



Exhibit 6.4.a.2 (cross –linked with 5.4.f.4)

Collective Bargaining Agreement between Connecticut State University American Association of University Professors and Board of Trustees for Connecticut State University System August 25, 2007 – August 25, 2011

4.11.3 Evaluation for Promotion

On the basis of available information, by September 15 of each year, the DEC shall inform any full-time members of their department who meet the standards specified for promotion (see Articles 5.3.1 - 5.3.4). A member wishing to be considered for promotion shall so indicate in writing by September 25, to the Department Chairperson and the DEC Chairperson. In addition, a promotion recommendation for an eligible member may be initiated by the DEC (see also Article 5.3.5). A member may withdraw after the commencement of the promotion process and shall thereby waive all claims for that year.

4.11.4 DEC Membership

The membership of the DEC shall include only tenured members of the department. If in the judgment of the Provost, this provision works a hardship on a department, the Senate in agreement with the Provost shall determine procedures for resolving the problem, but in no case shall persons under consideration for promotion serve on the DEC during any deliberations on promotion.⁶

4.11.5 The evaluation schedule for those full-time members who are not appointed at the beginning of a semester shall follow the evaluation schedule of full-time members employed at the beginning of the semester closest to their appointment date. By the appropriate date specified in Article 4.11, the DEC chairperson shall inform in writing each full-time member to be evaluated of (1) the fact and purpose of the evaluation, (2) the opportunity to submit material to the DEC, and (3) the opportunity to appear personally before the DEC prior to the DEC's recommendation.

4.11.6 By October 1 of each academic year the President or designee shall make available to the DEC the personnel file of those full-time members to be evaluated subject to the provisions of Article 4.14.2.

4.11.7 In making its peer evaluations for renewal, promotion, and tenure the DEC shall consider all materials supplied by the candidate and may solicit additional information pertinent to the categories of evaluation. Peer review through observation of load credit activity should normally be a part of evaluations, especially in pre-tenure evaluations. For full-time members who are engaged in classroom teaching, the DEC shall obtain and use the data from a written student survey instrument. For full-time members who are engaged in other duties or have assignments in more than one department, the DEC shall seek and use appropriate information relating to all elements of the member's duties.

4.11.8 Student Opinion Survey The practice of conducting student opinion surveys of teaching faculty (see Article 4.11.7) shall be continued using evaluation instruments and a procedure for administering them that are designed or approved by the department. The procedure for

administering the surveys, including a statement governing collection, routing, and disposition, shall include the requirements that:

- (1) The evaluation shall be administered by a third party; and
- (2) Students shall be apprised of the survey process and assured the completed survey will not be viewed by the instructor until all grades have been posted.

It is understood that members may use evaluation forms in addition to the approved instrument.

4.11.9 Evaluation Criterion and Categories for Full-time Teaching Faculty It is recognized that faculty work outside specific requirements identified in this Agreement by maintaining and updating professional skills through activities such as review of professional journals, participation in curricular revisions, course updating, pursuit of research, publication and other scholarly activities.

The criterion for evaluating and recommending full-time teaching faculty shall be the quality of activity, including keeping current in one's field, within each of the categories listed below (Articles 4.11.9.1 - 4.11.9.5). All individuals and bodies evaluating members shall weight these categories in the order listed. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 shall be considered in the evaluation process for renewal, promotion or tenure. (See Article 6.8 – Coaches Evaluation Criterion; Article 6.9 – Non-Instructional Athletic Trainer Evaluation Criterion; Article 7.3 – Counselor Evaluation Criterion; and Article 8.3 – Librarian Evaluation Criterion.)

4.11.9.1 Load credit activity for which the member receives load credit or the equivalent, e.g. one or more of the following: teaching, coaching, counseling, department chairperson, division director, library service, research, student supervision, or any other function specified in the letter of appointment or subsequent extension or modifications of such appointment (see Article 4.7), or identified in a letter of agreement (see Article 10.4).

4.11.9.2 Creative activity appropriate to one's field, such as delivering papers at professional conferences, production/performance of artistic works, research, study, and publication.

4.11.9.3 Productive service to the department and university.

4.11.9.4 Professional activity, such as attendance and participation in conferences and workshops, membership and service in appropriate professional organizations and other professional activities.

4.11.9.5 Years in rank.

4.11.10 Following deliberations the DEC shall make a written evaluation and recommendation with supporting reasons based on the above criterion. Each recommendation shall be signed by all members of the DEC. If a DEC member elects to write a minority report, it shall be appended to the Committee report. A copy of the DEC's recommendation including supporting reasons shall be sent to the affected member upon issuance and a copy shall be placed in the member's personnel file.

4.11.11 By the appropriate date specified in Table 1, the DEC shall transmit its written evaluation and recommendations with supporting reasons to the appropriate academic dean, together with all materials submitted to and considered by the DEC (see Articles 4.14.1, 4.14.2.7, and 4.14.2.8).

4.11.12 By the appropriate date specified in Table 1, the appropriate academic dean shall review and consider all of the material submitted and make a recommendation based primarily on that material. Copies of any other material shall be provided to the evaluatee and the members of the DEC. A copy of the Dean's recommendation shall be sent to the affected member upon issuance and a copy placed in the member's personnel file. Recommendations for tenure and/or promotion, along CSU-AAUP Collective Bargaining Agreement 2007- 2011 28 . If with all of the previously submitted material, shall be transmitted to the University-wide Promotion and Tenure Committee. Recommendations for renewal shall be similarly transmitted to the Chief Academic Officer. A copy of any recommendation of the Chief Academic Affairs Officer also shall be provided to the affected member.

4.11.13 Each university shall have a promotion and tenure committee composed of members elected from among full-time members. Committee composition and procedures shall be determined in accord with local rules as specified by the senate and approved by the president except that (1) membership shall be restricted to tenured associate and full professors and (2) no more than two members from an academic department shall serve on the committee in any given academic year.

Any member being considered for promotion or tenure shall be given an opportunity to appear before the committee prior to its recommendation to the Provost. By the appropriate date specified in Table 1, the Promotion and Tenure Committee shall make a recommendation to the Provost after considering all previously submitted material and recommendations. A copy of the University-wide Promotion and Tenure Committee recommendation shall be sent to the affected member upon issuance, and a copy shall be placed in the member's personnel file.

4.11.14 By the appropriate date specified in Table 1, the Provost, following consultation with the President, shall make recommendations for promotion and tenure to the Board informing the member at the same time.⁷

A Provost who disagrees with the recommendation of the Promotion and Tenure Committee and who denies tenure after completion of the member's sixth (6th) year of service, shall provide the member and that committee with a written explanation. A Provost who disagrees with the recommendation of the Committee and recommends tenure shall provide the Committee with an explanation. The Provost's explanation shall be held in confidence by the Committee subject to applicable statutes.

If the Provost is the ultimate decision-maker and disagrees with two (2) of the three (3) evaluative entities (DEC, Dean, and Promotion and Tenure Committee) and denies tenure in the penultimate year of service,⁸ In the absence of the Provost, the President shall review the assessment in turn after the Dean.

the President shall review and may alter the Provost's decision prior to the date specified in Table 1 on which the Board announces its tenure actions.

4.11.15 By the appropriate date specified in Table 1, the Board shall announce its promotion and tenure actions and inform affected members promptly.

4.11.16 All dates specified in this section shall be accelerated when necessary to meet the standards of notice in Article 4.9.

4.12 Professional Assessment

Each tenured member shall receive one professional assessment every six (6) years unless: (a) the DEC, in an effort to assist, schedules the next assessment in less than six (6) years, or (b) the affected member requests more frequent assessment. The DEC shall honor such requests. The

purpose of this assessment shall be to measure the member's teaching effectiveness, and/or primary professional function, service to the department and university, scholarship and professional activity in order to further the member's professional growth. This assessment shall be made by the DEC in accordance with procedures developed by the Senate and approved by the President pursuant to Article 5.10, and in accordance with Articles 4.11.6 - 4.11.9 of this Agreement.

Professional assessments shall follow a schedule recommended by the Senate and approved by the President. A DEC may schedule an increased frequency of assessment only on the occasion of a regularly scheduled assessment. Information developed by the DEC for promotion and tenure evaluations may be used for professional assessments. Where this is the university practice, another assessment shall not be required for six (6) years. All assessments completed by a DEC will be reviewed by the member, who shall be provided at least two (2) days to append comment before the assessment is sent to the appropriate Dean. All assessments which have been reviewed by the member will be sent promptly to the Dean along with all materials reviewed by the DEC and any comments from the member. The Provost will review the assessment after the Dean. Assessments reviewed by the Provost will be placed along with member comments in the member's personnel file. After placement of the assessment in the member's file, supporting documents will be returned to the DEC for disposal. The format for these assessments shall be proposed by the Senate and approved by the President.

4.13 Special Assessment

The intent of a special assessment is to identify problems regarding a member's performance of duties and, if necessary, to develop a plan to address these problems.

When the appropriate Dean or Vice President has reasonable grounds to believe there is a problem regarding a member's performance of duties, the Dean shall meet with the member, and any other appropriate individuals, in an attempt to clarify and, if necessary, rectify the situation. If, following such meeting(s), the Dean or Vice President determines that a special assessment is called for, the Dean shall meet and confer with the appropriate chairperson in the design of an appropriate evaluation, which may or may not involve the DEC, and shall inform the affected member in writing of the particulars of the scheduled evaluation. The evaluator(s) shall submit a written report of the results of the evaluation, including any recommended actions, to the Dean, the Chairperson and the affected member; such report shall be placed in the member's personnel file.

Should the evaluation report identify matters requiring remedial action, the evaluators, in consultation with the affected member, shall develop a specific plan with a schedule of compliance, which shall be implemented. The evaluators shall provide a written copy of the plan to be implemented to the affected member, the Dean or Vice President, and the member's personnel file. If the member fails to cooperate, the matter may be remanded to the process of Article 16. In the event that the member in question is the Spokesperson or the department Chairperson, that role in the process shall be filled by the Chairperson of the DEC. Records of a special assessment and related documents shall be removed from the personnel file following the affected member's next formal evaluation, unless the Dean, in consultation with the DEC, determines otherwise.

4.14 Personnel Files

4.14.2.1 Each university shall maintain the official personnel file for each member in a secure place. A subset of these records for payroll purposes may be kept in another location. Under normal circumstances, the official personnel file shall not be removed from the location in which it is housed.

4.14.2.2 Members shall have access to their personnel files during regular office hours. Access to these records by individuals other than the member whom they concern shall be in accordance with applicable State and Federal Statutes.

4.14.2.3 Each member's file shall contain a log of every instance of access to that file by individuals other than the President, the Chief Human Resources Officer, their immediate staffs and the member.

4.14.2.4 CSU-AAUP shall have access to relevant documents from personnel files for the purpose of fulfilling its statutory responsibilities pursuant to CGS Sec. 4-190 and Secs. 5-270 through 5-280 CGS.

4.14.2.5 Upon request, a member shall be provided with a copy of any and all material in the member's file at no charge.

4.14.2.6 When a unit member obtains access to data from the member's personnel file, the member shall be provided, by the administration, with an opportunity to review Sec. 4-192 through Sec. 4-197 CGS.

4.14.2.7 Derogatory material, all evaluations and assessments, and records of disciplinary action shall be copied and a copy shall promptly CSU-AAUP Collective Bargaining Agreement 2007- 2011 be provided to the member with a notation of the date on which it was added to the file. Lengthy documents may be initialed by the member in lieu of the above provisions.

4.14.2.8 Each university shall follow a policy developed through the Senate in mutual agreement with the President governing the disposition of components of the promotion and tenure files conforming to State laws and this Agreement. Where such policies currently exist, the President, in cooperation with the Senate, shall review existing policy to assure conformity with requirements of State law and this Agreement.

4.14.2.9 A member may contest the accuracy, completeness or relevancy of unsolicited derogatory material prior to placement in the member's file by pursuing a grievance. Letters of reprimand are excluded from this provision and may be contested in accordance with the provisions of Article 16. Letters of reprimand or similar documents carrying dates of removal shall be returned to the member on request following said date.

4.14.2.10 The entire contents of personnel files shall be considered private and may not be opened to any outside scrutiny except when ordered by a court of law. When a file is requested by an outside party for any reason, the affected member shall be promptly notified and provided with a copy of the request and reason therefore.

4.15 Endowed Chairs

An endowed chair position is established by specific Board of Trustees' resolution. It carries with it special responsibilities to enhance the reputation and prestige of the department in which it is established and the university as a whole, as well as significantly contribute to the academic quality of the university. As such, the endowed chair's position at the university shall be differentiated in compensation and eligibility for tenure. The base salary of an endowed chair may be set up to a maximum of 1.15 times the maximum salary for the rank in which the chair is appointed.

During the second (2nd) year of the endowed chair's appointment, he/she may apply for tenure through an expedited process. This process shall be initiated in the spring of the endowed chair's second (2nd) year of service. If the endowed chair wishes to apply for tenure utilizing the expedited process, he/she must notify the Department Chair and the Chair of the DEC of such intention by January 20. The CSU-AAUP Collective Bargaining Agreement 2007- 2011.

The endowed chair will submit relevant documents for consideration to the DEC by February 10. The DEC shall submit its evaluation and appropriate recommendation to the appropriate dean by February 25. The dean shall submit his/her recommendation to the University-wide Promotion and Tenure Committee by March 10. The Promotion and Tenure Committee shall submit its recommendation to the Provost by April 1. The Provost shall take required action and inform the endowed chair by April 15.

In light of the uniqueness of the endowed chair position, a special charge shall be developed and provided to each evaluative body in the tenure process. The special charge shall address: (1) the right of the candidate to be considered for tenure in any year of the probationary period (Article 4.11.2.1); (2) that in granting tenure, the exercise of faculty judgment through faculty personnel committees is essential to the pursuit and fulfillment of academic excellence (Article 4.10); (3) special conditions of the candidate's appointment as outlined in the applicable appointment letter (Article 4.7); and (4) the criterion for evaluating and recommending the candidate for tenure shall be the quality of the candidate's activities and any special conditions of appointment (Article 4.11.9). Each evaluative body shall consider all materials submitted by the candidate in his/her application for the endowed chair position, as well as materials from his/her service to the university to date, including student opinion surveys as applicable.