provide resource orientation to full and part-time faculty new to the campus;
- to serve as a link between the campus and the CSU system institutes and centers;
- to sponsor programs, workshops, and symposia designed to enhance teaching/learning process;
- to assist faculty in re-energizing by providing an environment that allows for mutual problem-solving and creativity; and,
- to conduct periodic assessments of faculty development needs.

### **Organizational Structure**

CETL will report to the Associate Vice President for Academic Affairs, Academic Personnel and will be under the direction of a Director who will be a faculty member awarded an alternative work assignment equal to 6 WTU's per semester and will be awarded three weeks of summer work assignments. The Center will have a Graduate Assistant assigned 20 hours per week and student work study assistants equal to 0 hours per week. Other faculty may be assigned to work with the Director, with release time on an as needed basis. These individuals will assist in grant preparation or will assist in designing special programs.

### **Director**

The functions of the Director are as follows:

- 1) provide leadership in accomplishing the mission, goals and objectives of the Center;
- 2) assess faculty professional and instructional development needs;
- 3) supervise the staff of the Center;
- 4) secure outside funding for the Center;
- 5) be a strong advocate for the Center and its goals;
- 6) assemble a library of useful publications and other resources;
- 7) communicate effectively with faculty;
- 8) schedule workshops, seminars, speakers, etc.;
- 9) coordinate/cooperate with other on and off campus programs;
- 10) assist in the development of programs to improve classroom instruction;
- 11) provide leadership in the development of the teacher/scholar model; and
- 12) provide leadership in developing scholarly activities related to the enhancement of teaching and learning.

An Advisory Board consisting of the Senate Professional Development subcommittee members, faculty representatives from each instructional school and the library, will be formulated to provide assistance to the Director in accomplishing the mission, goals and objectives of the CETL. The Director of the CETL will sit as an ex-officio, non-voting member of the Advisory Board. The Board will select a Chair to serve for the academic year and the faculty members of the Board (outside the Professional Development Committee) will serve a staggered three-year term.

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Approved  
Revised

May 1989  
November 1994

## POLICY ON SABBATICAL AND DIFFERENCE-IN-PAY (DIP) LEAVES

This policy outlines the principles and procedures for the administration of faculty professional leaves of absence with pay (i.e., sabbatical leaves and difference-in-pay leaves). In this document, “application” shall refer to all papers and forms submitted by a faculty member for the purpose of requesting a professional leave of absence. “Proposal” shall refer to that part of the application in which the faculty member describes the manner in which the leave of absence is to be used.<sup>1</sup> The Provost and Vice President for Academic Affairs (VPAA) is designated by the President to oversee the implementation of these leave programs and to ensure compliance with Articles 27 and 28 of the Unit 3 Collective Bargaining Agreement (CBA).<sup>2</sup>

Every full-time faculty member has the right to, and a developmental need for, a periodic professional leave with pay. Traditionally, these professional leaves with pay have been called sabbaticals or difference-in-pay leaves and are a long-standing faculty benefit. Therefore, it is incumbent upon the academic community to award paid professional leaves based upon justifiable criteria, using established procedures for evaluating the relative merits of sabbatical and DIP leave proposals.

### I. GENERAL PROVISIONS

1. A sabbatical leave for an academic year faculty or counselor employee may be granted for one semester with full pay, or for two semesters with half pay, within a single academic year.<sup>3</sup> A sabbatical leave for librarian or 12 month faculty or counselor employee may be granted for four (4) months at full salary; or eight (8) months at one-half (1/2) of full salary.
2. A difference-in-pay (DIP) leave may be granted for one or more semesters, or months as appropriate to the faculty member’s appointment.
3. A person on a sabbatical or DIP leave shall not accept additional and/or outside employment without *prior written approval* of the Provost.<sup>4</sup>
4. Sabbaticals and DIP leaves shall be for purposes that provide a benefit to the University, such as research, scholarly and creative activity, instructional improvement, or faculty retraining. Such leaves excuse the faculty member from all other responsibilities during the leave period in order that the faculty member may concentrate on the proposed professional development activities of the leave.
5. Individuals on a sabbatical or DIP leave shall not be eligible to serve on any peer review committee during the period of the leave.
6. When a faculty member is afforded an unexpected opportunity, such as external funding, or a scholarship or fellowship, a rapid and expedited review process for a DIP leave will be provided.

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<sup>1</sup> Sabbatical and DIP leave application forms are available on the Faculty Affairs web site.

<sup>2</sup> It is the purpose of this policy to address only the implementation of sabbatical and DIP leaves. For a complete description of other forms of leave with pay, please refer to Articles 23 and 24 of the CBA.

<sup>3</sup> Service credit toward retirement is determined by CalPERS, and is based upon the employee’s timebase. Faculty members intending to go on a two-semester sabbatical at half pay should consult with the Human Resources Benefits Specialist to determine the impact of the proposed leave on retirement credit, based upon current law and CalPERS regulations.

<sup>4</sup> Please refer to Articles 35 and 36 of the CBA for specific constraints and stipulations regarding additional and/or outside employment.

7. In the event that a recipient of a sabbatical or DIP leave must alter the leave proposal before the leave has begun or during the leave period, an amended written proposal shall be submitted to the appropriate dean for approval *prior to* implementation of the alteration. The dean shall notify the Provost immediately of any leave alterations and/or changes in leave recipients. Following the notification, the Provost will follow the procedures described in Section VI.
8. If a sabbatical is denied based on factors other than the merit of the proposal as identified in CBA 27.6 or 27.7, and such denial results in fewer sabbaticals being awarded than 12% of eligible faculty as defined in CBA 27.10, upon request of the faculty member, the sabbatical leave shall be deferred until the following academic year, at which point the leave, if the underlying conditions supporting the proposal remain in effect, shall be granted.
9. Individuals on a sabbatical or DIP leave shall be considered in work status, and shall receive health, dental, and similar fringe benefits provided by the CSU.
10. Individuals on sabbatical and DIP leaves shall be entitled to accrue—if applicable—sick leave, vacation, service credit toward salary adjustment eligibility, eligibility toward promotion, and seniority credit.
11. A faculty member on a sabbatical or DIP leave shall not return to full-time status prior to the expiration of the leave period without prior written approval of the Provost.

## II. REQUIRED INDEMNIFICATION OF THE STATE

1. A faculty member is expected to provide one (1) semester of full-time service for each semester of paid professional leave. This service shall be rendered after the completion of the leave period.
2. Upon approval of a sabbatical or DIP leave proposal, the applicant must either file with the Dean a suitable bond, list of assets, or promissory note sufficient to guarantee the State against loss in the event there is failure to render the equivalent service stipulated in Section 1 above.
3. Final approval of a sabbatical or DIP leave proposal shall not be granted until the applicant has filed (as part of the leave application) a suitable bond, an accepted statement of assets (exclusive of CalPERS holdings), or a promissory note at least equal to the amount of salary paid during the leave period. This financial indemnification shall be immediately canceled in full upon completion of the required service stipulated above, or upon written waiver of that service by mutual agreement between the faculty member and the University.

### III. ELIGIBILITY

#### A. *Sabbatical Leaves*

1. Any full-time faculty member is eligible for a sabbatical leave if he/she has served in a full-time position on this campus for six (6) years in the preceding seven-year period prior to the leave, and at least six (6) years after any previous sabbatical.
2. Credit granted toward the completion of the probationary period for service elsewhere and up to one year of time spent on a professional leave without pay shall apply toward the sabbatical eligibility requirements.
3. A professional leave of absence without pay or service in an academic appointment excluded from the bargaining unit shall not constitute a break in service for eligibility calculations.
4. Participants in the Pre-Retirement Reduction in Time Base (PRTB) Program, and in the Faculty Early Retirement Program (FERP), are not eligible for sabbatical leaves.

#### B. *Difference-in-Pay Leaves*

1. While eligibility requirements, criteria, and procedures for sabbatical and DIP leaves are similar, DIP leaves are not credited against the number of sabbatical leaves allocated to the campus, or accounted for within budgetary processes.
2. Any full-time faculty member is eligible for a difference-in-pay leave if he/she has served in a full-time position on this campus for six (6) years in the preceding seven-year period prior to the leave.
3. A faculty member will be eligible for a subsequent difference-in-pay leave after he/she has served full time for three (3) years after the last sabbatical or DIP leave, and has satisfied the rendered service requirement.
4. Service credit granted toward the completion of the probationary period for service elsewhere shall also apply toward fulfilling the eligibility requirements for a DIP leave.
5. A leave of absence without pay, or service in an academic administrative appointment excluded from the bargaining unit, shall not constitute a break in service for DIP eligibility requirements, nor shall it fulfill the rendered service requirement upon return from a DIP leave.
6. Participants in the Pre-Retirement Reduction in Time Base (PRTB) Program, and in the Faculty Early Retirement Program (FERP), are not eligible for DIP leaves.
7. For faculty members, DIP salary shall be calculated by subtracting the minimum annual pay of the Instructor rank from the applicant's current annual salary. The salary difference for a librarian's or SSP-AR's DIP leave is the difference between the employee's annual salary and the minimum salary of the Instructor rank at a comparable time base.

#### IV. CRITERIA FOR SABBATICAL AND DIFFERENCE-IN-PAY LEAVES

1. A sabbatical or DIP leave shall be granted for purposes that provide a benefit to the University. All reviews of professional leave proposals shall consider the quality of activities to be conducted during the leave period.
2. Proposals shall demonstrate how one or more of the following objectives will be met by the sabbatical or DIP leave: a) studies leading to a greater command of subject matter; b) studies to accomplish a shift in areas of academic emphasis; c) studies leading to improved curricula; d) studies leading to a command of advanced teaching methods; e) creative activities in one's professional field or a closely related field; f) travel with a well-defined professional or scholarly objective (e.g., scholarly research at a highly specialized library collection).
3. Proposals shall demonstrate: a) the benefit to the University of the proposed leave; b) a well-conceived program of activities including, where possible, preliminary arrangements and contacts; c) a detailed description and timeline by which the objectives and activities are to be accomplished; and d) that the proposed activities cannot be accomplished in less than the leave time, but can be completed in the time period requested.
4. The relative merit of the proposal shall be the principal basis for a recommendation at all levels. Prior performance while on a sabbatical, DIP, or professional leave without pay shall be considered at each evaluation/recommendation level. Other factors, such as the time since the last professional leave or length of service, shall be given secondary consideration.
5. Prior to making a final decision, the dean shall consider the recommendations from the department and school/college committees. The dean shall also weigh programmatic needs and budget implications.

## V. PROCEDURES

### A. General

1. At the beginning of each academic year, the Office of Faculty Affairs shall establish and announce dates for the submission and review of sabbatical and DIP leave requests.
2. Each school/college (or equivalent unit) will be provided a list of faculty members eligible to apply for a sabbatical or DIP leave. Based on the University Target, the Office of Faculty Affairs will provide schools/colleges with their “College or School Target”<sup>5</sup>. However, it shall be the sole responsibility of an individual faculty member to ascertain his/her professional leave eligibility, and failure to do so in a timely fashion will not excuse an applicant from meeting the application deadline established by the dean.
3. Eligible faculty wishing to do so shall submit an application for a sabbatical or DIP leave on the University form available on the Faculty Affairs web site. Basic application information shall include: a) the purpose of the leave; b) a brief description of the proposed project; c) what CSU resources, if any, will be needed to support the project; and d) the amount of time requested (not to exceed one year). In addition to the basic application information and the indemnification documents specified in Section II, this written request shall include a professional leave *proposal* that clearly addresses the criteria in Section IV above.
4. A copy of the report from the last sabbatical, DIP, or professional leave without pay—if any—shall be attached to the application.

### B. Departmental Level Review<sup>6</sup>

1. Departments have the primary responsibility of stating, in writing, the reasons for their recommendations regarding professional leave proposals. The department shall elect a Professional Leave Committee consisting of at least three (3) full-time tenured faculty members who are not applying for a sabbatical or DIP leave and are not participants in the Faculty Early Retirement Program. If the department does not have three full-time tenured members, the membership of the department may elect any other full-time tenured faculty member willing to serve on this committee.
2. Department chairs may be elected to the departmental committee or may choose to write a separate recommendation as an independent level of review. The department chair must indicate his/her preference prior to the deadline for applicants to submit leave proposals.
3. Departments may, at their discretion, separately rank-order one-semester sabbatical applications and DIP leave applications, according to the criteria found in Section IV above. (Failure to rank-order at the department level may place some applicants at a slight disadvantage, as rank-ordering is mandatory at the school/college review level.)

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<sup>5</sup> See section VI for additional information on University and College or School Targets.

<sup>6</sup> Solely for the purpose of this policy, Librarians and Counselors (SSP-ARs) will only have departmental professional leave committees.

4. For full consideration at the Dean's level, the department's recommendations regarding all professional leave applications must also include: a) a statement assessing possible effects on the curriculum during the applicant's potential absence; and b) a statement assessing departmental operations during the applicant's potential absence. If a sabbatical leave was denied in the immediate year prior due to (a) or (b) above, an application for a sabbatical submitted the following academic year shall not be denied based on these factors. (CBA Article 27.8)
5. Each faculty member applying for a sabbatical or DIP leave shall receive a written copy of the recommendation of the department Professional Leave Committee, and the recommendation of the department chair (if any). Written recommendations shall include the reasons for the recommendation.
6. If a faculty member's application is not recommended by the department Professional Leave Committee and/or department chair, or the applicant believes his/her proposal was not ranked high enough, he/she may request a thirty (30) minute interview with the school/college Professional Leave Committee to present his/her appeal. This request shall be granted.

#### C. School/College Level Review

1. The school/college shall elect a Professional Leave Committee consisting of at least three (3) full-time tenured faculty members who are not applying for a sabbatical or DIP leave and are not participants in the Faculty Early Retirement Program. At the discretion of the school/college's faculty members, the unit's standing personnel peer review (RTP) committee may serve as the Professional Leave Committee.
2. The school/college Professional Leave Committee will examine all professional leave applications and proposals, applying the criteria found in Section IV above. The committee will also review the recommendations of the departmental committee and the department chair (if any); particular attention will be given to the departmental statements assessing possible effects on the curriculum, and the assessment of departmental operations, during the applicant's potential absence. The school/college committee will also listen to applicant appeals, as provide for in Section VI.B.6 above.
3. The school/college Professional Leave Committee shall forward to the dean (or equivalent) separate rank-ordered lists of meritorious one-semester sabbatical requests, full-year sabbatical requests, and difference-in-pay leave requests. Regardless of its relative rank, each leave application/proposal shall be clearly identified as meritorious or not meritorious.
4. The school/college Professional Leave Committee shall notify each leave applicant, in writing, of: a) the committee's recommendation to the dean; b) the rank-order of the proposal; and c) the reasons for the ranking and recommendation.
5. If a faculty member's application is not recommended by the school/college Professional Leave Committee, or the applicant believes his/her proposal was not ranked high enough, he/she may request a thirty (30) minute interview with the school/college dean (or equivalent) to present his/her appeal. This request shall be granted.



## D. The Dean's Decision

1. The dean (or equivalent appropriate administrator) shall review: a) all original professional leave applications/proposals; b) recommendations of the departmental Professional Leave Committees; c) recommendations of department chairs (if any); d) recommendations of the school/college Professional Leave Committee; e) applicant appeals (if any).
2. Before arriving at a final decision regarding each professional leave proposal, the dean shall consider the following factors:
  - a) the overall quality of the proposal, employing the criteria enumerated in Section IV above;
  - b) possible effects on the curriculum and the operation of the department should the applicant be granted the leave;
  - c) other campus program needs;
  - d) campus budget implications, including the school/college's budgetary resources.
3. Upon arriving at a decision on each leave application/proposal, the dean shall, in writing, notify the applicant of that decision. This notification shall include the reasons for the approval or denial of the proposal. If approved, the notification will also provide conditions (if any) imposed on the leave. Except for the conditions described in the following section, the decision of the dean is final.
4. In some rare instances, the dean may deny a professional leave application on grounds (e.g., lack of sufficient funding) other than the proposal's merit. If this denial results in the University failing to meet the "University Target" of allocated sabbaticals, the applicant may request deferral of the leave proposal until the next academic year. At that time, if the underlying conditions supporting the proposal remain in effect, the leave shall be granted. Sabbaticals deferred in such instances will be counted against the "University Target" in the year they are actually taken.<sup>7</sup>

## E. University Level Review for Meritorious Applications not Awarded at the Dean Level.

1. All meritorious applications not awarded at the dean level shall be forwarded to the Senate Research Committee. The Senate Research Committee shall then review these proposals, employing the criteria found in Section IV, and rank-order the proposals. This rank-ordered list shall be forwarded to the Provost.

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<sup>7</sup> See Article 27.8 of the Unit 3 Collective Bargaining Agreement.

F. Appeal of Denial of Sabbatical or Difference in Pay Leave

1. If the dean's decision is in disagreement with the department committee and/or the college/school committee recommendations, the faculty member may appeal to the Provost within sixty (60) days of the decision of the dean.
2. Prior to making a formal appeal to the Provost, the faculty member shall request a thirty (30) minute meeting with the dean to discuss the dean's decision. This request shall be granted. A letter from the dean stating that this meeting has been held must be presented as part of the appeal to the Provost.
3. The Provost shall hear the appeal only if the consultation has been held with the dean. The appeal shall be in writing and shall state the reasons why the leave should be granted. A copy of the appeal shall be sent to the dean.
4. An appellant may request a thirty (30) minute interview with the Provost to present his/her arguments. This request shall be granted.
5. The Provost shall notify the appellant, in writing, of the final decision, including reasons, on the appeal.
6. Use of this appeal process is entirely voluntary; faculty members may instead exercise their rights under the collective bargaining agreement.

VI. ALLOCATION OF SABBATICAL LEAVES

1. All applicants who meet the conditions of Sections II (Indemnification), III (Eligibility), and IV (Criteria) should receive their sabbatical leaves pursuant to Article 27.7 of the CBA, other campus program needs and campus budget implications.
2. All requests for a full academic year sabbatical at one-half of full salary shall be granted if the applicant/proposal meets the conditions set forth in Sections II, III, and IV above. These sabbaticals shall only be granted under the condition that they will be taken over a full academic year; potential changes to the conditions under which these leaves were granted will invalidate the award.
3. In any given year, if a sufficient number of faculty are eligible and meet the conditions for a sabbatical leave, then the number of one-semester sabbatical leaves at full pay to be granted shall equal or exceed twelve percent (12%) of the total number of faculty eligible to apply in that year. This number shall be referred to as the "University Target."
4. For the specific purpose of initial awarding sabbatical leaves on this campus, the authority of the President is delegated to the appropriate dean or equivalent Based upon the number of sabbatical-eligible faculty in each college/school as a proportion of the University Target, each unit will be given a "College or School Target" of one-semester sabbatical leaves at full pay. For the purposes of this proportional allocation, the Library and Student Affairs will be treated as separate colleges/schools.
5. Academic year sabbaticals at one-half salary or difference-in-pay leaves will not be included in meeting either the "University Target" or the "College/School Target" numbers.

6. Nothing in this section should be construed as prohibiting a dean from awarding more leaves than the “College or School Target.”
7. The Senate Research Committee shall review all meritorious applications not awarded at the dean level employing the criteria found in Section IV, and rank-order the proposals. This rank-ordered list shall be forwarded to the Provost.
8. The Provost shall, following the rank-ordered list provided by the Senate Research Committee, award a sufficient number of one-semester sabbaticals to meet the University target.

#### VII. POST-SABBATICAL OR POST-DIP LEAVE REPORTS

1. Each faculty member, within ten (10) weeks of the completion of a sabbatical or DIP leave, shall submit to the appropriate dean (or equivalent) a written report of the leave’s activities. The report shall be placed in the faculty member’s Personnel Action File (PAF). The faculty member will also provide a copy of this report to the Provost, via the Office of Faculty Affairs, to be eventually placed in the University Archives.
2. This written report shall include: a) the accomplishments of the leave in relation to the goals of the original proposal; b) modifications, if any, to the original proposal, and the circumstances that necessitated these modifications; c) the objectives of the original proposal (if any) that were not accomplished; and d) anticipated outcomes for the near future as a consequence of the leave’s activities.
3. A copy of the original sabbatical or DIP leave proposal shall be attached to this report.

**REFERENCES:** CBA Articles 23, 24, 27, 28, 35, 36

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**Recommended by Academic Senate**

September 18, 2013

February 26, 2015

**Approved by President**

October 11, 2013

May 5, 2015

## **POLICY ON FACULTY LEAVES OF ABSENCE**

This policy spells out the policies and procedures for applying for (a) professional leaves of absence without pay and (b) personal leaves of absence with and without pay. In this document, "application" shall refer to all papers and forms submitted by a faculty member for the purpose of requesting a leave of absence. The Provost and Vice President for Academic Affairs (Provost) are designated by the President to oversee all leave applications by faculty members.

### **PART A. LEAVES OF ABSENCE WITHOUT PAY<sup>1</sup>**

#### **I. GENERAL PROVISIONS**

1. The Provost may approve a leave without pay for a specific purpose for an initial period of one year or less. A request for an extension of the leave for a second year may be made to the Provost. Leaves of absence beyond the initial two years must be approved by the Office of the Chancellor.
2. Leaves of absence without pay are either "personal" or "professional" and must be so identified on the application form.
3. An application for a leave of absence without pay form must be completed.<sup>2</sup> The eligible applicant shall receive a written response from the Provost, which shall state the reasons for granting or denying the leave and any conditions of the leave.
4. A faculty member on a leave of absence without pay shall not return to active pay status prior to the expiration of the leave without the written approval of the Provost.
5. A faculty member on a leave of absence without pay shall notify the Provost with a copy to the dean no later than April 1 of his/her intention to return to duty at the beginning of the academic year or no later than October 1 of his/her intention to return to duty at the beginning of the spring term. A faculty member may request an extension of the leave at this time.
6. A person on a semester's leave of absence without pay will miss six monthly pay warrants and benefits (e.g., an individual on leave of absence during the fall semester will not receive a salary warrant on October 1, November 1, December 1, January 1 and will be off the payroll again during summer August 1 and September 1.
7. In order to continue benefits coverage while off payroll status, arrangements should be made with the University Benefits Coordinator, to continue payments for life insurance, health insurance, organization dues, etc.

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<sup>1</sup> Since individuals on a leave of absence without pay are not contributing to PERS, they are not accruing service credit toward retirement. Individuals should consult with the Benefits Office regarding the possibility of "buying back" service credit toward retirement upon completion of the leave.

<sup>2</sup> Leave application forms are available through the Faculty Affairs website.

## **II. ELIGIBILITY**

1. All faculty members are eligible for leaves of absence without pay within the restrictions found below.
2. Participants in the Faculty Early Retirement Program are not eligible for leaves without pay.
3. Any temporary faculty member who is granted a leave of absence without pay shall maintain any rights under Articles 12.3, 12.7, 12.8 and 12.9 of the Collective Bargaining Agreement in the same manner as if that employee had taught his/her scheduled courses rather than taking a leave. The individual replacing the temporary faculty member during the leave will not accrue rights under Articles 12.3, 12.7, 12.8 and 12.9 of the Collective Bargaining Agreement.
4. Part-time temporary faculty are eligible for a leave of absence without pay not to exceed one semester.
5. The leave of absence of a temporary faculty member shall terminate upon the expiration of that employee's temporary appointment.
6. A leave without pay may be granted to a tenured faculty member who accepts a probationary or temporary position at another university.
7. A leave without pay may be granted to a probationary faculty member who accepts a temporary position, such as visiting professor, at another university.
8. A leave without pay will not be granted to a tenured faculty member who accepts a tenured faculty position at another university.
9. A leave without pay will not be granted to a probationary faculty member who accepts a tenure track or tenured position at another university.

## **III. PROCEDURES**

1. Requests for leaves of absence without pay normally shall be reviewed by the department and the dean. The department and the dean shall make recommendations to the Provost. Requests for professional leaves shall be reviewed with particular care because of the service credit involved. The department and dean shall receive a copy of the Provost's response to the leave request.
2. Personal leaves of absence without pay do not require a post leave report.
3. Professional leaves must be followed by a report of the leave activities. The report shall be submitted to the Provost with copies to the department chair and the dean no later than ten (10) weeks after returning to active payroll status. The report shall state whether the objectives of the leave were accomplished and shall include a summary of such accomplishments. The report shall be signed by the faculty member who took the leave.
4. Failure to submit the report after a professional leave of absence without pay shall result in forfeiture of service credit.

#### **IV. TYPES OF LEAVES OF ABSENCE WITHOUT PAY**

##### **A. Professional Leaves of Absence Without Pay**

1. Professional leaves of absence without pay may be for purposes of research, advanced study, professional development, or other purposes of benefit to the University.
2. A faculty member on a leave of absence without pay for professional purposes shall, when otherwise eligible, accrue service credit <sup>3</sup> toward probation, sabbatical eligibility, service salary step increase eligibility, and seniority. Such accrual of service credit toward sabbatical eligibility shall be for a maximum of one year per sabbatical eligibility period. Such accrual of service credit toward service salary step increase eligibility shall be for a maximum of one year per professional leave of absence without pay and extensions thereof.
3. Such accrual of service credit shall be forfeited whenever the Provost has determined the conditions of the leave were not met.

##### **B. Personal Leaves of Absence Without Pay**

1. Personal leaves of absence without pay may be for purposes of unpaid sick leave, outside employment, family care leave, parental leave, or other purposes of a personal nature.
2. Faculty on a personal leave of absence without pay shall not accrue service credit toward probation, sabbatical eligibility, service salary step increase eligibility, or seniority.
3. The Provost shall determine whether a personal leave of absence without pay constitutes a break in service. The Provost shall inform the faculty member of his/her determination at the time the leave is granted (Exceptions: a family care leave; a medical leave; or a parental leave of absence without pay do not constitute a break in service.).
4. Provisions relating to family care and medical leave shall be consistent with the federal Family Medical Leave Act (FMLA) and the Collective Bargaining Agreement (Article 22 and Article 23).
5. Provision relating to military leave shall be consistent with the National Defense Authorization Act (Article 23.20).

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<sup>3</sup> Since individuals on a leave of absence without pay are not contributing to PERS, they are not accruing service credit toward retirement. Individuals should consult with the Benefits Office regarding the possibility of "buying back" service credit toward retirement upon completion of the leave.

## **PART B. LEAVES OF ABSENCE WITH PAY**

Provisions relating to leaves of absence with pay shall be consistent with Article 23 of the CBA. Leaves of absence with pay include paid bereavement leave, paid paternal leave, jury duty leave, leave to vote, absence as a witness, emergency leave and military leave. (See also APM 360)

An emergency leave with pay may be granted to a faculty unit employee by the President in the event of a natural catastrophe or an emergency situation that places the health and safety of the faculty unit employee in jeopardy. The President may also grant emergency leave to faculty unit employees who require leave due to violent crimes, domestic violence, and/or sexual assault. Such leaves shall normally be of short duration. (CBA Article 23.19)

**REFERENCES:** CBA Articles 12, 22, 23, 24, 27, 28, 29, 30, 31, 32, 38

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**Recommended by the Academic Senate**  
November 1976  
  
September 18, 2013  
February 9, 2015

**Approved/Amended by the President**  
December 1976  
6/94; 10/95; 1/98; 1/99; 5/08; 7/08  
October 11, 2013  
May 5, 2015

## **POLICY ON PROFESSIONAL TRAVEL**

Professional travel should promote the professional development of the individual and enhance the interests of the University. (This policy deals only with professional, not personal, absences from campus. See also "Faculty Absence from Campus", CSUF Faculty Handbook.) The information which follows is intended to provide a general guide to policies and procedures affecting professional travel.

The University has limited resources for faculty and administrative professional travel. Absence from campus for professional purposes with pay, and/or reimbursement for travel expenses are allowable only when the individual is absent to engage in professional activities related to his/her position. The use of these resources is subject to State regulations and procedures. Adherence to the travel regulations will help protect the individual's personal interest in Worker's Compensation, death benefits, etc. when engaging in professional activities related to his/her position away from the campus.

Travel funds for faculty are administered by School Dean who are responsible for keeping within budget limits and for adhering to State and University policy. Specific information about travel details is available from the Dean, Academic Resource Office, or Travel Office, depending upon the nature of the question.

For purposes of this policy, professional travel is defined in two broad categories, instructional and non-instructional.

### **INSTRUCTIONAL TRAVEL**

Faculty are reimbursed for personal expenses for the following types of instructional activities.

1. Travel requests and claims for student teaching supervision are processed through the Office of the Dean of the School of Education and Human Development.
2. Expenses incurred in regularly scheduled off-campus instruction where program needs require that instruction be held at an off-campus site, are reimbursed pursuant to normal State regulations. Travel from home to an off-campus site in Fresno in lieu of travel to the campus will not be reimbursed.
3. Supervision of work experience and internships, where frequent and regular visitation are required by the individual, may be authorized for reimbursement.
4. Expenses for field trips which represent a primary and substantial portion of a course and which are basic to the content of a course, may be authorized for reimbursement. Expenses for occasional field trips which constitute an enrichment rather than a basic component of the course normally are not reimbursed.

Instructional travel is not subject to the provisions of the remainder of the policy. The Department Chair or School Dean should be contacted for specific information and authorization of reimbursement for instructional travel.



## **NON-INSTRUCTIONAL PROFESSIONAL TRAVEL**

Examples for non-instructional professional travel include trips for the purposes of attending discipline-based conferences, presenting papers at professional meetings, attending workshops, seminars, or classes, and participation in scholarly organizations.

**APPROVAL OF TRAVEL REQUESTS.** All travel and campus absence for professional purposes during the academic year (calendar year for twelve-month appointees) must be approved prior to the travel or campus absence. The approval is not expected during leaves of absence without pay. All requests must be submitted on designated forms, justified by the established criteria, and approved by the Department Chair and School Dean.

Decisions on travel requests and campus absence, including funding, normally are made at the School and Department levels. Therefore, each Department or School should develop flexible, consistent procedures including a system for screening travel/absence requests, evaluating such requests, and approving or denying them. In order to assure flexibility, School and Department procedures shall not establish specific limitations on the total duration of travel taken by a faculty member but shall provide for the review of each travel request, based on the reasonableness related to the type of travel requested, and in light of the criteria outlined below.

The procedures shall include, at a minimum, the following provisions:

1. All faculty professional travel and campus absence for professional purposes must be approved in advance by the Department Chair and School Dean.
2. Requests for professional travel and campus absence shall be evaluated on the basis of
  - (a) the relationship between the proposed travel/campus absence and the individual's position responsibilities;
  - (b) the professional value of the proposed activity;
  - (c) the frequency and duration of the individual's travel and absences from campus;
  - (d) the benefit to the individual's discipline, department, and University; and
  - (e) the provision for maintaining the quality and continuity of instruction in the person's classes and other responsibilities associated with his/her position.

**OUT OF STATE TRAVEL.** If state funds are requested for out-of-state travel, justification on the request form must explicitly meet at least one of the following criteria required by the State of California.

1. The trip is to a meeting of a professional organization or society to deliver a paper, serve as a moderator or group leader, serve on a panel, or fulfill obligations as an officer in the association or society.

2. The trip has, as its primary purpose, the recruitment of faculty or administrative personnel.
3. The trip is certified in advance by the President or designee to be essential to the normal operation of the University.

If, once approved, the requested travel is not taken, the individual must notify the Department Chair and School Dean so that any funds set aside for that purpose may be disencumbered.

**TRAVEL REIMBURSEMENT.** Travel reimbursement takes the general form that

1. a Travel and Mileage Application form is completed in advance, including the necessary signatures for approval,
2. the travel occurs, and
3. a Travel Expense Claim is completed and submitted for reimbursement.

The Business Office cannot make reimbursement for travel unless travel forms have been completed in full. Receipts, vouchers, faxes, and similar documentation must accompany the Travel Expense Claim form.

**Three types of travel expenses are reimbursed:**

- (a) Subsistence expenses consist of charges for meals, lodging, and incidental expenses. Subsistence expenses are normally reimbursed according to an established schedule of allowances.
- (b) Transportation expenses consist of charges for commercial carrier fees, private vehicle mileage allowance (see below), emergency repairs to State vehicles, parking fees, bridge or road tolls, necessary taxi, bus or streetcar fares, and all other charges essential to transportation to and from the University.
- (c) Business expenses consist of the charges for business telephone calls and telegrams and all other charges necessary to the completion of the official business function.

**USE OF STATE VEHICLE/PRIVATE MILEAGE.** In order to drive a State vehicle and/or receive mileage reimbursement for the use of a private vehicle, the individual must have completed a Defensive Driver Training Course within the last four years. To receive reimbursement for the use of a private vehicle, moreover, certification of adequate insurance coverage must be on file with the Business Office in advance of the travel.

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Approved by the Academic Senate  
Approved by the President  
Revised

February 1982  
February 1982  
November 1993

## POLICY ON FACULTY EXCHANGE

The University will attempt to facilitate and support the opportunities for faculty to participate in faculty exchanges with other institutions of higher education, domestic and foreign, and with other appropriate organizations. The University is a member of the National Faculty Exchange and, as appropriate, will join and cooperate with other exchange programs. Faculty are encouraged to participate in exchange opportunities. The Office of the Vice President for Academic Affairs has responsibility to coordinate exchanges, to facilitate the identification and use of exchange opportunities, and to assist individuals and departments in exchange activities. Information, including procedures, will be disseminated by the Office of the Vice President for Academic Affairs.

1. All probationary and tenured faculty members are eligible to participate in exchanges. Departments/Programs and Deans must judge whether an exchange is in the interest of the unit and the faculty member(s) involved.

Specifically, units must determine the way in which the leaving member's responsibilities would be covered in his/her absence and how that replacement would be supported. Typically, a person from another institution would fill the position. Other approaches also may be possible, e.g., receiving a person in exchange in another area of the University and transferring the position (allocation) to the department from which our faculty member left. The department chair and school dean shall make a recommendation to the Vice President for Academic Affairs on each proposed faculty exchange.

2. The Vice President for Academic Affairs may approve an exchange for any length of time; usually exchanges will be for one semester or one academic year.
3. The University will continue to pay the faculty member's regular salary and fringe benefits while he/she participates in an approved exchange. The faculty member, in effect, continues to be employed by the University. A faculty member preparing for exchange or on exchange will not be considered differently for purposes of annual salary decisions. Possible impact upon retention, tenure, or promotion decisions shall be communicated to the individual.

Funds for relocation expenses for the exchange participants are not provided by the University.

4. Incoming exchange participants will remain on the salary line and fringe benefits package of their home institutions. Any modifications of these arrangements must be negotiated prior to completion of the Memorandum of Agreement for the exchange.

The intent of the University is to provide incoming faculty the same access to opportunities and resources as regular members of the faculty, except as prohibited by Trustee or University policy. Research and instructional facilities, travel funds, tickets to cultural and athletic events will be available to visiting faculty on the same basis as regular faculty.

5. The duties of incoming faculty members will be specified in a Memorandum of Agreement prepared in the Office of the Vice President for Academic Affairs and signed by the member and the school dean. This memorandum will describe the teaching/research/other duties expected during the exchange period.

Assignments and duties of CSUF faculty exchanging to another institution should be specified by a similar Memorandum of Agreement.

6. Department chairs in cooperation with department faculty will have the primary responsibility for normal orientation, assistance, and support to the incoming exchange faculty member. Every effort should be extended to make the individual welcome.
7. Exchange programs exist and succeed largely upon the good will and diligence of the member institutions and participants. It will be the policy of California State University, Fresno to honor commitments made in exchange programs and individual exchanges it enters. Departments and individual faculty members will be expected to complete exchanges they have pursued and agreed to accomplish, unless extenuating circumstances arise.
8. Any agreements to exchange homes, apartments, etc. or personal belongings are negotiated between the individual exchange participants and the University assumes no responsibility for such agreements or any aspects of such agreements.

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Approved by the Academic Senate  
Approved by the President

March 1987  
April 1987

## POLICY ON ENDOWED CHAIRS

The purpose of this policy is to facilitate and provide guidelines for the establishment and administration of endowed chairs. An endowed chair is a faculty position, with or without perquisites and staff or administrative assistance, supported by income from an endowed fund established by a gift or gifts from private sources. The University may create endowed chairs to recognize the interests and contributions of benefactors and/or to honor particularly distinguished members of the faculty. Only the President may authorize the establishment of an endowed chair.

### I. Establishment of Endowed Chairs

- A. The purpose of the endowed chair must be consistent with the curriculum and mission of the University. The purpose of the endowed chair shall be specified in writing, as part of the endowment agreement, at the time the chair is established.
- B. An endowed chair normally will be established within a \*department, but may be multi-disciplinary in scope. An endowed chair will be established only after consultation with the appropriate school dean, \*department chair, and the tenured faculty of the department. If the endowed chair is not associated with a department, an appropriate consultative body will be established by the Vice President for Academic Affairs.
- C. An endowed chair will be established only upon acceptance by the President of (1) cash or a binding pledge that within a prescribed period of time a fund will be created to provide sufficient income to meet the purpose(s) of the endowed chair, or (2) a binding commitment to provide income from an equivalent fund held inviolate by a trustee. The endowment agreement shall permit appropriate alternative distribution of the endowment fund if the subject area of the endowed chair ceases to be consistent with the curriculum or mission of the University, or if the endowment fund ceases to meet the designated purposes of the endowed chair.
- D. The endowment fund normally will be held and administered by the CSUF Foundation. The endowment may provide for the basic salary and/or salary augmentation, office space, secretarial assistance, supplies, equipment, travel, computer use, library support, or other suitable purposes as described in the endowment agreement. Any commitments on the part of the University also will be described in the endowment agreement.

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\*For purposes of this policy, "department" means "program" and "department chair" means "program coordinator."

## II. Appointment to an Endowed Chair

- A. Endowed chairs are intended for scholars and teachers distinguished by wide recognition of their professional accomplishments. A chair may be used to honor a distinguished faculty member or to attract a new faculty member to the University.
- B. The holder of an endowed chair shall be designated as the (benefactor) Professor of (field) and will be so designated in official correspondence and University publications.
- C. An endowed chair may be designated for (1) a tenure-track appointment (2) a temporary appointment for a specified period of time: or (3) a series of temporary appointments. Appointments may be made on a semester, academic-year or twelve-month basis.
- D. University policies and procedures applicable to full-time faculty, temporary or tenure-track as appropriate, will be followed in the search, selection, appointments and review processes. The appointment shall be made by the President. If the recruitment process does not produce a fully qualified, viable candidate, it shall not be necessary to make an appointment.
- E. Appointment to an endowed chair does not imply that tenure or subsequent temporary appointments will be awarded. Tenure is awarded only pursuant to the normal University policy and process, following a tenure-track appointment and a probationary period. Upon receipt of tenure, the holder of an endowed chair will occupy the chair for the period of time specified in the endowment agreement, or until retirement, or reassignment by the President.
- F. Inasmuch as the University's primary mission is to provide instruction to qualified students, it is expected that normally the holder of an endowed chair will teach an average of at least three weighted teaching units per semester.

## III. Periods When an Endowed Chair is Not Occupied

During periods of time in which an endowed chair is not occupied (e.g., during a search, the income from the endowment may be used for any purpose consistent with the endowment agreement if such use is approved by the appropriate consultative body, department chair, school dean, and the Vice President for Academic Affairs.

IV. Annual Reporting

The holder of an endowed chair shall submit each year, through normal channels to the President, a brief narrative report of accomplishments for the past year and of goals for the next year. The report shall include an accounting of expenditures of endowment funds. The report normally shall be submitted by June 15th of each year.

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Approved by the Academic Senate  
Approved by the President

April 1983  
May 1983

## **POLICY ON HONORARY DEGREES**

The Committee on Honorary Degrees shall review and evaluate nominations for honorary degrees received by the President. Consistent with CSU policy, the committee, in conjunction with the President, established the following procedures relating to availability, criteria, and nominations for honorary degrees.

The Committee on Honorary Degrees shall be composed of the following: the Chair of the Academic Senate and/or designee(s), the Provost and Vice President for Academic Affairs, and the Vice President for Development.

The criteria and purposes as established by the CSU are as follows:

- I. Purposes for Which Honorary Degrees May Be Conferred
  - A. To recognize excellence and extraordinary achievement in significant areas of human endeavor, within which are embodied the objectives and ideals of The California State University.
  - B. To honor meritorious and outstanding service to The California State University, collectively, or to its campuses, individually; to the State of California; to the United States; or to humanity at large.
  - C. To recognize men and women whose lives and significant achievements should serve as examples of The California State University's aspirations for its diverse student body.
- II. **Criteria for the Awarding of Honorary Degrees**
  - A. Honorary degrees may be awarded to recognize achievements in all parts of the world. Honorary degrees awarded should represent an appropriate balance between local and non-local, and academic and non-academic recipients, and should represent a wide diversity of fields of endeavor.
  - B. Nominations for honorary degrees must be distinguished in the respective fields, and the eminence of persons nominated must be widely recognized. Nominees must have demonstrated intellectual and humane values that are consistent with the aims of higher education, and with the highest ideals of the person's chosen fields.
  - C. Service or benefaction to the University do not in themselves justify the awarding of honorary degrees. However, nothing in these criteria shall preclude nominees who are in political life, or who are benefactors of The California State University. The committee has developed a process whereby nominations for an honorary degree can be submitted. The nomination should be one page in length and should emphasize the contributions of the candidates to California State University, Fresno as well as those listed in the criteria. The degree will be awarded at Commencement in May if a candidate is selected.



### III. Procedures for Nominations and Selection

- A. Nominations can be made by anyone.
- B. Nominations must be submitted in writing and be no more than one page in length.
- C. The deadline is announced each year.
- D. The Honorary Degree Committee will review and choose the top one to three candidates for further review.
- E. For those candidates who are selected, further documentation will be needed.
- F. Recommendations will be made to the President by the committee.
- G. The final selection will be made by the Board of Trustees during its March meeting.

The committee encourages nominations of individuals who meet the above criteria and who would bring recognition to themselves and to our campus.

Recommended by the Academic Senate	May 1992
Approved by the President	June 1992
Amended	January 4, 2002

## **POLICY ON A DRUG FREE WORKPLACE**

The Drug Free Workplace Act of 1988, effective March 18, 1989, required that the university certify that it will provide a drug-free workplace.

In compliance with the Act, employees are hereby notified that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in our workplace. Violation of this policy may result in disciplinary action, including but not limited to suspension and/or termination or a requirement to participate in an approved drug abuse assistance or rehabilitation program.

Employees must be aware that as a condition of employment they will abide by the terms of this policy and will notify the University of any criminal drug statute conviction for a violation occurring in the workplace within five days after such conviction. The university must notify the federal agency involved of the conviction within 10 days of receiving such a notice. Within 30 days, the university will initiate the appropriate personnel action or require satisfactory participation in an approved drug abuse assistance or rehabilitation program.

### References:

Link to: <http://fresnostate.edu/mapp/iii/G/G-15.pdf>

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Approved by the President

May 1989

## **POLICY ON EMERITA AND EMERITUS STATUS**

Emerita/emeritus status is an honorary title awarded for distinguished service to the academic community. The President may bestow the title on a tenured faculty member or on an academic administrator who is entering permanent retirement and who has served the University with distinction. The bestowal of Emerita/Emeritus status is a distinctive honor, not a right.

### **I. ELIGIBILITY**

1. The minimum period of employment on this campus in order to be eligible for consideration for Emeritus/Emerita status shall be ten (10) years.
2. Emerita/emeritus status is limited to those individuals who:
  - (a) for instructional faculty, normally hold the rank of Professor, or in exceptional cases Associate Professor, with tenure; or
  - (b) for librarians, normally hold the rank of Librarian, or in exceptional cases Associate Librarian, with tenure; or
  - (c) for student services professionals (SSP-AR only), normally hold the rank of Student Services Professional - Academically Related SSP-AR III, or in exceptional cases SSP-AR II, with tenure; or
  - (d) for academic administrators, hold either a concurrent tenured faculty position at the rank of Professor, or in exceptional cases Associate Professor, or equivalent in an academic department or unit, or who are members of the Academic Assembly and hold an appointment as an Administrator III or IV under the Management Personnel Plan.
3. A person may be bestowed the additional title of Chair Emerita/Emeritus or Endowed Chair Emerita/Emeritus when an individual has:
  - (a) for a department chair, held the position of department chair for at least eight (8) years; or
  - (b) for an endowed chair, held the position of an endowed chair for at least five (5) consecutive years.<sup>1</sup>

### **II. PROCEDURES**

1. Unless the person requests otherwise, Faculty Affairs shall notify the appropriate vice president or dean upon receiving notification of the pending permanent retirement of a faculty member or academic administrator who is eligible for emerita/emeritus status. The dean or vice president shall request consideration of emerita/emeritus status for the individual.

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<sup>1</sup> The minimum number of service years stipulated in section I.1 must still be met by department chairs and endowed chairs.

2. For faculty, each nomination for emerita/emeritus status with a faculty title shall be accompanied by a succinct statement to the President providing evidence of meritorious service in the form of a recommendation from the full time tenured Professors or equivalent of the department or unit accompanied by the approval of the dean and the Provost and Vice President for Academic Affairs
3. For department chairs, each nomination for emerita/emeritus status with a department chair title shall be accompanied by a succinct statement to the President providing evidence of meritorious service in the form of a recommendation from the full time tenured Professors of the department accompanied by the approval of the dean and the Provost and Vice President for Academic Affairs
4. For endowed chairs, each nomination for emerita/emeritus status with a endowed chair title shall be accompanied a succinct statement to the President providing by evidence of meritorious service in the form of a recommendation from the tenured full-time Professors or equivalent of the department or unit accompanied by the approval of the dean and the Provost and Vice President for Academic Affairs
5. For academic administrators (as defined in section I.2.d above), each nomination for emerita/emeritus status with an administrative title shall be accompanied by a succinct statement to the President providing evidence of meritorious service in the form of a recommendation from the appropriate dean or area director; and appropriate vice president.
6. For vice presidents, the President will make the determination.
7. For the President, the title of President Emeritus is bestowed by the CSU Board of Trustees.
8. More than one emerita/emeritus title may be bestowed upon an individual.
9. Emerita/emeritus status may be bestowed posthumously.
10. The awarding of emerita/emeritus status is made once yearly, at commencement. The President will notify the individual in writing of the conferral of the title(s) to be awarded.

### **III. TITLES**

1. For instructional faculty, the title shall be "Professor Emerita/Emeritus of (academic discipline)"
2. For librarians, the title shall normally be "Librarian Emerita/Emeritus."
3. For student services professionals (SSP-AR only), the appropriate working title will be used, such as "Counselor Emerita/Emeritus."
4. For department chairs, the title shall be "Chair Emerita/Emeritus of [name of the department]."
5. For endowed chairs, the title of the endowed chair shall be used: "[name of the endowed chair] Emerita/Emeritus."

6. For academic administrators, the appropriate working title will be used, such as "Provost and Vice President for Academic Affairs Emerita/Emeritus."
7. In the case of individuals who have held several different academic appointments over the course of their careers, the President will consult with the nominee, and bestow the individual's preferred title.

#### **IV. RECOGNITION AND PRIVILEGES**

1. Emeriti faculty are considered an important and integral part of the university community.
2. Emeriti faculty shall be recognized through:
  - (a) listing of the name of emeriti faculty in the campus commencement program at the time of retirement;
  - (b) awarding of a certificate of emerita/emertus status at the time of retirement;
  - (c) issuing a permanent ID card indicating status as an emerita/emertus member of the faculty;
  - (d) listing of name and title of emeriti faculty in all university catalogues.
3. All emeriti shall be accorded the following privileges:
  - (a) possession of a free campus parking permit;
  - (b) same library borrowing privileges as regular faculty;
  - (c) access to campus recreational and social facilities;
  - (d) complimentary or reduced-priced admission to cultural and athletic events, at the discretion of the sponsoring group -- the faculty discount if there is one;
  - (e) authority to use emeritus/emertita designation on business cards;
  - (f) authority to use University affiliation and emeritus/emertita identification on scholarly books, journal articles, conference papers, and the like;
  - (g) eligibility to propose research projects, compete for and administer grants from granting agencies outside The California State University;
  - (h) invited participation in selected department, school and university functions;
  - (i) invited to serve in a consultative capacity to the school or university;
  - (j) attendance at public university functions and celebrations affirming the academic mission of the university such as commencement;
  - (k) receive university mailings, and maintain a university-provided e-mail account.

## V. ADJUNCT AND PART TIME SERVICE

Emeriti faculty are eligible to be appointed as adjunct faculty (voluntary employees) or part time lecturers.<sup>2</sup> Such associations are made upon the recommendation of the appropriate department, the recommendation of the dean, and approval by the Provost. Examples of possible formal affiliation with the university would be for purposes of teaching a class, supervising student efforts, carry on research projects, and mentoring faculty or students. As valued members of the academic community, emeriti faculty are welcome to volunteer their services as guest lecturers.

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Approved by the Academic Senate	December 1997
Approved by the President	January 1998
Revised	May 2006
Approved by the Senate and the President	October 2006
As interim by the Senate (June) and the President	July 20, 2012
Approved by the Senate	October 9, 2012
Approved by the President	October 24, 2012

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<sup>2</sup> Prior to appointment as a part-time lecturer, emeriti faculty should consult with Faculty Affairs to review any potential impact on their retirement income/status.

## STUDENT RECORDS ADMINISTRATION POLICY

### A. Purpose

1. Executive Order No. 796, entitled, Student Records Administration, requires the issuance of policies and regulations by the campus to implement the mandate of subject laws. The policies and procedures adopted herein constitute the University's implementation statement required to administer the Family Educational Rights and Privacy Act (FERPA).

### B. Definitions

1. **Student:** "Student" means any person who is enrolled or has previously been enrolled at California State University, Fresno. (An applicant is not a student for purposes of the laws and regulations governing student records administration.) Non-matriculating students (extension, summer session, correspondence course) are students for purposes of student records management at California State University, Fresno.
2. **Student Record:** "Student Record" means any personally identifiable information maintained by the campus, in any form, which concerns a student. Generally excluded from right of review is the following information:
  - a. Information, provided by a parent, which relates to the student's application for financial aid or scholarships.
  - b. Confidential letters or recommendations filed on or before January 1, 1975.
  - c. Information, notes, etc., maintained by a faculty or staff member and not revealed to anyone except a substitute instructor.
  - d. Medical and clinical records established by physicians, psychiatrists, psychologists and other psychotherapists provided those records relate to a course of therapy. These records are reviewable by a surrogate only.
  - e. Records maintained by the University Police Department if the record is maintained solely for law enforcement purposes, is revealed only to law enforcement agencies of the same jurisdiction. The University Police do not have access to educational records maintained by the University except in the performance of their sworn duties.
  - f. Employment records of students.
  - g. Alumni records which contain only information relating to a person after that person is no longer a student.
3. **Record Custodian:** The Associate Vice President for Enrollment Management and Registrar are the custodian of all student records maintained by the University. This responsibility may be delegated. Student Records are maintained throughout the academic and administrative units of the University.

4. **Directory Information:** Directory Information refers to the information in student records which **may be** released to anyone unless students advise the University in writing indicating that such information concerning them **may not** be released. At California State University, Fresno, Directory Information regarding a student includes:
  - a. Name
  - b. Photograph
  - c. Major field of study
  - d. Participation in officially recognized University sports and student activities.
  - e. Weight and height of members of athletic teams
  - f. Enrollment status (undergraduate or graduate, full-time or part-time)
  - g. Degrees, awards and honors (including dates) received at California State University, Fresno
  - h. The most recent educational institution attended
5. **Access:** "Access" means the right of students to personally inspect their records at the University and, in some instances, to have copies of their records.
6. **Former Students:** The University may release, without written consent, those items identified as Directory Information on any student not currently enrolled unless a restriction was in place when the student last attended.

### C. Student Rights

1. **The Family Educational Rights and Privacy Act of 1974**, Executive Order No.796 , , vest students with the following rights, privileges, and responsibilities:
  - a. To be advised when initially enrolling at the University, and on continuing basis thereafter, of their right of access, review, and challenge of the records maintained by the institution which are personally identifying.
  - b. To be apprised through continuous notices in University publications of the institutional official responsible for executing the mandates of FERPA, Executive Order No.796 , and the California Education Code; to be apprised of the types and location of records subject to review and of the identity and address of officials responsible for those records.
  - c. The right, substantially and procedurally, to challenge a record. Challenge of information in a record may be predicated on the belief it is inaccurate; misleading; an insubstantial personal conclusion or inference; a conclusion or inference outside the observer's area of competence; not based upon the personal observation of a named person with the time and place of the observation noted; or otherwise in violation of their privacy or other rights.
  - d. An expectation that University officials will prevent unauthorized access or release of personally identifying information in the records accumulated during a student's enrollment.



- e. A right, when exercised, which prevents the University from releasing "Directory Information."
- f. A right to know precisely what information the University defines as "Directory Information."

## **2. Student Rights and Procedures for Access to Their Records**

- a. A student's right of access, review and/or inspection of his/her records requires that a written request be made of the appropriate office. Review of the records will be authorized as soon as is practical, but in any instance no later than fifteen working days following the request.
- b. Arrangements for the place, date, and time for review will be made by the student and the responsible official.
- c. The right of students to have access to inspect and review their student records does not include the right to a copy of such records unless at least one of the following conditions exists:
  - (1) Failure to provide a copy would effectively prevent a student from exercising the right to inspect and review the student record. For example, a former student residing in another state cannot be physically present to review a student record. A copy of the record should be provided to such persons upon written request; or
  - (2) When a student provides:
    - (a) Written consent to disclose personally identifiable information to another college or university; and
    - (b) Payment of all fees and charges due the campus.

## **3. Release of Directory Information**

- a. Directory Information concerning any student may be released unless the student files a request with the Registrar's Office that this information be restricted. If such a request is filed, information will not be released, except in cases of dire emergency, which will be determined by the Vice President for Student Affairs and Enrollment Management and/or Dean of Students.

In each case where a request for Directory Information is received by the University and such information has not been restricted, the information may be released. Such information shall only be released by personnel in the Vice President for Student Affairs and Enrollment Management Office or the Registrar's Office. Personnel in the Student Activities Office may release information related to student club and organization membership. The Department of Athletics may disclose names of intercollegiate sports' participants and their weights and heights.

- b. Directory Information relating to former students may be released only if there were no restrictions in place when the student was last enrolled. Pertinent laws and regulations do not authorize a procedure whereby a former student may prevent the release of Directory Information if no restriction was in place when the student was last enrolled. However, the release of Directory Information will only be made in those instances where some benefit to the former student is evident or in those instances where it reasonably appears that a benefit would result if the requested information were provided.
- c. Statistical data in which students are not personally identified may be released to any public or private entity. Releases of this type, in all probability, will involve an expense to the University. If costs are involved in providing statistical data, those costs shall be assessed at \$.15 per page plus labor, except electronic data, the cost of which must be determined at the time of request.

#### **4. Student waivers for confidential letters or statements of recommendation**

- a. Students may waive their right to inspect and review confidential letters or statements of recommendation regarding:
  - (1) admission to the University or any other educational institution;
  - (2) an application for employment or career placement; or
  - (3) the receipt of an honor or honorary recognition.
- b. Waivers may apply to confidential letters and statements only if:
  - (1) the student or applicant is notified upon request of the names of all persons providing such letters or statements;
  - (2) the letters or statements are used for the purpose for which they were intended; or
  - (3) such waivers are not required or requested of students by the University.
- c. A waiver must be in writing and signed by the student. It may be revoked, in writing, at any time. The revocation will not affect the use of letters and statements secured prior to the revocation.

#### **5. Except as specifically authorized by law, the University will not release personally identifying information from a student record without the student's written consent, which must be signed and dated. This consent shall include:**

- a. a specific delineation of the records to be disclosed;
- b. the purpose(s) of the disclosure; and
- c. the person, class of persons, or organization to whom the disclosure may be made.

Every written consent provided by a student for the release of information shall become a permanent part of the student's record. When a unit of the University discloses personally identifiable information from a student record, as authorized by the student, it will advise the person, institution, agency, or organization to which it is disclosed that the information provided should be used only for the purposes for which the disclosure was made. Further release of the information to other parties without the written consent of the student is prohibited by law.

## 6. Access List

- a. Each unit of the University will maintain a record of requests for, and disclosures of, information in student records. (Such a record is hereinafter referred to as an Access List. An Access List must be maintained with the record requested or disclosed. Records of requests and disclosures will not be maintained for the following requests or disclosures:
  - (1) those requests made by students for their own use;
  - (2) those disclosures made in response to written requests from students; (A written request will become part of the records..)
  - (3) those made by school officials who have a legitimate educational interest in the records; or
  - (4) those seeking information specified as Directory Information.
- b. An Access List will not be required for any student record until receipt of the initial request is received and for which a record of the request must be maintained.
- c. Information relating to a request or disclosure which must be recorded on the Access List consists of:
  - (1) name and address of person(s) who requested the information; and
  - (2) delineation of the legitimate interest in the information.
- d. Access Lists, where activated, become a permanent part of the student's record and must be made available for review upon request or as a part of the review of the original record.
- e. Only rarely will it become necessary to activate an Access List because most requests or disclosures will fall within a category of information for which a record of access thereto need not be recorded. Exceptions to this rule are cases of individuals who may access students' records without their consent, but who must be indicated on an Access List:
  - (1) parents of a student who have established that student's status as a dependent as defined by the Internal Revenue Service;
  - (2) persons or organizations providing student financial aid;
  - (3) accrediting agencies carrying out their accreditation function;
  - (4) persons in compliance with a subpoena or court order, provided a reasonable effort has been made to notify the Student in advance), and
  - (5) to appropriate parties in a health or safety emergency.

## 7. Student Complaints Concerning Their Records

- a. Students may challenge information in their records considered to be incorrect, inaccurate, misleading, unsubstantiated, a personal conclusion or inference, a conclusion or inference outside of the observer's area of competence, not based upon the personal observation noted, or otherwise in violation of their privacy or other rights.

The right of challenge cannot relate to the assignment of grades, academic probation or disqualification action resulting from grades or administrative academic probation or disqualification actions as authorized by Executive Order No. 1038. Academic dispositions on actions considered incorrect may be the subject of a petition to the Academic Petitions Committee, Academic Disenrollment Appeal committee or to the Record Adjustment Committee.

In order to challenge a record, the student must identify in writing the record being challenged and delineate specifically the desired change and reason(s) therefore.

The written challenge should be forwarded to the Registrar, who within fifteen working days after receipt of the student's challenge, shall determine whether to amend the records as requested. A written notification to the student of that decision will be provided. If the decision is to amend the record, as requested, the record will be corrected, removed, or destroyed and the student so notified. In the event the decision is negative from the student's standpoint, the student shall be advised in writing of:

- (1) the right to a hearing; and
  - (2) the right to submit a written statement of objections to the challenged record or material. Such a statement would be placed in the relevant file for review and would remain for as long as the challenged record or material remains a part of the student's records.
- b. A student requesting a copy of his/her record in order to use it in a hearing will be assessed the cost of producing such record at the rate of \$ .15 per page, plus labor.
  - c. A student who believes that the adjudication of his/her challenge was unfair, or not in keeping with the provisions of law, may request, in writing, assistance from the Associate Vice President for Enrollment Management, or his/her designee.
  - d. Students who believe that their rights have been abridged may file complaints with the Family Policy Compliance Office, U.S. Department of Education, 600 Independence Avenue, S.W., Washington, D.C. 20202-4605, concerning the alleged failure of California State University, Fresno, to comply with the requirements of FERPA.

## **8. Disciplinary Records**

- a. A student who has been formally disciplined for a violation of the Student Conduct Code, Section 41301, Title 5, of the California Code of Regulations pursuant to the Student Disciplinary Procedures for the California State University and Colleges Executive Orders No's. 148 or 628, subsequent to January 1, 1977, may submit a written statement or response concerning the disciplinary action imposed by the University, for inclusion with the record of discipline.
- b. Any statement submitted by the student, as authorized above, will become a permanent part of the disciplinary action file and made available to anyone who legitimately obtains access to the disciplinary action file.

## **D. Campus Responsibilities**

### **1. Notice to Students**

The University will ensure that students are informed of their rights as described in the foregoing by promulgating the following policies, procedures, notices and regulations:

- a. A student's rights under the subject laws and Executive Order No. 796 will be published continuously in the University Catalog. Full policy and forms will be located on the Registrar Office webpage.
- b. Annual notification will be sent to students via their official university email.
- c. The right of students to challenge information in their educational records is an integral right. Accommodation of that right is detailed in Section C, number 7, above.

### **2. Right to Hearing**

Students who believe that their educational records contain information that is inaccurate or misleading, or is otherwise in violation of their privacy or other rights, may discuss their problems informally with the University Registrar. Records may be changed or amended if the student can establish a reason for the requested changes as listed in Paragraph C. 1c. above. If not, the student will be notified within a reasonable time (fifteen working days) that the records will not be changed or amended. Accompanying that notification will be information on the right to a hearing with respect to the denial of the requested change or amendment. Student requests for a formal hearing must be made in writing and submitted to the Associate Vice President of Enrollment Management.

The Associate Vice President of Enrollment Management, within a reasonable period of time after receiving the request (not to exceed fifteen working days), will inform the student of the date, time and place of the hearing. The student may present evidence relevant (to the issues raised and may be assisted in making that presentation by a representative, but the representative may not be an attorney. Decisions of the Hearing Officer, as approved or modified by the President or his designee, will be final. If the final decision is for correction or amendment, such changes will be made. If the final decision is not satisfactory from the student's standpoint, statements commenting on the information in the records may be submitted for inclusion with the records that were not changed or amended as requested. Any such statement will become a part of the student's educational record and will be released whenever the records in question are released or disclosed.

### 3. Limitation of Employee Access

No employee of California State University, Fresno, will have access to a student record unless that access is derived from an absolute need-to-know on the part of the employee, who must then be acting within the scope of official duties and in connection, directly or indirectly, with a legitimate educational interest of the student concerned. If a conflict arises regarding legitimate educational interest, the burden of proof will rest with the employee requesting access rather than with the custodian of the records in question.

### 4. Continuing Review of Information Management Principles

- a. The Associate Vice President of Enrollment Management and University Registrar shall be responsible for reviewing the campus information management practices concerning student records.
- b. This review shall include, but not be limited to, an analysis of
  - (1) appropriateness of campus policy statement on the privacy of student records;
  - (2) procedures for amending records, including hearing procedures;
  - (3) procedures for disclosing information to students and others with legitimate educational interest;
  - (4) procedures for access list record keeping;
  - (5) the policy for charging fees for copies of student records; and
  - (6) the overall effectiveness of the campus student records policy and Executive Order No. 796 to determine the need for revision of these policies.
- c. Such reviews shall be conducted biennially and the results shall be forwarded to the Chancellor by the President and shall include any recommended policy or procedural changes deemed necessary.

**Recommended by the Academic Senate**

March 14, 2018

**Approved by the President**

October 1977

March 26, 2018

## **GUIDELINES FOR FINANCIAL INSTITUTION ACCESS TO STUDENTS ON THE CAMPUS**

The following guidelines have been established to allow banking institutions access to students of the University .

1. Any proposal for such access must be made by the institution in writing.
2. There must be significant linkage between the banking institution and its services to the mission, goals, and curriculum of the University. The proposal must describe specific benefits for individual students, the department(s) or School(s) involved, and the University.
3. Any connection to the curriculum must be clearly articulated in the proposal, and the proposal must carry with it the positive recommendation of the appropriate School Dean.
4. There must be a significant monetary savings in the costs for the service or other costs that students would normally incur.
5. The financial institution must reimburse the University for any costs incurred, including mailing labels, paper, labor, postage, and administrative time. If an automatic teller or other equipment are part of the proposal, the financial institution must fully fund all installation, operation and maintenance costs. All campus policies on the use or renovation of campus facilities must be followed.
6. The Vice Presidents for Academic Affairs, Administration and External Relations, and Student Affairs must approve any proposal. By so doing each will express concurrence on the educational benefits of the proposal, the ways in which the students will have opportunities to participate, and the timing of the initiation of the program.
7. The Office of Student Affairs will coordinate the approval and implementation of any proposals.

## **CALIFORNIA STATE UNIVERSITY FRESNO STUDENT ATHLETE RECRUITMENT CODE**

### **ATHLETICS MISSION**

The mission statement of the intercollegiate athletic department states, in part, that:

"The Department of Athletics complements the academic mission of the University by offering students an athletic experience of high quality through broad-based, competitive sports programs for both men and women. To provide such an experience, the department is committed to integrity and excellence in both athletics and academics through a comprehensive academic support system.

"As part of the collegiate experience, athletic competition provides student-athletes with a wide range of opportunities to enhance their intellectual, physical, personal and social development. The department's goal is to have student athletes develop skills and graduate and assist them to become productive citizens and succeed in life.

"Since competition is the trademark of intercollegiate athletics, the Department of Athletics is committed to achieving the full potential of each team and each athlete while maintaining compliance with the rules and regulations set forth by the Western Athletic Conference, the National Collegiate Athletic Association for Division IA membership, and the rules and procedures established by the California State University, Fresno. Dedication to athletic and academic excellence will be reflected in the performance of all University teams."

### **RECRUITING PHILOSOPHY**

The Athletic Department seeks talented student-athletes to represent the university playing on its intercollegiate sports teams. The talent shall have been demonstrated in the realms of character development, academic achievement, and athletic performance. The prospective student-athlete is expected to be able to meet the university's standards in the classroom, on the field, and for their department.

Intercollegiate sports are highly valued by the university and the community. It is recognized that participation in Division I athletics affords student-athletes a wonderful opportunity to realize the ideals of sports. The aspirations include such noble aims as: pursuing excellence, being competitive, setting goals, working hard, cultivating talent, developing stamina, finding courage, gaining maturity, building character, learning self-discipline, playing fair, appreciating teamwork, becoming selfless, respecting others, demonstrating sportsmanship, and exhibiting leadership as well as winning magnanimously and losing graciously.

The powerful effect of sports on student athletes and the substantial influence of athletic role models on others should never be underestimated. Therefore, the Athletic Department seeks prospective student athletes who are dedicated to achieving these sports ideals and to taking full advantage of the privilege afforded them by the university.



## RECRUITING POLICIES

The intent of this policy is to be applied to all prospective student-athletes being considered for team membership and/or athletic aid at Fresno State whether "recruited" student-athletes, under the definition of a recruit according to NCAA bylaw, or those students considered "walk-on."

We will recruit and sign prospective student-athletes who:

- clearly have a desire to succeed in the classroom as well as on the field of play;
- have demonstrated the ability to engage in their sport in a sportsman-like manner;
- are good citizens and community members;
- are committed to personal development as persons

We will stop recruiting or signing prospective student-athletes who:

- are currently charged with a felony
- are currently charged with a misdemeanor involving drug use/possession, violence, or other anti-social behaviors;

We will not recruit or sign prospective student-athletes who:

- have previously violated NCAA regulations;
- have been convicted of a felony ( or found to have committed an act as a juvenile that would constitute a felony if committed as an adult);
- have been convicted of a misdemeanor involving drug use/possession, violence, or other anti-social behaviors;
- have demonstrated a lack of cooperation with coaches and other leaders;
- are perceived as being unwilling to abide by the rules and regulations of the university and the Athletic Department as specified in the Student Athlete Code of Conduct

These policies are intended to ensure the Athletic Department recruits only those student-athletes whom coaches believe to be of good character and who can succeed academically in the university. If a coach, or any other person acting as a recruiter, feels that there is compelling reasons to make an exception to these policies, approval must be achieved as follows:

- A) If the prospective student-athlete has a history of a lack of cooperation with coaches, the recruiting coach must provide evidence of a change in the athlete's behavior. The Athletic Director will review the evidence and make a decision as to whether an exception is warranted.
- B) If the prospective student-athlete has violated NCAA regulations, he/she has the responsibility to provide the coach with the necessary data surrounding the violation, and evidence that he/she has been cleared by the NCAA, and is eligible to participate.
- C) If the prospective student-athlete is currently charged with or previously convicted of a misdemeanor(s) (or charged with or found to have committed an act as a juvenile that would constitute a misdemeanor if committed as an adult) the coach must secure approval in writing from the Athletic Director. Minor traffic offenses shall not be included in this list of misdemeanors.

- D) If the prospective student-athlete is currently charged with a felony or previously convicted of a felony (or charged with or found to have committed an act as a juvenile that would constitute a felony if committed by an adult) the coach must secure approval in writing by the Athletic Director .
- E) If the prospective student-athlete is a convicted felon, written approval by the President is required for an exception. A compelling circumstance might include the nature and gravity of the conviction, recentness of conviction, evidence of rehabilitation, and the relationship between specific criminal activity and specific important elements of participation on intercollegiate teams. It will not include the skill of the student-athlete.
- F) Coaches are expected to report in writing to the Athletic Director the discovery that any prospective student-athlete (or current student-athlete) has been in violation of any part of this policy within a reasonable time frame, but no later than one week after first discovering the violation.

It is assumed that exceptions will be rare and only granted with overwhelming evidence supporting the making of an exception. A coach who obtains special permission to sign a prospective student-athlete with a history of anti-social and/or criminal conduct assumes a heightened degree of responsibility to ensure the athlete-in-question fulfills the character, academic and athletic expectations of California State University, Fresno. Student-athletes receiving such exception will be notified that they are on probation and subject to immediate suspension and expulsion from the team if they commit a serious violation of the Code of Conduct.

Each year the Athletic Director will report to the Athletic Council who will review the process and the exceptions and make appropriate recommendations to the Athletic Department. Coaches' adherence to these policies will be part of his/her annual performance evaluation in keeping with the University's Policy on Coaches. The Athletic Director has the authority to impose, at his/her discretion, special procedures or penalties for a given sport(s) if he/she perceives problems in the recruiting practices of that sport(s). Such procedures may include that a coach submit a "recruiting information report" on prospective student-athletes, or that athletes file a "character disclosure statement" with their letter of intent, or other such sanctions, as the Athletic Director may deem appropriate.

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Revised                      October 1, 2001

## CALIFORNIA STATE UNIVERSITY, FRESNO DISPUTE RESOLUTION POLICY

### I. INTRODUCTION

The University strives to assure that fair treatment occurs in the resolution of disputes between students and University employees. The commitment includes impartial examination of the facts, prompt decisions, and appeal processes for review in accordance with established procedures.

Disputes arise out of University decisions or actions that are alleged to be arbitrary, capricious, or contrary to accepted procedures. In nearly all such cases, these disputes are handled through normal academic and administrative channels.

For those few instances when informal resolution has not been possible, the University has enacted the Dispute Resolution Procedure. Separate protocols and procedures also exist to deal with incidents involving criminal activity; academic petitions including grading issues; and allegations of sexual harassment or discrimination based on race, color, national origin, sex, religion, or disability.

The purpose of this policy is to provide a means through which the allegedly harmful effects of the University decision or action affecting the student(s) may be reviewed and resolved. This policy is in no way intended to serve as a disciplinary mechanism. Confidentiality, as defined by law, shall be maintained throughout the entire process.

### II. AUTHORITY

The Dispute Resolution Policy has been recommended by the Academic Senate and approved by the President and supersedes the Student Grievance Procedures, dated 1976.

### III. DISPUTE RESOLUTION BOARD

The Dispute Resolution Board (The Board) shall be responsible for the review of student initiated disputes with the University and the resolution thereof.

#### A) Composition

1. The Board shall consist of four (4) members - one student appointed by the Student Body President and approved by the Student Senate; one faculty member chosen by the Personnel Committee of the Academic Senate; one Dean chosen by and from the Council of Deans; and one staff member chosen by the Staff Assembly.
2. A member of the Dean of Student Affairs Office staff appointed by the Dean will serve as a non-voting convener and recorder for the Board.
3. The faculty member, the staff member and the dean shall serve terms of two academic years on a staggered basis. The student will serve for three semesters. Each appointee can serve one additional consecutive term. The Convener/Recorder shall serve at the pleasure of the Dean of Student Affairs.

#### B) Records

The Dean of Student Affairs shall be responsible for the maintenance of all records of the Board in accordance with University policies and other appropriate regulations.

#### C) Standards and Procedures

The Board shall develop standards and procedures to insure orderly, fair and impartial review and resolution of student disputes.

#### IV. OVERVIEW OF THE DISPUTE RESOLUTION PROCEDURE

##### A) Informal Procedures

A student who believes grounds for a complaint exist shall make a full and bona fide attempt to resolve the problem through early informal discussion of the matter with the academic and/or administrative unit(s) directly involved.

The student should begin such discussions no later than 60 days after the incident or within 60 days after the end of the semester in which the incident occurred or within 60 days after becoming aware of the action, whichever of these dates occurs first. In unusual or exceptional circumstances, the Dean of Student Affairs Office may grant extensions of time.

If the student is not satisfied with the results, further attempts should be made through either of the following channels:

1. In the case of academically-related matters, the Department Chair and the School Dean.
2. In the case of administratively-related matters, the unit supervisor and the director of the administrative area.

##### B) Formal Procedures

The Office of the Dean of Student Affairs will advise and assist students with processes and procedures available to them in the resolution of disputes.

If satisfactory resolution of the problem is not effected within 60 days through the informal procedures, the student, upon presentation of a signed petition to the Office of the Dean of Student Affairs, may seek resolution through the Dispute Resolution Board.

#### V. WRITTEN PETITION

The written petition shall include the following:

- A) A detailed account of the student's dispute including: the University action deemed harmful by the student; date of the occurrence; name of the University office(s)/ employee(s) involved; a description of the unsuccessful informal steps taken to resolve the dispute; and a narrative of the pertinent facts including the names of witnesses.
- B) A concise statement of the remedy being sought.<sup>1</sup>
- C) The petition must be signed by the student.**

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<sup>1</sup> Petitions which contain remedies requesting that a personnel action be taken against a University employee shall be referred immediately to the appropriate administrator.

## **VI. RECEIPT OF THE PETITION**

The Office of the Dean of Student Affairs shall send notification and a copy of the **signed** petition to each named University department/employee within three (3) instructional days of receipt. A copy of this policy will be enclosed.

- A) A written and signed response shall be requested from the departments/employees responsible for the action/decision about which the petition has been filed. The statement should include a narrative concerning the decision that is disputed; reasons why informal resolution did not occur and other pertinent factors supporting the decision.
- B) The department(s) / employee(s) shall have ten (10) instructional days to reply.

## **VII. INITIAL DETERMINATION**

Within ten (10) instructional days following receipt of the petition and the written responses, the Board shall decide whether informal remedies have been fully exhausted and whether further action is warranted. A majority vote of the members is required to continue the matter.

- A) If the Board accepts the petition, a review of the dispute will be initiated in accordance with the Dispute Resolution Procedures.
- B) The Board may elect to make a recommendation(s) based solely on the written materials submitted to it or by convening a three person panel of its members to interview representatives from both sides of the dispute. Copies of the procedures used by the Board shall be made available to the parties.

## **VIII. DISPUTE RESOLUTION PROCEDURES**

In cases where the Board accepts a petition and a formal review is initiated, the Board will constitute itself as a review panel composed of at least three (3) persons. Board Members shall disqualify themselves from serving on panels in which there would be a clear conflict of interest.

- A) A formal proceeding shall be initiated within one hundred and twenty (120) University instructional days after the student has learned of the decision deemed by the student to be adverse.
- B) The Panel will appoint a Chair from among its members. The Chair will be a voting member of the Panel. The Chair shall insure that:
  1. The conduct of the review conforms to the procedures as outlined in this policy.
  2. The Student Affairs Office provides copies of all correspondence, record of meetings, and decisions.
  3. Copies of all statements and documents considered by the Panel are accessible to all of its members and to each party in the dispute.
  4. Consultation with appropriate parties occurs for all questions regarding procedural issues that arise as a result of the examination.
  5. All relevant information is gathered from appropriate offices and individuals and distributed to panel members and parties to the dispute.

**C) THE FOLLOWING ASSUMPTIONS SHALL GOVERN THE PANEL'S PROCEEDINGS:**

1. The burden of proof rests with the student.
2. Either party may present his/her position in oral and/or written statements. Either party may designate an advisor (other than an attorney admitted to practice law in any state) to aid in the effective presentation of their perception of the facts.
3. Parties are not required to appear before the Panel. The unwillingness of any party to cooperate with the Panel shall not prevent the Panel from proceeding to a conclusion of the review and to making a recommendation(s) without prejudice.

**IX. RECOMMENDATIONS OF THE PANEL**

The Panel shall meet in executive session to pursue one of two avenues to resolve the dispute:

- A) Achieve a solution acceptable to all parties or;
- B) Render recommendations including its findings.

The Panel will write a final report, including, its findings and the recommendation(s) of the Panel. The report may include a minority opinion. The Chair shall, within five (5) instructional days of the decision, forward the final report with recommendations to the Dean of Student Affairs Office which shall distribute the final report to all parties in the dispute and to the Provost.

1. If the recommendation(s) is not appealed in writing by any parties to the dispute within five (5) instructional days, the recommendation(s) will be considered final.
2. If any party appeals the recommendation(s), the Provost (or designee) may decide to review the matter, or to allow the recommendation(s) to stand. The Provost shall have fifteen (15) instructional days to render a decision. The Provost's decision is final and shall be forwarded to the Dean of Student Affairs Office for distribution to all parties involved in the dispute, Dispute Resolution Board Members and to the appropriate academic and/or administrative officers.
3. In cases where the recommendation(s) calls for action on the part of academic and/or administrative agencies, those entities will have ten (10) instructional days to notify, in writing, the Dean of Student Affairs Office of the actions taken or to be taken to implement the decision.
4. When appropriate, the Panel may recommend that the conduct of a University employee be reviewed by the appropriate administrator but shall not make any recommendation as to the outcome of any such review.

## **X. RECORDS OF THE BOARD**

The complete records of the Board and those of any panel shall be retained by the Dean of Student Affairs Office as confidential documents. Only the party or parties directly involved in the dispute, the Board, or University agencies directly involved in the implementation of appeal or the recommendation(s) shall have access to those records. None of the records of the proceedings, including the final report, shall be included in any University employee personnel file. All such records except the final report shall be destroyed after one year following issuance of the Provost's final decision.

## **XI. AMENDMENTS TO THE STUDENT DISPUTE RESOLUTION PROCEDURES**

Recommendations for change or review of the Student Dispute Resolution Procedures shall be referred to the Academic Senate. All revisions adopted by the Academic Senate shall be submitted to the President for approval.

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Approved by the Academic Senate  
 Approved by the President  
 Revised

October 1976  
 October 1976  
 April 1996

## POLICY ON DISRUPTIVE CLASSROOM BEHAVIOR

### PROLOGUE

**STUDENT RIGHTS AND RESPONSIBILITIES.** At California State University, Fresno, students enjoy the rights and privileges of adults in our society. Nevertheless, as in society at large, rights and freedoms are supported by a framework of responsible conduct, without which the rights and freedoms of all may suffer. Thus, the exercise of student rights and privileges entails the use of responsible judgment, conformity to the law, and respect for the rights, interests, and values of others.

**ACADEMIC FREEDOM.** Students and faculty must be free to pursue truth as well as personal and intellectual development. A necessary condition for such pursuit is an acceptance of the spirit of inquiry and an appreciation for diverse ideas, viewpoints, cultures, and life-styles. This condition must exist in both the classroom and the overall campus environment.

While the University gives great weight to the responsibility of preserving academic freedom, it does so within the context of respect for law and the reasoned consideration of others. Academic freedom and freedom of speech are intended to protect the expression and exploration of ideas; they do not protect conduct that is unlawful, disruptive of the classroom environment, or disruptive of the University itself.

**CLASSROOM CONDUCT.** The classroom is a special environment in which students and faculty come together to promote learning and growth. It is essential to this learning environment that respect for the rights of others seeking to learn, respect for the professionalism of the instructor, and the general goals of academic freedom are maintained. All members of the academic community should demonstrate respect for the classroom environment. Differences of viewpoint or concerns should be expressed in terms which are supportive of the learning process, creating an environment in which students and faculty may learn to reason with clarity and compassion, to share of themselves without losing their identities, and to develop an understanding of the community in which they live.

Faculty have a responsibility in the classroom to respect student diversity and diversity of viewpoint, but they also have the primary responsibility to maintain the orderliness and integrity of the learning environment. Students have the right to express ideas unpopular with the class or contrary to those of the instructor. However, students also have a responsibility to respect the learning environment and the integrity of others in the classroom setting. Student conduct which disrupts the learning process shall not be tolerated and may lead to disciplinary action and/or removal from class.

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Approved by the Academic Senate  
Approved by the President

May 16,1990  
May 25,1990



## PROCEDURES

- A. Faculty have both a professional responsibility and the legal authority to maintain order in the instructional setting. The instructor shall determine the time and manner in which a student may ask questions or express ideas or points of view in the instructional setting.<sup>1</sup>
- B. Student behavior disruptive of the instructional setting shall not be tolerated. Disruptive conduct includes speech and behavior that are clearly disrespectful of either the instructor or other students. Such conduct includes, but is not limited to, physically or verbally abusive conduct, interruptions, failure to adhere to the instructor's rules or instructions, vulgar or obscene language, slurs and other forms of intimidation.
- C. Faculty are responsible for informing the department chair and School Dean about any incident of disruptive classroom behavior. Faculty are strongly advised to keep records of dates, times, names of all those present, and details of disruptive incidents.
- D. If, in the judgment of the instructor, the student conduct is seriously disruptive of the instructional setting, the instructor should immediately inform the Vice President and Dean of Student Affairs and file a Disruptive Classroom Incident Report (Report forms are available from Offices of School Deans and the Student Affairs Office.) After discussion with the faculty member, the Vice President and Dean of Student Affairs shall investigate and determine whether or not to initiate formal disciplinary action under Executive Order 148.
- E. Faculty may direct a student who is being disruptive to leave the class. If the student refuses to leave after being requested to do so, the instructor may summon University Police to remove the student.
- F. Removal of a student from class, either voluntarily or involuntarily, is a serious step and not one to be taken lightly. Any time a student is removed from class, either voluntarily or involuntarily, the instructor should (1) inform the Vice President and Dean of Student Affairs and (2) file a Disruptive Classroom Incident Report. The student shall be permitted to return to the class unless the Vice President and Dean of Student Affairs determines otherwise after discussing the matter with the faculty member. As appropriate, the Vice President and Dean of Student Affairs may (1) require the student to provide oral or written assurance that there will be no further disruptive behavior as a condition for the student to return to class; (2) initiate formal disciplinary action pursuant to Executive Order 148; or (3) order immediate suspension of the student pursuant to Executive Order 148 (see H. below).

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<sup>1</sup> For purposes of this policy, "instructional setting," class, or classroom means any laboratory, field, or other environment in which a faculty member is instructing or guiding students in a class scheduled or offered under the auspices of the University.

- G. The Vice President and Dean of Student Affairs shall keep the instructor and student informed of the status of the disciplinary proceedings, especially with regard to the student's attendance at further class sessions.
- H. Pursuant to Executive Order 148, the President may order the "immediate suspension" of any student for the interim period pending a hearing whenever it is determined that such action is "required in order to protect lives or property and to ensure the maintenance of order." If, in the instructor's judgment, immediate suspension is warranted or necessary, he/she shall contact the Vice President and Dean of Student Affairs immediately. A student so suspended must be provided an opportunity for a speedy hearing pursuant to Executive Order 148 with respect to the immediate suspension.
- I. For further information consult especially the California Code of Regulations (Title 5) Sections 41301-41304, the California Education Code Section 66017, and CSU Executive Order 148.

## **CALIFORNIA STATE UNIVERSITY, FRESNO STUDENT ATHLETE CODE OF CONDUCT**

### **PHILOSOPHY**

Membership on an athletic team at California State University, Fresno is considered a privilege. In order to maintain that membership, student-athletes are expected to demonstrate good sportsmanship, honesty, integrity, and respect for others, as well as abide by all University policies, team rules, the rules and policies of the National Collegiate Athletic Association, and the Western Athletic Conference, in addition to state and federal laws.

Student-athletes, as representatives of the University, are among the most visible students on campus and in the community. Because of America's fascination with sports, and those who play, a unique platform exists to be a role model, mentor or spokesperson. The University, the athletic program, and the student-athlete all benefit from this exposure. However, this platform brings with it a set of privileges and responsibilities. Personal deportment of student-athletes, both on and off campus, becomes public knowledge.

To this end, the Athletic Council has adopted a standard of ethical conduct and behavioral expectations for all athletes at California State University, Fresno. A balanced student-athlete will be a responsible citizen, who achieves academically and performs athletically. Violation of this code of conduct is a significant event and calls for disciplinary action.

### **RESPONSIBLE CITIZENSHIP**

One of the primary purposes of a university is to educate young men and women to be responsible and productive citizens of good character. Character is knowing what is right (awareness), committing to what is right (attitude) and doing what is right (behavior). Good character is knowing of, caring about and acting upon the core ethical values of respect and responsibility for oneself and others, plus important derivative values such as fairness, honesty, trust, decency, and compassion. It means having personal integrity and possessing the will, the courage, the determination, and the persistence to do the right thing despite pressures and temptations to the contrary.

The Athletic Department firmly believes that good character is necessary for athletic excellence. Accordingly, student-athletes are expected to:

- Abide by all government laws and University regulations, and Athletic Department rules
- Accept personal responsibility to exercise good judgment and self-discipline on and off the playing field/court and on and off campus
- Take seriously the duty of being a good role model, including prudent personal associations, and of exerting a positive influence on others --especially young people. Honorably represent oneself, one's team, and the University by exhibiting pride in dress and behavior while playing in and traveling to and from sports events.
- Present a positive demeanor at all times on and off the campus
- Show respect for all members of the university and the community
- Treat people with civility and cooperate with people in authority

- Refrain from and be intolerant of physical abuse, harassment and intimidation
- Demonstrate responsible citizenship and good sportsmanship.

The University is proud of its well-earned reputation as a high quality regional institution of higher education and is resolute about protecting its integrity. Student-athletes will be held accountable for conduct that is detrimental to the University and the Athletic Department. This means that one shall not embarrass, disgrace or discredit California State University, Fresno, and there are serious consequences for anyone engaging in antisocial behavior.

## **ACADEMIC RESPONSIBILITIES**

In keeping with the mission of the University, a priority for the Athletic Department is to augment and support every effort that will foster intellectual development and graduation for student-athletes. While several levels of support exist at the university, the ultimate responsibility for success rests upon the shoulders of the student-athlete. As a result, each student-athlete is expected to:

- Set a primary goal of obtaining a degree
- Seek assistance from instructors and Athletic Academic Support Services before and/or when academic difficulties occur
- Be a responsible member of each class, which includes attending, being prepared, completing requirements, and participating at the level expected of all students
- Meet with the academic major advisor and Academic Services staff as required
- Adhere to the University's policies regarding academic integrity and honesty
- Participate in diagnostic testing as requested by Academic Services or the Department of Athletics

## **ATHLETIC RESPONSIBILITIES**

As athletic ambassadors of the University, student-athletes are expected to:

- Behave with dignity, respect and good sportsmanship.
- Conduct themselves with honesty and good sportsmanship during games and competition.
- Reflect the high standards of honor and dignity that should characterize participation in competitive intercollegiate athletics.
- Conduct themselves in a manner reflecting positively on themselves and on the reputation of the university, both on and off the "field of play," in pre-game and post-game comments to media, and when traveling and participating at other institutions.
- Maintain an attitude of respect toward opponents.
- Look for ways to encourage and appreciate quality play and effort, regardless of whether it's exhibited by a teammate or an opponent

As members of an athletic team representing California State University, Fresno, student-athletes are expected to:

- Adhere to applicable NCAA rules and policies as addressed in the NCAA Student-Athlete Statement that is administered annually prior to competition.
- Adhere to all WAC rules and policies governing student-athlete conduct and behavior.
- Comply with individual sport team rules, as established by the Head Coach and/or Athletic Administration.
- Adhere to their particular team's dress code, nutritional needs, and curfew

While intense and emotional game action and conduct is certainly a part of intercollegiate sports contests, a student-athlete should never demean the dignity and individuality of the opponent. To this end, student-athletes are expressly prohibited from engaging in the following behavior at any intercollegiate sporting events:

- Inappropriate behavior with the intent to demean opponents, game officials and fans.
- Disrespectful attitude toward opponents, game officials or fans.
- Inciting crowd hostility.
- Vulgar language and/or gestures

## **HEALTH AND MEDICAL RESPONSIBILITIES**

Participation in athletics is contingent upon medical approval by the Athletics Team Physicians and the Sports Medicine staff. Student-athletes are recommended to show evidence of proper medical insurance and provide a current medical history for the Sports Medicine staff and/or Team Physicians. Participation in all department-sponsored student enhancement seminars or functions, which may include but are not limited to; counseling, drug testing, drug education, nutrition and alcohol education is required. Student-athletes are expected to keep themselves in top physical condition and are responsible for continuing training programs prescribed by medical and coaching staffs.

Alcohol consumption is highly discouraged at all times. California state law sets the minimum age for the purchase and drinking of alcoholic beverages at 21 years of age. Underage drinking is a violation of this Code of Conduct. Student-athletes are prohibited from drinking alcoholic beverages whenever appearing as official representatives of the University for athletic competition (including travel time), community and public service events and appearances, and Department of Athletics-sponsored events (all sports contests, recognition banquets, speaking to youth groups, participating or presiding at camps/clinics, visiting hospitals, and any other event affiliated with the Athletic Department or the University).

The use of illegal and/or "performance enhancing" drugs is totally inconsistent with the purpose of intercollegiate athletics and creates a danger to the health and safety of student-athletes and their teammates. The Athletic Department will not tolerate the use of these products. Violations of this policy are subject also to those guidelines set forth in the department's drug education and screening program.

## COMPLIANCE RESPONSIBILITIES

Student-athletes must participate in all mandatory educational programs, and assist the Department of Athletics administration by providing information regarding certification of eligibility and NCAA compliance issues whenever sought. Information on automobile registration, summer and academic year employment is to be filed with the Compliance Coordinator.

- Student-athletes should be aware that they are prohibited under NCAA rules from receiving extra benefits.
- It is an express violation of NCAA rules for a student-athlete to solicit or place a bet on any intercollegiate athletic team, to accept a bet on any team representing the University, to alter performance or to provide information benefiting individuals involved in organized gambling activities or intercollegiate athletic competition.
- Student athletes are responsible for notifying the Compliance Coordinator if they know of, or suspect, the violation of NCAA rules by self, a teammate, coach, a member of the athletic staff, or any other person.
- The abuse (inappropriate awarding or sale) of a student-athlete's complimentary tickets is a violation of this Code of Conduct, in addition to possible violation of NCAA rules

All prospective student-athletes who submit a letter of intent to attend California State University, Fresno shall be provided a copy of the Athletic Department's Student-Athlete Code of Conduct. They shall also be informed that henceforth they are expected to abide by its provisions. Any act committed prior to official registration at the university that is considered to be a serious violation of the Code will cause them to be placed on probation during the first year in residence; if they commit another serious violation, they would be subject to immediate suspension and expulsion from the team.

Violations of these, and any other applicable NCAA or WAC rules will be considered violations of the Code of Conduct.

## PROCEDURES FOR HANDLING VIOLATIONS OF THE CODE OF CONDUCT

Allegations of violation of the Code of Conduct may come from several sources. In those cases involving WAC and NCAA rules, or legal authorities, the Head Coach, Athletic Director and Compliance Coordinator must be notified. The Head Coach is responsible for reviewing Code of Conduct violation allegations and determining if a violation occurred. If a serious violation did occur, a report must be filed with the Athletic Director, Sports Supervisor and the Compliance Coordinator. This report will list the pertinent facts, the action taken or penalties recommended by the Head Coach.

The Head Coach, subject to review and approval of the Director of Athletics, may bar a student-athlete from Participating in team activities for a prescribed period of time for violations of the Student-Athlete Code of Conduct. This sanction shall be imposed as soon as the Head Coach notifies the student-athlete of the violation, gives the student-athlete a chance to explain what happened, and determines that a Sanction is justified after consideration of the student-athlete's statement. The level of progressive discipline is at the discretion of the head coach. Disciplinary actions may include, but are not limited to: probation, ineligibility to practice, ineligibility to start in contests, sitting out games, suspension and/or continued suspension from the team, permanent dismissal from the team, and, as provided under NCAA rule, the discontinuation or non-renewal of athletic scholarship. In addition, student-athletes may be required to participate in assistance programs to address behavioral problems.

The sanction for any violation shall be subject to the review and approval of the Director of Athletics. Discipline imposed by the Director of Athletics does not preclude any disciplinary action which may be imposed by the Vice President for Student Affairs under Title V. (California Code of Regulation, and the Chancellor's Executive Order #148).

In those cases involving WAC and NCAA violations, the Compliance Coordinator is responsible for the investigation and submission of findings. Once it has been determined that a violation has occurred, the student athlete may be suspended from competition and/or other team activities pending review and resolution of recommended penalties by the Athletic Director.

Any violation of the Code of Conduct which results in permanent dismissal from an athletic team shall be promptly reviewed by the Director of Athletics, and, upon request by the student-athlete, the Director of Athletics will arrange a hearing of the appeal with the Code of Conduct Panel to examine the nature of the violation and the subsequent dismissal from the team.

## **ATHLETICALLY RELATED FINANCIAL AID**

Failure to abide by the Student-Athlete Code of Conduct or team rules and regulations may be grounds for non-renewal, reduction, or cancellation of athletic aid. Sanctions involving reduction or termination of athletically-related financial aid during the period of the award will be imposed pursuant to the relevant NCAA procedures. Student-athletes will be given written notice of the proposed decision, and will have the right to a hearing before the Athletic Appeal Panel appointed by the President.

## **PROCEDURES FOR DEALING WITH CRIMINAL VIOLATIONS OF LOCAL, STATE AND FEDERAL LAWS**

All sanctions will be commensurate with the severity of the violation as determined by the Head Coach and the Athletic Director. In addition, student-athletes may be required to participate in assistance programs to address behavioral problems.

- Charge of Misdemeanor - If charged with a misdemeanor, a student-athlete may be suspended from athletic participation by the Head Coach, pending the Director of Athletics' investigation. Appropriate disciplinary action will be taken which may include such progressive discipline as ineligibility to practice, ineligibility to start in contests, sitting out games, and suspension and/or continued suspension from the team, and dismissal from competition.
- Conviction of Misdemeanor - Once a student-athlete has been convicted of a misdemeanor, the student-athlete will be suspended from his or her team until the Director of Athletics or his designee determines disciplinary action to be taken. The Director of Athletics or designee may elect to confer with a three-member Code of Conduct Panel, appointed by the President.
- Charge of Felony: - If charged with a felony, a student-athlete will be automatically suspended from athletics participation by the Head Coach, pending the Director of Athletics' investigation. Appropriate disciplinary action will be taken, which may include such progressive discipline as sitting out games, and continued suspension from the team or dismissal from athletic competition.

- Conviction of Felony: - If convicted of a felony, a student-athlete will be immediately expelled from his or her athletic team. Any appeals of this action will be addressed by the Code of Conduct Panel. In cases where a student-athlete is expelled from an athletic team, any remaining athletic aid will be terminated immediately, and the student-athlete shall be notified of his or her right to a hearing before the Athletic Appeal Panel appointed by the President.
- Student-athletes are required to report all violations of law to the Athletic Director.

## **CODE OF CONDUCT PANEL**

The Code of Conduct Panel is designed to be a group of individuals with whom the Director of Athletics may consult regarding sensitive Code of Conduct issues. This body may also serve to hear any student-athlete appeals regarding progressive discipline. The panel will be appointed by the President, who will seek candidates for nomination from the Academic Senate and Athletic Council. This nine-member panel will consist of at least five faculty members. From this panel, the Athletic Director may select a group of not less than three members, two of whom must be faculty members, to serve as consultants on a given case. In cases dealing with violations of the Code of Conduct, the role of the panel is to hear the evidence, and on the basis of this evidence, make recommendations to the Athletic Director. While hearing student-athlete appeals, the panel will make the final determination of the case. If the Athletic Director is not available, one of the Associate/ Assistant Athletic Directors may call the Panel together to hear a case.

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Approved by the President

July 1998



## CALIFORNIA STATE UNIVERSITY, FRESNO

### STUDENT - ATHLETE CODE OF CONDUCT

Student athletes are among the most visible students on campus as well as in the community. Because of America's fascination with sports and those who play, a unique platform exists to be a role model, mentor, or spokesperson. The University, the athletic program, and the student-athlete all benefit from this exposure. However, this platform brings with it a whole set of privileges and responsibilities. Social interaction and personal deportment of student-athletes, on and off the campus, becomes public knowledge.

As a student who represents the University in intercollegiate athletic competition, I

- Understand that participation in intercollegiate athletics is a privilege.
- Pledge to demonstrate responsible citizenship, sportsmanship, honesty, and integrity on the field or court, on the campus, in the local community, and to otherwise represent the University in a manner that brings pride to me and the university.
- Will make the attainment of an academic degree a high priority.
- Will be a responsible member of each class, which includes attending, being prepared, completing requirements, and participating at the level expected of all students in the class.
- Will abide by the rules and policies of the NCAA and the Western Athletic Conference.
- Will abide by all University regulations and policies, including those of the Residence Dining Hall, the campus residence halls, the Kennel Bookstore, the Financial Aids office and the parking authority.
- Will abide by all sport-specific team rules, and the rules and policies of the Athletics Department governing student-athlete conduct, which are fully contained in the Student-Athlete handbook and the Policies and Procedures of the Athletics Department.
- Acknowledge that any violation of the Code will result in appropriate discipline as determined by my head coach, the Athletic Director, and/or recommended by the Code of Conduct Panel. The process by which this discipline will be administered is fully contained in the Student-Athlete Handbook and the Policies and Procedures Manuel of the Athletic Department.

\_\_\_\_\_  
Student-athlete signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Student-athlete name (Print)

\_\_\_\_\_  
Sport

## **ON-CAMPUS RECRUITING POLICY**

All bona fide employers or graduate schools visiting the campus for the primary purpose of recruiting must contact the Career Development and Employment Services Office to reserve interview dates, facilities and accommodations. All recruiters shall use facilities designated by the Career Development and Employment Services Office as their base of operation.

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Approved	June 1974
Amended	January 1978
Amended	January 1994

## DISTRIBUTION OF NON-STATE BUDGETED FUNDS

### 1. Financial Aids

#### A. At the university level

1. The administrative authority for all financial aid to students shall be the Financial Aids Office, under the direction of the Dean of Student Affairs.
2. Consultation on matters affecting the Financial Aids Office shall include the Student Affairs Committee of the Academic Senate or such subcommittee as it shall designate.
3. Policies for acceptance or rejection of funds for financial aid shall be recommended by the Student Affairs Committee to the Dean of Student Affairs.
4. Policies for financial aid funds not restricted or limited by the donor(s) shall be recommended by the Student Affairs Committee to the Dean of Student Affairs.
5. Where, by the terms of the gift or by decision at the university level, financial aid funds are designated for or limited to students in one school, department, or subject matter area within a school or department, the school or department shall recommend the person(s) to receive such funds to the Financial Aids Office.

#### B. At the school level

1. The administrative authority shall be the dean or his designee.
2. Following appropriate consultation at the school level, recommendations on financial aids shall be forwarded to the school dean.
3. Each school to which financial aid funds are available shall recommend procedures for disbursement of such funds to the Financial Aids Office.

#### C. At the department level

1. The administrative authority shall be the department chairman.
2. Following appropriate consultation at the department level, recommendations on financial aids shall be forwarded to the department chairman.
3. Each department to which financial aid funds are available shall recommend procedures for disbursement of such funds to the financial Aids office.
4. Consultation on financial aids to athletes shall include the Director of Athletics and the coaches of the major intercollegiate sports.

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Approved

November 1967

## **POLICY ON AWARDING POSTHUMOUS DEGREES**

### **Purpose**

California State University, Fresno extends sincere sympathy and condolences to families who have lost loved ones, who were pursuing an undergraduate or graduate degree. The purpose of this policy is to recognize the academic achievement of students who have passed away while they were pursuing their degree. At the same time, these recognitions must also be balanced with careful attention to the academic and institutional integrity of our degree programs.

### **A. Guidelines for Awarding an Undergraduate Degree Posthumously**

The President, upon a recommendation of the faculty within the deceased student's major, the Dean of the school/college, and the Provost/Vice President for Academic Affairs, may confer a posthumous Bachelor's degree upon a student, who at the time of death, has completed a substantial portion of the requirements for graduation. A "substantial portion" means, at the time of death, the student:

1. Was enrolled at the university;
2. Would have completed the requirements for a bachelor's degree in their chosen major during that semester;
3. Had a minimum 2.0 G.P.A.

For deceased students who may not have reached this level of completion of their academic work, department and school/college may also award a "Certificate of Achievement" to those students, as well other tributes based on the student's academic accomplishments to date. On rare occasions, exceptions may be made for special circumstances that merit awarding the degree.

### **Procedures for Awarding an Undergraduate Degree Posthumously**

Undergraduate degrees may be awarded posthumously if the above criteria are met and the degree would have been completed had it not been for the untimely occurrence of the death of the student. It assumes that all degree requirements could have been completed during the term in which the death occurred.

The following procedures apply to awarding of the posthumous undergraduate degree:

1. Upon learning of the death of a student, the Office of Evaluations will determine the extent to which the student meets the criteria for receipt of a posthumous degree as noted above.
2. The Office of Evaluations will notify the department chair and college/school Dean of the student's status. The department faculty can initiate a recommendation for awarding of the degree to the college/school Dean. The college/school Dean can make a recommendation to the Provost/Vice President for Academic Affairs. If there is concurrence, the Provost would forward the recommendation to the University President, who will make the final decision.

3. If approved, the President would notify the Vice President for Student Affairs to make contact with the deceased student's family to notify them of the awarding of degree and to determine the manner in which the degree would be conferred. The Vice President for Student Affairs will also contact the Registrar's Office.
4. Student recognition for receipt of the posthumous degree would be made in the University Commencement program and at the college/school/department Convocation - if possible. At the request of the family – a private ceremony for conferral of the degree may be able to be arranged by the Vice President for Student Affairs for department faculty, family, and guests.
5. Upon awarding of the degree, the Registrar's Office will make the appropriate notation in the student's record.

#### **B. Guidelines for Awarding A Graduate Degree Posthumously**

As there has not been a policy for awarding posthumous degrees at the graduate level, this policy was created to ensure consistent criteria are applied to each case before a graduate degree is granted. A posthumous degree (MA/ MS/ MBA/ MBt/ MFA/ MPA/ MPH/ MSW/ Ed.S./ Ed.D./ DNP/ DPT) may be conferred on a student who:

1. Was currently enrolled or on leave at the time of their death;
2. Passed comprehensive examinations, and/or have completed a draft of their project/thesis/dissertation;
3. Be within 6 units of completing the degree; and
4. Must have a 3.0 G.P.A. or better on all courses listed on their Petition of Advancement to Candidacy.

For those who may not have reached these final stages of their academic work, departments are encouraged to consider alternative ways of providing memorial tributes based upon the student's completed work to date and professional contributions to the program (e.g., awarding a certificate of recognition). On rare occasions, exceptions may be made for special circumstances that merit awarding the degree.

#### **Procedures for Awarding a Graduate Degree Posthumously**

Graduate degrees may be awarded posthumously when a student is completing the final culminating requirements for their degree and would have been expected to complete the degree had it not been for the untimely occurrence of death. Under these conditions, it is assumed that all program requirements could have been completed during the semester/term when death occurred.

The following procedures apply for the posthumous awarding of graduate degrees:

1. Upon learning of the death of a graduate student, the department, college/school dean the graduate dean and the dean of student affairs should be notified.
2. In keeping with the above description of such awards, a department may request posthumous awarding of a graduate degree. The graduate consultative body for the program must support this request. The department's recommendation should be based

upon input from the student's culminating experience committee (thesis, project or comprehensive exam faculty). The culminating experience committee must meet and discuss the progress of the culminating experience to date, and determine if sufficient progress has been made to warrant the granting of the degree. The deceased student's graduate program faculty and graduate program coordinator must verify that the student could have satisfactorily completed all degree requirements and that the student was expected to meet scholarly and professional performance standards.

3. The formal departmental recommendation and request must have concurrence from the appropriate School or College Dean and be submitted to the Dean of Graduate Studies for approval. The Dean of Graduate Studies will forward a recommendation to the Provost and if the Provost is in concurrence, will forward the recommendation to the University President who will make the final decision. For joint doctoral programs, collaborating institutions must also concur with the recommendation to award the degree posthumously.
4. Student recognition for receipt of the posthumous degree would be made in the University Commencement program and at the college/school/department Convocation – if possible. At the request of the family – a private ceremony for conferral of the degree may be able to be arranged by the Dean of Graduate Studies for department faculty, family, and guests.
5. Upon approval by the University President, the department will be so informed and the Graduate Program Adviser/Coordinator should then proceed to submit any necessary clearance paperwork on behalf of the student including the Master's/Doctoral Degree Application for Graduation, submission of the Graduate Degree Clearance forms, and any other paperwork needed to clear the degree. The application fee for the granting of the degree may be waived. A diploma may be issued to the appropriate family member as determined by and requested by the department.
6. Notification of family members may be done through the department, the college/school dean and/ or the graduate dean as determined to be appropriate by the program faculty.
7. Copies of all correspondence and authorizations will be kept in the DGS student file.
8. DGS will notify the Registrar's Office that the student is deceased and that the degree is to be awarded posthumously. The registrar will make the appropriate notation in the student's record.

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Recommended by the Academic Senate  
Approved by the President

November 26, 2012  
December 6, 2012

## POLICY ON THE ADMINISTRATION OF SPONSORED PROGRAMS

### INTRODUCTION

Sponsored programs, which normally take the form of grants and contracts, are initiated and implemented primarily by faculty and staff. Sponsored programs further the University's educational mission by facilitating research, workshops, conferences, institutes and other projects that enrich the scholarly endeavors of faculty and students. They also allow the University to provide services to the community that could not otherwise be provided.

Governmental regulations, CSU Executive Orders, and the guidelines of numerous sources require careful review and approval of grants and contracts. To meet these requirements, the University has developed the policy, procedures and related information set forth herein to govern the administration of sponsored programs. They conform to federal and state laws and regulations as well as applicable CSU regulations, University and Auxiliary policies. In the event that a given contract or grant contains terms and conditions that are not in conflict with but are more restrictive than those provided in this policy, the more restrictive terms and conditions shall prevail.

### I. DEFINITIONS

- A. "Additional Employment" refers to any CSU employment that is in addition to the employee's primary appointment. Additional employment limitations are based on time-base, not salary.
- B. "Authorized Official" is the position designated by the campus President in consultation with the Provost to sign proposal applications and to accept awards on behalf of the Recipient.
- C. "Auxiliary" means an auxiliary organization as defined in CSU Executive Order No. 698 and centers or institutes affiliated with the University regardless of 501(c) 3 status.
- D. "Contract" means an agreement between a Recipient and a Sponsor to provide an economic benefit, generally in the form of services, for compensation. The agreement is binding and creates a *quid pro quo* relationship between the parties. Contract activity shall include research, public service, and educationally related proposals and awards, whether solicited or unsolicited, which are either submitted to or received from federal, state, municipal, or county agencies; public or private corporations; and private foundations or individuals.
- E. "Cost sharing" (sometimes referred to as "match") is the portion of total project costs not borne by the sponsor agency. Cost sharing can be contributed by the Sponsored Program Administrator and/or a third party. The costs must be allowable costs, and they must be documented. Cost sharing can be in the form of cash or in-kind. Cash cost sharing includes actual dollars to be spent by the Sponsored Program Administrator toward necessary grant/contract expenses. In-kind cost sharing includes non-cash expenses (e.g. unrecovered partial salary buyout, unrecovered indirect costs, volunteered labor when integral to project completion, and other items that can equate to a dollar amount using fair market value, etc.).
- F. "CSU employment" means any employment compensated through the CSU payroll, regardless of funding source (e.g. general fund, extension, lottery, and CSU employment reimbursed by an auxiliary or other source.) When determining additional employment, all CSU employment and all CSU foundation and other CSU auxiliary employment are considered together.
- G. "Foundation" means California State University, Fresno Foundation.

- H. "Grant" means a financial award to a recipient to carry out an approved project or activity. A grant generally anticipates no substantial programmatic involvement of the Sponsor with the recipient during performance of the project or activity, but Sponsors usually request an accounting of the use of funds and of results of the project or activity. The Recipient may commit resources or services as a condition of the grant. Grant activity shall include research, public service, and educationally related project proposals and awards, whether solicited or unsolicited, which are either submitted to or received from federal, state, municipal, or county agencies, public or private corporations, and private foundations or individuals.
- I. "DRGS" means Division of Research and Graduate Studies
- J. "Overload" refers to CSU additional employment of up to twenty-five percent (25%) of a full-time position in excess of a full-time (100%) time-base. Overload limitations and calculations are based on workload or time-base, not salary.
- K. "PIF" means Project Information Form, the primary internal document that includes key information about a proposal along with signatures from all appropriate University or Foundation officials approving submission.
- L. "Principal Investigator" (PI) means the individual (whether referred to in the contract or grant as a Principal Investigator, Project Director or other similar term) designated by the Recipient to be responsible for ensuring compliance with the academic, scientific, technical, financial and administrative aspects and for day-to-day management of the sponsored program.
- M. "Recipient" means the legal entity awarded a contract or grant. At California State University, Fresno, the Recipient is either the University or one of its recognized auxiliary organizations and shall not be an individual, department or other constituent unit.
- N. "Sponsor" means the party paying for the services or other economic benefit under a contract or providing the financial award for a project or activity under a grant.
- O. "Sponsored program(s)" means all work performed under grants or contracts funded by non-CSU funding sources, including non-CSU funded contracts and grants that are subsequently subcontracted to another campus.
- P. "Sponsored Program Administrator" (SPA) means the entity (university or auxiliary) designated by the recipient to administer the sponsored program.
- Q. "Sponsored program records" include, but are not limited to, accepted proposals and applications; contracts or grant agreements; program reports and data; correspondence; budgets and supporting financial documentation; supporting human resources documentation; and other records relating to receipt, review, award, evaluation, status and monitoring of the sponsored program.
- R. "Sponsored program work product" means any work created in the performance of a sponsored program. Unless the contract or grant states otherwise, sponsored program work product does not include journal articles, lectures, images, books or other works that are subject to copyright protection and have been created through independent academic effort and based on the findings of the sponsored program.
- S. "University" means California State University, Fresno.



## **II. ADVISORY BOARD FOR RESEARCH AND SPONSORED PROGRAMS**

- A. An advisory board appointed by the President shall advise the Provost and Vice President for Academic Affairs (Provost) on policy and procedures related to grants, contracts and research including, but not necessarily limited to: the annual budget for grants administration; policies on the recovery, use and distribution of indirect costs; reporting structure, and related matters. The name of the board shall be Grants and Research Advisory Board (GRAB).
- B. The Board shall consist of
  - 1. The Provost, who shall be the Chair;
  - 2. Vice President for Administration/CFO or designee;
  - 3. Dean of Graduate Studies;
  - 4. Two (2) academic deans selected by the Provost on the recommendation of the Council of Deans;
  - 5. Two faculty members active as principal investigators or project directors of grants or contracts recommended by Academic Senate;
  - 6. Two faculty or project directors of grants or contracts recommended by the Provost;
  - 7. Dean of the Division of Research and Graduate Studies (non-voting);
  - 8. Executive Director of Auxiliary Services (non-voting); and
  - 9. One representative from Student Affairs;
  - 10. One at-large member.
- C. The Provost shall convene the board at least twice annually.

## **III. RESPONSIBILITY FOR SPONSORED PROGRAM ADMINISTRATION**

- A. The President and Provost have delegated responsibility for the administration of sponsored programs to the Dean of the Division of Research and Graduate Studies (DDRGS).
- B. The responsibilities of the DDRGS include but are not limited to:
  - 1. Reviewing and approving proposal submissions or funding requests for sponsored programs to federal or state agencies, public or private corporations, private foundations or individuals.
  - 2. Reviewing and approving grant or contract awards in consultation with the University's Chief Financial Officer or designee and/or appropriate officials of the Recipient.
  - 3. Coordinating proposal routing to assist the principal investigator in complying with applicable policies prior to the proposal being submitted to the sponsoring organization.
  - 4. Advising the academic community of grant and contract opportunities.
  - 5. Assisting individuals in the development of proposals including, but not limited to, planning and delivering workshops, editing of proposal narratives, preparing proposed budgets, completing required agency forms, and otherwise assisting applicants to complete and submit grant and contract proposals in a timely manner.
  - 6. Serving as the liaison with Sponsors to provide assurances such as drug-free workplace, lobbying, vendor debarment, equal opportunity, and other related documents required by sponsors following award.
  - 7. Designating either the university or an eligible auxiliary as Sponsored Program Administrator.
  - 8. Approving certification of project budgets and budget change review procedures before an account is established or amended.

9. Providing general oversight for the conduct of sponsored research and, in concert with the campus Chief Financial Officer or designee of the Recipient, providing specific oversight and monitoring, and review of all project activities, budgets, personnel assignments, and expenditures.
  10. Discussing the scope of all audits of grants and contracts with the campus Chief Financial Officer or designee and/or appropriate officials of the recipient organization prior to the commencing of an audit, and reviewing all audit findings.
- C. The responsibilities of the University's Chief Financial Officer or designee and/or appropriate officials of the recipient organization, working in concert with the DDRGS include but are not limited to:
1. Providing the timely establishment of accounts in accordance with the terms and conditions of the grant or contract;
  2. Providing contractual, procurement, and fiscal services including disbursement, billing and reporting;
  3. Ensuring that all fiscal reports (including final reports) and billings are prepared and submitted, on a timely basis, to sponsors in accordance with the terms and conditions of the grant or contract;
  4. Scheduling and overseeing audits of grants and contracts, including, but not limited to, discussions with the internal and external auditors on the scopes of the audits and reviewing all audit findings;
  5. Training principal investigators on managing budgets, handling personnel, and reviewing the scope of work involved with the activity; and
  6. Providing web access for clearly described procedures and forms.

#### **IV. PROPOSAL SUBMISSION REQUIREMENTS**

- A. Proposals for sponsored programs shall not be submitted to a potential sponsor on behalf of the University without prior written approval of the President or DDRGS and of the University's Chief Financial Officer or designee. Proposals shall not be submitted to a potential sponsor on behalf of an auxiliary organization without the prior written approval of the DDRGS and the auxiliary organization's Chief Financial Officer or designee. Signatures by these officials will be the final signatures on proposals after the Principal Investigator (PI) obtains other approvals as set forth below and by means of a completed Project Information Form (PIF) provided by the Division of Research and Graduate Studies (DRGS).

Review and approval by the President or DDRGS will include but is not necessarily limited to proposal quality, academic and personnel policies, procedures, mission of the university, facilities, equipment, cost sharing or allocation of funds normally budgeted for the academic programs of the university.

Review and approval by the university's Chief Financial Officer or designee and/or appropriate representative of the foundation will be consistent with their administrative responsibilities in effecting the fiscal policies of the university and/or its foundation and will be consistent with CSU ICSUAM 11002.01.

Review and approval by the appropriate chair, unit director, and dean will certify that the proposed project falls under the mission of the department and college and that all aspects of the proposal, including, but not limited to, the institutional budget, commitments to cost share,

personnel assignments, and other budget, personnel meet departmental and college policies, and the proposed project is eligible to be approved in the event a proposal is funded.

Approvals by the officials cited above shall apply to all aspects of a proposal, including: academic and programmatic; fiscal; health and safety; human subjects research; animal subjects research; space; major technical resources and equipment; and risk management.

- B. All proposals and applications for grants or contracts shall specify the recipient of the grant or contract as the University or Foundation and not an individual, department, or other constituent unit.

## **V. ACCEPTANCE OF AWARDS**

- A. Prior to acceptance of an award, the DDRGS shall assign the Recipient to serve as the Sponsored Program Administrator (SPA). The SPA is legally responsible and accountable to the sponsor for the use of the funds provided and the performance of the sponsored program.
- B. All grant and contract financial negotiations must have final approval of the President or designee (DDRGS) and the Recipient's Chief Financial Officer. Acceptance can only be done by these authorized individuals and not by the PI.
- C. The DRGS, in collaboration with the PI, shall be responsible for negotiating any terms and conditions that differ substantially from those initially proposed. Emphasis shall be given to recover all costs, both direct and indirect, for each grant and contract.
- D. All offers of award, and subsequent to final financial negotiations and approval, are to be accepted in the name of the University only by the President or designee, or the DDRGS and the appropriate recipient representative where the recipient is not the University.
- E. Upon acceptance of an award, the recipient shall contact individuals and organizational units affected by the award.

## **VI. PRINCIPAL INVESTIGATOR**

### **A. QUALIFICATIONS**

In most cases individuals who serve as PIs shall be full-time faculty, MPP (management personnel plan) or staff employees at the University who are responsible for a funded project. Faculty participants in the Faculty Early Retirement Program (FERP) may apply for or serve as sole principal investigators on grants only where the grant can be accomplished during the period of active employment under FERP. Other individuals shall seek authorization from the DDRGS. Such individuals shall not receive an appointment to a faculty classification.

### **B. RESPONSIBILITIES**

The responsibility for the successful completion of the grant belongs to the PI. In general, these responsibilities, beyond those that may be imposed by the sponsor, include but are not limited to:

1. Meeting project goals and objectives according to the approved timeline;
2. Complying with federal, state and university/recipient laws and policies;
3. Preparing and submitting all narrative reports when due, including completion of all final reports within sixty (60) calendar days after the completion of the project period or within the time period specified by the sponsor;
4. Submission and approval of all necessary documentation to the sponsor in order for the SPA to receive final payment of the contract;

5. Maintaining an effective working relationship with the manager assigned to manage the grant funds;
6. Adhering to the responsibilities described in the section entitled "Fiscal Administration," below.

#### C. REASSIGNMENT

In the event that the PI is incapacitated, resigns, fails or refuses to perform the normal and reasonable duties of the position or engages in unprofessional conduct, the Provost, after consultation with appropriate officials, may relieve the individual of the grant or contract, terminate the agreement, assign it to another individual, or take other appropriate action.

#### D. DISTRIBUTION OF RESPONSIBILITIES AMONG PRINCIPAL INVESTIGATORS FOR MULTI-INSTITUTIONAL SPONSORED PROGRAMS

Some grant and contract activities require the participation of more than one institution. In such cases, the responsibilities of all participating institutions and principle investigators shall be defined in written agreements signed by the institutions' respective authorized agents. Representative examples of acceptable agreement instruments include subcontracts, memorandums of understanding and joint powers agreements approved, as appropriate, by Auxiliary Staff Counsel, and in compliance with the Auxiliary's policy on sub-recipient monitoring. All such agreements shall stipulate that all parties adhere to appropriate institutional policies governing grant and contract administration.

### VII. EMPLOYMENT REGULATIONS

#### A. EMPLOYMENT

1. University employees engaged in sponsored programs are considered employees of the SPA with regard to work performed in furtherance of each sponsored program.
2. The SPA shall be responsible for the assignment, evaluation, and termination of sponsored program employees and for other employer obligations associated with the performance and payment under the sponsored program, all in accordance with campus policy for the administration of contracts and grants. This applies regardless of whether the employee is being paid directly by the university or auxiliary or whether the university is being reimbursed by the auxiliary for agreeing to reassign an employee from selected university duties in order to work on the contract or grant.
3. All employees working on grants and contracts are subject to all university policies.
4. PIs, consultants, or project staff members shall not be hired on any project until the terms and conditions of employment, particularly salary, have been computed, agreed to, and confirmed in writing between individuals and the University administration and the SPA.
5. All recruitment and appointment activities shall adhere to CSU and campus policies and procedures or auxiliary policies and procedures, as applicable.
6. Salaries and fringe benefits shall comply either with the appropriate CSU unit bargaining agreement or, in the case of administrators or students, shall meet CSU policies and conform to the sponsor's guidelines or auxiliary policies and procedures, as applicable.

## B. ADDITIONAL EMPLOYMENT

### 1. GENERAL

- a. The salary rate for additional employment may be the same as the rate for the primary appointment; however, a different salary rate is permitted if appropriate for the work performed and if allowed by the funding source (e.g., private corporation or foundation contract).
- b. In the case of a federal grant or contract, the rate of pay for the additional employment must be the same as the CSU base rate of pay for the primary assignment.
- c. Additional employment appointments in excess of full time do not increase retirement credits or benefits payments.

### 2. FACULTY

- a. Article 36 of the Unit 3 Collective Bargaining Agreement limits CSU employment (i.e. employment compensated through the CSU payroll) to the equivalent of one full-time position in a primary or normal work assignment and for additional employment of up to twenty-five percent (25%) of a full-time position if the additional employment:
  - i. Consists of employment of a substantially different nature from the primary or normal work assignment; or
  - ii. Is funded from non-general fund sources; or
  - iii. Is the result of part-time employment on more than one campus.
- b. Consistent with CSU policy federal state and other applicable regulations, a faculty member paid 100% from federal grant funds may not work more than 100% time.
- c. In the case of a federal grant or contract, the rate of pay for the additional employment must be the same as the CSU base rate of pay for the primary assignment.
- d. When applying the limitations of the additional employment policy, the applicable time period for an employee in a twelve month assignment is a calendar year.
- e. When applying the limitations of the additional employment policy, the applicable period for ten-month and academic year employees is the campus' academic year.
- f. Additional employment and overload limits are calculated and applied independently during vacation, holiday periods or other academic breaks.
- g. Work on a grant or contract shall not interfere with satisfactory performance of all other responsibilities as a faculty member, especially classroom instruction.

### 3. OTHER EXEMPT EMPLOYEES

Represented or non-represented employees, including those in the Management Personnel Plan, who are in positions exempt from the overtime provisions of the Fair Labor Standards Act (FLSA), do not receive additional compensation for work considered part of their primary work assignments. However, an exempt employee may be assigned additional employment equivalent to twenty-five percent (25%) above a 1.0 full-time time-base if the additional assignment is unrelated to the primary work assignment.

#### 4. NON-EXEMPT EMPLOYEES

- a. Non-exempt employees are employees who are subject to the regulations of the FLSA, which requires payment of overtime at time and one-half the regular pay rate for hours worked over forty (40) in a workweek.
- b. If an employee holds a non-exempt position and an exempt position, the employee must be considered non-exempt for pay purposes.
- c. It is anticipated that additional employment for employees in non-exempt positions will be infrequent.
- d. In the event the President or designee is considering the approval of an additional employment opportunity for a non-exempt employee, the following options are available:
  - i. Exclude the non-exempt employee from the additional employment appointment; or
  - ii. Reduce the time-base of the primary position so the primary and additional appointments in total do not exceed a 100% time-base; or
  - iii. Pay the employee appropriate over-time in accordance with FLSA and the respective collective bargaining agreement or employment policy.
5. The University shall monitor additional employment in cooperation with the Office of State Controller in order to assure compliance with the limits established by the CSU Additional Employment Policy.

#### C. CONFLICT OF INTEREST

Refer to the Policy on Conflict of Interest in Grants and Contracts for Principal Investigators.

#### D. NEPOTISM

Refer to Policy on Nepotism.

#### E. MISCONDUCT

1. All employees involved in grant and contract work are subject to the campus Policy on Scientific Misconduct.
2. All employees shall be subject to appropriate sanctions for unprofessional behavior, failure or refusal to perform duties adequately, or other misconduct pursuant to the appropriate Collective Bargaining Agreement and/or university policies.

#### F. FISCAL ADMINISTRATION

1. It is the responsibility of the PI to adhere to the fiscal terms and conditions of the contract or grant and to comply with university and auxiliary policies and procedures.
2. The PI shall be responsible for executing the project in conformance with the approved budget.
3. The PI is responsible for ensuring that all expenditures are made in compliance with the approved budget, the contract or grant and policies of the SPA.

4. Each accepted grant/contract must have an approved project budget that includes direct and indirect costs as well as cost-sharing costs, if applicable. Changes in budget must go through SPA approval processes and, when required, Sponsor approval if any of the following changes are made to the budget during the approval process and/or during the funded project period:
  - a. Reduction/addition of funds by sponsor;
  - b. Change in scope of work;
  - c. Change in proposed released time/overload pay for faculty/staff;
  - d. Change in remuneration of personnel;
  - e. Request for new equipment purchase.
5. All Sponsor-required cost sharing must be accounted for and documented in the same detailed manner as Sponsor-funded costs.
6. Travel and reimbursement for travel that is authorized and funded by a sponsored project shall follow SPA travel policies and procedures.
7. Disbursements shall not be processed on any account unless both parties have executed a contract or unless all approvals have been obtained and the grant has been accepted.
8. In cases when the Sponsor allows the SPA to incur pre-award costs, the SPA may allow pre-award spending in accordance with the Sponsor and SPA guidelines.
9. All appropriate indirect and direct costs shall be recovered for sponsored programs in accordance with CSU and university policies and/or sponsor requirements.
10. In some cases, the SPA may share or match costs associated with a sponsored program instead of recovering full or partial indirect and direct costs. When there is cost sharing or matching in connection with a sponsored program, the SPA, in conjunction with the PI, shall document actual costs shared or matching contributions in a manner consistent with the campus cost allocation plans, sponsor requirements, and in the case of federal grants or contracts requirements as stated in Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance)..
11. The appropriate CFO or designee of the SPA must authorize disbursement of payments involving personal expenditures by the PI.
12. The appropriate CFO of the SPA must certify that funding is available prior to issuance of any personnel action forms.

## **VIII. RECORDS RETENTION AND STORAGE**

- A. All necessary records and reports pertaining to a grant or contract shall be maintained by the SPA while the project is ongoing. Such records include, but are not limited to, the original proposal and proposed budget, the original PIF, grant award letters, signed contracts, memoranda of understanding, correspondence with funding agency, budget revisions and approvals, accounting information, personnel information, narrative and financial reports, and related documents. The PI may keep duplicate copies and other materials in separate files as required to fulfill the PI's grant obligations in carrying out the sponsored program activities.

- B. A copy of all formal reports to the sponsoring agency by the PI shall be forwarded to the SPA at the time of submission to become a permanent record. Such reports shall be submitted in accordance with the Sponsor's specifications and the policies and procedures of the SPA.
- C. On the completion of the project, all records and reports not already on file in the office of the SPA, including records of correspondence related to the grant or contract, shall be boxed by the PI and turned over to the SPA for storage.
- D. The SPA shall store the records for a time period in accordance with the Sponsor's record retention requirements, if any, but for no less than five (5) years.
- E. Normally, at the end of the time period for storing records, the SPA shall destroy the records.

**Recommended by the  
Academic Senate**

October 8, 2008  
September 11, 2017

**Approved by the President**

October 20, 2008  
October 4, 2017



## POLICY ON COST SHARE/MATCH

In accordance with the Policy on the Administration of Grant and Contract Activity (APM 501), this document outlines the cost share/match policy for the following recipients: the California State University, Fresno (University), the California State University, Fresno Foundation (Foundation), and other authorized auxiliaries. For the purposes of this policy, the administration of the sponsored project will be referred to as the responsibility of the “recipient” of the sponsored program award. This policy provides guidelines and user definitions, identifies allowable and unallowable cost share expenses, and outlines general responsibilities for the administration of cost share.

### I. POLICY STATEMENT

The University has set this policy to ensure compliance with the general rules and regulations governing cost share/match, as required by the federal government as established in Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) Subpart D 200.306 with regard to cost share/match, as applicable.. At times cost share is also referred to as “match”. For the purposes of this policy, “cost share” and “match” shall follow the same guidelines.

### GENERAL ALLOWABILITY

Allowability of cost share expenditures is usually determined by the specific award terms and conditions. When a project is funded by a federal grant, the recipient must adhere to the criteria as required by Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) Subpart D 200.306 with regard to cost share/match, as applicable.. According to this section, mandatory cost share must be:

- verifiable;
- related to program objectives;
- allowable under the applicable cost share principles;
- not from another federal award unless the terms of that award specifically permit the funds to be used as cost share;
- shown in the approved budget.

In addition, the following criteria apply to allowable cost share:

- The cost share principles applicable to the recipient are those in accordance with the requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) Subpart D 200.306 with regard to cost share/match, as applicable.;
- Funds from any source which have already been committed as cost share to another project cannot be committed again;
- Income earned under the grant may not count as cost share unless expressly authorized by the granting agency;
- Cost share shall be incurred only during the same time period as the award.

### II. DEFINITIONS

A. **Direct costs** are those costs that can be attributed to a specific sponsored project. Such costs can be contributed and accounted for as cost share.

B. **Facilities and administration (F&A)/indirect costs** are those costs that cannot be attributed directly to a particular sponsored project but, rather, are more associated with general costs that may be pooled into costs generally supporting sponsored projects. Such costs may be contributed and accounted for as cost share when the direct costs associated with the project are those of the recipient of the prime award. Third party indirect is generally not acceptable as cost share.

C. **Match** results from a requirement that the applicant provide funds from other sources in support of the proposed project. Matching is typically done on a dollar-for-dollar basis or as a percentage of total project cost shares. Federal match funds typically cannot be released before third-party contributions are obtained which meet government-specified eligibility criteria. Frequently, match contributions are required on major equipment acquisition awards and construction or renovation initiatives.

D. **Cost share** can be described as the resources contributed or allocated to a sponsored project over and above the support provided by the funding agency of that project. Cost share represents the portion of total project costs not borne by the funding agency. It is the policy of the recipient that the sponsor will pay all expenses, both direct and indirect, for work conducted under the sponsored project. However, the recipient, under certain circumstances, may share the costs of such projects if it is perceived that by doing so it is judged to be of significant technical merit or relevance to the university or in cases where the funding agency requires cost share as a condition of funding. Cost share may also come from a third party other than the funding agency or recipient.

1. **Mandatory cost share** refers to that portion of the sponsored project costs which is required by the funding agency and generally listed in the terms of the project's Request for Proposal or Application (RFP/RFA). By accepting an award with mandatory cost share, the recipient incurs an obligation to document all mandatory cost share contributions to the sponsored project. Mandatory cost share must be approved by the individual(s) (Dean and/or other university/auxiliary officials) who have authority and oversight for the stated source of the cost share.

2. **Voluntary cost share** refers to the portion of the project costs that the recipient provides on its own initiative when the funding agency does not require cost share or the amount of cost share provided is more than the funding agency's mandatory requirement. Voluntary cost share is quantified and included in the proposal budget and award. The extent of voluntary cost share should be reasonable and prudent, considering the Principal Investigator's other commitments of time and recovery of costs. As with mandatory cost share, voluntary cost share must be approved by individuals (Dean and/or university/auxiliary officials) who have authority and oversight for the stated source of the cost share. Voluntary cost share is discouraged for several reasons:

- If the recipient's resources are committed to a project unnecessarily, then these resources are not available for projects when cost share is required;
- Cost share can have the effect of eroding the F&A rate;
- All cost share, whether mandatory or voluntary, must be tracked and accounted for in the recipient's accounting records which can leave the recipient open for audit concerns if not addressed properly;
- It is time-consuming and expensive to commit the recipient's resources to document cost share requirements;
- Certain faculty members who have many awards could become over committed, resulting in an inability to substantiate the promised levels of effort.

3. **Committed cost share** includes mandatory and voluntary cost share identified in the project proposal. It represents a commitment by the recipient that must be fulfilled if the proposal is accepted. It also incurs an obligation to document the cost share provided to the sponsored project. Should the awarded amount be reduced from the proposed amount, the committed cost share may need to be adjusted accordingly, particularly if the awarded budget reduction requires a change in the Scope of Work. Any reduction in cost share should be correctly stated in the award document.
4. **Voluntary uncommitted cost share** refers to any effort of either the recipient's faculty or staff or third party individuals beyond that which is committed and budgeted for in a sponsored agreement. Such voluntary uncommitted cost share is not quantified in either the proposal budget or the narrative. Unlike committed cost share, voluntary uncommitted cost share does not require documentation or reporting, and will not be included in computing the F&A rate.
5. **Cash match contributions** represent the recipient's cash outlay, including funds contributed to the recipient by third party contributors.
6. **In-kind contributions** represent the value of non-cash contributions, including services and property, provided by the recipient and/or third party contributors and when contributions directly benefit the project. In general, cost sharing federal funds to another federal award is not allowable unless authorized by federal legislation.

### III. EXAMPLES OF COST SHARE

The acceptance of cost share on a particular project is in most cases determined by the specific award terms and conditions and in accordance with the requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance) Subpart D 200.306 with regard to cost share/match, as applicable..

Allowable cost share follows the same general guidelines as the expenditure of funds. Cost share expenditures must be incurred during the same time period as the award. Examples of cost share include *but are not limited to* the following:

#### A. ALLOWABLE COST SHARE:

1. Salaries of faculty and staff paid by the University/auxiliary that meet all the following criteria:
  - A percentage of their compensated time/effort was devoted to a sponsored project without receiving reimbursement from the funding agency;
  - Faculty is granted released time by their Department/College.
  - The work performed must be directly related to meeting the objectives of the project;
  - The assignment must tie to the university records and other supporting documentation for verification;
- The total effort for an individual cannot exceed 100%;
2. Fringe benefit costs associated with the contributed effort listed above;
3. Academic year faculty and staff uncompensated voluntary time/effort during non-academic time periods (summer, winter breaks);

4. Travel, equipment, and non-administrative identifiable supplies and direct costs paid from sources other than from the funding agency and directly attributable to support the project;
5. Project costs financed by cash contributions from the recipient or third parties;
6. Project costs represented by in-kind services, and property valued at no more than market value at the time of donation by third parties;
7. Certified use allowance costs from third party owned space;
8. Third party volunteer services;
9. Space not included in the F&A rate that is usually rented space;
10. F&A costs foregone, where the recipient requests less than the federally approved negotiated rate, and where the funding agency does not prohibit the use of F&A foregone as cost share.

## **B. UNALLOWABLE COST SHARE**

1. Costs used as cost share on another project;
2. Any cost not relevant or necessary to the project;
3. Faculty or staff employees' salary tied to the academic year, uncompensated voluntary time during the academic year;
4. University/auxiliary employees' (faculty, staff, students) uncompensated voluntary time/effort not directly related to the grant;
5. Salaries of Deans, Associate Deans, Department Chairs, or Directors not directly working on grant programmatic activity unless, in unusual circumstances, where the direct programmatic activity can be tied back to their University workload assignment;
6. Salaries of College Administrative Assistants and Department Secretaries are not allowable as their assignments do not include direct grant and contract activities and cannot tie back to the University workload. The positions are considered a part of the Indirect Cost Pool, thus are not appropriate for cost share;
7. Student time if they receive compensation from the project or receive federal workstudy on a federally funded project;
8. University departmental administrative costs such as supplies included in the determination of the F&A rate;
9. Use charges for university/auxiliary land or building space;
10. Use charges for university/auxiliary equipment, computers, or networks;
11. Third party donated equipment valued at more than the depreciated value;
12. Third party rental value of equipment at more than fair market value;
13. Value of third party volunteered time that is not supported by certification of effort;
14. Third party space already devoted to another work activity that would not normally be charged a use allowance fee;
15. Foregone F&A costs not authorized by the funding agency.

#### **IV. RESPONSIBILITIES**

##### **A. PRINCIPAL INVESTIGATORS/PROJECT DIRECTORS**

The Principal Investigator (PI) may rely on administrative staff for assistance in carrying out responsibilities under a Sponsored Project; however, it is expected that it is the responsibility of the PI to:

1. Be knowledgeable about appropriate funding agency, CSU, University, auxiliary guidelines, policy, and restrictions relative to cost share commitments;
2. Identify and secure all necessary cost share and match fund commitments from their departments, colleges, Provost or other university/auxiliary officials (as appropriate), and third parties in accordance with federal statutory requirements and specific agency program requirements;
3. Comply with the specific terms and conditions of each award relating to cost share as stated in the Contract, Grant, Cooperative Agreement or Sub-award documents and with all administrative requirements, as set forth by the federal government, funding agency, and institution policy statements, as applicable;
4. Ensure that cost share activities are within the same contract period as the award;
5. Certify that all cost share to a sponsored project is accurate and specifically benefits the project;
6. Coordinate with the Dean, Department Chair, Center Director, Department Director or other university official (as appropriate) the tracking of cost share effort to ensure that resources are not committed for more than 100% of their time/value;
7. Provide supporting documentation for cost share by the set scheduled time as set forth by the fiscal agent in order to meet the cost share reporting requirements as stated in the Contract, Grant, Cooperative Agreement or Sub-award documents;
8. Obtain prior approval from the funding agency for changes to cost share commitments, including changes in cost share effort that reduces the scope of work.

##### **B. DEANS AND DEPARTMENT CHAIR/CENTER AND INSTITUTE DIRECTORS/DEPARTMENT DIRECTOR**

Deans, Department Chairs, Center and Institute Directors, and Department Directors are responsible for reviewing proposals developed by faculty, in particular to:

1. Approve and ensure that all cost share commitments set forth in the proposal are reasonable, allowable, and can be met;
2. Approve and ensure appropriate university and/or auxiliary account numbers and cost share expenses are accurate and not duplicated to another sponsored program;
3. Document and reconcile that cost share commitments of faculty and staff effort under their college/department do not exceed more than 100% of their time/value as per CSUICSUAM 11002.01;
4. Report any decisions to change cost share effort commitments of faculty and staff to the PI and to the fiscal agent;
5. Monitor the cost share commitments with the PI to assure that the total amount of funds is reported properly and according to the terms of the award;
6. Coordinate with the PI in obtaining cost share documentation from third parties;
7. Provide PI with a summary of expenditures and supporting documentation with a description of cost share activities in order to enable the PI to report cost share to the fiscal agent as outlined by the fiscal agent's guidelines.

### **C. UNIVERSITY/FOUNDATION/AUXILIARY SPONSORED PROGRAMS RECIPIENT**

The recipient's fiscal agent is responsible for financial management of extramurally supported Contracts, Grants, Cooperative Agreements and Sub-awards. It is the responsibility of the recipient to:

1. Review and interpret award terms and conditions and inform PIs, project staff and appropriate campus personnel of the cost share requirements and obligations imposed by the sponsor's award;
2. Establish procedures for obtaining and documenting cost share;
3. Review program-specific guidelines and agency requirements and inform the PI, Dean/Director and DRGS and other appropriate university officials of any discrepancies or conflicts;
4. Forward cost share obligations outlined in a cost share cover memo to the PI and to the designated university administrator (Dean/Chair/Center Director, Department Director);
5. Review budgets/proposals to identify all commitments for cost share and verify that documentation of the commitments are present and adequate;
6. Verify that all required approvals and clearances for all cost share commitments are adequate;
7. Obtain appropriate and compliant cost share effort certification forms, reviewing signed and completed forms and/or providing assistance to campus departments in completing forms;
8. Monitor the cost share reported during the grant period and work with the PI in meeting cost share requirements;
9. Complete any cost share reporting required by the funding agency;
10. Maintain cost share records and documents along with project records and retain cost share documentation for record retention period required by the funding.

### **D. Division of Research and Graduate Studies**

Review program specific guidelines and agency requirements to determine the necessity for cost share;

1. Assist PIs, Chairs, Deans, and other university officials in identifying cost share resources and coordinating cost share commitments for institutional proposals;
2. Review budgets/proposals with the staff of the fiscal agent to identify all commitments for cost share, and verify that documentation of the commitments are present and adequate;
3. Assist PIs with development and approval of cost share budget revisions.

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#### **Recommended by the Academic Senate**

April 1, 2008  
February 6, 2018

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#### **Approved by the President**

February 2007 as Interim Policy  
May 6, 2008  
March 19, 2018

## **POLICY ON INDIRECT COST RECOVERIES AND ALLOCATIONS**

### **INTRODUCTION**

The federal and state government and private entities sponsor university research and other activities, as defined and described in the Policy on the Administration of Sponsored Programs (APM 501), by awarding grants and contracts to the university or auxiliary. Grant and contract awards typically provide support for both the direct and indirect costs of conducting these activities.

### **I. DIRECT COSTS**

Direct costs, as defined by the federal government, are those costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Typical direct costs are the compensation of employees for work performed under the sponsored agreement, and the costs of materials consumed or expended in the performance of the work. In some cases, equipment for conducting the research under sponsored agreement is included in direct costs.

### **II. INDIRECT COSTS**

Indirect costs, which are also referred to as F&A (facilities and administration) costs, are those costs that are incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored project but contribute to the ability of the university to support research projects and programs. Such costs are normally classified under the following indirect cost categories: sponsored projects, administration expenses, operation and maintenance expenses, library expenses, department administration expenses, and student administration and services. Indirect costs derive from providing space and administering the activities, not from the actual performance of activities under the sponsored agreement.

Indirect cost recovery (ICR) is defined as the revenue received from a sponsoring agency, under the sponsored agreement, to pay a grant or contract's share to reimburse the university for the indirect costs it incurs. Indirect cost recoveries from awards sponsored by the federal government are governed by Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) which establishes a formula by which an ICR rate is calculated and determines which costs are allowable.

In order to establish the ICR rate with the federal government, negotiations are held based on an indirect cost study prepared by the campus that allocates allowable indirect costs to the various cost centers of the campus. Each campus negotiates its rate individually. The federal agency with which the university negotiates ICR rates is the Department of Health and Human Services (HHS). The rate negotiated with HHS is applicable to all federal awards, unless a separate agreement is made for a particular award, or as otherwise specified by law. Rates are negotiated with HHS periodically. There are separate rates for on-campus and off-campus programs.

There are occasions when the university recovers less than its full indirect costs on individual grants or contracts. In these instances only the President, Provost and Vice President for Academic Affairs or designee (Dean of the Division of Research and Graduate Studies), or the Vice President for Administration/Chief Financial Officer have the authority to negotiate and approve rates on individual grants and contracts that are less than the rates negotiated with HHS. The principal investigator or project director does not have such authority. In some cases, the university has established a *de facto* rate based

on historical precedent. For example, the university normally receives fifteen percent (15%) of total direct costs as indirect cost recovery on state and county grants or contracts. Sometimes, as part of individual grant or contract agreements, indirect costs may be recovered as part of direct costs; for example, a sponsor may be charged rent for the use of space rather than the indirect cost charge of building use. Sometimes the university negotiates an agreement in which full indirect costs are not recovered. This may be due to a decision that the sponsored activity is particularly beneficial to the university and community, or it may be due to a sponsor's published restrictions on paying indirect costs.

When contracts and grants are accepted without providing the normal rate of ICR, two things happen. First, the costs that are incurred indirectly in the performance of work are not recovered; and second, those unrecovered indirect costs cannot be included in the next calculation of the federally approved rate, which can lead to lower indirect cost recovery in future awards.

Within the university, indirect cost recoveries should be used in support of the grants and research mission. To serve as an incentive to stimulate sponsored research, a portion of these funds is often allocated back to the colleges/schools or departments to provide the infrastructure for additional contract and grant activity as an investment in the continued ability of the departments to generate sponsored activities. It is important that colleges/schools and departments use these funds to enhance the research environment in accordance with a research infrastructure plan. The use of indirect cost recovery funds for non-recoverable expenses, such as instructional expenses, will result in a lower indirect cost rate in future years by reducing the size of the indirect cost pool, and therefore the indirect cost rate from which it is calculated.

### **III. COST SHARING OF INDIRECT COST RECOVERIES**

Research awards do not usually cover their full costs. Cost sharing using indirect costs can occur explicitly, implicitly, or both. Some ways that indirect costs of research are shared include:

1. Less than full recovery of indirect costs due to federal rules or regulations, such as use allowances that under recognize depreciation cost of equipment, or animal care standards that make full recovery of animal care costs too costly to charge;
2. Less than full recovery of indirect costs due to the negotiated rates; and
3. Less than full recovery of indirect costs due to waiving all or a portion of the indirect cost rate on specific projects with special circumstances.

### **IV. POLICY**

- A. All grants, contracts and research projects, whether administered through the university or an auxiliary, should initially seek to obtain the maximum allowable indirect cost recoveries on all sponsored awards based upon the appropriately developed, fully charged indirect cost recovery rate as determined by federal rules and regulations in accordance with Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). The policy applies to all grants, contracts and research, whether administered through the university or an auxiliary. A potential grantor or contracting party shall not be advised that indirect cost recoveries can be avoided or reduced by processing the transaction through an auxiliary or by treating a grant or contract as a gift.



- B. The Vice President for Administration/Chief Financial Officer or designee shall conduct negotiations with the appropriate federal government representative to establish the campus indirect cost recovery rate.
- C. The appropriate approved ICR rate shall be sought on all sponsored awards whether they are from public or private sources, and whether they are made through the regular university procedure or through an auxiliary.
- D. The President, Provost and Vice President for Academic Affairs (Provost) or designee, the Dean of the Division of Research and Graduate Studies, and the Vice President for Administration/Chief Financial Officer shall have the authority to negotiate reduced indirect cost recovery and/or substitution of direct cost recoveries for indirect cost recoveries where appropriate from sponsors or contracting parties.
- E. Prior approval by the President, Provost and Vice President for Academic Affairs (Provost) or designee, the Dean of the Division of Research and Graduate Studies, or the University's Chief Financial Officer is required prior to negotiating a reduced indirect cost rate less than the rate negotiated with the federal government.
- F. The Sponsored Program Administrator, after consultation with the Grants and Research Advisory Board and with the approval of the President or Provost, may assess a surcharge to the school or college supporting a grant or contract that has no ICR. This surcharge may not exceed one (1) percent of the grant or contract.

## **V. GRANTS AND RESEARCH ADVISORY BOARD**

- A. The Grants and Research Advisory Board (see APM 501) shall
  - 1. Recommend to the Provost a plan for allocating indirect cost recoveries (ICR) that provides incentives to colleges/schools, departments, and centers to seek full ICR rate on awards, or that include adjustments such as having inappropriate waivers or reductions in the ICR rate result in final dollar reduction of any indirect cost recovery sharing provided to the school, center, or department. The recommendation shall be based on the needs of the university and the following assumptions:
    - a. ICR is reimbursement for past expenditures and should not be used simply for incentive for new development of future awards;
    - b. Investment in the development and maintenance of an infrastructure of research, including adequate administrative support staff, is the primary purpose of indirect cost recoveries;
    - c. ICR may allow the sharing of a portion of ICR to be provided to the college/school, department, or center or division that attracted the sponsored award;
    - d. Funds should be viewed as a means of supporting the infrastructure necessary to support the research mission and to attract future awards;
    - e. Funds shall not be directly allocated below the department level and shall not be provided, by policy, to a specific individual for discretionary use;

- f. ICR funds shall be budgeted as part of the regular budgeting process of the campus and recognized as part of a college/school, department, or center expense allocation;
  - g. Colleges / schools, departments, centers, and other units that have waived all or part of indirect cost recoveries may have a commensurate amount of funds deducted from the ICR they may have received had they not waived indirect costs;
  - h. ICR funds are not restricted funds and therefore are allocated at the discretion of the university;
  - i. Recognizing this, unallocated ICR funds may be used to build revenue reserves for additional research space, equipment, personnel, and other infrastructure;
  - j. All funds must be budgeted, allocated, and expended in conformance with state and federal law, and CSU and university policies.
2. Recommend approaches that assure, through the assistance of the Division of Research and Graduate Studies, that policies and procedures regarding ICR shall be applied as consistently as possible across all colleges/schools, departments and centers with allowances for formal Sponsor's policies regarding the payment of indirect costs;
  3. Perform a regular review of ICR waivers, including the number and types of ICR waivers being made;
  4. Perform a regular review of existing policies and procedures and recommend new or revised policies and procedures as necessary.

**Approved by the  
Academic Senate**

September 24, 2008

September 11, 2017

**Approved by the President**

October 2, 2008

October 4, 2017

## POLICY ON EFFORT REPORTING FOR RESEARCH AND SPONSORED PROGRAMS

### INTRODUCTION

In accordance with the requirements set forth by the CSU policy ICSUAM 11002.01 and also by the requirements set forth in Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) as a recipient of federally funded sponsored projects, this document outlines the effort reporting policy for the following recipients: the California State University Fresno (University), the California State University, Fresno Foundation (Foundation), and other authorized auxiliaries. For the purpose of this policy, the administration of the sponsored project will be referred to as the responsibility of the “recipient” of the sponsored program award. An effort report is an employee certification report required of all universities that administer federally sponsored projects. The purpose of the effort report is to document comprehensive time and effort information on faculty and staff who work on federally-sponsored programs as well as non-federally sponsored programs. Federal regulations require the recipient to have available for audit an appropriately signed and certified report for all faculty and staff paid and/or cost sharing on a sponsored program.

### I. POLICY STATEMENT

The University has set this policy to insure compliance with the general rules and regulations governing effort reporting, especially those required by the CSU ICSUAM 11002.01 and the federal government as established in Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administration Requirement, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance).

### II. DEFINITIONS

- A. **Effort** is the proportion of time spent on total professional activities such as research, teaching, administration and service for which an individual is employed by the recipient.
- B. **Effort Reporting** is a method of documenting the proportion of the individual’s work time devoted to professional activities as a percentage of total professional activity. (It is important to note that effort is not calculated on a 40-hour workweek. If an individual works 80 hours in a week, 40 hours represents 50% effort.)

Effort reporting and payroll distributions are not the same thing. Effort reporting describes the allocation of an individual’s activity, while payroll distributions describe the allocation of an individual’s salary.

- C. **100% Effort** is the total amount of effort expended to accomplish all professional activities of faculty and staff regardless of the actual number of hours expended on those activities. This includes all effort expended on recipient compensated sponsored research, administration, teaching and other activity. Cost sharing activity is also included in the 100% effort. The effort must always equal 100%. The number of hours implicit in an individual’s 100% effort must be reasonable and supportable to the department, school/college, university/auxiliaries and external reviewers, if requested.

Example 1: converting part-time faculty at 60% into 100% effort:

$$.40/.60 \text{ instruction} + .20/.60 \text{ sum of sponsored research paid and cost shared} = .60/.60 = 100\% \text{ effort}$$

Example 2: converting faculty approved for overload, and if allowable by funding agency, at 125% into 100% effort:

$$.80/1.25 \text{ instruction} + .20/1.25 \text{ sum of sponsored research paid and cost shared} + .25/1.25 \text{ special assignment} = 1.25/1.25 = 100\% \text{ effort}$$

- D. **Proposed Effort** is the amount of effort (in %) proposed in any sponsored project application, regardless of whether salary support is requested.
- E. **Committed Effort** is the amount of effort (in %) promised by the institution in the proposal or the effort (in %) included in the award documentation.
  - If the receipt of an award increases a recipient employee's committed effort to greater than 100%, the employee must reduce effort on other activities, or decline the award.
  - The principal investigator must communicate with the funding agencies any revisions to the level of effort.
- F. **Sponsored Effort** is effort for work conducted on recipient sponsored projects, regardless of whether or not the sponsored project is paying for the work. Sponsored effort may include cost share.
- G. **University Effort** is effort for work conducted on behalf of the institution that does not involve an external sponsor.

### III. CERTIFICATION

All recipient faculty or staff who have been paid and/or cost shared their time on a sponsored program are responsible for certifying their own effort. Faculty and staff are also responsible for monitoring their effort commitments. Faculty and staff are required to certify that the distribution of effort indicated is a reasonable estimate of all work performed during the period covered by the report. The certification requires the signature of the employee or of a person having direct knowledge of the work (i.e. Project Director). The certification must take place no less frequently than every six (6) months. However, the recipient can employ systems that certify effort on a more frequent basis. Completed effort reporting forms are to be submitted to the recipient of the sponsored program. In addition, all recipient faculty and staff are required to provide a copy of their certified effort reports to the appropriate administrator (i.e. Dean, Director) of their affiliated college/school.

#### **Recommended by the Academic Senate**

March 24, 2008  
February 6, 2018

#### **Approved by the President**

February 28, 2007 as Interim Policy  
May 6, 2008  
March 19, 2018

## INTERIM POLICY ON CONFLICT OF INTEREST IN GRANTS AND CONTRACTS FOR PRINCIPAL INVESTIGATORS

### **Introduction**

This policy sets institutional Conflict of Interest standards and practices applicable to Investigators on grants and contracts. This policy is intended to strengthen, and where appropriate, be consistent with the CSU Conflict of Interest Code, California Government Code 87302, and federal requirements of 2 CFR 200, and individual federal agency requirements regarding subrecipient financial Conflicts of Interest.

### **Definitions**

**Investigator** means the Principal Investigator, Co-Investigators, Project Directors, and any other person at the institution who is responsible for the design, conduct, or reporting of research activities funded or proposed for funding, including relevant federal sub-recipient funding. For reporting of Significant Financial Interest, “investigator” includes the investigator’s spouse and dependent children.

**Significant Financial Interest** means anything of monetary value, including, but not limited to:

- salary or other payments for services (e.g., consulting fees or honoraria)
- equity interests (e.g., stocks, stock options, or other ownership interests)
- intellectual property rights (e.g., patents, copyrights, and royalties from such rights)

**The term does NOT include:**

- salary, royalties, or other remuneration from the university;
- income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- income from service on advisory committees or review panels for public or nonprofit entities;
- an equity interest that, when aggregated for the Investigator and the Investigator’s spouse and dependent children meets both of the following tests:
  - (1) does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and
  - (2) does not represent more than a 5% ownership interest in any single entity.
- salary, royalties or other payments that, when aggregated for the investigator and the investigator’s spouse and dependent children over the next twelve months, are not expected to exceed \$10,000.

**Recipient** means the legal entity awarded a contract or grant. At California State University, Fresno, the Recipient is either the University or one of its recognized auxiliary organizations and shall not be an individual, department, or other constituent unit.

### **General Filing**

When filing of the Conflict of Interest form is required, PIs must submit forms with the Project Information Form to the Division of Research and Graduate Studies **prior to submission** of the grant application.

PIs requesting funds from state, county, and city government are exempt from filing conflict of interest forms.

**California Form 700-U.** PIs requesting funding from non-governmental sources must file the one-page California form 700-U. California regulations require: (1) an annual update of form 700-U; (2) California State ethics training in the first year and every two years thereafter; and (3) a final form 700-U submitted within 90-days after the project ends. The following link gives a list of private non-profit agencies that have been determined to be **EXEMPT** by the California Fair Political Practices Commission:

<http://www.fppc.ca.gov>.

**Federal Form.** PIs applying to federal agencies requiring Financial Conflict of Interest disclosure (e.g., NIH, NSF) must complete the Federal Disclosure form available on the Division of Research and Graduate Studies website ([www.csufresno.edu/grants](http://www.csufresno.edu/grants)).

### **Responsibilities**

It is the responsibility of the **Principal Investigator** of a grant or contract to identify all investigators (as defined above) – that is, all persons with design, conduct or reporting responsibilities on the grant or contract – whether or not they are identified in the proposal, grant or contract, and ensure that they follow the provisions of this policy.

It is the responsibility of each **Investigator** (as defined above) to disclose any changes or newly identified financial conflicts that arise during the course of the funded project.

The **Division of Research and Graduate Studies** shall provide a copy of this policy statement to Investigators at the time of application for a project to be submitted to a non-governmental agency and/or a federal agency requiring such reporting.

The **Recipient** (Foundation or University) will include information about Conflict of Interest disclosure in the PI handbook.

The **Recipient** will notify PIs of annual deadlines for multi-year awards and annual/final reporting.

The **Recipient** will notify subrecipients of the Conflict of Interest requirements. Subrecipients of externally funded projects from nongovernmental and specified federal agencies will be asked to submit Conflict of Interest declarations or proof of an acceptable Conflict of Interest policy prior to receiving funding. The recipient will ask the subrecipient to complete disclosure forms prior to full execution of any subcontract.

The **Office of Human Resources** at the university will review and store the originals of all disclosure forms. Copies of such forms will be filed in the submission folder and grant folder if awarded.

### **Managing Conflicts of Significant Financial Interest**

Upon initial review of the disclosure form, the **Office of Human Resources** will determine if there is any potential conflict of interest covered by this policy, and if so, will submit it to the **Conflict of Interest Review Committee**.

The Committee shall be composed of: the Associate Provost, the AVP for Financial Services, and the AVP for Academic Personnel.

Each member of the Committee is to be familiar with the State and Federal regulations governing conflicts of interest.

The Committee shall review all statements regarding potential conflicts of interest submitted by the Office of Human Resources.

When the Committee believes a “significant” conflict of interest exists under either State or Federal regulations, it shall:

- (1) inform the employee and Office of Human Resources;
- (2) with the appropriate Dean, draft a Resolution Plan that details steps that will be taken to manage, reduce, or eliminate the conflict of interest prior to acceptance of funding; and
- (3) enter into an MOU between the university and investigator that details the conditions or restrictions imposed upon the investigator in the conduct of the project or in the relationship with the business entity.

Examples of conditions or restrictions that might be imposed to manage, reduce, or eliminate actual or potential conflicts of interest include, but are not limited to:

- public disclosure of significant financial interests;
- monitoring of the project by independent reviewers;
- modification of the project plan;
- disqualification from participation in all or a portion of the project;
- divestiture of significant financial interests; and/or
- severance of relationships that create actual or potential conflicts.

Records of investigator financial disclosures and of actions taken to manage actual or potential conflicts of interest shall be retained by the Recipient (Foundation or University) until three (3) years after the date of termination or completion of the award to which the documents relate, or the resolution of any government action involving these records.

### **Actions for Noncompliance**

Anyone found to be noncompliant with the University Independent Review Committee requests and/or in violation of this policy will be reported to the Provost for further action. If sanctions are imposed, they may range from a formal reprimand to the imposition of disciplinary action as defined in Article 19 of the Memorandum of Understanding (MOU) between The California State University and the California Faculty Association.

**Recommended by  
Academic Senate**

September 11, 2017

**Approved by President**

Interim January 10, 2013

Interim October 4, 2017

## **POLICY ON THE ASSIGNED TIME FOR RESEARCH PROGRAM**

Research enhances instruction and faculty development. The commitment of a modest proportion of California State University, Fresno's resources for the support of instructionally related research will have significant positive effects on the University's academic programs and faculty development. All full-time faculty are eligible to apply.

This program for supporting faculty research shall conform to CSU rules and resource allocation practices. Awards for assigned time shall be for designated periods and listed using the appropriate research codes in the faculty load reports. Similarly, departments and colleges/schools shall remain responsible for meeting FTES assignments.

In consultation with the Academic Senate, resources equivalent to approximately one percent of FTEF should be set aside each academic year for awards of assigned time. The final decision regarding the award of assigned time resides with the Provost and Vice President for Academic Affairs (Provost) or designee.

- A. The Provost or designee shall notify the faculty regarding deadlines, for making necessary information and forms available to interested faculty, and for receiving the applications forwarded from the college/schools and providing them to the Research Awards Committee.
- B. Faculty members <sup>1</sup> shall submit proposals for assigned time for research to the department for review. Each department shall review each proposal and make a recommendation on each proposal. Departments and/or chairs may consider and comment upon the ability of the department to maintain necessary curricular offerings should the assigned time be granted. Departments shall rank order the proposals in terms of scholarly and/or creative merit. The chair may make a separate recommendation and ranking. The department recommendation, and/or department chair recommendation, shall be forwarded to the college/school review committee.
- C. The college/school review committee shall review each proposal and the recommendation of the department, and if separate, the department chair and make a recommendation on the proposals. The committee shall rank order the proposals in terms of scholarly and/or creative merit. The committee may consider and comment upon the ability of the department to maintain necessary curricular offerings should the assigned time be granted. The committee shall make a recommendation on each proposal and forward it to the dean with the recommendations from the department and the department chair, if separate.
- D. The dean shall review each proposal and the recommendations of department, the department chair, if separate, and the college/school committee. The dean shall rank order the proposals. The dean may consider and comment upon the ability of the department to maintain necessary curricular offerings should the assigned time be granted. The dean shall make a recommendation on each proposal and forward it to the Research Awards Committee, via the Division of Research and Graduate Studies, with the recommendations from the department, department chair, if separate, and the college/school committee.

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<sup>1</sup> Applicants for assigned time or research awards through this program shall be ineligible to serve at any level of review of proposals for assigned time.



- E. The Research Awards Committee shall review each proposal and the recommendations of department; the department chair, if separate; the college/school committee; and the dean. The committee shall rank order the proposals in terms of scholarly and/or creative merit. The committee shall make a recommendation on each proposal and forward it to the Provost or designee with the recommendations from the department, department chair, if separate, and the college/school committee and the dean.
- F. The Provost or designee shall make the final decision regarding the award of assigned time. All applicants shall be notified in writing of the Provost's decision.
- G. The Research Awards Review Committee shall establish standards for evaluating those research projects that receive support. Such standards shall include the requirement of a written report on how the assigned time was used. A faculty member's use of assigned time shall be explicitly taken into account in evaluating any subsequent applications and shall be evaluated during the retention and tenure and promotion process.
- H. Nothing in this program is intended to discourage colleges/schools and departments from devising other means to support faculty research through their own resources.

**Reference:** Policy on Assigned Time (APM 354).

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**Recommended by the Academic Senate**

Recommended by the Academic Senate as part of  
 "WASC - Comments and Recommendations on Research"  
 May 1985

February 6, 2018

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**Approved by the President**

August 1985  
 April 15, 2003  
 March 19, 2018

**POLICY ON PARTICIPATION IN FIELD EXPERIENCES WITH  
CONTRACTING AGENCIES  
UNDER CONDITIONS OF PERSONAL RISK**

It is the responsibility of the School Dean explicitly to prohibit instructional activities which may subject students of faculty to substantial risk. In a situation in which timely action requires a decision to be made in the field, faculty members are required to suspend their own and their students' activities if in the faculty member's judgment substantial risk is present. This action must be immediately reported to the Dean. If the faculty member does not take action to suspend the activity and if in the judgment of the student continuation in the instructional activity will involve substantial risk, the student must withdraw and immediately inform the Dean.

In case of such a disruption of the field activities, it shall be incumbent upon the instructor to provide alternative instructional experiences for the student until such a time as the normal activities may resumed.

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Approved

January 1977

**POLICY ON MAKING AND RESPONDING TO ALLEGATIONS OF RESEARCH  
MISCONDUCT FOR RESEARCH FUNDED BY PUBLIC HEALTH SERVICE (PHS)  
OR NATIONAL SCIENCE FOUNDATION (NSF)**

**I. INTRODUCTION**

**A. GENERAL POLICY**

California State University, Fresno (“Fresno State”) endorses the belief that honesty and integrity in the pursuit and dissemination of knowledge are two of the most important values of the academy. Accordingly, it is expected that Fresno State administrators, faculty, staff, students and research managers shall cooperate to maintain high standards of ethical behavior in the conduct of scientific research. Accuracy, validity and reliability should be the hallmarks of research results generated in the scientific enterprise. To this end, the university requires that all researchers be aware of and abide by the code of ethics established by their professions or disciplines.

This document spells out the policies and procedures for reporting and investigating allegations of research misconduct, and for the required notifications to external agencies, including federal agencies, of such allegations and investigations. This policy addresses only research misconduct as defined below. Allegations of misconduct outside the scope of this policy should be directed to the appropriate administrator for investigation.

Sponsoring agencies expect that the university will exercise the primary responsibility for ensuring the integrity of and the accountability for the scientific research conducted by faculty and for addressing misconduct in science. Integrity of the research process requires adherence by scientists to honest and replicable methods. Compliance with the regulations of these agencies requires that the university provide assurances on (a) how allegations of research misconduct in research or research training (and applications for it) will be addressed and (b) how the university fosters a research environment and promotes education that discourages research misconduct.

The standard is one of fairness and truthfulness whereby the intent to deceive or reckless disregard for the truth is evident. Misconduct comes at a high price for scientists and for the public. Cases of misconduct in science involving fabrication, falsification, and plagiarism breach the trust that allows scientists to build on the work of other researchers and permits policymakers and others to make decisions based on scientific evidence and judgment. Hence, it is important for scientists to demonstrate accountability that accompanies investment in research.

University policy prohibits the illegal and unethical behavior, described herein as “research misconduct.” The university will take steps to prevent retaliation against any individual, who, acting in good faith, reports or provides information about suspected research misconduct. The Research Integrity Officer will monitor the treatment of individuals who report or provide information about the suspected misconduct, as well as the treatment of the respondent who has been cleared. Any instances of alleged or apparent retaliation will be immediately investigated and stopped.

To promote responsible conduct of research, the University will educate the community through workshops about this policy, proper research conduct, and authorship fairness.

## B. SCOPE

This policy and the associated procedures apply to all individuals at Fresno State engaged in research that is supported by or for which support is requested from Public Health Service (PHS) or National Science Foundation (NSF). Research includes proposals, projects, and results in all fields of science, engineering, mathematics, and education. The PHS regulation at 42 C.F.R. Part 93, Subpart A applies to any grant proposal submitted to the PHS, any research funded by the PHS, or any results reported to the PHS. The NSF regulation at 45 C.F.R. Part 689 applies to any grant proposal submitted to the NSF, any research funded by the NSF, or any results reported to the NSF. This policy applies to any person paid by, under the control of, or affiliated with the institution, such faculty, students, scientists, trainees, technicians and other staff members, fellows, guest researchers, or collaborators at Fresno State.

## C. DEFINITIONS

1. Research misconduct is defined as fabrication, falsification, plagiarism, or other practices that significantly deviate from those commonly accepted within the scientific community for proposing, conducting, evaluating, or reporting research. It does not include honest error, or honest differences in interpretations or judgments of data.
  - a. *Fabrication* is making up data or results and recording or reporting them.
  - b. *Falsification* is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
  - c. *Plagiarism* is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
2. *Allegation* means any written or oral statement or other indication of possible research misconduct made to an institutional official.
3. *Conflict of interest* means the real or apparent interference of one person's interests with the interests of another person, where potential bias may occur due to prior or existing personal or professional relationships.
4. *Deciding Official* means the Provost and Vice President for Academic Affairs (Provost)\*, the Fresno State official who makes final determinations on allegations of research misconduct and any responsive institutional actions.
5. *Good faith allegation* means an allegation made with the honest belief that research misconduct may have occurred. An allegation is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.
6. *Inquiry* means gathering information and initial fact-finding to determine whether an allegation or apparent instance of research misconduct warrants an investigation.
7. *Investigation* means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred, and, if so, to determine the responsible person and the seriousness of the misconduct.

8. *NSF* means the National Science Foundation. NSF regulation means the National Science Foundation regulation establishing standards for institutional inquiries and investigations into allegations of research misconduct, which is set forth in 45 C.F.R. Part 689, entitled "Research Misconduct."
9. *ORI* means the Office of Research Integrity, the office within the U.S. Department of Health and Human Services (DHHS) that is responsible for the research misconduct and research integrity activities of the U.S. Public Health Service.
10. *PHS* means the U.S. Public Health Service, an operating component of the DHHS.
11. *PHS regulation* means the Public Health Service regulation establishing standards for institutional inquiries and investigations into allegations of research misconduct, which is set forth at 42 C.F.R. Part 93, Subpart A, entitled "Responsibility of PHS Awardee and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science."
12. *Research Integrity Officer* means Dean of the Division of Research and Graduate Studies (DDRGS) the Fresno State official responsible for assessing allegations of research misconduct and determining when such allegations warrant inquiries and for overseeing inquiries and investigations.
13. *Research record* means any data, document, computer file, computer diskette, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of an allegation of research misconduct. A research record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; correspondence; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; consent forms; medical charts; and patient research files.
14. *Respondent* means the person against whom an allegation of research misconduct is directed or the person whose actions are the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.
15. *Retaliation* means any action that adversely affects the employment or other institutional status of an individual that is taken by an institution or an employee because the individual has in good faith, made an allegation of research misconduct or of inadequate institutional response thereto or has cooperated in good faith with an investigation of such allegation.
16. *Research misconduct or misconduct in science* means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.
17. *Whistleblower* means a person who makes an allegation of research misconduct.

## II. REPORTING RESPONSIBILITY

1. Individuals who believe or have knowledge that an act of research misconduct is occurring or has occurred shall notify the Research Integrity Officer orally or in writing.<sup>1</sup> The oral or written allegation(s) shall include a description of the nature of the perceived misconduct and any evidence in support of such claims. No anonymously delivered allegations will be acted upon.
2. Research Integrity Officer shall immediately notify Provost\* of any allegations that are under inquiry.
3. Dean of the Division of Research and Graduate Studies (DDRGS)\* shall advise all levels of review with regard to research issues, including government policies and regulations of the relevant funding agency. DDRGS\* serves as the Research Integrity Officer.
4. Associate Vice President for Faculty Affairs\* shall be consulted with regard to due process rights of the respondent and other procedural questions.

## III. CAUTIONS AND ASSISTANCE

The gathering and assessing of information in case of alleged research misconduct can be extremely difficult. Confidentiality is essential to protect the academic and professional reputations of those involved, as well as the interest of the public and of anyone who might be harmed by the alleged misconduct. Every attempt should be made to assure that any inquiry or investigation is done in a timely, fair, objective, competent and thorough manner. In the course of conducting inquiries or investigations, the following provisions are applicable.

1. Expert assistance, including from outside the university, should be sought as necessary to conduct a thorough and authoritative evaluation of all evidence.
2. Precautions should be taken to avoid real or apparent conflicts of interest on the part of those involved in the inquiry or investigation.
3. Care should be taken in the preparation and maintenance of all documentation relevant to the inquiry or investigation.
4. The anonymity of accused individuals and, if they wish it, the confidentiality of those who in good faith reported the alleged misconduct, should be protected to the maximum extent possible, and care should be taken to protect their positions and reputations. Except as required in the reporting provisions of this document, only those directly involved in an inquiry or investigation should be aware that the process is being conducted or have any access to information obtained during its course.
5. The university shall take all reasonable steps to ensure that neither any panel member nor any other person involved in the procedures is either biased against the accused person(s) or has a conflict of interest.

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<sup>1</sup> Allegations of misconduct against a dean or other administrator should be reported directly to the Provost\* or President\*, as appropriate.

#### IV. PRELIMINARY INQUIRY

1. Upon receipt of an allegation of research misconduct,<sup>2</sup> the Research Integrity Officer shall immediately initiate the inquiry process and shall so inform the Provost\*. The purpose of the inquiry is to make a preliminary evaluation of the available factual evidence and testimony of the respondent, whistleblower, and key witnesses to determine whether there is evidence of possible research misconduct to warrant an investigation. The purpose of the inquiry is not to reach a final conclusion about whether misconduct definitely occurred or who was responsible. The findings of the inquiry must be set forth in an inquiry report. It is preferable, but not required, that the preliminary inquiry committee meetings be audio recorded.
2. Should the Research Integrity Officer have a real or apparent conflict of interest with the case, the Provost\* shall designate another university administrator to conduct the preliminary inquiry.
3. The inquiry shall be conducted by the Research Integrity Officer and governed by the procedures identified below.

- a. Appointment of the Inquiry Committee

The Research Integrity Officer, in consultation with other institutional officials as appropriate, will appoint an inquiry committee and committee chair within 10 days of the initiation of the inquiry. The inquiry committee should consist of individuals who do not have real or apparent conflicts of interest in the case, are unbiased, and have the necessary expertise to evaluate the evidence and issues related to the allegation, interview the principals and key witnesses, and conduct the inquiry. These individuals may be scientists, subject matter experts, administrators, lawyers, or other qualified persons, and they may be from inside or outside the institution. The Research Integrity Officer will notify the respondent of the proposed committee membership in 10 days. If the respondent submits a written objection to any appointed member of the inquiry committee or expert based on bias or conflict of interest within 5 days, the Research Integrity Officer will determine whether to replace the challenged member or expert with a qualified substitute.

- b. Charge to the Committee and the First Meeting

The Research Integrity Officer will prepare a charge for the inquiry committee that describes the allegations and any related issues identified during the allegation assessment and states that the purpose of the inquiry is to make a preliminary evaluation of the evidence and testimony of the respondent, whistleblower, and key witnesses to determine whether there is sufficient evidence of possible research misconduct to warrant an investigation as required by the PHS regulation. The purpose is not to determine whether research misconduct definitely occurred or who was responsible. At the committee's first meeting, the Research Integrity Officer will review the charge with the committee, discuss the allegations, any related issues, and the appropriate procedures for conducting the inquiry, assist the committee with organizing plans for the inquiry, and answer any questions raised by the committee. The Research Integrity Officer and institutional counsel will be present or available throughout the inquiry to advise the committee as needed.

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<sup>2</sup> If a case comes from an agency that has already conducted an inquiry, the university reserves the right to conduct a separate inquiry after reviewing the materials supplied by the agency and the findings reached by the agency.

c. Inquiry Process

The respondent will be provided with written notification of the allegation. The inquiry committee will interview the whistleblower, the respondent, and key witnesses as well as examining relevant research records and materials. Then the inquiry committee will evaluate the evidence and testimony obtained during the inquiry. After consultation with the Research Integrity Officer and institutional counsel, the committee members will decide whether there is sufficient evidence of possible research misconduct to recommend further investigation. The scope of the inquiry does not include deciding whether misconduct occurred or conducting exhaustive interviews and analyses.

4. The Inquiry Report

a. Elements of the Inquiry Report

A written inquiry report must be prepared that states the name and title of the committee members and experts, if any; the allegations; the PHS support; a summary of the inquiry process used; a list of the research records reviewed; summaries of any interviews; a description of the evidence in sufficient detail to demonstrate whether an investigation is warranted or not; and the committee's determination as to whether an investigation is recommended and whether any other actions should be taken if an investigation is not recommended. Institutional counsel will review the report for legal sufficiency.

b. Comments on the Draft Report by the Respondent and the Whistleblower

The Research Integrity Officer will provide the respondent with a copy of the draft inquiry report for comment and rebuttal and will provide the whistleblower, if he or she is identifiable, with portions of the draft inquiry report that address the whistleblower's role and opinions in the investigation.

Within 14 calendar days of their receipt of the draft report, the whistleblower and respondent will provide their comments, if any, to the inquiry committee. Any comments that the whistleblower or respondent submits on the draft report will become part of the final inquiry report and record. Based on the comments, the inquiry committee may revise the report as appropriate.

5. Inquiry Decision and Notification

a. Decision by Deciding Official

The Research Integrity Officer will transmit the final report and any comments to the Deciding Official, who will make the determination of whether findings from the inquiry provide sufficient evidence of possible research misconduct to justify conducting an investigation. The inquiry is completed when the Deciding Official makes this determination, which will be made within 60 days of the first meeting of the inquiry committee. Any extension of this period will be based on good cause and recorded in the inquiry file.



b. Notification

The Research Integrity Officer will notify both the respondent and the whistleblower in writing of the Deciding Official's decision of whether to proceed to an investigation and will remind them of their obligation to cooperate in the event an investigation is opened. The Research Integrity Officer will also notify all appropriate institutional officials of the Deciding Official's decision.

6. Time Limit for Completing the Inquiry Report

The inquiry committee will normally complete the inquiry and submit its report in writing to the Research Integrity Officer no more than 60 calendar days following its first meeting unless the Research Integrity Officer approves an extension for good cause. If the Research Integrity Officer approves an extension, the reason for the extension will be entered into the records of the case and the report. The respondent also will be notified of the extension.

The report and all supporting records, documents, testimony, and information will be immediately sequestered and secured by the Research Integrity Officer, who will keep all records for a minimum of 7 years.

Sequestration involves requesting all relevant files from the Respondent so they can be assessed by the committee. An attorney may accompany the Research Integrity Officer. Receipts are signed to indicate the records removed. Copies of records will be provided upon request. The records will be stored in a secure location and will be inventoried.

The Research Integrity Officer immediately will notify ORI if there is an admission of guilt.

## **V. REPORTING OF HAZARDS AND VIOLATIONS**

Notwithstanding any other provision in these procedures, and regardless of the stage at which the matter is being handled, the Research Integrity Officer shall be informed immediately if any of the following circumstances are discovered:

- a) an immediate health hazard;
- b) an immediate need to protect federal or university funds or equipment;
- c) an immediate need to protect the whistleblower; the respondent; or witnesses;
- d) likelihood that an alleged incident will be reported publicly;
- e) a reasonable indication of possible criminal violation of federal or state law.

## VI. FORMAL INVESTIGATION

1. If the Deciding Official decides that a more detailed, formal investigation is warranted to determine if there was fabrication, falsification or plagiarism, the Deciding Official shall immediately initiate a formal investigation. The purpose of the investigation is to examine the evidence and to reach a final conclusion about whether misconduct occurred and who was responsible.
2. Should the Deciding Official have a real or apparent conflict of interest with the case, the President\* of the University shall designate another university administrator to conduct the investigation.
3. The investigation shall be conducted by the Investigation Panel and governed by the procedures identified below.

- a. Appointment of the Investigation Panel

The Deciding Official will appoint an Investigation Panel of three impartial investigators after consultation with the Chair of the Personnel Committee of the Academic Senate\*, the Chair of the Academic Policy & Planning Committee\*, the Dean of the Division of Research and Graduate Studies\*, and the Associate Vice President for Faculty Affairs\*. The investigators shall be impartial tenured Professors who have been involved in scientific research and/or grant administration. The investigators shall have no potential or real conflicts of interest with the respondent or his/her research. The Investigation Panel shall elect a chair from its membership.

- b. Charge to the Investigation Panel and First Meeting

The Investigation Panel chair will prepare a charge for the Investigation Panel that describes the allegation(s) and states that the purpose of the investigation is to examine the previously gathered evidence and to reach a final conclusion about whether research misconduct definitely occurred and who was responsible.

At the Investigation Panel's first meeting, the chair will discuss the allegation(s) with the Investigation Panel, any related issues, and the appropriate procedures for conducting the investigation, and answer any questions raised by the Investigation Panel. The Research Integrity Officer, Provost\*, and/or institutional counsel will be present or available throughout the inquiry to advise the Investigation Panel as needed.

- c. Investigation Timeline

Before the Investigation begins, the Research Integrity Officer will notify ORI about the impending investigation.

The Investigation Panel will discuss the investigation procedures with the Deciding Official before beginning investigation and agree on an investigation timeline. The Investigation Panel shall meet within thirty (30) days of the completion of the inquiry.

d. Investigation Procedures

The investigation shall generally be governed by the procedures identified below in accordance with ORI recommendations.

- i. The investigation will involve examination of all documentation collected by the Inquiry Committee including, but not limited to, relevant research records, computer files, proposals, manuscripts, publications, correspondence, memoranda, and notes of telephone calls. If needed, the whistleblower, respondent and key witnesses shall be interviewed again and the interviews audio recorded. The interview recordings should be part of the file.
- ii. Should the investigation involve the Public Health Service or the National Science Foundation, the respective guidelines contained in the Code of Federal Regulations should be consulted. For the Public Health Service, the reference is 42 CFR 50 et seq. For the National Science Foundation, the reference is 45 CFR 689.1 et seq. See also Section VII below.

e. Written Report

The written investigation report shall contain:

- i. A description of the policies and procedures followed;
- ii. A list of relevant documents and other evidence reviewed;
- iii. A clear statement of the findings and the basis for them;
- i. A finding of research misconduct must be based on factual findings of: (1) significant departure from accepted practices of the relevant research community; and (2) intentional, knowing, or reckless action.
- ii. A finding of research misconduct must be proven by a preponderance of the evidence.
- iii. And a statement whether or not the Deciding Official should consider taking an appropriate personnel action without specifying what that action might be.
- iv. The respondent shall be provided a copy of the draft report and provided seven (7) days to comment in writing to the Investigation Panel. These comments shall be appended to the report submitted to the Deciding Official.
- v. after considering the written comments of the respondent (if any), a written report, including any recommendations, shall be forwarded to the Deciding Official.
- ix. A written report shall be submitted to the Deciding Official no later than ninety (90) days from the appointment of the Investigation Panel. If this time frame is not possible, the reasons are to be documented in writing and the Deciding Official so informed as quickly as possible.
- x. If termination of the investigation is contemplated by the Deciding Official prior to the completion of the report by the Investigation Panel, this should be discussed with the Investigation Panel and with the Research Integrity Officer.

f. Comments on the Written Investigation Report

- i. After receiving a copy of the investigative report, the respondent shall be provided seven (7) days to submit written comments and any additional documentation to the Deciding Official.
- ii. The Deciding Official shall review the conclusions and recommendations of the Investigation Panel and shall make a final decision regarding the matter. The Deciding Official may, at his/her discretion either accept, modify, or reject the conclusions and recommendations of the investigation Panel. Before reaching a final decision concerning any modification or rejection, however, the Deciding Official will explain the rationale for the decision in a written communication to the Investigation Panel and will consider the Investigation Panel's response. The Deciding Official may also meet with the respondent. The Deciding Official shall complete the report by sending a letter to the Investigation Panel and the respondent, confirming, modifying or rejecting the Investigation Panel's findings. The Deciding Official shall make the final decision no later than sixty (60) days after receiving the final report.
- iii. If the Deciding Official determines that a personnel action, including discipline, is warranted, appropriate steps shall be taken consistent with the provisions of the Collective Bargaining Agreement and university policies. In cases relating to the Public Health Service or National Science Foundation, the relevant agency shall be notified of any pending disciplinary action within thirty days of the issuance of the final report.
- iv. The respondent can appeal the final decision by contesting the rationale to the Deciding Official within seven (7) days of receiving the letter.
- v. The letter, written investigation report, and all supporting records, documents, testimony, and information will be sequestered and secured by the Research Integrity Officer, who will keep all records for a minimum of 7 years.

## VII. NOTIFICATION TO EXTERNAL AGENCIES

The University will comply with the requirements and regulations of its funding agencies. Section VIII below reflects those requirements for the U. S. Public Health Service (PHS) and the National Science Foundation (NSF). In any particular situation and for other agencies, other criteria may apply, and the appropriate administrator is advised to review current regulations and requirements.

1 Under circumstances not involving Public Health Service or National Science Foundation or other regulated funding agencies, the Provost\*, in consultation with the Dean of the Division of Research and Graduate Studies (DDGRS)\*, will make the decision whether information about the charges and their disposition will be disclosed publicly or to specific parties, including the research sponsor.

2 This decision will normally be made upon the conclusion of the final report. However, if required by urgent circumstances, such a disclosure may be made at any time. Absent such urgent need, the university will not make interim reports to outside agencies unless required by external regulation.

3 Where false or misleading data has been published as the result of research misconduct, the university may disclose relevant information to affected scholarly and/or scientific publications or agencies.

## **VIII. PUBLIC HEALTH SERVICE (PHS) AND NATIONAL SCIENCE FOUNDATION (NSF) NOTIFICATION REQUIREMENTS**

PHS requires annual assurances from the university of compliance as well as aggregated information on allegations, inquiries, and investigations. Further, in accord with PHS and NSF regulations, in cases involving research funded by either of those agencies, the funding agency will be informed in the following situations. Except as specifically described at the end of this section, the following notifications to external agencies will be made only by the AVPRSP\* on behalf of the Provost\*, and on the basis of the information provided by the Provost\*.

### **1. Outcome of an Inquiry**

PHS and NSF will be notified of the outcome of an inquiry of possible research misconduct involving funds from their agency only if that outcome includes the recommendation to conduct a full investigation. Documentation from inquiries, even those that do not recommend further investigation, will be maintained for a period of three (3) years and made available upon an agency's request.

### **2. Commencement of an Investigation**

Written notification will be provided to PHS or NSF upon determination that an investigation will be conducted. This notice is to be provided on or before the commencement of the investigation, and must include all information required by the agency. In the case of PHS-funded research, this notice must include at least the following: name(s) of the accused individual(s); general nature of the allegation(s); and the PHS proposal or award number involved. Regulations provide that this information will be held in confidence to the extent permitted by law. Note, however, that although the information will not be disclosed to peer reviewers or PHS advisory committees, it may be used by the Secretary of Health and Human Services in making decisions about the award or continuation of funding.

### **3. Written Request for a Time Extension**

Although PHS regulations permit 120 days for completion of the investigation and submission of the final report, CSUF requires the Investigation Panel to consult with the DDRGS\* if it appears that the final report will take more than 90 days to complete.

If the investigation and determination of personnel action are likely to take more than 120 days to complete, the DDRGS\* will so notify PHS and provide reasons for the delay, interim progress reports, the estimated date of completion of the report, and any other necessary information. If an extension is granted, PHS may require the submission of periodic interim reports, or the agency may undertake its own investigation prior to the University's completion of its investigation.

NSF requires completion of the inquiry within 90 days, and completion of the investigation, including submittal of the final report, within 180 days. If completion of either is expected to be delayed, NSF may require submission of periodic status reports.

### **4. Interim Reports**

PHS must be apprised during an investigation of facts that may affect current or potential IPHS funding of the individual(s) under investigation, or that may need to be disclosed in order to ensure proper use of federal funds or protection of the public interest. Similarly, NSF requires interim reports if the seriousness of the apparent misconduct so warrants; if immediate health hazards are involved; if NSF's resources, reputation, or other interests need protecting; or if federal action may be needed to protect the interests of a subject of the investigation or others potentially affected

## 5. Early Termination of an Investigation

PHS must be notified of any decision to terminate an inquiry or investigation prior to the completion of all relevant requirements. This notice must include the reasons for such action. PHS retains the right to investigate the matter further on its own. PHS will be notified prior to Fresno State accepting an admission of guilt from respondent and therefore terminating the investigation.

## 6. Final Outcome

PHS and NSF will be notified of the final outcome of an investigation involving their funded project(s), and provided with a complete copy of the final report. the final report to PHS must include a statement about the sanction (if any) to be imposed by the institution.

## 7. Special Emergency Notifications

In addition, the PHS must be informed at any stage of an inquiry or investigation if any of the following are discovered: (1) an immediate health hazard; (2) an immediate need to protect federal or University funds or equipment; (3) an immediate need to protect those making an allegation (4) a likelihood that an alleged incident is going to be reported publicly; or (5) a reasonable indication of possible criminal activity. In the case of suspected criminal activity, PHS requires notification within 24 hours.

## IX. DETERMINATION OF PERSONNEL ACTION

1. The determination as to whether a personnel action, including disciplinary action, is to be imposed is governed by California law, university policies and any applicable collective bargaining agreement. In cases involving faculty unit members, personnel actions, including disciplinary action, shall be imposed by the appropriate administrator, through the processes described in the Unit 3 Collective Bargaining Agreement. Significant cases of student misconduct will be referred to the Dean and Student Affairs. Cases involving staff members will be referred to the appropriate administrator. Both PHS and NSF have the right to impose additional sanctions, beyond those applied by the institution, upon investigators or institutions, if they deem such action appropriate in situations involving funding from their respective agency.

2. If the investigation results in a finding of research misconduct, then the Research Integrity Officer will contact any relevant journals take reasonable action to retract the false or fabricated facts disclosed.

3. If the investigation results in a finding of no research misconduct, then the institution will take reasonable action to restore the respondent's reputation. Such actions may include: notifying all individuals aware of or involved in the investigation, publicizing the finding in forums in which the allegation was previously publicized, or expunging reference of research misconduct from the respondent's personnel file.

References: National Science Foundation 45 C.F.R. 689.1 et seq. Public Health Services 42 C.F.R. 93 et seq. CBA Articles 11, 18, 19 Research and the Protection of Human Subjects (APM)

### Recommended by the Academic Senate

March 4, 2014  
February 6, 2018

### Approved by the President

April 3, 2014  
March 18, 2018

## RESEARCH AND THE PROTECTION OF HUMAN SUBJECTS

It is the practice of the University that all graduate and undergraduate courses dealing with research procedures include an appropriate discussion of the ethics and procedures for the protection of human subjects. All research which involves human subjects must be reviewed according to the provision of current Policy and Procedures for Research with Human Subjects at California State University, Fresno. This is a separate document and faculty may request a copy by calling the office of the Provost and Vice President for Academic Affairs.

Website: <http://www.csufresno.edu/humansubjects/>

Last Updated: January 31, 2012 (updated office name and website)

## **POLICY FOR INSTITUTIONAL ANIMAL CARE AND USE PROCEDURES FOR TEACHING, EXPERIMENTATION, OR RESEARCH AT CALIFORNIA STATE UNIVERSITY, FRESNO**

### **I. PURPOSE**

- A. To keep California State University, Fresno and its faculty, staff and students, in compliance with all laws, federal and state, that apply to procurement, transportation, housing, handling, treatment, sanitation, nutrition, experimentation, exhibition, instruction, destruction and disposal of any or all animals.
- B. To develop a policy for the management of animals used for teaching, experimentation and research which is acceptable to state and federal agencies and funding organizations.
- C. To maintain a program at the university such that faculty, staff and students utilizing animals under the purview of these institutional animal care and use procedures will be assured reasonable protection from biological and physical hazards.

### **II. AUTHORITY**

The Provost and Vice President for Academic Affairs (Provost) shall appoint an institutional animal care and use committee (IACUC) composed of at least five members sufficient to meet the regulations of the regulatory agencies identified above. At least five members appointed to the committee shall be directly involved with the use of animals for teaching or research. One member of the committee shall be a doctor of veterinary medicine employed by the university.

The chair of the committee shall be elected by the committee. The committee shall meet as required by the regulatory agencies or whenever the chair and/or Provost deem it necessary.

It shall be the responsibility of the committee, with the assistance of a doctor of veterinary medicine, to develop, oversee, implement, supervise, and assure compliance with the institutional animal care and use procedures and any federal or state laws that apply, including subsequent amendments and new laws. The committee may delegate this responsibility.

### **III. OBJECTIVES**

The following actions shall be taken by the university to fulfill all legal responsibilities:

- A. Supervise and implement institutional animal care and use procedures suitable for certification by the United States Department of Agriculture, the National Institutes of Health (NIH), American Association For Accreditation of Laboratory Animals Care (AAALAC) and/or other agency, as required by the university.
- B. Implement and supervise evaluation, review, and inventory systems to identify and track animal care and use at the university

**Reference:** National Institute of Health website for current animal care and use regulations and standards: <http://oacu.od.nih.gov>

Recommended by the Academic Senate	April 1978
Approved by the President	June 1978
Revised by the Academic Senate	October 2002
Approved by the President	<b>October 2002</b>



## **POLICY AND PROCEDURES RELATING TO THE USE OF CONTROLLED SUBSTANCES IN TEACHING AND RESEARCH <sup>1</sup>**

### **I. PURPOSE**

To assure that California State University Fresno (Fresno State), its faculty, staff, and students are in compliance with all laws, federal and state, that apply to the procurement, use, storage, handling, and disposal of narcotics and dangerous drugs used in instruction and research.

### **II. AUTHORITY**

The Vice President for Administration is the responsible institutional official for the management of narcotics, dangerous drugs, and controlled substances. The Vice President for Administration is designated to appoint a University Committee on the Use of Controlled Substances in Teaching and Research (UCCS), which, with the Office of Environmental Health and Safety (EHS) has the responsibility to assure that departments, units, and employees comply with all applicable laws and internal requirements to safely manage and prevent diversion of controlled substances

- A. The University Committee on the Use of Controlled Substances in Teaching and Research shall be established for the purpose of general review of policies and procedures and shall be responsible for submitting recommendations to the Vice President for Administration in accordance with applicable provisions of the Code of Federal Regulations (CFR). This committee shall also be responsible for conducting annual audits of controlled substances.
- B. The UCCS shall be constituted as follows:
  - 1. Five members of the faculty, recommended by the Senate, appointed by the Vice President for Administration
  - 2. A member-at-large, recommended by the Director of Environmental Health and Safety, appointed by the Vice President for Administration
  - 3. A staff member of University Health and Psychological Services (UHPS), recommended by the Director of UHPS, appointed by the Vice President for Administration
  - 4. The Director of Environmental Health and Safety, ex officio.
- C. All appointed members shall serve a term of three years.

### **III. REGISTRATION**

All personnel engaged in research or instructional activities with controlled substances listed in 21 CFR 1308, Schedules I through V are required to register with the Drug Enforcement Administration through the UCCS and the Office of the Vice President for Administration. Registration requires the enrollment of the user and the specific application. Teaching or research with controlled substances by personnel who are not registered with the Drug Enforcement Administration, or by persons who are not being directly supervised by a current registrant is strictly prohibited. Teaching or research using controlled substances for applications which are not registered is strictly prohibited as well.

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<sup>1</sup> This policy does not apply to controlled substances dispensed by a practitioner to a patient in the course of professional practice as authorized by his/her licensee. Specifically, this policy does not apply to activities of the pharmacy at the University Health and Psychological Services or to campus physicians or veterinarians.

Who may register:

- Faculty members using controlled substances must register
- Graduate students and research assistants may optionally register, if they are employed by the state or the California State University, Fresno foundation and they have the sponsorship of a registered full-time faculty member
- Undergraduate students may not individually register, but may participate in the use of controlled substances in teaching and research under the direction of a registered user

Applicants for “Registered User” status shall apply to the UCCS through their Department or Division Chair and the Dean of their respective administrative unit.

**Use of materials off-campus:** Registered researchers using controlled substances for teaching or research off campus must carry a copy of their approved registration with them at all times. Non-registered persons who are using controlled substances for research while under the supervision of a registered user must carry, at all times while off-campus, a copy of the registered user’s approved registration and an authorization memo from the registered user.

#### **IV. PROCUREMENT**

All shipments of controlled substances to the campus, except those to the pharmacy, must be received by the Office of Environmental Health and Safety, California State University, Fresno. The EHS shall distribute all controlled substances to registered users.

All shipments must clear the EHS regardless of funding source. No other offices or receiving points on campus are authorized to receive shipments of controlled substances.

#### **V. STORAGE, RESPONSIBILITY AND SECURITY**

The responsibility for the use or abuse of controlled substances rests with the faculty or staff member registered to use the substance or under whose direction the substance is employed. The following security procedures shall be followed in order to ensure the protection of each registrant and to minimize the probability of theft or diversion:

- A. Each department in which controlled substances are used shall provide a secured storage area acceptable to the DEA. The Department Chairperson, as appropriate, shall issue separate or common secured storage to each registered faculty member. Responsibility for accurate inventory is equally shared among those faculty members who have access to common secured storage.
- B. All university personnel who require access to controlled substances shall file an application for registration with the UCCS which shall, upon review and approval, recommend access be provided by the responsible administrator.
- C. Registered personnel shall assume the following additional responsibilities upon receipt of access:
  1. Maintain an inventory log which shall remain in the designated storage area,
  2. Use the substance only as stipulated in the application, and
  3. Train subordinates and others who may be involved in the safe and proper handling, storage, and disposal of controlled substances.

- D. Applications for use of controlled substances shall be renewed annually. A current inventory, certified by the applicant, must be filed with the renewal.
- E. The Office of Environmental Health and Safety shall conduct semiannual unannounced inventory audits of each designated storage area. The inventories are filed with the Vice President for Administration.
- F. A report of each audit shall be submitted to the Vice President for Administration, the Provost and Vice President for Academic Affairs, the Deans, and Department Chairpersons, and members of the Committee on Narcotics and Dangerous Drugs.
- G. Custody and use of controlled substances by non-registered personnel is strictly prohibited except where authorized by and directly supervised by a registered user.

## **VI. DISPOSAL**

All controlled substances which are expired or otherwise unneeded must be disposed of by and through the Office of Environmental Health and Safety. All transfers to other individuals and organizations, including those with a legitimate license, are prohibited.

## **VII. PROTECTION OF HUMAN SUBJECTS**

Conducting research with controlled substances with human subjects is strictly prohibited without prior approval of the University Committee on the Protection of Human Subjects. All human subjects shall be deemed to be “at risk” in all research projects involving controlled substances. For more information, please refer to the University policy on Research with Human Subjects.

## **VIII. ADDITIONAL INFORMATION**

### **Responsible University Officer**

Vice President for Administration

### **Responsible Office**

Office of Environmental Health and Safety (EHS)

### **Applicable Laws & Regulations**

Public Law 91-513 (federal)

Title 21, Chapter II, Code of Federal Regulations (CFR)

### **Related Policy**

Institutional Animal Care & Use

Research with Human Subjects

### **Recommended by the Academic Senate**

April 2002

February 6, 2018

### **Approved by the President**

May 20, 2002

March 19, 2018

**POLICY FOR USE OF RADIOISOTOPES AND IONIZING RADIATION  
FOR TEACHING, EXPERIMENTATION, OR RESEARCH  
AT CALIFORNIA STATE UNIVERSITY, FRESNO**

**PURPOSE**

1. To keep California State University, Fresno, and its faculty, staff and students, in compliance with all laws, federal and state, that apply to procurement, transportation, storage, use and disposal of radioactive materials and devices that produce ionizing radiation.<sup>1</sup>
2. To maintain a radiation safety program such that all faculty, staff and students utilizing radioisotopes and devices that produce ionizing radiation will be assured reasonable protection from radiological hazards.
3. To appoint a Radiation Safety Committee and a Radiation Safety Officer.

**AUTHORITY**

The Provost and Vice President for Academic Affairs is designated as the responsible institutional official for radiation safety. A Radiation Safety Committee of at least five members will be appointed by the Provost and Vice President for Academic Affairs to comply with the Radioactive Material License issued by the State Department of Health Services. One member who must be present at all meetings is the Radiation Safety Officer or his/her designated alternate. Other members include an administration representative and representatives from operating groups. All members, except for the administration representative, must be qualified as users.

The Chair of the Committee and a Recording Secretary shall be elected annually by the Committee at the last meeting of the academic year. The Committee shall meet as required by the regulatory agencies or whenever the Chair and/or the Provost and Vice President for Academic Affairs deem it necessary.

It shall be the responsibility of the Committee to develop, oversee, implement, supervise, and ~~enforce~~ ensure compliance with the radiation safety policy and procedures and any federal or state laws that apply, including subsequent amendments and new laws. The Committee will keep current a radiation safety manual, describing radiation safety policy and procedures, which will be available to all users.

Faculty, Staff or Graduate Students who wish to receive authorization to use radioisotopes or ionizing radiation must contact the Radiation Safety Officer. All users of radioisotopes or ionizing radiation must be registered with the Radiation Safety Committee and all projects involving the use of radioisotopes or ionizing radiation must be approved by the Radiation Safety Committee.

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<sup>1</sup> This policy does not apply to the use of radioisotopes or devices that produce ionizing radiation at the University Health and Psychological Services Center.

## **OBJECTIVES**

Fulfill all legal responsibilities.

Supervise and implement procedures suitable for licensure by the State Department of Health Services under Title 17 of the California Code of Regulations.

<sup>1</sup>This policy does not apply to the use of radioisotopes or devices that produce ionizing radiation at the University Health and Psychological Services Center.

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Recommended by the Academic Senate  
Approved by the President

May, 2003  
June 14, 2004

## **Policy on Biosafety in Research and Teaching at California State University-Fresno**

### **PURPOSE**

The Biosafety Policy is established to reduce the risk of potential occupational exposure and environmental harm from the use of biohazardous materials in research and teaching at California State University, Fresno (Fresno State).

### **I. SCOPE**

The policy applies to all Fresno State faculty members, staff, students, contract employees and other personnel working at locations where Fresno State has management control of biohazardous material. Biohazardous material includes, but is not limited to:

- A. Pathogenic agents (bacteria, fungi, parasites, prions, rickettsias, viruses, and HHS and USDA select agents and toxins, 7 CFR Part 331, 9 CFR Part 121, and 42 CFR Part 73)
- B. Human or non-human primate tissues, body fluids, cells and/or cell cultures (primary or continuous)
- C. Recombinant DNA (R-DNA)
- D. Transgenic plants or animals
- E. Animals known to be reservoirs of zoonotic disease
- F. Animal or plant tissues, fluids, cells, cell cultures or derived wastes which contain or may contain recombinant DNA and pathogenic hazards

### **II. REQUIREMENTS**

- A. All research and teaching involving biohazardous materials must be conducted in conditions appropriate to the designated biosafety level (BSL) to protect the academic as well as the greater community.
- B. All biohazardous materials in storage, use, or transport for the purpose of teaching or research, on or off campus, must be reported to the University Office of Environmental Health and Safety/Risk Management (EHS/RM) via a completed Biohazard Use Authorization (BUA) application
- C. The Fresno State Institutional Biosafety Committee (IBC) must approve all activities involving the use of biohazardous materials at Biosafety level 2 or 3. The committee shall consist of at least five members ; the committee members shall be experts in biosafety and containment, persons knowledgeable in institutional policies and applicable laws, at least one representative member from the laboratory staff; and two non-affiliated individuals reflecting community attitudes. Each member shall serve a term of three years.
- D. All research involving infectious agents shall follow the guidelines prescribed in the most recent edition of the Centers for Disease Control (CDC) and National Institutes of Health (NIH) publication "Biosafety in Microbiological and Biomedical Laboratories" (referred to hereafter as the BMBL).
- E. All research involving HHS and USDA select agents and toxins shall follow the requirements prescribed in Title 42, Part 73 of the Code of Federal Regulation. Select agents and toxins require special registration with the CDC. Contact EHS/RM for registration information.

- F. All research involving R-DNA shall follow the guidelines set forth in the most recent edition of the NIH publication “NIH Guidelines for Research Involving Recombinant DNA Molecules” (referred to hereafter as the NIH Guidelines).
1. Projects involving R-DNA molecules that are listed as “EXEMPT” by the NIH Guidelines do not require NIH registration but must be approved by the IBC if the project involves BSL 2 or 3 agents.
  2. Projects that are not exempt require NIH registration as well as IBC approval.

### III. RESPONSIBILITIES

- A. Institutional Biosafety Committee (IBC) is advisory to the University on all matters relating to the safe use of biohazardous materials. The IBC is responsible for:
1. Establishing and monitoring policies that meet or exceed applicable guidelines and regulations for use of biohazardous materials conducted at or sponsored by Fresno State.
  2. Reviewing and approving proposed activities that use biohazardous materials designated as BSL 2 or above according to NIH Guidelines and/or BMBL. The review shall include an independent assessment of the containment required (practices, procedures, facilities and equipment used to safely manage biohazardous materials) and an assessment of the facilities, training and expertise of personnel involved in the research. The IBC shall ensure that the PI is provided with the results of the review and status of approval in a written letter and timely manner. The Chair of the IBC committee shall review and approve proposed activities that use biohazardous material designated as BSL 1 or are exempt status under NIH Guidelines and/or BMBL without further consultation with the IBC committee.
  3. Setting required containment levels for research projects. The IBC will set the BSL based upon criteria recommended by the CDC and NIH as the standards of containment to be applied to the corresponding biohazardous materials. The IBC may, at its discretion, increase or reduce the BSL, depending on the circumstances presented by a specific project or biological criteria.
  4. Investigating any research-related accidents or illnesses or any significant violation of policies, practices and procedures. Reporting findings of its investigation and actions to the appropriate Fresno State officials and to the granting agencies. Recommending disciplinary measures in cases involving gross violation(s) of established biosafety practices and procedures.
  5. Adopting emergency plans developed by EHS/RM and other Fresno State, local and state public health and safety departments governing accidental biohazardous materials spills and personnel contamination.
  6. Determining when employees who work with biohazardous materials should be enrolled in medical surveillance. Determining which specific medical surveillance tests are appropriate for a given biohazardous materials risk. EHS/RM shall establish and maintain a medical surveillance program for at-risk personnel.
  7. Developing design specifications and criteria for containment.
  8. Maintaining a diverse membership representing the community and a variety of university interests, consisting of two off-campus community members and at least five members in total.
  9. Convening once a semester or more often, as necessary, with at least one off-campus community member present.

B. EHS/RM is responsible for:

1. Being cognizant of all applicable laws, regulations, and guidelines and maintaining copies of all such documents as well as any amendments or modifications.
2. Developing requirements and guidelines for biohazard control, which are consistent with applicable federal, state and local laws and regulations.
3. Reviewing proposed research or instructional activities involving the use of biohazardous materials and preparing recommendations to the IBC.
4. Developing emergency plans for handling accidental spills and personnel contamination.
5. Investigating laboratory accidents involving biohazardous materials.
6. Developing and conducting training on biosafety issues, practices and procedures.
7. Reporting to the IBC any significant problems, violations of Fresno State biosafety policy, practices or procedures and any significant research-related accidents or illnesses.
8. Implementing the recommendations of the IBC and assuring compliance by the PI.
9. Conducting periodic inspections to ensure that required laboratory practices and procedures are followed.
10. Reviewing biosafety facility construction/renovation plans and specifications. Inspecting construction/renovation and authorizing initiation of biohazardous materials work following construction/ renovation. Providing advice on biosafety facility design, ventilation needs and other support services. Advising on the selection, installation, maintenance and use of laboratory equipment that provides or aids in containment of biohazardous materials.
11. Coordinating the Fresno State Medical Waste Management Program. -.
12. Ensuring the use of proper "Biohazard" signs and labels.
13. Establishing and maintaining a medical surveillance program for at-risk personnel.

C. Division of Research and Graduate Studies (DRGS) is responsible for:

1. Ensuring that grant proposals utilizing biohazardous materials are referred to the IBC for review.
2. Notifying the IBC about funded grant proposals that utilize biohazardous material.

D. Principal Investigator (PI) is the faculty member in whose assigned space a research activity is conducted. The PI performs and/or oversees activities that utilize or produce biohazardous materials. The PI is responsible for:

1. Developing specific protocols to ensure the safe use of biohazardous materials as set forth in the NIH guidelines and/or BMBL as well as applicable federal, state and local laws and regulations. Ensure that all laboratory personnel comply with the specific safety protocols.
2. Making initial determination of the required levels of physical and biological containment, as well as appropriate microbiological practices and laboratory techniques.
3. Ensuring that the containment equipment and facility requirements for activities performed under his/her direction meet the criteria for the appropriate BSL and certification standard.
4. Ensuring that all maintenance work in, on or around contaminated equipment is conducted only after that equipment is thoroughly decontaminated by the laboratory staff.



5. Developing specific protocols that outline proper emergency procedures for response to an accidental exposure of personnel or the environment to the biological agents and ensuring that all laboratory staff comply with the emergency procedures.
  6. Submitting a BUA application and obtaining approval from the IBC prior to commencement of work. In addition, the PI is responsible for submitting any significant changes to the BUA application to the IBC for review and approval.
  7. Submitting a new BUA application, revising an existing BUA if needed, or referencing an existing BUA when submitting a new grant proposal utilizing biohazardous material.
  8. Obtaining approval from the different committees relevant to the project. For example, obtaining approval from the Institutional Animal Care and Use Committee (IACUC) if the project involves animals; the Institutional Review Board (e.g. Committee for the Protection of Human Subjects or CPHS) if the project involves human subjects; the Radiation Safety Officer (RSO) if the project involves radioisotopes.
  9. Ensuring that all laboratory staff under his/her supervision are appropriately trained on the safe use of biohazardous materials and enrolled in medical surveillance, if appropriate. Training and medical surveillance include animal care personnel not directly supervised by the PI who provide husbandry and care for infected animals.
  10. Complying with medical waste laws in handling medical waste in the laboratory and maintaining a designated medical waste autoclave or an approved medical waste accumulation area.
  11. Ensuring that all laboratory staff, maintenance personnel and visitors who may be exposed to any biohazard are informed in advance of their potential risk and of the behavior required to minimize that risk. In addition, the PI is responsible for restricting access as required by the assigned biosafety containment level.
  12. Reporting any significant problems, violations of the policies, practices and procedures set forth in BMBL, or any significant research-related accidents and/or laboratory-acquired infection to EHS/RM within 24 hours.
  13. Complying with shipping requirements for biohazardous materials. These responsibilities extend to all aspects of biosafety including all individuals who enter or work in the PI's laboratory or collaborate in carrying out the PI's research. Although the PI may choose to delegate aspects of the biosafety program in his or her laboratory to other laboratory staff, the PI is ultimately responsible for all activities occurring in his or her laboratory.
- E. Laboratory Staff is a laboratory worker who works in a technical capacity. The laboratory staff is responsible for:
1. Rigorously and conscientiously following laboratory-specific biosafety practices and procedures.
  2. Reporting to the PI or the laboratory manager all problems, spills or violations in procedure immediately, and reporting to EHS/RM any significant violations in biosafety policy, practices or procedures that are not resolved by the PI within a reasonable amount of time.

**Recommended by the Academic Senate**

Institutional Biosafety Committee Revised  
February 6, 2018

**Approved by the President**

January 15, 2013  
March 19, 2018

## Policy on Intellectual Property

### I. General

- A. Purpose. The University is committed to providing an intellectual environment in which all members of the academic community – whether they are faculty engaged in life-long professional development, students pursuing educational objectives, or staff dedicated to their own career goals – learn to the fullest extent possible. The University also recognizes and values creativity and innovation as part of this learning process. Similarly, the University recognizes the importance of, and wishes to encourage, the transfer of new knowledge, generated in the University, to the private sector for the public good. At the same time, as a publicly funded institution, the University must be a good steward of the public resources provided to it, and must safeguard against the use of public funds for private gain.
  
- B. Scope. This policy addresses the rights to, interest in, and protection and transfer of intellectual property (including patents) created by University faculty, staff and students. Issues not directly considered in this policy, including disagreements concerning its application or interpretation, will be addressed and resolved consistent with applicable law and collective bargaining agreements. In the event of a conflict between this policy and the collective bargaining agreements, the bargaining agreements shall prevail. Policies affecting the use of the University's names or symbols are covered elsewhere.
  
- C. Governing Principles. The following principles underlie this policy and should guide its application and interpretation:
  1. Academic Freedom and Preeminence of Scholarly Activities. The missions of teaching and scholarship have preeminence over that of the transfer and commercialization of research results. The University's commitment to its educational mission is primary, and this policy does not diminish the right and obligation of faculty members to disseminate the results of research and creative activity for scholarly purposes.
  
  2. Equity and Fair Play. This policy sets forth general principles and procedures, and it has not been designed to address every conceivable circumstance. Under principles of fair play, the inventor(s)/creator(s) and the University mutually operate so that no one will unfairly exploit inadvertent errors or omissions in the written policy. If the need for corrections or exceptions to this policy is identified, appropriate recommendations shall be made to the President.
  
  3. Mutual Trust and Goodwill. Throughout all phases of the creation and implementation of this policy, it is assumed that all members of the University community will be guided by a sense of mutual trust and goodwill. It shall be the responsibility of any individual covered by this Policy, to promptly notify the Provost in writing when such individual believes he or she has made an invention. In the event of future controversies regarding the rights to intellectual property (including patents), the commercialization of particular property, or in the interpretation of this policy, all parties should recognize that mutual trust and goodwill were fundamental tenets in the forging of this policy.

4. Faculty Governance and Review. University faculty, through the Patent Board for potentially patentable intellectual property, and the Intellectual Property Review Committee for all other intellectual property, shall play a primary role in the establishment and periodic revision of this policy, and in the review and recommendation of resolutions to disputes arising under it.
  5. Transparency. The principle of transparency promotes both the disclosure and avoidance of actual and apparent conflicts of interest associated with external commercial activities.
  6. Reasonableness in Licensing. When the University owns intellectual property (including patents) under this policy, the inventor or creator shall normally play an active role in the entire licensing process, including consultation and/or approval of licensing decisions, particularly where the inventor/creator has no financial interest in the licensee. Otherwise, such participation shall be consistent with conflict of interest regulations or University policy.
  7. Confidentiality. With respect to the intellectual property that is the subject of this policy, confidentiality shall be maintained to the extent required to protect its value and to the extent allowed by law.
  8. Written Agreements. The University and inventor/creator of intellectual property shall enter into a written agreement to commemorate the understandings between them relative to any University involvement in the development of intellectual property, shared equity interests, and related matters referenced in this Policy. All such agreements shall be in compliance with any applicable Collective Bargaining Agreement then in effect.”
  9. Sponsored Grant Contracts. The provisions of this Policy shall not supersede or supplant ownership agreements and provisions related thereto that are specified in sponsored grant contracts.
- D. Policy Application. This policy takes effect immediately and supersedes all prior intellectual property (including patent) policies.
- E. Key Terms. For purposes of this policy, the following key terms are defined as follows:
1. Unless otherwise specified, "intellectual property" means inventions, discoveries, innovations, and copyrightable works. Cases regarding potentially patentable intellectual property are reviewed by the Patent Board as needed in order to make recommendations with respect to the issue of the determination of the respective interests of the University and inventor/creator, as well as the dedication of financial support to the process required to protect the intellectual property. Cases regarding all other intellectual property are reviewed by the Intellectual Property Committee in order to make similar recommendations.
  2. "Inventions", "discoveries", or "innovations" include tangible or intangible inventions, whether or not reduced to practice and tangible research products whether or not patentable or copyrightable. Such research products include, for example: computer programs, integrated circuit designs, industrial designs, databases, technical drawings, biological materials, and other technical creations.

3. "Copyrightable works" mean original works of authorship fixed in tangible media of expression.
  - a. "Works of authorship" include literary, musical, dramatic, audiovisual, architectural, pictorial, graphic and sculptural works and sound recordings. Computer programs are works of authorship to the extent they are protected by the federal copyright laws.
  - b. "Tangible media of expression" include physical, digital and other formats now known or later developed from which copyrightable works may be stored, reproduced, perceived or otherwise communicated, either directly or with the aid of a machine or device.
4. "Software" means computer instructions (algorithms and code), data and accompanying documentation.
  - a. "Algorithm" means a logical arithmetical or computational procedure that if correctly applied ensures the solution of a problem.
  - b. "Source code" means an original computer program written by a programmer in human-understandable form. It is converted into the equivalent object code (written in machine language) by the compiler or assembler in order to run on a computer.
  - c. "Object code" means the form of a program that is executable by a machine, or usable by an assembler that translates it directly to machine-understandable language. This form of software is not readable or modifiable by human beings other than through extraordinary effort.
5. "Net proceeds" means the net amount received in each fiscal year from the transfer or licensing of intellectual property after deduction of all accrued costs reasonably attributable to such intellectual property, including without limitation any reasonable expense of prosecution, protection and litigation, and commercialization. Such direct costs typically include: legal filing fees; patent application, issuance and maintenance charges; transfer or licensing costs; and product development costs. All expenditures, special advances and repayment terms shall be identified and detailed in writing at the time they are made. The time of regular University and Foundation personnel will not be included in the determination of costs attributable to intellectual property protection and commercialization.
6. "Equity interest" refers to beneficial rights (such as royalties) derived from intellectual property owned by another.
7. "Disclosure statement" means a written general description of a creation by the creator used to help assess the nature, extent and likely intellectual property interests in and development potential of the creation.
8. "Faculty" means members of Collective Bargaining Unit 3, as well as visiting professors and volunteer professors.
9. "Staff" means all employees of the University, other than faculty and students..

10. “Student” means any individual enrolled in the University, or working in a student capacity under the auspices of the University or Foundation even if not enrolled at the time, excepting those who fall under the definition of faculty or staff.
11. “Sponsor” means any external individual or entity, whether public or private, that enters into a formal agreement with the University or Foundation, whereby the Sponsor provides support for a project to be carried out by University faculty, staff and/or students.
12. “Extraordinary resources” means University and/or Foundation resources that are essential to the development of the intellectual properties, and/or that in the reasonable consideration of the committee (see below), appear to be substantial in terms of the volume, value, or unusual nature of the resources provided to the inventor. These resources include time, facilities or materials regardless of whether they emanate from federal or state appropriations, student fees, donations, grants, contracts or other sources. Extraordinary resources do not include the ordinary use of resources typically available to the developer of the intellectual property within his or her scope of employment. The Patent Board will be responsible for evaluating the University’s contribution of extraordinary resources to a specific patentable intellectual property in cases of disagreement between the inventor/creator and the University concerning this contribution. The Intellectual Property Review Committee (Section III.A.2) will be responsible for evaluating the University’s contribution of extraordinary resources to all other specific intellectual property in cases of disagreement between the inventor/creator and the University concerning this contribution.

## **II. OWNERSHIP AND OTHER INTEREST**

### **A. Copyright.**

1. Framework. This section deals with the ownership of copyrightable intellectual property created by faculty, staff and students (in separate sections). Faculty creations are governed by section II. A. 2; staff creations are governed by section II. A. 3; and student creations are governed by section II. A. 4.
2. Faculty Creations.
  - a. Faculty own the copyright resulting from scholarly and creative publications they develop. The University’s equity interest is determined by the circumstances listed below.
  - b. If the University provides extraordinary resources toward the creation of copyrightable property, the faculty will own the copyright but the University will be entitled to an equity interest in the profits derived from the commercialization of the intellectual property, according to the provisions in section II.D.

- c. If the University initiates a creative project, solicits voluntary faculty participation in the project, and provides funding for the project, possibly including compensation/release time for the faculty member, the University will own the intellectual property rights developed through the project unless the University agrees to share ownership. A written document, signed by the faculty member prior to initiation of the project, will be executed to acknowledge the University's ownership, or sharing arrangement, and the faculty member's commitment to cooperate with the University, at University expense, to protect and commercialize the intellectual property. Should the parties agree, the University may opt to share with the faculty involved any profits that result from the intellectual property created on the project. Such agreement, and the details of profit-sharing arrangements, shall be recorded in a written document, signed by both parties, which shall supersede this policy to the extent that any provisions conflict.
  - d. If the University or Foundation and an outside sponsor enter into an agreement to carry out research or other creative activity involving faculty, the faculty who participate in the project shall comply with the conditions of the agreement regarding ownership, protection and licensing of intellectual property developed under the agreement, and may be required to agree in writing that they will so comply. Copyright terms of such agreements, even when they deviate from the provisions of this policy, will be negotiated with the sponsor by the Dean of the Division of Research and Graduate Studies, with the consent of the faculty involved and the appropriate Dean(s).
3. Staff Creations.
- a. Staff creations would be treated the same as faculty creations, except that in all cases, the University would enjoy and retain a permanent, non-exclusive, worldwide, royalty-free license to use all intellectual property produced in the course of the staff member's employment.
  - b. The University or Foundation may employ or engage individuals under specific contractual terms that allocate copyright ownership rights between the parties in a different manner than specified above. Such agreement(s) shall supersede this policy to the extent that any provisions conflict.
  - c. There may be occasions when University staff also serve as faculty for the University. Under these circumstances, written agreements should be entered into in advance of undertaking any research or creative activity to clarify whether the individual is acting in their staff or faculty capacity in carrying out the activity. Unresolved questions on ownership related to potentially patentable intellectual property may be directed to the Patent Board and a recommendation regarding ownership rights will be made to the President, who will make a final determination on this issue. Such agreement(s) shall supersede this policy to the extent that any provisions conflict. Unresolved questions on ownership related to all other intellectual property may be directed to the Intellectual Property Review Committee and a recommendation regarding ownership rights will be made to the President, who will make a final determination on this issue.

4. Student Creations.

- a. Students will normally own the copyright to the scholarly and creative publications they develop, including works fulfilling course requirements (term papers and projects), Senior Projects, Masters Theses/Projects, and Doctoral Dissertations/Projects. Students retain copyright ownership as long as they are not paid for the work that results in the creation and do not receive extraordinary resources in support of the work. Nonetheless, by enrolling at the University, the student grants the University a nonexclusive, royalty-free license to mark on, modify, publicize, retain, and use in the advancement of the University's educational mission. The University is not entitled to an equity share in any ownership profits, except in the circumstances covered below.
- b. When the student is employed by the University or Foundation and the creation falls within the scope of that employment, either the University or Foundation or the faculty member (when the student is hired specifically to work on a faculty project), or student employee owns the copyright according to the same standards that apply to staff creations, under sections II.A.3 above, or faculty creations under Section II.A.2.
- c. If the student receives extraordinary resources that further the creation or development of the creative work, then the student owns the copyright, but the University retains an equity interest in the creation, using the same standards that govern faculty creations under section II.A.2.b.
- d. If the student works on a sponsored project or a special intellectual property agreement and the creation falls within the scope of that work, then the student is bound by the written agreements governing the allocation of copyright ownership.
- e. When the student is employed by an outside entity (not the University or Foundation) and the creation falls within the scope of that employment, then the student normally will be bound by a contract with the outside entity, including any provisions for copyright ownership, and the University will have no rights to the intellectual property developed.

B. Patents.

1. Framework. This section deals with the ownership of potentially patentable intellectual property created by faculty, staff and students (in separate sections). Faculty inventions are governed by section II.B. 2.; staff inventions are governed by section II.B. 3; and student inventions are governed by section II.B. 4.
2. Faculty Inventions.
  - a. Faculty own the intellectual property resulting from their scholarly activity. The University's equity interest is determined by the circumstances listed below.
  - b. If the University provides extraordinary resources to the creation of intellectual property, then the faculty will own the intellectual property rights, but the University will be entitled to an equity interest in the profits derived from the commercialization of the intellectual property, according to the provisions in section II.D.
  - c. If the University initiates a creative project, solicits voluntary faculty participation in the project, and provides funding for the project, possibly including compensation/release time for the faculty member, the University will own the intellectual property rights developed through the project unless the University agrees to share ownership. A written document, signed by the faculty member prior to initiation of the project, will be executed to acknowledge the University's ownership, or sharing arrangement, and the faculty member's commitment to cooperate with the University, at University expense, to protect and commercialize the intellectual property. Should the parties agree, the University may opt to share with the faculty involved any profits that result from the intellectual property created on the project. Such agreement, and the details of profit-sharing arrangements, shall be recorded in a written document, signed by both parties, which shall supersede this policy to the extent that any provisions conflict.
  - d. If the University or Foundation and an outside sponsor enter into an agreement to carry out research or other creative activities involving faculty, the faculty who participate in the project shall comply with the conditions of the agreement pertaining to the ownership, protection and licensing of intellectual property developed, and may be required to agree in writing that they will so comply. The intellectual property terms of such agreements, even when they deviate from the provisions of this policy, will be negotiated with the sponsor by the Dean of the Division of Research and Graduate Studies, with the consent of the faculty involved and the appropriate Dean(s). Such agreement(s) shall supersede this policy to the extent that any provisions conflict.
3. Staff Inventions. Staff inventions should be treated the same as faculty inventions, except that in all cases, the University would enjoy a permanent, worldwide, non-exclusive, royalty-free license to use all intellectual property produced in the course of staff's employment.
  - a. The University or Foundation may employ or engage individuals under specific contractual terms that allocate copyright ownership rights between the parties in a different manner than specified above. Such agreement(s) shall supersede this policy to the extent that any provisions conflict.



- b. There may be occasions when University staff also serve as faculty for the University. Under these circumstances, written agreements should be entered into in advance of undertaking any research or creative activity to clarify whether the individual is acting in their staff or faculty capacity in carrying out the activity. Unresolved questions on ownership related to potentially patentable intellectual property may be directed to the Patent Board and a recommendation regarding ownership rights will be made to the President, who will make a final determination on this issue. Such agreement(s) shall supersede this policy to the extent that any provisions conflict. Unresolved questions on ownership related to all other intellectual property may be directed to Patent Board and a recommendation regarding ownership rights will be made to the President, who will make a final determination on this issue.
- 4. Student Inventions. Students enrolled at the University may create valuable intellectual property while fulfilling course requirements, in conjunction with University employment, and/or through the use of University resources. The ownership interests in such intellectual property depend on the particular circumstances surrounding the creation. In particular, students must be careful to differentiate their own creative contributions from those of their faculty instructors and mentors. The following parameters apply:
  - a. The student is not paid for the work that results in the creation and does not receive significant University resources in support of the work. In these circumstances, the student owns the intellectual property interests in the creation. This is true even if the intellectual property is created to fulfill course requirements or other academic requirements. Nonetheless, by enrolling at the University, the student grants the University a nonexclusive, royalty-free license to mark on, modify, publicize, retain, or otherwise use in the advancement of the University's educational mission. The University is not entitled to an equity share in any ownership profits, except in the circumstances covered below.
  - b. The student is employed by the University or Foundation and the creation falls within the scope of employment. In these circumstances, either the University, Foundation or the supervising faculty (when the student is hired specifically to work on a faculty project), or student employee owns the intellectual property, according to the same standards that apply to staff creations under sections II.B.3, or faculty creations under Section II.B.2.
  - c. The student receives extraordinary resources that further the creation or development of the intellectual property. In these circumstances, the student owns the intellectual property, but the University retains an equity interest, using the same standards that govern faculty creations under section II.B.2.b.
  - d. If the student works on a sponsored project or under a special intellectual property agreement and the creation falls within the scope of that work, then the student is bound by the written agreements governing the allocation of intellectual property rights.

- e. The student is employed by an outside entity (not the University or Foundation) and the creation falls within the scope of that employment. Under these circumstances, the student normally will be bound by a contract with the outside entity, including provisions intended to protect and allocate intellectual property rights, and the University will have no rights to the intellectual property developed. University resources may not be used unless a prior special intellectual property agreement is in place (see d. above).

C. Software.

1. The proprietary protection available for software is unique in that both copyright and patent are available. Copyright protection may cover the expression of the software ideas in a tangible medium, while patent protection may cover algorithmic inventions. Due to this dual approach, software should first be considered under the patent provisions of this policy at II. B., and is therefore subject to disclosure of any underlying algorithms that appear to have commercial value. After consideration of patent protection for valuable software algorithms, copyright, at II.A, should be considered as additional or alternative protection.
2. In accordance with section I.C.1, and absent a specific agreement to the contrary, the University favors the copyright and publication of source code as well as its underlying object code. This is in contrast with the common commercial practice that utilizes trade secrecy for source code in order to prevent the dissemination and discussion of any innovative ideas it reveals. As with the underlying algorithms that, if patented, must be published so that they may be studied and discussed by other researchers, the University believes that source code should be published in a form that is amenable to research and will promote scientific progress. The object code is similarly subject to copyright.

- D. University Equity Interests. Even when the University does not own intellectual property under this policy, if the University provides extraordinary resources to the creation of intellectual properties, it enjoys an equity interest in the net proceeds derived from those properties. The University's equity interest is determined by the extent of use and the value of these extraordinary resources. The amount of the University's equity interest in a particular intellectual property will be agreed upon before pursuing protection/commercialization, and in the absence of such agreement, will be presumed to be 50%. The University's share will not be greater than 50% of the value of the intellectual property.

If the creator/inventor does not receive separate payment from commercialization of the intellectual property from an outside company, corporation or foundation, then the University shall share net proceeds from the commercialized intellectual property with the creator/inventor subject to the conditions outlined below. The amount that an individual creator/inventor must render to the University, in recognition of its equity interests, is determined as follows:

1. All fees and costs expended by the University to protect the intellectual property must first be reimbursed to the University before any distributions from commercialized or licensed inventions are made to inventors/creators.

2. In the absence of another agreement, net proceeds received from an intellectual property subject to University equity interest will be allocated as 50% to the University to be distributed by the Provost as 25% to the appropriate college/school dean and 25% to be used in the interest of the university as determined by the Grants and Contracts Advisory Board (GRAB); and 50% to the creator(s)/inventor(s). If there is more than one creator/inventor, then the creators/inventors shall split their allocated 50%.

### **III. ADMINISTRATIVE PROCEDURES**

#### **A. The University.**

1. University Administration. The University President is responsible for policy matters relating to intellectual property and affecting the University's relations with inventors and creators, public agencies, private research sponsors, industry, and the public. The Office of the Provost in cooperation with the Dean of the Division of Research and Graduate Studies and the Foundation shall implement and administer this policy, including negotiation of intellectual property terms in agreements with sponsors, evaluation of patentability or other forms of intellectual property protection, filing for patents, negotiation of use rights, and the pursuit of infringement actions.
2. Composition and Charge of the Patent Board.
  - a. The Patent Board shall consist of the following members:
    - i. The Provost and Vice President for Academic Affairs
    - ii. The Vice President for Administration
    - iii. The Dean of the Division of Research and Graduate Studies (who will chair the Patent Board)
    - iv. The Dean of Graduate Studies
    - v. A representative of the California State University, Fresno Foundation Auxiliary Corporations
    - vi. Three members of the faculty appointed by the President
    - vii. One appointee selected by the Patent Board Chair.
  - b. The Patent Board as defined above shall be the deliberative body of the University with respect to all policies and procedures related to patentable intellectual property.
  - c. Upon submission to the Division of Research and Graduate Studies of the Invention Disclosure form indicating that an invention has been made or a strong potential exist, the Dean of the Division of Research and Graduate Studies shall convene the Patent Board to allow the Patent Board to review the disclosure of the invention for its merit as being potentially patentable, and otherwise satisfy its responsibilities under this policy. It is understood that the Patent Board will make every effort to respond in a timely manner.

- d. The Patent Board shall recommend to the Provost whether or not the University should undertake the timely prosecution of a patent application for the invention. This recommendation will include the Board's determination of equity and rights of all parties concerned, and the means for prosecuting the patent application.
  - e. In extenuating circumstances where time is critical and the Patent Board may not be readily convened, the Provost is authorized to act without the recommendation of the Patent Board with the understanding that the Patent Board will be convened as soon as possible and apprised of the status of the project, and will then proceed with the normal process.
3. Composition and Charge of the Intellectual Property Review Committee.
- a. The Committee shall be composed of
    - i. Four members appointed by the President,
    - ii. Four members appointed by the Academic Senate
    - iii. One graduate student appointed by the Associated Students, California State University, Fresno
  - b. The committee shall be chaired by a faculty member.
  - c. The Committee's charge is as follows:
    - i. To review and monitor University activities on matters relating to the administration of this policy and to make recommendations to the Academic Senate regarding policy revisions as needed.
    - ii. To serve as a committee of the whole, or through ad hoc committees or subcommittees, to hear disputes regarding the implementation of the terms of signed separate individual agreements and make recommendations to the Provost.
4. In many cases the inventor/creator will reach an agreement with the University concerning ownership rights without the need for review by the Committee. In making its assessment, the Committee will rely on information provided by both the inventor/creator and the University. Committee deliberations will be in closed session to protect proprietary information, and may at the discretion of the Patent Board, be held outside the presence of the inventor/creator. Similarly, to maintain confidentiality to the extent reasonably practicable, committee records will be kept confidential and committee members will be bound to maintain confidentiality. The Patent Board may invite any experts to attend its meetings, if in the discretion of the Patent Board Chair, the presence of such expert will assist the Patent Board in its deliberations, provided that any such expert shall agree to sign a non-disclosure statement prior to attending such meeting. The purpose of the review will be to help the parties reach agreement within the framework of this policy.

In the event of any disagreement among interested parties concerning interpretation or application of this policy, the Committee will serve as the appellate body advisory to the Provost. In cases where the Committee is unable to resolve such disagreements to the satisfaction of the interested parties, then it shall submit a written recommendation for resolution of the dispute to the Provost for a final administrative decision. The final resolution of any disagreement concerning the application or interpretation of this policy will be governed by applicable law and collective bargaining agreements.

At the beginning of each academic year, the Corporation will provide to the University and Foundation, which will in turn provide to the Division of Research and Graduate Studies a summary statement of income and expenses from intellectual property in which the University has an interest, if any, and an accounting of income and disbursements of the Commercialization Fund and the Research Fund (see IV-B). The Division of Research and Graduate Studies will submit this information to the Intellectual Property Review Committee, in a written report of all the activities in which that Office has been involved in the preceding year.

5. University Assistance. The protection and commercialization of intellectual property requires close attention to relevant laws. For example, for a patentable invention, one must carefully and properly document all activities involved in developing the invention from conception to reduction to practice. In addition, there are reasons to preserve secrecy for certain time periods so that the value of the invention can be adequately protected. These considerations often run counter to the typical academic approach of quickly sharing knowledge in the form of presentations at professional meetings and publications in scholarly journals.

Even when the University does not own intellectual property under this policy, or does not enjoy an equity interest in it, the Division of Research and Graduate Studies can provide guidance to faculty and students about the basic process for and issues regarding protection of intellectual property. Further, under certain circumstances in which the University holds an equity interest, legal, financial and business assistance may be provided to faculty who wish to protect or commercialize their intellectual property. The University's decision to provide such assistance would be made on a case-by-case basis.

At the very least, inventors/creators should file a disclosure statement (see Section III.C.1) with the University, through the Division of Research and Graduate Studies. The disclosure serves as an important element in the protection process since it is dated and includes a description of the invention, including when it was conceived and reduced to practice. The Division of Research and Graduate Studies maintains this disclosure as documentation to support potential patent claims. When the University provides out-of-pocket support in the form of costs and fees to support intellectual property interests, it is entitled to recoup proceeds derived from those intellectual property interests to reimburse the University for its out-of-pocket costs and fees before any distributions are made to the inventor/creator or any third party entity.

6. Inactivity. If a determination has been made that the University owns or has an equity interest under this policy in a particular intellectual property, a decision to

pursue protection and commercialization of that property will normally be made within six months of a request by the inventor/creator for such a decision. If the University decides to pursue protection and commercialization it must then act diligently in this regard. If the University fails to act diligently the inventor/creator may request reconsideration of the decision to pursue. Alternatively, if the University determines not to pursue protection/development of the intellectual property, it will renegotiate its ownership and/or equity rights with the creator/inventor.

B. The Creator/Inventor.

1. Required Disclosures. This policy addresses circumstances in which the University owns intellectual property created by faculty, staff and students, or enjoys an equity interest in it. When these circumstances exist, the faculty, staff or students who create the intellectual property shall file a disclosure statement with the Foundation. At the appropriate time, the Dean of the Division of Research and Graduate Studies may refer the disclosure, as appropriate, to the intellectual property Rights Committee or the Patent Board, which will assess rights of all interested parties consistent with other sections of this policy.
2. Protection and Commercialization. When the University owns, or enjoys an equity interest in, intellectual property under this policy, and has elected to pursue protection and commercialization of that intellectual property, the inventor/creator is expected to cooperate with the University and Foundation at the University/Foundation's expense, in the protection and development of the intellectual property, including executing appropriate written instruments to perfect legal and equity rights. It is anticipated that the inventor/creator, if he/she so chooses, will be an active participant in decisions regarding the further development, commercialization and/or licensing the intellectual property

C. Assignments of Interest.

1. Any transfers of ownership between those with any interest in specific intellectual property shall be documented through appropriate legal instruments, such as assignment agreements, in a form consistent with applicable law and regulations.

#### IV. INCOME ALLOCATIONS

- A. General Objectives. In the transfer of intellectual property and allocation of net proceeds derived from intellectual property, the general objectives are to direct funds toward the inventor(s)/creator(s), assure the transfer and development of those discoveries for the public benefit, and provide for the funding of future creative effort by University faculty, students and staff.
- B. Intellectual Property Funds. When the University owns intellectual property or enjoys an equity interest in it, the University's share of net proceeds derived from that intellectual property generally will be allocated to support the mission of the university as described previously in Section II. D.
- C. Departing Inventors/Authors. Any income allocations to which a faculty, staff member or student is entitled hereunder, shall continue to be made to such faculty, staff member or student even after he or she has left the University.

**V. IMPLEMENTATION**

The Dean of the Division of Research and Graduate Studies, in cooperation with the appropriate Foundation and University officials, shall develop, document, implement and maintain on a current basis, appropriate procedures and practices to carry out this policy statement including the process for evaluating and determining the allocation of net proceeds derived from intellectual property, subject to Section IV of this policy. The intellectual property Review Committee shall be consulted on any significant proposed practices involving the application or interpretation of this policy as it relates to non-patentable intellectual property. The Patent Board shall be consulted on any significant proposed practices involving the application or interpretation of this policy as it relates to patentable intellectual property.

**VI. PERIODIC POLICY REVIEW**

Both The Patent Board and the Intellectual Property Review Committee shall review this policy as needed, and make recommendations for changes as deemed appropriate.

**VII. GRANDFATHER PROVISIONS**

- A. Any invention which has a patent date or any intellectual property which has a copyright date prior to the effective date of this Intellectual Property Policy is subject to the prior policy APM 540 Patent Policy (Interim) or APM 541 Guidelines on Intellectual Property Agreements Resulting From Extraordinary Support by the University.
- B. Any individual covered in this policy who has created an invention which has a patent date or intellectual property which has a copyright date prior to the effective date of this policy may elect to submit to the provisions of this Intellectual Property Policy by notifying the President.

**Recommended by the Academic Senate**

December 5, 2012  
February 6, 2018

**Approved by the President**

9/16/2008  
January 10, 2013  
March 19, 2018

## **Interim Acceptable Use Policy of Information Technology Resources**

### **California State University, Fresno**

#### **1. Policy**

California State University, Fresno (University) is responsible for overseeing the appropriate use of its information technology resources and requires individuals accessing and using the University's resources to adhere to the rules for responsible and appropriate use of such resources.

#### **2. Reason**

The University encourages the use of information technology resources to share information and knowledge in support of its mission of education, research, public service, and to conduct the University's business. This policy provides a framework to promote and encourage responsible use of information technology resources.

#### **3. Scope**

All staff, faculty, and students of the University, guests, auxiliary organizations, third parties, and any other entities granted access or using any University information technology resource must adhere to this policy.

Information technology resources (information resources) are devices or technologies that are designed, built, operated, organized, or maintained to process, store, transmit, or output information. These information resources include, but are not limited to, voice, data and video networks, computer accounts, electronic communications, files, computing facilities, laboratories, software, and data.

#### **4. Guiding Principles**

The University recognizes the principles of academic freedom and shared governance, freedom of speech, and privacy rights that hold important implications for the use of information resources. This policy reflects these principles within the context of the University's legal and other obligations.

The University's information resources are provided for the use of students, faculty, administration, and staff, and to some extent to members of the wider community, in support of the programs of the university. All students, faculty, administrators, staff, and those members accessing resources are responsible for seeing that these information resources are used in an effective, efficient, ethical, and lawful manner.

#### **5. Rights and Responsibilities**

University information resources provide access to resources on and off campus, as well as the ability to communicate worldwide. This open access is a privilege requiring individuals to use information resources responsibly. Access and use of information resources carries with it certain conditions and responsibilities.

Individuals shall respect the rights of other users, respect the integrity of the information resources and observe all applicable laws, regulations, executive orders, collective bargaining agreements, policies, and contractual obligations. Individuals must exercise care in acknowledging and respecting the work of others through strict adherence to software licensing agreements and copyright laws. When accessing external resources to the University, individuals are responsible for abiding by any policies, rules, and codes of conduct applying to such resources.

Individuals are responsible for the proper use of information resources assigned to them, including accounts, passwords, computers and data. Individuals shall not knowingly falsely identify themselves and will take steps to correct misrepresentations if they have falsely or mistakenly identified themselves.



Misuse of these resources or violation of the delineated conditions in this policy may result in the termination of the accounts and access, or, in cases of more serious infractions, the submission of the case to an appropriate disciplinary authority for further investigation.

Individuals should report any apparent violations of law, university policy, and college/school or department policy concerning the acceptable use of information resources to their appropriate university manager and/or the Chief Information Security Officer (see section 11).

## **6. Privacy**

The University's intent is to consider information and content as private and confidential unless they have explicitly been made available to other authorized individuals. It is not the University's practice to inspect, monitor or disclose the content of information stored on or transmitted through the University's information resources.

However, individuals should not expect privacy in their access and use of University information resources. As a practical matter, authorized individuals may access others' information and/or electronic communication when necessary for the maintenance and security of university information resources and services. When performing these functions, every effort is made to ensure the privacy of an individual's information. However, if violations are discovered, they will be handled through normal university procedures.

Other causes for inspection, monitoring, and disclosure include the need to ensure operational effectiveness of resources and services; prevent or investigate a suspected breach of the law, this policy, or other University policies; or as part of an official University disciplinary action, court enforced subpoena, search warrant, or valid requests under the California Public Records Act.

In addition, electronic communication is neither private nor secure. In communicating via e-mail, instant messaging, or other forms, it is the individual and not the University, who assumes responsibility for its contents. All electronic messages may be subject to discovery in civil litigation or in criminal investigations. In most instances, there is no reason for electronic messages to be retrieved by anyone other than the intended addressee, but in limited and appropriate circumstances (e.g., in course of an official investigation of wrongdoing), electronic communication may become subject to internal monitoring by an authorized individual.

## **7. Copyright, Licensing, and Related Concepts**

Among other rights, copyright law, in general, gives the owner of a piece of literary or associated work (including, amongst other types of work, software, music, videos, games, artistic works, and photographs) the right to prevent that work from unauthorized copying and distribution via any form. As the University is subject to federal law, students, staff, faculty, and administrators must comply and abide with copyright law and University copyright policy.

The concept of 'fair use' allows limited use of copyright works for the purposes of research, private study, criticism and review; since the 'fair use' test is qualitative rather than quantitative, the prospective individual may need to check with the copyright owner before use.

This means that most information and software is subject to copyright and/or restrictions on its use. Each individual must respect this copyright and must comply with published usage restrictions relating to any program, information, image, web page, or other material. Any individual who installs software and/or information on University resources must ensure full compliance with any relevant copyright requirements and licensing agreements.

## 8. Legal Requirements

Law prohibits the unauthorized access, modification, interference, or disruption of information resources, the harassment of individuals via electronic methods, and other inappropriate actions involving the use of information resources<sup>1</sup>. Violations of law may be subject to penalties under civil or criminal code. University policies on sexual or other forms of harassment apply fully to all information resources, including electronic communication and the Internet.

University information resources shall never be used for purposes intended to incite or commit a crime; for example, it is illegal to post a credit card number, copyrighted information, or a computer password. Criminal and illegal use may include obscenity, child pornography, threats, harassment, theft, and unauthorized access.

University information resources such as electronic communication (e.g. e-mail, voice mail, instant messaging, etc.) are provided for university-related activities. Fraudulent, harassing, or obscene messages and/or materials are not to be printed, sent, or stored. No e-mail or message shall be created or sent, nor Web pages created, that may constitute intimidating, hostile, or offensive material based on gender, race, color, religion, national origin, sexual orientation, or disability. The University's policies on sexual or other forms of harassment apply fully to electronic communication and the Internet.

The following acts are relevant to use of information resources in a university setting. Violations may incur sanctions by the University and/or legal proceedings. Examples of violations, given below, are not intended to cover all eventualities:

- a. Knowingly gaining or attempting to gain unauthorized access to any information resource, program, or information that the individual has no authorization to access or use.
- b. Intentionally gaining or attempting to enable inappropriate levels of access.
- c. Sharing the user name and password of his/her account without authorization and the explicit agreement by each party (lender and borrower).
- d. Unauthorized modification or access to any program, file, data, electronic communication, or other computer material belonging to another individual or organization.
- e. Using information resources to impersonate, harass, threaten, or otherwise cause harm to other individuals or organizations.
- f. Intentionally transmitting any computer virus, worm, or other malicious software.
- g. Taking actions threatening the security or capacity of information resources or which modify, destroy, damage, or overload these resources.
- h. Violating any applicable law, university policy, executive order, or contractual obligation.

## 9. Prohibited Use

The University is a not-for-profit, tax-exempt organization and is subject to applicable federal and state laws and regulations on the use of University property. Any use of information resources in a manner that places the University in jeopardy of such status is prohibited. University information resources shall not be used for non-University commercial purposes, except as permitted under University policy or with appropriate approval.

University information resources (e.g., computer facilities, laboratories, offices, the library, etc.) do not provide a private environment for accessing electronic communication or other resources. Therefore, individuals are advised to be aware of their responsibilities for appropriate behavior in public places. Some materials, which may be appropriate for scholarly inquiry in various disciplines, may be seen to have a strong possibility of creating a hostile environment for other students, faculty, staff, and visitors.

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<sup>1</sup> Reference California Penal Code 502 & 18 U.S.C. § 1030

University information resources shall not be used to imply University endorsement, including the support or opposition of the University with regard to any religious or political activity or issue. University resources shall not be used for mass messaging to newsgroups, bulletin boards, mailing lists, or other individuals. Individuals shall not imply University endorsement of products or services of a non-University entity from a University information resource, without approval. Individuals shall not give the impression that they are representing, giving opinions or otherwise making statements on behalf of the University unless authorized to do so. To avoid this, individuals may use a disclaimer such as "The opinions or statements expressed herein should not be taken as a position of or endorsement by California State University, Fresno."

University resources shall not be used to store, distribute, or transmit obscene or offensive material. No individual may hold in files (or Web pages), or transmit electronically, information, which constitutes obscene or offensive material. In this context, the individual is responsible for the content of his/her files, Web pages and messages. Any such data received involuntarily, e.g., through electronic mail, should be deleted. These aforementioned restrictions might not prohibit such access or retention of such materials if they are being used for a specific academic purpose.

## 10. Incidental Use

Information resources are owned and operated by the University and/or its various schools, colleges, departments, auxiliary organizations, programs, recognized student and campus organizations, and are to be used for university-related activities and occasional incidental use. Such resources are provided to facilitate a person's essential work as an employee, student, or other role within the University. Individuals may use University information resources for occasional incidental personal purposes of a private nature if such use does not:

- a. Interfere with the University's operation of its information resources.
- b. Burden the University with noticeable incremental costs.
- c. Interfere with a person's employment or other obligations to the University.
- d. Constitute or result in financial gain.
- e. Involve accessing, creating, downloading, or disseminating any information that a reasonable person would deem inappropriate, such as pornography or racist materials.
- f. Violate any applicable law, university policy, executive order, or contractual obligation.

## 11. Reporting

Suspected violations of this policy should be reported electronically at [security@csufresno.edu](mailto:security@csufresno.edu) or to the

Chief Information Security Officer  
Information Technology Services  
2225 East San Ramon Avenue  
Mail Stop MF93  
Fresno, CA. 93740-8029  
Phone: (559) 278-3923

## 12. Enforcement

Federal and state laws and University policies in some cases apply specifically to the use of information resources. In other cases, they may apply generally to personal conduct in which the use of information resources is incidental. Violations of law may be referred for legal action.

Violations of provisions in this policy will be handled through normal University procedures. Violators may be subject to disciplinary action up to and including dismissal or expulsion under applicable University policies and collective bargaining agreements.

Cases of more serious infractions will be submitted to an appropriate disciplinary authority for further investigation. In such cases, because different laws, policies, and procedures govern appropriate actions involving students, faculty, administrators, or staff, any appropriate actions must follow the appropriate procedures (for example, the various collective bargaining agreements governs appropriate actions involving faculty and staff members and specifies specific procedures).

The University reserves the right to terminate, suspend, and/or limit access to its information resources when policies or laws are violated and to use appropriate means to ensure continued service delivery at all times, preserve network/system integrity, and safeguard its information resources.

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Approved as an Interim Policy by President Welty on February 21, 2008

## **WEB POLICY**

### **I. Purpose**

The purpose of this document is to define a unified Web policy that all campus and campus-affiliated websites shall follow regarding Web standards, accessibility, maintenance, compliance and enforcement.

### **II. Scope**

The policies in this document apply to the websites of all official campus divisions and other administrative units, all campus affiliates, faculty, staff, students and third-party Web applications.

### **III. Web Standard**

All official university websites shall be managed within the campus Web Content Management System (WCMS) and are required to meet standards of accessibility; required information; information architecture and usability; site content and the handling of photo and video archives as defined in this section. Exceptions to this policy will be made on a case-by-case basis after consultation with Web Communications to determine whether exceptions are warranted due to WCMS technical limitations. Campus websites containing, soliciting or collecting protected or personal data shall comply with the CSU Information Security Policy.<sup>1</sup> The campus WCMS provides templates for required information, enables incorporation of university branding, and facilitates site maintenance, while providing for centralized management and support.

#### **1. Accessibility**

All university websites are required to be accessible to individuals with disabilities, conforming to Section 508 of the Rehabilitation Act of 1973, California Government Code 11135 as amended in 1998 to State entities, to the California State University (CSU), and to directives from the California State University Accessible Technology Initiative.<sup>2</sup>

#### **2. Required Information**

All websites shall contain the following information: current copyright information, webmaster email link, last edit date, title and meta tags for campus search, and a link to the campus accessibility statement and disclaimer. In addition, all sites shall include Google Analytics.

#### **3. Information Architecture and Usability**

The organization of information within the website shall be clear, current, easily understood and comply with campus information architecture standards. The navigation must be logical and free of broken links.

#### **4. Site Content**

Site content shall be factually correct and meet university Branding and Graphics Standards as defined at [www.fresnostate.edu/ucomm/brand/](http://www.fresnostate.edu/ucomm/brand/). Additionally, all content, including text, images and media, shall abide by all copyright laws and accessibility requirements.<sup>3</sup>

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<sup>1</sup> Reference CSU Information Security Policy (8070.0)

<sup>2</sup> Reference CSU Executive Order 926

<sup>3</sup> Policy C-08.1 establishes guidelines for using copyrighted material and intellectual property on information technology platforms

**5. Video**

Videos are encouraged on websites; however, this high bandwidth media shall be hosted on the university's streaming server or on third-party services such as YouTube. Upon request, Web Communications will recommend alternative hosting accommodations and assist in moving such files off the university Web server. Web Communications will consider exceptions to this policy on a case-by-case basis.

**6. Photos and Other Documents**

Photo and document files such as images, PDFs, PowerPoint etc. not actively linked on a website are considered archival and shall not be hosted on the campus Web server.

**7. Page Structure**

The official university page structure, standard branding and navigation are defined in the campus Web Content Management System and shall not be altered.

**8. University Branding**

Official university branding comprises official logos, graphics and links and may not be recreated on any non-official websites.

**IV. Requirements for Adoption of the Web Standard**

All schools, colleges, divisions, administrative units, departments, programs, institutes and centers are required to adopt the University Web Standard, including page structure, university branding, and required information as defined at [www.fresnostate.edu/ucomm/brand/](http://www.fresnostate.edu/ucomm/brand/).

**Additional website categories:**

**1. Auxiliaries, Foundations, and Athletics**

Auxiliaries and Foundations are required to adopt the standard page structure and required information. Because of licensing agreements, Athletics sites are exempt from these standards. However, Athletics websites still shall comply with the Brand and Graphics Standards as related to university naming conventions and logo usage as defined at [www.fresnostate.edu/ucomm/brand/](http://www.fresnostate.edu/ucomm/brand/). Web accessibility requirements are enforced for all websites.

**2. Faculty Websites**

Faculty websites used for instructional- or other professionally related purposes shall be hosted on the university Web server, be managed within the WCMS under the [www.fresnostate.edu](http://www.fresnostate.edu) domain, meet Web accessibility requirements, and meet the university standard page structure as defined at [www.fresnostate.edu/ucomm/brand/](http://www.fresnostate.edu/ucomm/brand/). University Communications will coordinate and assist in moving sites into the WCMS.

**3. Henry Madden Library**

The Henry Madden Library develops and integrates information resources and tools that cannot be fully implemented within the content management system and therefore is exempt from inclusion in the content management system. However, the Library will be required to adopt the official University branding and implement it within their Web pages, and meet web accessibility requirements. All Library websites will be developed and supported by Library personnel.

#### **4. Non-Campus Organizational Websites**

Non-campus organizational websites, such as community groups, clubs, associations, etc., with no formal affiliation to the university (as defined below as \*‘‘formal affiliation’’ under Professional Organizations) will not be hosted on university Web servers. Non-campus websites currently hosted on university servers will be archived and removed. Notification will be made to the site owner before any action is taken. Archive copies will be made available to the registered site owner if requested.

#### **5. Personal Websites**

Personal faculty, staff and student websites will not be hosted on university owned or contracted servers. Personal faculty, staff and student websites currently hosted on university servers will be archived and removed. Notification will be made to the site owner before any action is taken. Archive copies will be made available to the individual site owner if requested. Personal websites for the purpose of this policy are defined as those websites containing information, photographs, videos, documents etc. not related to official university business or for instructional-related purposes.

#### **6. Professional Organizations**

Only the websites of professional organizations formally affiliated with the university shall be hosted on university owned or contracted servers. Faculty or staff membership in these organizations alone does not guarantee hosting services from the university. For the purposes of this Web policy, \*‘‘formal affiliation’’ is defined as an entity or individual having a written or formal agreement specifying the terms, expectations and responsibilities related to affiliation. Requests for formal affiliation shall be approved in writing by the Office of the Vice President for Advancement or designee.

#### **7. Student Websites**

Student websites not required as part of instructionally related activity will not be hosted on university owned or contracted servers. Instructionally related student websites shall be hosted in the campus Web environment but are not required to follow university branding requirements or be managed within the Web Content Management System. For the purposes of this policy, student websites are defined as websites primarily for the use of and maintained by individual students, student organizations, clubs, fraternities, sororities etc. Non-instructional student websites currently hosted on university servers will be archived and removed. Notification will be made to the site owner before any action is taken. Archive copies will be made available to the registered site owner if requested.

#### **8. Third-party Web Applications**

Third-party Web applications shall meet accessibility standards and include official university branding when used in instruction or other university business. Third-party applications are subject to university branding requirements, whenever possible. Third-party applications include but are not limited to PeopleSoft, Blackboard and Zimbra. Third-party applications not under direct control of university personnel shall be managed in accordance with the CSU Information Security Policy on Managing Third Parties.<sup>4</sup>

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<sup>4</sup> Refer to CSU Policy 8040.0

**V. Hosting and Domains**

Official university websites shall be hosted on university Web servers and be managed within the WCMS under the [www.fresnostate.edu](http://www.fresnostate.edu) domain. Schools, colleges, divisions, administrative units, departments, programs, institutes and centers are not permitted to host official campus websites on private Web servers without prior written approval from Web Communications.

Schools, colleges, divisions, administrative units, departments, programs, institutes and centers are not permitted to acquire domains outside the [www.fresnostate.edu](http://www.fresnostate.edu) domain without prior written approval from University Communications. Approved domains shall be registered with Network Engineering in Technical Services.

**VI. Advertising**

Commercial advertising on the [www.fresnostate.edu](http://www.fresnostate.edu) domain is prohibited. Websites hosted under official university domains may not advertise or promote private individuals, firms, or corporations, or imply in any manner that Fresno State endorses or favors any specific commercial product, commodity or service. Endorsing some commercial products and services, while excluding others, constitutes preferential treatment and is not allowed.

A commercial advertisement for the purposes of this policy is defined as a logo, text, or other identifier incorporating a link to a website external to Fresno State, placed on a Fresno State Web page in exchange for remuneration or gifts in kind, where placement is intended to promote or market a service, facility, or product offered by the entity's website for a commercial purpose. Advertising includes messages containing qualitative or comparative language, price information, or other indications of savings or value, an endorsement, or an inducement to purchase, sell, or use any company, service, facility or product.

Displaying the name, logo, product or service of a non-Fresno State entity in exchange for money, reduced product or services costs, services not available to the general public at the same costs, or other special consideration may be viewed as violating this policy.

Exceptions to this section include sites built with grant or external funding that require source branding as a granting condition. These sites are, however, required to follow all other university style, branding and policy standards, and meet Web accessibility requirements.

**VII. Linking to Commercial Sites**

All schools, colleges, divisions, administrative units, departments, programs, institutes and centers shall follow university approved methods for formatting and displaying links to commercial sites that provide a particular product or service. However, if your school, college, department, program, center or institute has a formal affiliation with the organization or individual, providing information about an organization or individual may not be considered in violation of this policy.

**VIII. Sponsorships**

The Vice President for University Advancement or designee shall approve sponsorship acknowledgements and/or links to outside commercial sites for sponsorship purposes. Establishing sponsorship acknowledgements or links to outside websites in return for any form of compensation is not permitted without prior approval of the Vice President for University Advancement or designee. Sponsorship logos are permitted as long as the logo is not a live link to a non-California State University, Fresno website. Images, logos, graphics or text used to denote sponsorship affiliations or links to commercial sites shall not in any way imply that the university is endorsing a product, service or company.



For the purposes of this policy, a sponsorship is defined as a logo, text, or other identifier incorporating a link to a website external to Fresno State, placed on a Fresno State webpage to acknowledge a donation of services, products, financial or research support to Fresno State or a school, college, division, administrative unit, department, program, institute or center of Fresno State to support mission-related activities. The IRS defines sponsorship as “a payment for which there is no expectation that the sponsor will receive a ‘substantial return benefit.’ The income received by the sponsored organization is not subject to tax as unrelated business income.”

#### **IX. Displaying Affiliations/Accreditations**

All schools, colleges, divisions, administrative units, departments, programs, institutes and centers shall follow university approved formatting when displaying logos or text links to affiliations or accreditation. For information on acceptable methods to present this information, please see Web Best Practices at [www.fresnostate.edu/advancement/ucomm/brand/web-standards.html](http://www.fresnostate.edu/advancement/ucomm/brand/web-standards.html).

#### **X. Maintenance and Enforcement**

Each school, college, division, administrative unit, department, program, institute and center, Auxiliary and Athletics is responsible for maintaining functional sites with up-to-date content that comply with all university standards and accessibility.

The designated university Accessibility Compliance Officer will monitor sites for compliance, where technically possible. The owners of non-compliant sites will be notified, and the designated university Accessibility Compliance Officer or designee will work with the site owner to develop a plan to bring the site into compliance. If non-compliance persists, sites may be temporarily removed from public access while the site owners work to bring sites back into compliance. The affected sites will be restored to public access upon proof of compliance.

Web Communications reserves the right to modify sites for maintenance purposes without notification to the site owner/developer. Substantive changes such as changes to navigation or site architecture will only be made in consultation with the site owner/developer.

#### **XI. Exceptions**

Where compliance with this policy or accessibility standards is not technically possible or may require extraordinary measures due to the nature or intent of the website, or when utilizing emerging technologies, exceptions to university Web standards may be granted.

Requests for exceptions cannot be based on issues of cost or time alone, and shall include a description of an Equally Effective Alternate Access Plan as defined by ATI Coded Memoranda. If the request is approved in conformance to CSU policy, a timeline shall be determined for provision of the alternate form of access.

Websites that are no longer actively linked to campus websites but are subject to records retention plans are considered to be in archive status and do not have to adopt the university Web standard unless specifically requested to do so by Web Communications. Any exceptions shall be approved in writing by the designated university Accessibility Compliance Officer or designee.

**XII. Auditing, Monitoring and Remediation**

The designated university Accessibility Compliance Officer will perform annual audits for Web and accessibility standards. In addition, ongoing monitoring of site maintenance history and visitor activity will be performed. Site owners will be notified of the outcomes.

Any website that is found to be non-compliant will be required to be brought into compliance. It is up to each school, college, division, administrative unit, department, program, institute or center to coordinate the remediation process with the designated university Accessibility Compliance Officer or designee.

Stagnant sites with poor maintenance histories and low visitor activity may be identified as non-compliant and in need of a remediation plan or removal. The designated university Accessibility Compliance Officer or designee will work with the site owner to establish a plan for renovating such sites.

**XIII. Support and Training**

Support will be provided for the creation and maintenance of websites as well as for website building, software troubleshooting and accessibility compliance. Online training will be available on the Web Content Management System and Web accessibility. Information on training sessions will be announced to campus by email and enrollment will be through My Fresno State under Learning and Development.

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Senate Recommended: February 25, 2013

President Approved: April 5, 2013

**ACCESSIBILITY AND NONDISCRIMINATION POLICY ADDRESSING THE ADA,  
ADAAA, SECTIONS 504 & 508 OF THE REHABILITATION ACT & TITLE 24 OF THE  
CALIFORNIA CODE OF REGULATIONS**

Fresno State is committed to providing campus community members equal opportunity in educational programs, employment, and access to institutional programs and activities in accordance with the Americans with Disabilities Act of 1990, the ADA Amendments Act of 2008, Sections 504 and 508 of the Rehabilitation Act of 1973, and Title 24 of the California Code of Regulations.

Fresno State and its representatives provide access to services, classes, and programs in an equitable manner, and do not discriminate on the basis of race, ethnicity, color, national origin, gender, gender identity, gender expression, age, marital status, religion, genetic information, sex, sexual orientation, pregnancy, mental or physical disability, medical condition, special disabled veteran status, Vietnam-era veteran status or other covered veteran status, because an individual is perceived to have one or more of the foregoing characteristics, or based on his or her association with a person or group with one or more of these actual or perceived characteristics.

In accordance with federal and state law, as well as the California State University systemwide policies promulgated by the Board of Trustees, Fresno State establishes administrative procedures that ensure all members of the campus community can present complaints regarding alleged violations of this policy and other related University policies prohibiting discrimination, harassment and retaliation, including their right to have their complaints heard in accordance with Title 5 regulations and those of other agencies that administer state and federal laws regarding nondiscrimination.

Furthermore, Fresno State prohibits the designation of financial resources by any of its employees or other representatives for participation in or contribution on behalf of the University or any individual employed by or associated with it, to any private organization whose membership practices are discriminatory on the basis of race, ethnicity, color, national origin, gender, gender identity, gender expression, age, marital status, religion, genetic information, sex, sexual orientation, pregnancy, mental or physical disability, medical condition, or special disabled veteran status, Vietnam-era veteran status or other covered veteran status.

Information regarding who to contact to file a complaint of discrimination is contained in three controlling University policies. G-25 is the University policy which contains the procedures for addressing potential instances discrimination, harassment, or retaliation experienced by University faculty, staff members, or student assistants. The California State University's Executive Order 1074 comprises the systemwide student policy and procedure for addressing potential instances of discrimination, harassment or retaliation outside the scope of a student's employment with the University. Complaints made by a student regarding his or her academic adjustment or accommodation within a University educational program as it relates to a

disability are governed by the campus' Services for Students with Disabilities complaint procedure. Students wishing to submit such a complaint should use the form located at <http://www.fresnostate.edu/studentaffairs/ssd/documents/Contact-Request-Complaintform10-2012.pdf>.

## ACCESS TO PROGRAMS AND FACILITIES

It is the policy of Fresno State to provide access to University programs and facilities to individuals with disabilities to the fullest extent which is reasonably possible. Access to persons with disabilities is guaranteed by Sections 504 and 508 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, the ADA Amendments Act of 2008, and by Title 24, California Code of Regulations.

In order for the University to meet its responsibility, the following policies set forth minimum standards for accessibility.

### I. Policy Statement - Access to Facilities Under the American Disabilities Act of 1990 and Title 24 of the California Code of Regulations

Most of Fresno State's facilities were constructed prior to the Americans with Disabilities Act and are therefore not compliant with current requirements for access. In order to upgrade these facilities, the University refers to the ADA Coordinator and to the President's Committee on Disabilities (PCD), in consultation with Facilities and Planning, the responsibility to formulate appropriate strategies to redress problem areas as identified in Fresno State's "Prioritization for Elimination of Architectural Barriers" policy as well as additional barriers brought to the attention of the PCD or ADA Coordinator by other means. The University annually devotes twenty percent of its Minor Capital Outlay funding (currently for projects under costs of \$610,000) for upgrades or renovations to further the campus' goal of fully meeting ADA facility construction standards. Additionally, all new construction or renovation projects financed by Major Capital Outlay state and non-state funds (currently for those projects over \$610,000) are approved through the accessibility compliance review process established by the California Department of General Services' Division of the State Architect (DSA). Audit and analysis of facilities by the University in order to determine whether a remediation plan is necessary to achieve legal requirements for access is ongoing.

All new University buildings and all remodeling projects will be constructed to meet current access guidelines as promulgated by Title 24, California Code of Regulations and will incorporate the concept of universal design wherever soundly achievable. Universal design is "the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaption or specialized design." University furnishings shall be selected and purchased using the concept of universal design. The intent of universal design is to simplify life for everyone by making products, communications, and the built environment more usable by as many people as possible at little or no extra cost. Universal design benefits people of all ages and abilities.

If a program is operated in a location defined as “existing” under Section 504 or Title II, the University will make the program readily accessible to people with disabilities by such means as redesign of equipment, reassignment of classes or other services to accessible buildings, alteration of existing facilities or construction of new facilities in conformance with the requirement of Section 504 and Title II.

## II. Policy Statement- Access to Programs and Courses

Fresno State takes all reasonably necessary steps to ensure that no qualified student, on the basis of a disability, who may be reasonably accommodated, be excluded from participation in, denied the benefits of, or otherwise be subjected to any discrimination under any academic, research, occupational training, housing, counseling, athletics, recreation, other extracurricular activity, or program provided by the University.

In addition, no campus community member or member of the public shall be denied access to any special event as a result of a disability. The campus organization responsible for hosting any such event shall bear the responsibility for any costs associated with providing all necessary reasonable accommodation for event patrons, and shall budget for the potential need for accommodation at any given event accordingly.

All University publications, brochures, handbooks, syllabi, phone directories, etc., intended to convey information regarding courses, programs, or general information to students or members of the public shall be made available in alternate formats such as Braille, large print, or recorded, hearing-accessible media. In most cases, a request for alternate format of printed material, whether for brochures, pamphlets, or event announcements, requires that a text-only electronic version of the publication or announcement be made available. Individuals can then access the information through screen reading software, or by modifying the font size, color, etc., of the printed text. For information on creating alternate format of materials, campus staff can visit the website “For Professional Development of Accessible Technology in the CSU”, <http://teachingcommons.cdl.edu/access/>.

All such printed materials shall include an appropriate notice of Fresno State’s policy of nondiscrimination. All such printed materials shall include one of the following statements, determined as appropriate:

**Full Accommodation Statement** (This statement should be printed in any publication that describes a specific program or special event, e.g., seminar, film, speaker, performing arts series, employment programming, etc.)

*Fresno State does not discriminate in the educational programs or activities it conducts on the basis of race, ethnicity, color, nationality, gender, gender identity, gender expression, age, marital status, religion, mental or physical disability, genetic information, sex, sexual orientation, pregnancy, medical condition, or special disabled veteran status, Vietnam-era veteran status or other covered veteran status. The University encourages persons with disabilities to participate in its programs and activities. If you anticipate needing any type of accommodation or have questions about the physical access provided, please call (telephone number of the sponsor) in advance of your participation or visit.*

**Abbreviated Accommodation Statement** (For very limited use only in fliers or other announcements where space constraints are severe.)

*Persons with disabilities who anticipate needing accommodations or who have questions about physical access may call (telephone number of the sponsor) in advance of the program (or film, event, etc.).*

It is strongly encouraged that a statement informing individuals with disabilities that the information is available in alternate formats be included on your campus publication, flyer or event announcement.

### **Sample Alternate Format Statement**

***This publication is available in alternate formats on request. Please call (insert telephone number of sponsor).***

The statement should be printed in an easy-to-read type size and placed in a location that is easy to notice.

In addition, each University phone line is fully adaptable for TTY use. TTY technology is available to all Fresno State community members and visitors at the University's office for Services for Students with Disabilities located on the first floor in Henry Madden Library, Room 1202. Video relay technology is likewise available at this location.

### **III. Policy Statement- Access to Electronic Information Technology ("E&IT")**

In accordance with Section 508 of the Rehabilitation Act of 1973 and other related federal and state laws, it is the policy of this University that when the institution develops, procures, maintains, or uses electronic and information technology products or services, campus community members with disabilities, including members of the public, will have access to and use of the information gained through the use of E&IT products or service that is comparable to that provides to individuals who do not have a disability, unless an exemption applies.

Meaningful review of all electronic and informational technology products and services being considered for potential purchase by the University technology procurement is conducted in order for the campus to meet its obligation to comply with relevant legislation and regulations regarding assistive technology in the educational environment. To the extent that an E&IT product or service is not exempt from meeting Section 508 technical standards, the University will ensure that equally effective access to the same information provided by the product or service is made readily available to accommodate a disabled user wherever necessary.

This policy statement applies to the following categories of new products or services under consideration for purchase by Fresno State:

- Software applications & Operating Systems;
- Web-based intranet and internet Information & Applications;

- Video and multimedia products, including television displays and computer equipment with display circuitry that receives, decodes and displays broadcasts, cable, videotape and DVD signals;
- Telecommunications products;
- Self-contained, closed products that have embedded software and include, but are not limited to, informational kiosks, Information Transactional Machines, copiers, printers, calculators and fax machines;
- Desktop and portable computers.

Each of Fresno State's eleven (11) existing campus computer labs, including the public lab located in the University's Henry Madden Library, is equipped with at least one accessible computer workstation and related accessible software available for disabled users.

Additionally, Fresno State's home web page and all other pages associated with locations, programs, admissions, schedules, news, and departments shall meet Priority Levels I and II as set forth in Section 508 of the Rehabilitation Act of 1973, and its implementing regulations set forth at Title 36 CFR Part 1194. Every individual web page hosted by the University's web page shall meet, at a minimum, Priority I accessibility standards.

Finally, closed captioning of all television broadcasts and videotaped instructional materials shall be provided to individuals with hearing disabilities upon request. Closed captioning services for instructional materials are provided through Fresno State's Center for Technology Innovations for Learning and Teaching (TILT).

## OUTSIDE SPEAKERS AND EVENTS ON CAMPUS

In accordance with the January 1962 resolution of the Trustees of The California State University that *"... the colleges respectively are directed to continue or develop the policy most appropriate to them to assure that outside speakers brought to the campus will contribute to educational values, that is the pursuit of truth and citizenship values, and not be brought in for propagandizing purposes,"* California State University, Fresno is committed to free discussion of ideas and issues.

### I. PRINCIPLES

The guiding principles underlying this policy are summarized as follows:

1. The regularly scheduled instructional class program of the University must have first priority in the use of university facilities;
2. This Outside Speakers and Events on Campus policy does not apply to speakers invited by the respective faculty or instructors into a specific course in the scheduled classroom or laboratory to teach or interact with students or other invitees in that course.
3. University facilities made available to outside speakers are to be used only in conformance with university policies;
4. The institutional control of campus facilities must not be used as a device of censorship (i.e., of precluding a speaker because of disagreement with the views s/he proposes to present);
5. Outside speakers may appear only on invitation of the University or an officially recognized university organization, and under policies and procedures approved by the President;
6. Every reasonable effort should be made to assure that over a period of time, varied points of view are presented;
7. The right of self-expression does not extend to preventing self-expression by others;
8. The anticipated amount of state or student body funds to be paid to or on behalf of each particular speaker both for fees and expenses is public record and should be noted in the minutes of the sponsoring organization and in the appropriate documents filed with the university or with the Associated Students, Inc.



9. University will continue to pick up normal costs. However, if additional staff have to be hired the event would pay for it.
10. The President or designee may deny any request for, or cancel any scheduled use of university facilities.<sup>1</sup>
11. Individuals planning to host events should initiate plans well in advance of the scheduled date.

## **II. OUTSIDE SPEAKERS AND AUTHORIZED SPONSORS**

An outside speaker, presenter, or performer is a person or group not formally affiliated with the University invited to give a speech, lecture, symposium, panel, musical or artistic performance, or other such presentation on campus or at a university facility.

An outside speaker must be requested by an authorized sponsor. An authorized sponsor is a university academic or administrative unit, or a recognized university group or organization. Student groups are recognized by Student Activities and Leadership Development in accordance with the criteria outlined in the guidelines and procedures for the recognition and governance of student organizations.

Authorized sponsors include:

- a. Departments, programs, colleges/schools, or other appropriate units within Academic Affairs<sup>2</sup>
- b. Units that report to the Vice President for Administration, Vice President for Advancement, and the Vice President for Student Affairs and Dean Of Students.
- c. A student organization that is recognized by the University, and registered with the Office of Student Activities and Leadership Development.<sup>3</sup>

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<sup>1</sup> The denial of a request or the cancellation of scheduled use of university facilities may be due to the interest of public safety and campus security; the projected or actual financial costs to the university; or other sound business reasons.

<sup>2</sup> Using this policy, academic deans are authorized to approve college/school events. However, events intended for a university-wide audience or the general public must be approved by the appropriate vice president or designee.

<sup>3</sup> Individual students and off-campus groups with student membership may not be authorized to use university facilities under this policy, but may request consideration under "Outside Use."

### III. CRITERIA FOR SPONSORED EVENTS

The following conditions must be met:

- A. The potential for achieving the Trustees' objectives must be evident; actions of a group bringing a speaker on campus are subject to review by the University;
  - 1. All proposed events open to the entire campus community or general public shall be authorized by the appropriate vice president or designee.
  - 2. Normal classroom instruction shall not be disrupted.
  - 3. All appeals regarding a denial of authorization for an event shall be forwarded to the President for final review.
- B. The sponsoring group shall be required to provide information about the proposed speech, lecture, music or artistic performance, conference, seminar, or public meeting and the facility or facilities requested.<sup>4</sup>
- C. Each request for an outside speaker or campus event requires completion of the appropriate event scheduling form provided on the University website <http://events.csufresno.edu/forms/>. A number of University offices receive notification and information required on the scheduling form. These offices may include, among others, Public Safety, Facilities, University Police, Scheduling Office, Risk Management, Food Services, and University Relations. Event sponsors should be aware that these offices may need additional information and recommend changes to the event to meet University policy. Requests for additional information typically relate to areas of costs, parking, security, number of attendees, food or alcohol, publicity, and other such matters.
- D. Posters and handbills may be used for announcements subject to posting and distribution regulations, which include the removal of posters and handbills after the event has concluded.

### IV. APPLICATIONS OF AND EXCLUSIONS TO THIS POLICY

- A. This policy does not apply when an outside speaker is brought in to speak, present, or perform to a specific class or lab at the faculty member's normally assigned day, time, and classroom or laboratory.
- B. This policy does not apply when an outside speaker is brought in to speak, present, or perform to more than one class that is normally scheduled on the same day and time of instruction, and the classroom used has been assigned

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<sup>4</sup> See the Policy on Use of University Buildings and Grounds of California State University, Fresno.

- to one of the instructors for this day and time. However, a room request is needed if a different space or time is necessary.
- C. This policy applies to an external speaker, presenter, or performer who is brought into a class when people from outside the class are also invited to or allowed into the event. This requires a request. Some judgment can be exercised here. Allowing a very limited number of students who are not enrolled in the class, but who wanted to sit in on such a presentation, and/or several faculty members who wanted to sit in to see the speaker in the class, would not require a request. However, this would only apply to a very limited number of people who were not enrolled in the class. Inviting people from outside the university to attend the class would automatically fall under the policy and require a request.
  - D. Deans or the appropriate vice president have the authority to approve an event. However, most service officers (with the exception of Food Services) do not have the authority to disapprove an event or to change event parameters. Recommendations by service officers to change or cancel an event must be relayed to both the event sponsor and the appropriate dean or vice president. It is the responsibility of the dean or appropriate vice president to mediate when both parties (event sponsors and service officers) cannot come to an agreement about event parameters.
  - E. This policy does not apply to off-campus individuals or groups that want to request the use of university space. There is separate policy and request process for such activities.
  - F. This policy does not apply to curricular events associated with a specific class, such as extra class meetings, tutoring sessions, make-up examinations, room changes, etc. However, such curricular needs do require a scheduling request because of the possible scheduling implications. A request form is available for these activities.
  - G. This policy does not apply to administrative events that fall under other policies, such as Dog Days, orientations, open houses, schools or departmental meetings, and similar events. A request form is available for these types of activities.

Approved by the President  
 Revised by the Academic Senate on Interim Basis  
 Approved by the President

November 18, 2003  
 May 5, 2005  
 July 20, 2005



CALIFORNIA  
STATE  
UNIVERSITY,  
FRESNO

## MEMORANDUM

**TO:** Kevin Ayotte  
Chair of the Academic Senate

**FROM:** Joseph I. Castro, Ph.D., M.P.P.  
President

A handwritten signature in blue ink, appearing to read 'Joe I. Castro'.

**DATE:** December 16, 2015

**SUBJECT:** **Authorization to Remove Links to APM 626 from the  
Academic Policy Manual  
(Policy and Procedures for Academic Off-Campus Events)**

APM 626 is currently out of compliance with CSU Executive Order 1062 (Field Trip Policy and Procedures). This is your authorization to remove the links to Policy APM 626 and associated forms in the Academic Policy Manual pending revisions to the policy and forms.

Please insert the following language:

Revisions pending. Please go to CSU Executive Order 1062  
(<http://www.calstate.edu/co/EO-1062.pdf>) and/or the Off-Campus Events  
website

(<http://www.fresnostate.edu/adminserv/facilitiesmanagement/ehsrms/riskmgt/trips/index.html>)

JIC:pt

c: Lynnette Zelezny, Provost and Vice President for Academic Affairs  
Dennis Nef, Vice Provost  
Rudy Sanchez, Associate Vice President for Faculty Affairs  
Deborah Adishian-Astone, Interim Vice President for Administration  
Diane Volpp, Faculty Affairs  
Lisa Kao, Manager, EHS/RMS

### Office of the President

Harold H. Haak Administrative Center  
Henry Madden Library, Suite 4104  
5200 North Barton Ave. M/S ML48  
Fresno, CA 93740-8014

559.278.2324  
Fax 559.278.4715

## **POLICY ON PROMOTIONAL PUBLICATIONS AND PRODUCTS**

Promotional publications and products incorporating the University logos and images are required to be reviewed by the Associate Vice President for University Communications and/or Executive Director of Web Communications and Publications.

Promotional publications and products are defined as publications or products originating within the University regardless of funding source that are intended for distribution to a broad on- or off-campus audience; intended to attract new students or to cultivate alumni, prospective donors, or members of the business community; or intended to provide general information about the University, its students, programs, opportunities.

Examples of promotional publications and products are brochures, magazines, booklets, pennants, writing pens, posters, fliers, print and Web advertisements, department or program catalogs and course schedules for departments or University-wide newsletters; and any print material incorporating the official University logos, branding, wordmarks or trademarked images.

Academic or professional publications, submissions to professional journals or other publications, course material etc. are exempt from this policy and are not subject to review. However, when these publications incorporate the official University logos, branding, wordmarks or trademarked images, those official University logos, branding, wordmarks or trademarked images must be presented in accordance with policies set forth in the Branding and Graphics Standards Manual.

Student publications and materials, including promotional materials, also are exempted from this policy. However, when the publications and products incorporate the official University logos, branding, wordmarks or trademarked images, those official University logos, branding, wordmarks or trademarked images must be presented in accordance with policies set forth in the Branding and Graphics Standards Manual.

Editorial counsel and review is vested in the Associate Vice President for University Communications and the Executive Director of University Web Communications and Publications, who are responsible for ensuring effective and coordinated communication between the University and the various publics it serves. This editorial counsel and review is made available:

1. to ensure that, where appropriate, the material published is accurate in the matter of stating fees, entrance requirements, academic regulations, and other official University information;
2. to ensure that the material published does not needlessly duplicate information printed in other University publications;
3. to ensure that all publications have a format, appearance and style in keeping with the standards expected of a University;
4. to help achieve maximum continuity and balance within the publications goals of the University, with special attention to editorial content, scheduling, design, production efficiency and utilization of the finished product; and
5. to provide the means of early recognition and diagnosis of potential negative issues in the publications goals and for discussion of ways to achieve improvement.

**Recommended by the Academic Senate**

November 4, 2014

**Approved by the President**

March 1975  
September 4, 2002  
June 16, 2015

**POLICY ON THE USE OF THE UNIVERSITY'S NAME/SEAL/LOGO  
BY EXTERNAL GROUPS**

It is the policy of The California State University and California State University, Fresno, that the name/seal/logo shall not be used by any commercial enterprise in a way that suggests involvement with that business or endorsement of its products.

On these occasions when it appears that the use of the University's name/seal/logo by external groups may be in the best interests of the University, the President of the University or his designee, at his discretion, may grant permission for such use, subject to the limitations contained in this policy, and may charge an appropriate fee therefor. At present, the Vice President for University Advancement has been authorized to act on behalf of the President in this regard.

All external requests for use of the name/seal/logo or its likeness must be in writing and must have the written approval of the University prior to any such use.

This policy applies to all campus-related entities, including all recognized auxiliary organizations, Centers and Institutes.

Regarding requests for use of the name/seal/logo on food and beverage products, see Policy on Use of University Name, Trademark and Logo on Food and Beverage Products - <http://www.fresnostate.edu/mapp/III/F/>

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Approved	August 1983
Amended	August 1998
Approved	October 28, 2015

## **POLICY ON OFFICIAL CAMPUS STATIONERY AND BUSINESS CARDS**

### **Letterhead**

The official University letterhead has been produced to give the University a colorful, functional and uniform design that is readily identifiable.

University stationery shall bear the seal or logo of California State University, Fresno, usually in full color. The words “The California State University” are to appear at the bottom of the letterhead.

All departments and administrative units within the University must use the official University stationery. Lettering of the subheadings identifying the department, program, area, and/or school must be consistent throughout. Telephone numbers and fax numbers may be printed beneath the unit name.

Official letterhead stationery may be used for academic business functions (including but not limited to reports; grant applications; certificates; professional correspondence with academic societies, colleagues and publishers; and letters of reference). Stationery with the University logo may also be used.

Letterhead stationery with the seal may be obtained from Printing Services and is recommended for all correspondence. Electronic letterhead templates may be requested from University Communications.

Stationery, envelopes and business cards with the University seal or the Fresno State logo are printed with state funds and shall only be used for official university business. Fresno State stationery is not for personal, non-university-business-related use.

### **Business Cards**

It is the policy of the University that the only official business cards are those that are provided through Printing Services, under the supervision of Procurement and Support Services. Size, paper stock, ink, and placement of the University seal and logo are all standard, in accordance with Section 2832 of the State Administrative Manual and the University’s Brand and Graphic Standards Manual - <http://www.fresnostate.edu/advancement/ucomm/brand/cards/index.html>. Lettering of the subheadings identifying the department, program, area, and/or school must be consistent and located in the appropriate area of the layout. Telephone numbers, fax numbers and e-mail addresses may be printed beneath the unit information. Typeface and point size of type will be uniform for all departments and units. The business cards bear the seal of California State University, Fresno, or the Fresno State logo.

If information requested for the card does not conform to the standards set for business cards, the mock-up must be prepared by Printing Services and approved by the Vice President for University Advancement or the University’s Executive Director of Web Communications and Publications. Cards obtained through off-campus printers must be at the employee’s own expense and may not carry the University seal or Fresno State logo.

### **Use of the Seal**

Use of the University seal is limited to official University documents and printed materials directly related to academic purposes.

No office or department may create its own version of the seal. Another seal may not be used in place of the University seal without the express written permission of the Vice President for University Advancement.

The “Fresno State” logo is designed for publications and other printed materials that are directly related to University programs but do not meet the criteria for use of the University seal. Requests for use of the “Fresno State” logo may be directed to University Communications.

Auxiliary corporations and organizations may not use the University seal on their stationery. The “Fresno State” logo is suggested for use by such corporations and organizations.

Printing Services and Procurement and Support Services will not accept orders from official University departments or administrative units if those orders deviate from the official design unless orders have been approved by the Vice President for University Advancement or designee.

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#### **VPAUR/VPAER/VPUA**

March 1984

January 1989

December 1997

#### **Recommended by the Academic Senate**

October 10, 2014

#### **Approved/Amended by the President**

December 11, 2014



## **UNIVERSITY POLICY ON VIDEO MONITORING AND SURVEILLANCE ACTIVITIES**

### **USE AND INSTALLATION OF VIDEO EQUIPMENT**

#### **Introduction**

In order to enhance security and protect the safety of members of the public and community at California State University, Fresno, it has been determined that the use of video monitoring, video recording, or other visual digital recording equipment may prevent losses and aid in the law enforcement activities of the University Police Department. To ensure the protection of individual privacy and other protected rights in accordance with the law, this Policy has been written to standardize procedures for the installation of this type of equipment and the handling, viewing, retention, and destruction of recorded media.

Under no circumstances shall the contents of any video media be exploited for purposes of profit or commercial publication, nor shall recordings be distributed to third parties except as may be required by law.

Appropriate measures to protect individual privacy and other protected rights in the course of video recording of non-public areas and sensitive public areas of the campus will be determined on a case-by-case basis.

#### **Definitions of Monitoring and Surveillance**

For purposes of this policy, video monitoring refers to viewing recorded images, from cameras and monitors that have been approved by the Vice President of Administration, for the purposes of helping enhance public safety. This is done in the interest of public safety and includes the viewing of recorded media or video images for purposes of deterring, detecting and/or confirming suspicious, illegal, or unlawful behavior.

Surveillance, for purposes here, refers to a more-focused type of observation of an individual or group of individuals that involves a closer degree of scrutiny related to the suspicion of potentially unlawful or illegal activity. For any surveillance activity to occur, there must be some connection between information collected and unlawful activity (i.e., reasonable suspicion or probable cause), and it must be approved by the President or his/her designee prior to being conducted.

#### **Permanently Installed Video Equipment or Media Devices**

From time to time and for various reasons, it may be appropriate to permanently install video devices on the campus (for example, for the monitoring of parking lots, computer labs, or other areas where such devices may enhance campus security). In such cases, the following rules will apply:

1. Individual departments, programs, or campus organizations wishing to permanently install video equipment shall submit a request to their appropriate vice president, with a statement justifying the benefit of installing such equipment. The statement must include the proposed location of the device(s), location of the monitor, location of secure storage of recorded media, and the retention schedule for recorded media. The source of funding for the installation must be specifically identified as part of the request.
2. The appropriate vice president will forward the request along with his/her recommendation to the Vice President for Administration.
3. The Vice President for Administration will review the request. After consultation with the University Police Department, the Office of General Counsel, and the University President, the Vice President for Administration will approve or disapprove the installation of the video media services.
4. Unless otherwise directed by the Vice President for Administration, the individual department, program, or campus organization shall contact the Department of Plant Operations to oversee the installation of the video media devices or video recording equipment.
5. Information and signage indicating that permanent video monitoring equipment is in use shall be made available in the areas where the equipment is located and in other university publications.
6. A member of the campus community may file a written request to change the location or limit the visual range of a specific installation of video monitoring equipment based on a belief that it infringes on individual privacy or other protected rights. The request shall be submitted to the Vice President for Administration, and shall (a) identify the location, (b) identify the right believed to be infringed, and (c) provide an explanation of how the video device installation infringes that right. The Vice President for Administration will respond to the request within fourteen (14) business days after receipt. The response will be based on a thorough reconsideration of the initial request to install the devices in light of the campus community member's concerns.
7. Cameras or video monitoring devices will not be installed in classroom spaces or faculty offices. Cameras or video monitoring devices installed in teaching laboratories or research laboratories will only be considered when a department or campus organization assigned to use that space follows the guidelines stated above in paragraphs one through five.
8. All pre-existing permanently installed video equipment on campus must conform to this policy.

### **Temporary Installation of Video Recording Equipment**

From time to time and for various reasons, it may be appropriate to temporarily install video devices on campus (for example, in the course of police investigations in areas of the campus where thefts or breaches have been noted). To ensure individual privacy rights are protected in accordance with the law during the temporary installation of recording equipment for monitoring or for surveillance purposes, the following procedures must be followed before such devices may be temporarily installed anywhere on campus:

1. The University Police Chief shall submit a written request to the Vice President for Administration with a statement justifying the benefits to be derived from the installation of portable video recording devices and the duration of the requested installation. This statement must also describe the proposed location of the installation of the portable recording device(s) as well as the location of the monitor, location of secure storage of recorded media, and the retention schedule for recorded media.
2. The Vice President for Administration will review the request. After consultation with the Office of General Counsel and the university President, the Vice President for Administration will approve or disapprove the temporary installation. The Vice President for Administration is the custodian of the equipment, and his/her approval is necessary before the equipment will be given out to the university Police Department.
3. To the extent possible, the university Police Department will coordinate the use of portable video recording devices with the designated users of the space involved (for example, dean, department chair, or other university administrator). This policy acknowledges, however, that this may not always be possible, given the nature of investigations that may be undertaken by the university Police Department.
4. Cameras or video monitoring devices will not be installed in classroom spaces or faculty offices. Cameras or video monitoring devices installed in teaching laboratories or research laboratories will only be considered when a department or campus organization assigned to use that space follows the guidelines stated in paragraphs one through five on page 648-2. If the police department makes such a request, it must follow the procedure outlined above in paragraphs one through three.
5. No video recording equipment may be temporarily installed on campus except as provided in this policy.

### **Monitoring Live Media**

The Department of Public Safety will ensure that operators and supervisors involved in video monitoring perform their duties in a responsible, legal, and ethical manner. Applicable requirements include, but are not limited to, the following:

1. Camera control operators will only conduct video observation of areas that are in plain view of the public.
2. Camera control operators are authorized to conduct monitoring based only on suspicious conduct or other legitimate need to ensure campus safety. In particular:

- a. Monitoring based on characteristics such as race, gender, ethnicity, sexual orientation, disability, or other classifications protected by the university's non-discrimination policy is prohibited.
  - b. Monitoring based on political or ideological viewpoint is prohibited.
- 3. Camera control operators will not view private rooms or areas through windows unless there is reasonable suspicion or probable cause.
- 4. Camera control operators will not continuously view people becoming intimate in public areas.
- 5. Camera control operators will be trained in the technical, legal, and ethical bounds of appropriate camera use, including cultural awareness. Each camera control operator will be provided a copy of this policy. Not permissible with CBA.

### **Viewing Recorded Media**

Only authorized members of the university Police Department or the university's Risk Management Department may review the results of the use of recording equipment. Other individuals who may have a legitimate need (in accordance with the law) to review the recorded material may be permitted to do so, but only with the prior approval of the Vice President for Administration. The following three special circumstances should be noted regarding recorded media:

- 1. If it is determined that a crime has occurred in an area where video recording may have taken place, then the recorded media shall be reviewed by authorized members of the university Police Department to determine if the incident has actually been recorded. If it is determined that the media does contain evidence of a crime, then that portion of the media will be maintained according to police procedures.
- 2. If it is determined that an accident has occurred in an area subject to video monitoring, then the recorded media shall be reviewed by authorized members of the university Police Department and/or the university's Risk Management Department to determine if it contains evidence. If it is determined to contain such evidence, then that portion of the video recorded media will be maintained according to appropriate procedures.
- 3. Recorded media that does not contain evidence of a crime or accident may be maintained for a maximum of thirty (30) days.

### **Retention Period for Recorded Media**

The results of video recorded media shall be maintained for a reasonable period that will allow sufficient time for the public to report a crime or an accident, which is defined as a minimum of five (5) days and a maximum of thirty (30). For each approved recording system, a clear retention schedule shall be established as part of the approval process and must be adhered to very strictly. All recorded media must be stored in a secure location, the nature of which must be identified as part of the approval process.

### **COVERT SURVEILLANCE BY UNIVERSITY POLICE OR OTHER LAW ENFORCEMENT AGENCIES**

Academic freedom is an essential feature of American universities, and scholarship does not flourish in atmospheres of suspicion and distrust. University police officers may attend university events to promote public safety, and will ordinarily wear their official uniforms as a deterrent to criminal activity. On occasion, it may be necessary and appropriate for university police to conduct surveillance activities at public meetings of university-sponsored organizations and events. The intellectual life of this university and the preservation of academic freedom demand that any such surveillance activities be strictly scrutinized and be conducted consistent with laws governing this activity.

“Campus surveillance activities,” as used in this section, refers to covert or undercover activities undertaken by university police in order to gather information at public meetings of university-sponsored organizations or in university classrooms.

In order for surveillance to occur

1. There must reasonable grounds to believe that persons who are the target of surveillance are engaging or may have engaged in illegal activity; and
2. There must be convincing justification that information cannot be achieved by less intrusive means. Before conducting campus surveillance activity, university police shall seek advance written approval from the President or his/her designee. The request shall be made in writing. The request must:
  - a. identify the proposed campus surveillance activity.
  - b. provide clear and compelling evidence of illegal activity.
  - c. show that the purpose of the proposed campus surveillance activity cannot be achieved by less intrusive means.
  - d. propose a reasonable time limit for the surveillance. The President and his/her designee must provide to the university police written notification of approval or disapproval of the request.

In addition, any covert surveillance undertaken must follow the following principles:

- (1) Covert surveillance based solely on participation in activities protected by the United States Constitution and the Constitution of the State of California is prohibited.
- (2) Covert surveillance based on political or ideological viewpoint is prohibited.
- (3) Covert surveillance based on characteristics such as race, gender, ethnicity, sexual orientation, disability, or other classifications protected by the university's non-discrimination policy is prohibited.
- (4) Information gathered by covert surveillance may not be used by the university for any personnel action without following the established personnel policies and procedures.
- (5) Any proposed covert surveillance which does not meet the standards above shall be prohibited unless laws or legal precedent modify these standards.

California State University, Fresno is committed to preserving and upholding the freedom of speech, assembly, association, and privacy, the right to counsel and due process in judicial proceedings, and protection from unreasonable searches and seizures, even if requested to do otherwise and infringe upon such rights by local, state, or federal law enforcement agencies. University police shall immediately advise the President and/or the Vice President for Administration if any off-campus law enforcement agency requests or gives notice that it intends to enter the campus to conduct campus surveillance. The President and/or the Vice President for Administration, after consultation with the Office of General Counsel, will decide based on available information

- (a) whether there is a compelling justification for such surveillance
- (b) whether its purpose could be achieved by less intrusive means
- (c) whether the university should comply, and
- (d) if not, the appropriate action to be taken.

If a decision is made to comply, that decision shall be revisited from time to time, as appropriate. If a decision is made to comply and the surveillance is ongoing, the President and/or Vice President for Administration should review the decision monthly.

To ensure that covert surveillance on campus complies with the conditions and limitations in this policy and that it does not interfere with academic freedom and the intellectual life of the university, a subcommittee of the Academic Policy and Planning Committee will be established to review covert surveillance activities. This subcommittee will consist of the chair of the Academic Policy and Planning Committee and two other members of AP&P to be elected from that committee and two faculty members at-large. Twice during each academic year, the President and the university Police Chief shall provide to the subcommittee the following information at a scheduled meeting:

- A summary of all requests for covert surveillance submitted to the President since the last meeting, including number of requests and rationale for each request.
- A report on the responses to the requests, including which requests were approved and which were denied and how long the surveillance was conducted
- A summary of the outcome of each surveillance activity undertaken.

The subcommittee's responsibility shall be to review this information to make sure that all covert surveillance complies with this policy and to make recommendations to the Academic Senate if any changes in the policy are deemed necessary.

### **TRAINING**

The Director of Public Safety and all MPPs of the university Police Department will be provided with a copy of this policy and required to sign an acknowledgment of receipt. All MPPs of the university Police Department will receive periodic training that includes the importance of protecting civil liberties and academic freedom on a university campus.

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Approved by the Academic Senate	October 8, 2001
Revisions Approved by the Academic Senate	February 12, 2007
Approved by the President	October 23, 2001
Revisions Approved by the President as an Interim Policy	May 12, 2007
Approved by the President	January 16, 2008

## **Policy on the Review and Approval of International Agreements**

As required by CSU Executive Order 1080, each campus of the California State University must have a formal and documented campus review and approval process for international agreements. As defined in the Executive Order, an international agreement involves an agreement with a partner where the CSU makes a commitment of resources to engage in activities with international students, universities or other persons or entities doing business outside of the United States. Such agreements include degree programs offered abroad, articulation agreements, agreements with agents or partnerships to recruit international students, student, staff and faculty exchange, and study abroad.

The President of California State University, Fresno has been delegated responsibility for approval of all international agreements and only the President has the authority to execute such agreements. The President shall execute international agreements only upon documented completion of the following process:

1. Use of Standardized Agreement Templates: Where possible, development of all proposed international agreements will begin with one of the standardized templates developed by the CSU Office of General Counsel. Such templates are available on the Fresno State International Agreements website at [www.csufresno.edu/cge/international/agreements/](http://www.csufresno.edu/cge/international/agreements/).
2. Department and School/College Consultation: Each agreement shall be reviewed and approved internally through relevant School/College consultation processes as established in each respective unit.
3. School/College Approval: The School/College Dean shall review and approve all proposed agreements in their respective units. Prior to approval, the Dean shall review and endorse the general concept of the agreement, review and vet the potential partner institution and ensure that it is accredited and recognized by appropriate educational ministries/authorities, and review all supporting documentation for the proposed activities to be enacted under the agreement.
4. Continuing and Global Education's Approval: The Division of Continuing and Global Education's ("CGE") Manager of Administration and Global Operations ("Manager") shall review and approve all proposed agreements. Prior to approval, the Manager shall ensure that all requirements of Executive Order 1080 have been met, that the agreement contains required provisions and clauses as stipulated by CSU standards, that the proposed activities and associated financial models are fiscally sound and viable, and that the agreement's form and scope are accurate and acceptable.
5. Constituent Review: The Manager shall initiate a ten (10) day request for review and comments period for all proposed agreements. At a minimum, the following campus departments will be invited to review and comment on a proposed agreement, subject to expansion as appropriate in the discretion of the Manager:
  - a. Academic Programs and Resources
  - b. Academic Records and Evaluations
  - c. Financial Aid
  - d. International Student Services and Programs
  - e. Office of the President
  - f. Office of the Provost and Vice President for Academic Affairs
  - g. Procurement
  - h. Risk Management
  - i. Student Financial Services



At the close of the ten (10) day review period, the Manager shall provide a written summary of all feedback received to the constituents noted above. The Manager shall review and incorporate written comments into the agreement as appropriate. The final draft agreement shall be forwarded back to the sponsoring School/College Dean with a summary of all incorporated changes.

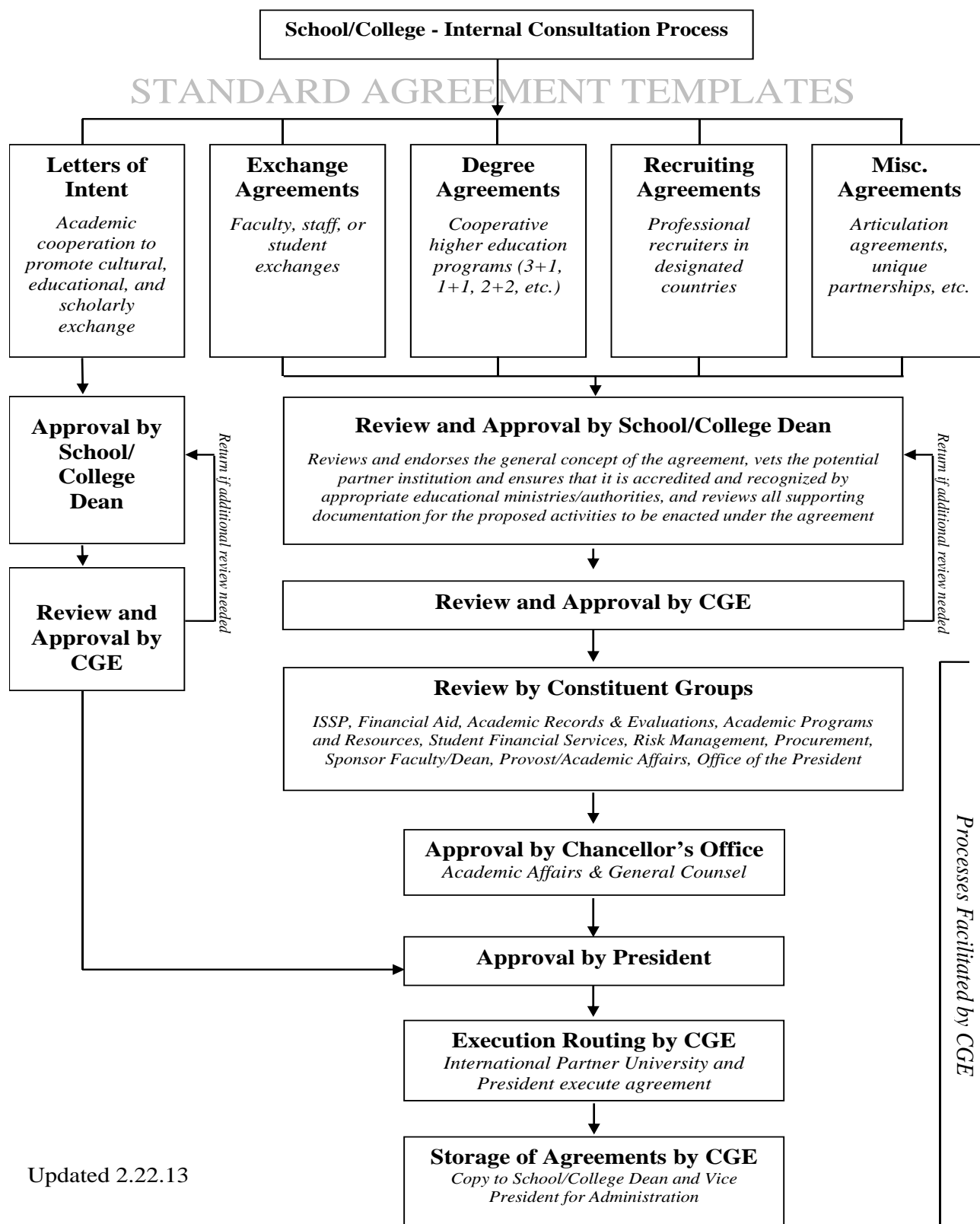
6. Chancellor's Office Review and Approval: The Manager shall forward a final draft of the proposed agreement to the Chancellor's Office ("CO") in compliance with the Executive Order. The Manager shall serve as the principal liaison to the CO and shall cause any modifications required by the CO to be made to the proposed agreement, in consultation with relevant constituents and the sponsoring School/College Dean.
7. Presidential Approval: The Manager shall forward the final agreement approved by the CO to the University President. The memorandum of transmittal to the President shall include a narrative describing all consultation undertaken, as well as a summary of all material changes introduced through the process. The President shall review and approve the agreement, without executing it, and return it to the Manager for distribution.
8. Foreign University Execution: Upon receipt of Presidential approval, the Manager shall route the agreement for execution by the foreign institution.
9. Presidential Execution: Once the executed agreement is received from the foreign institution, the Manager shall route the agreement, with all supporting documentation, to the President for final execution.
10. Distribution and Storage of Agreements: All fully executed agreements shall be stored in CGE in compliance with CSU document retention policies. Such agreements shall also be posted online on the Fresno State International Agreement Website. CGE shall annually transmit an index of all current international agreements to the CSU Chancellor's Office, in compliance with the Executive Order.

The attached *University Approval Process for International Agreements Flowchart* provides a graphical illustration of the processes required for compliance with this policy.

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Approved by the President: February 2013

## UNIVERSITY APPROVAL PROCESS FOR INTERNATIONAL AGREEMENTS FLOWCHART



Updated 2.22.13