

**RESOLUTION REGARDING APPENDIX K: RANGE ELEVATION
PROCESS FOR UNIT 3 TEMPORARY EMPLOYEES
(#11-98/99-FA)**

WHEREAS, Humboldt State University currently has no formal procedure by which Unit 3 temporary employees (lecturers, librarians, counselors and coaches) may apply for elevation in range; and

WHEREAS, The absence of a formal procedure for range elevation for Unit 3 temporary employees has resulted in a situation whereby such individuals can remain at a given step and range for indefinite periods of time; and

WHEREAS, It is important that all Unit 3 temporary employees be permitted a common opportunity for upward career recognition; therefore, be it

RESOLVED: That the Academic Senate of Humboldt State University recommend adoption of the attached Appendix K as institutional policy; and be it further

RESOLVED: That Academic Senate of Humboldt State University recommend that the attached Appendix K be submitted to the general faculty for ratification in the Spring Semester of 1999; and be it further

RESOLVED: That the Academic Senate of Humboldt State University recommend that, if approved by the general faculty, Appendix K become effective in the Fall Semester of 1999.

APPENDIX K

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I. STATEMENT OF PURPOSE

- A. The purpose of this document is to establish a formal process whereby Unit 3 temporary employees (lecturers, librarians, counselors and coaches) who have reached the top of their current SSI range, who have received the maximum number of step increases allowed within their range, or who have attained an advanced degree since their initial appointment at the university can apply for elevation to the next higher range. It is important that all Unit 3 temporary employees be permitted a common opportunity for upward career recognition. It is the intention that the elevation be both professional and financial, with the elevation resulting in a salary at or above that which the Unit 3 employee received in the previous range. This appendix establishes campus-wide guidelines and policies for review and range elevation for Unit 3 temporary employees.
- B. This document outlines the criteria and processes by which Unit 3 temporary employees may apply for elevation in range, including eligibility, standards, required supporting documentation, review and decision process, and appeal procedures. The overall process consists of submitting evidence of outstanding performance of professional duties as defined in the Unit 3 temporary employee's workload assignment, which is then reviewed by extant faculty personnel committees. Final recommendations are made to the President by the University Faculty Personnel Committee (UFPC). Consistent with other personnel practices, candidates have the right to full knowledge of all processes, decisions and actions, which includes the right of appeal/reconsideration.
- C. It is understood that those criteria that apply to initial range appointments subsequently must be considered in light of the Unit 3 Temporary Employees' actual contributions to the academic mission of this institution, as well as their professional growth in those activities that have been defined in their workload assignments or that enhance their job performance. Therefore, in considering applications for range elevation, outstanding achievement in performance of duties outlined in the candidate's workload assignment, or in activities that enhance performance of such duties, will supersede those criteria that govern initial placement (see Section II below).
- D. All university employees involved in this process shall act in good faith by complying with this policy.
- E. Guidelines and policies within this Appendix must comply with the content and language of the Collective Bargaining Agreement (CBA) between the Trustees of the California State University (CSU) and the California Faculty Association (CFA), and Title 5 of the California Administrative Code. The language of the CBA shall take precedence in matters of interpretation. [CBA 2.13]

II. CONDITIONS OF INITIAL TEMPORARY APPOINTMENT

- A. Unit 3 temporary employee initial appointments shall be made in accordance with the following criteria.

<u>Range</u>	<u>Educational Standard</u>	<u>Responsibilities</u>
L	Baccalaureate or Recognized Equivalent	Teaching responsibilities will not normally include complete preparation or complete responsibility for the teaching of a given course; or library, counseling or coaching duties will be assigned and overseen by a supervisor.
A	Baccalaureate, Master's Degree, or Recognized Equivalent	Appointee has major responsibility for conducting one or more classes with well defined curriculum; or specified library, counseling or coaching duties are performed under supervision, as defined in the appointment document.
B	Master's Degree, Doctorate, or Recognized Equivalent	Duties include full responsibility for preparation and teaching specific courses or sections of courses; or involve independent performance of specified library, counseling or coaching duties.
C	Master's Degree, Doctorate, or Recognized Equivalent	Appointee is able to perform assigned teaching, library, counseling or coaching duties without direct supervision.
D	Master's Degree, Doctorate, or Recognized Equivalent	Appointee is able to perform assigned teaching, library, counseling or coaching duties at an advanced level without direct supervision.

- B. A temporary appointment is offered for a specified period of time and will include a job description by the employing department(s) or unit(s), and evaluation criteria and procedures consistent with the department(s) or unit(s) practice(s), Appendix K and the CBA. [CBA 12.3-12.9, 15.21-15.24]

III. CONDITIONS FOR ELEVATION IN RANGE

A. Eligibility

Candidates who have reached the top of their range, received the maximum number of step increases allowed within their range, or who have attained an advanced degree since their initial appointment at the university, are eligible for range elevation review on the basis of outstanding performance of their workload assignments and other relevant activities, irrespective of the criteria governing initial range placement.

B. Process

1. For Unit 3 temporary employees serving multiple departments or units, the candidate must apply in all departments and/or units in which s/he has reached the top of the range.

2. The President shall announce timelines for the range elevation review process after receiving recommendations from the UFPC.
3. Unit 3 temporary employees seeking range elevation shall prepare a Range Elevation Portfolio (REP) which addresses their accomplishments in those areas that fall within their workload assignments. Candidates who have performed activities beyond those specified in their workload assignments, but which enhance their effectiveness in performing workload related activities, may provide documentation of such activities for consideration in their applications for range elevation. **However, the principal criteria governing range elevation decisions shall be those related to the candidate's workload assignment.**
4. Based upon the candidate's REP, by June 1 the President shall notify the candidate of his/her final decision on range elevation following consultation with the UFPC. Such decision shall be made in writing and shall include reasons for the decision based upon the candidate's performance as defined in her/his workload assignment and other relevant criteria.

C. Areas of Performance

1. *Effectiveness in performing workload assignment duties:* The primary work of lecturers is in the classroom and the most critical evidence to support movement from one range to the next higher range is outstanding teaching effectiveness. Evaluations of teaching effectiveness shall be based on student, peer and administrative statements. Typical data should include student evaluations of the instructor and/or class, student letters, peer letters from colleagues within or outside of the candidate's area of service who have direct experience with the candidate's teaching effectiveness, and administrative review documents when available. In the cases of Unit 3 temporary librarians, counselors and coaches, typical data may include annual collegial evaluations and summaries prepared by the appropriate supervisor(s) or evaluating committees within the initiating unit. If the candidate's workload assignment includes responsibilities not defined above, his/her contributions in such areas shall be documented by peer evaluations that specifically address the candidate's performance in those additional areas of workload assignment.
2. *Activities that support performance of workload assignment:* While performance of her/his defined workload assignment typically comprises the majority of the Unit 3 temporary employee's professional activities, various outside involvements may influence or enhance the academic experience of students. Examples of these activities may include community service on a project related to the Unit 3 temporary employee's discipline, or research activities that can be related directly to the performance of the employee's assigned duties. Unit 3 temporary employees are encouraged to document these activities in the REP so that reviewers may consider these additional assets. However, it is not expected that Unit 3 temporary employees engage in the traditional areas of scholarship and creative activities, service to the university and profession, and service to the community, as delineated for tenure track faculty.

3. *Activities in addition to performance of workload assignment:* Unit 3 temporary employees may be involved in assigned, paid or unpaid ancillary work. Achievement in these areas should be substantiated by those most familiar with such tasks. If the work was departmental, for example, a committee or department chair could document the quality and importance of that work. If the work was based at the college level or all-library level, appropriate peer level letters would enable committees to accurately recognize those duties/contributions. Since most Unit 3 temporary employee's duties are defined in their workload assignment, it is expected that only a small number will need to document activities that fall outside of these defined duties.

IV. RANGE ELEVATION PORTFOLIO

Unit 3 temporary employees whose files will be reviewed for the purpose of consideration for range elevation shall include the following materials in their REPs.

- A. A statement of professional philosophy that explains the candidate's orientation to teaching, librarianship, coaching and/or counseling, as appropriate, and her/his professional commitment to the academic discipline within which range elevation is being sought.
- B. A current curriculum vitae which must include personal and professional information relevant to the purpose for which the candidate is being reviewed. The kinds of materials that typically are considered relevant include, but are not limited to:
 1. the candidate's name, current address, phone number and e-mail address;
 2. the candidate's current academic discipline, department or unit of employment;
 3. a record of employment, stating where and when the candidate has been employed in the past, and her/his primary job responsibilities;
 4. a record of educational background, stating where and when the candidate has been educated, and what degrees and awards have been received;
 5. a record of effectiveness in the candidate's specific workload assignment, where and when such experiences have accrued, and a list of areas where the candidate possesses special competencies (areas of specialization); and
 6. if applicable, a record of effectiveness in scholarship and creative activities, service to the university and profession, and service to the community.
- C. Letters of recommendation that clearly and sufficiently address the candidate's effectiveness in one or more of the areas relevant to the review process.
- D. Previous annual performance evaluations from the candidate's peers and/or department or unit supervisors or committees.
- E. For candidates whose workload assignments include teaching, both qualitative and quantitative student evaluations that clearly and sufficiently represent the candidate's present teaching effectiveness.

V. REVIEW PROCESS

- A. **Function:** The function of the review process is to make recommendations to the President for range elevation of temporary personnel in Unit 3.
- B. **Process**
 - 1. The review process will use existing personnel committees as outlined in Appendix J. The IUPC will forward its recommendation to the college committee. The college committees will forward their recommendations to the University Faculty Personnel Committee and the UFPC will make a recommendation to the President. Faculty units that do not have the equivalent of a college personnel committee will forward their recommendations directly to the UFPC.
 - 2. The REP file shall be incorporated by reference into the Unit 3 temporary employee's PAF. Issues related to the PAF custodian, and access, additions and corrections to the PAF, shall be handled as outlined in Appendix J, V.A-D.
 - 3. The President will consult with the UFPC before making a final decision on any candidate. The President shall use reasoned judgment in support of any decision he/she makes regarding a recommendation from the UFPC. In the event that the President overturns a recommendation of the UFPC, the President shall give reasons that are specific for the individual case and sufficient to persuade any reasonable, disinterested person that the UFPC's recommendation should be overturned.

VI. DECISIONS AND APPEALS

- A. If a Unit 3 temporary employee believes that a misinterpretation of the CBA or this appendix, or a procedural error, has been committed by a review committee, he/she may request in writing, with copies to all personnel committees, that the next higher committee investigate. In the case of the UFPC, the request shall be submitted to the Academic Senate Executive Committee.
- B. If the investigating committee or the Academic Senate Executive Committee determines that there has been a misinterpretation or procedural violation, a faculty unit employee may take the matter to the Academic Senate. The Academic Senate may request a directive of compliance from the University President.
- C. The above procedures do not replace the employee's right to grievance procedures, which may be filed in accordance with Article 10 of the CBA.