



*California Polytechnic State University
San Luis Obispo*

COLLEGE OF AGRICULTURE



FACULTY PERSONNEL POLICIES AND PROCEDURES

September 2005

MISSION

The College of Agriculture uses a “Learn by Doing” approach to prepare leaders in agriculture, food systems, natural resources, and life sciences who are equipped to address the diverse needs of society.

Approved by _____
Robert Detweiler, Provost



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COLLEGE OF AGRICULTURE
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I. Introduction

The faculty in the College of Agriculture, Food and Environmental Sciences (CAFES) combine the best current knowledge and technology with appropriate science and management principles.

The CAFES has developed policies, procedures, and criteria for personnel actions to maintain faculty excellence. The evaluative criteria begin with the appropriate academic preparation and shall emphasize effective teaching performance, research and other creative scholarly achievements, and service contributions to Cal Poly and society. The criteria in this document provide the individual with the standards to be considered prior to recommendations for performance evaluations.

It is essential that current faculty and those wishing to join the faculty be fully informed about these policies, procedures, and criteria. This document is intended to clarify CAFES faculty personnel policies and be consistent with the Campus Administrative Manual (CAM) and the Memorandum of Understanding (MOU) between the CSU and the California Faculty Association (CFA). In cases of conflict, CAM and the MOU shall prevail.

In the following paragraphs, the term “department head” refers to the department head or chair of the respective department.

II. General Principles

- A. The CAFES is committed to fair and ethical application of all personnel policies and procedures.
- B. Full and meaningful documentation and consultation will be in place for each procedure relating to personnel matters.
- C. Each department may have procedures and criteria to supplement those of the College. These must be approved by the college Dean, the Associate Vice President for Academic Personnel, and the Provost and the Vice President for Academic Affairs.
- D. A faculty member shall not serve on more than one level of peer review.
- E. Only tenured, full-time faculty (not on leave) and academic administrators may engage in deliberations and make recommendations to the President regarding faculty evaluations for retention, promotion, or tenure (RPT).

- F. Recommendations and decisions will be based on teaching performance, educational background, professional growth and development, and service as described in the following sections.
- G. Statements of evaluation must be validated with specific evidence such as student evaluations of faculty, class visitation, measurement of student achievement, course outlines and tests, committee work, professional activities, publications, and other documentation from the faculty member.
- H. Campus policy requires that all faculty members who teach shall participate in the student evaluation program for a minimum of two classes per year; preferably two different classes (see MOU Article 15.14). CAFES requires that all probationary, tenure-track faculty conduct student evaluations for all classes taught prior to tenure. All lecturers (except those qualified for three-year appointments as defined by MOU article 12.12) shall also conduct student evaluations for all classes taught. Lecturers appointed under MOU 12.12 must conduct student evaluations for a minimum of two classes per year, preferably two different classes. At the discretion of the department head, more frequent student evaluations may be required for any faculty member. Results of the student evaluations will be used in periodic and performance reviews as well as in consideration of lecturer appointments. Results of student evaluations will permanently reside in the Personnel Action File.
- H. The faculty member shall be given a copy of the recommendation at each level of review before it is forwarded to the subsequent level of review. The recommendation shall state in writing the reasons for the recommendation. The faculty member has the right to submit a rebuttal statement or response in writing no later than seven (7) calendar days following the receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the Working Personnel Action File (WPAF) and also be sent to any previous levels of review. Upon request, the faculty member will be provided an opportunity to discuss the recommendation with the recommending party in a timely manner.

III. Policies and Procedures on Recruitment and Appointment

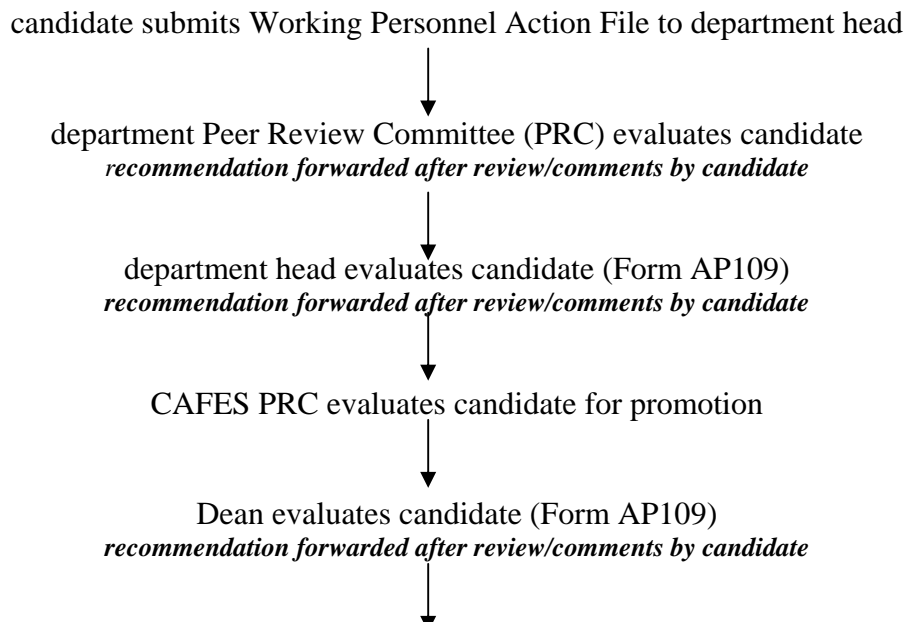
- A. It is the department head's responsibility, in conjunction with department search committees, to recruit qualified faculty candidates and make recommendations to the Dean. The Dean will review the qualifications of recommended candidates and if acceptable, make written offers.
- B. Tenure-track positions and full-time lectureships will be advertised on a broad regional or national basis in publications and online, as appropriate to the discipline.
- C. In the recruitment of new faculty, every effort will be made to seek complete information and to evaluate thoroughly the background of individuals through such means as transcripts, reference letters, telephone checks, and personal interviews. Whenever possible, it is desirable for the finalists to visit the campus and meet with the faculty in the department and the Dean.

- D. All members of the department will have an opportunity to study a candidate’s qualifications for a faculty position, to know the proposed appointment rank, to interview the candidate (if available for interview), and to express his/her preference to the departmental search committee prior to the final recommendation of the department head.
- E. The Dean shall review the qualifications of the recommended candidate, and if the Dean concurs a letter of offer of appointment will be initiated. In the event the Dean does not concur, the Dean shall state the reasons in writing to the department head.
- F. When a candidate is appointed with certain specific stipulations in addition to established rules and regulations that will prevail in later decisions on RPT, these stipulations will be conveyed to the candidate in the letter of offer.
- G. Appointment to tenure-track positions (i.e., Assistant, Associate or Full Professor) will require an earned terminal degree from an accredited college or university in a field or teaching specialty related to the teaching assignment. Consideration may be given to tenure-track candidates with extraordinary qualifications yet lacking the terminal degree, on a case-by-case basis.
- H. Lecturer appointments are considered temporary and automatically expire at the end of the period stated in the offer letter. Temporary appointments may be for periods of a quarter, parts of a year, or one or more years. An appointment for a less than full-time temporary faculty unit employee may be on a conditional basis (e.g. budgetary considerations and class enrollments.)

***IV. Retention, Promotion, and Tenure (RPT)
Guidelines, Procedures, and Criteria***

A. RPT Process Flow Chart

The RPT process is illustrated in the diagram below.



B. Personnel Files

1. Personnel Action File

The Personnel Action File (PAF) is the official permanent employment record of a faculty member and resides in the deans' office.

2. Working Personnel Action File

The Working Personnel Action File (WPAF) is to be used during retention, promotion, tenure, and post-tenure peer reviews. The candidate will submit a current resume following the guidelines on the Faculty Resume Worksheet (see Appendix 1). The file will be submitted to the department head by the deadline set by the Dean and considered to be complete at that time. This resume and supporting documents (see below) constitute the WPAF for the candidate. An index of materials contained in the file will be submitted to the Dean for inclusion in the PAF. Materials other than evaluation and related documents generated during the process cannot be added to either file following the deadline except in unusual circumstances and with authorization by the College PRC. Typically, such authorization is based on information not being accessible prior to the deadline. Evaluation materials and recommendations generated at each level of review will be transmitted to subsequent levels via the WPAF, which should contain the following materials.

- **Current Resume:** The resume should be organized according to the Faculty Resume Worksheet. The resume should be specific (including dates) and emphasize activities completed since coming to Cal Poly or during the period in review.
- **Student Evaluations:** A summary of student evaluation results for the period under review is encouraged.
- **Course Materials:** Submit sufficient materials to characterize course content, teaching style, student engagement, etc. (e.g., syllabi, assignments, tests, study guides, web pages/Blackboard information, lecture notes, texts or references, description of delivery methods).
- **Professional Growth Plan:** All faculty shall prepare Professional Growth Plans and update them annually. The Professional Growth Plan should include short- and long-term goals/objectives on how the faculty member intends to provide substantive contributions to his/her discipline and how those activities can keep his/her teaching current and dynamic. Specific goals and milestones should be proposed throughout the probationary period with an emphasis on what the

faculty member intends to accomplish by the time he/she is considered for tenure.

C. Levels of Review and Responsibilities

The PRC selection process along with roles and responsibilities of the participants involved at each level of the RPT review process are discussed below.

1. Candidates

Responsibilities of the Candidate (see Appendix 2)

- review campus and any departmental personnel policies and procedures.
- develop/revise a Professional Growth Plan (Fall Quarter) which addresses short and long-term goals for teaching, professional growth and development, and service.
- conduct student evaluations for all courses taught.
- review for accuracy and sign PAF by established deadline.
- develop and submit WPAF to department head by established deadline, providing adequate documentation to support application for retention, promotion, or tenure.
- Submit an index of the material in the WPAF. The index will be permanently placed in the PAF and appropriately updated to reflect any approved material added to the file during the course of the evaluation cycle (MOU article 15.9).
- interact regularly with the department PRC, department head, other faculty and administrators as appropriate.
- review RPT recommendations (e.g., department PRC, department head, CAFES PRC, and Dean) and submit written response/rebuttal within seven calendar days, if appropriate.

2. Department Peer Review Committee (PRC)

The department PRC evaluates faculty candidates for retention, promotion, tenure, and post-tenure peer review. The department PRC's formal recommendation will address the merits, abilities, and accomplishments of a candidate, with emphasis placed upon teaching performance. Other factors covered by the report will include contributions to the department, college, university, and community; attitude toward work assignments; working relationships with colleagues; and efforts toward professional improvement.

a. Responsibilities of the Department PRC (see Appendix 3)

- review campus, college, and any departmental personnel policies and procedures.
- review and sign the candidate's PAF and WPAF.
- provide input on the candidate's Professional Growth Plan.
- observe candidates' teaching performance.
- provide a written evaluation and recommendation to the faculty candidate and department head addressing the components of the faculty evaluation form (AP 109, Appendix 4).
- recommend in writing the appropriate personnel action to the department head.
- submit a signed minority report by committee members whose opinion differs from the views expressed by the majority.
- consult with the faculty candidate regarding the committee's recommendations (see CAM 341.1.A.8).
- provide a ranked promotion list to the department head when more than one candidate is being considered for promotion.

b. Selection of Department PRC

Normally, eligible higher-ranking faculty shall be elected to serve as the department PRC to review and recommend individuals for appointment/RPT actions. Tenured faculty undergoing evaluation for promotion are ineligible to participate in tenure and promotion decisions.

For faculty with joint appointments in two or more departments, the department PRC shall be comprised of eligible, tenured faculty elected from the departments where the appointments are made, in relative proportion to the candidate's percentage appointment in each department.

When the number of eligible faculty evaluators in a department proves inadequate (fewer than three) to conduct a peer review, a special review committee may be elected by the department faculty, except in the case of post-tenure peer review. The names of elected committee members shall be submitted by the department head to the college Dean, who will then appoint the special PRC. Permission to approach faculty members to serve on special PRCs should be obtained from the appropriate department head prior to the election. Faculty nominated to serve on these committees should also be contacted prior to the election and indicate willingness to serve on such committees if elected.

3. Department Head

The department head plays a key role in ensuring that the faculty evaluation process is both thorough and conducted according to established guidelines (see Appendix 5).

Responsibilities of the Department Head

- make available the Campus Administration Manual, MOU, CAFES Faculty Personnel Policies & Procedures, and departmental personnel policies and procedures, if any, to the candidate and department PRC. Departmental personnel policies and procedures will also be provided to the College PRC.
- meet with RPT candidates in Fall Quarter to review the evaluation process and expectations and provide guidance for development/revision of the candidate's Professional Growth Plan.
- oversee election of the department PRC by probationary and tenured faculty members and notify Dean of the names of members elected to the PRC.
- observe candidate classroom teaching and ensure that department PRC members also conduct classroom observations. Teaching observations are to be made during Fall and Winter Quarters.
- review the candidate's personnel files and department PRC's recommendation on personnel action.
- complete and submit a separate review and recommendation to the Dean on Form AP109. If the evidence in the department PRC recommendation is insufficient, return materials to the committee for additional clarification.
- provide a ranked promotion list to the College PRC when more than one promotion candidate is being considered.
- extend a written invitation to the faculty member not being recommended for promotion to discuss the decision.
- evaluate his/her faculty members who hold a joint appointment with the majority appointment being in department head's department, in consultation with the department head of the department where the faculty member has the minority appointment.

4. College Peer Review Committee (PRC)

The College PRC serves as the college-wide personnel review committee on promotion recommendations and consists of tenured full professors elected by each department to serve a three-year staggered term.

Responsibilities of the College PRC (see Appendix 6)

- review campus and any departmental personnel policies and procedures.
- review and sign the PAF and WPAF of each promotion candidate including evaluation/recommendation materials forwarded from previous levels of review and any candidate responses/rebuttals received.

- submit to the Dean a separate written recommendation, with rationale, for each candidate regarding the promotion decision based on review of the PAF and WPAF.
- submit a signed minority report by committee members whose opinions differs from the views expressed by the majority.
- submit a ranked promotion list to the Dean when more than one promotion candidate is being considered.
- provide a copy of the College PRC's recommendation to the Dean for each promotion candidate. Upon request, candidates will be informed of their priority ranking by each of the review levels.

5. Dean

The Dean oversees the peer review process at the college level (see Appendix 7).

Responsibilities of the Dean

- review a candidate's PAF, WPAF, and evaluations/recommendations from prior review levels, including any candidate response/rebuttal statements.
- prepare a separate evaluation and recommendation on retention, promotion, tenure, and post-tenure peer review, and submit this to the candidate.
- meet with the faculty member and the department head in the event the Dean does not concur with the recommendation of the department head and/or the College PRC, and review the reasons for disagreement.
- submit the evaluations and recommendations to the President via the Provost, along with any response/rebuttal statements received from the candidate.
- forward the candidate's PAF and WPAF to the President via the Provost for review.

D. Evaluation Criteria

In all faculty personnel decisions, the candidate's teaching ability should be the most important evaluation criterion unless the faculty member's principal responsibility is a research/service appointment. Second, the candidate must be committed to professional growth and development. Third, the candidate must provide service and/or leadership to the department, the college, the university, and/or the community. All candidates are expected to contribute significantly in each of the three main evaluation areas. However, it is recognized that the proportional contribution and excellence in teaching, professional development such as research, and service will vary from candidate to candidate.

The department PRC, department head, College PRC, and the college Dean will evaluate the faculty member using criteria including but not limited to the following:

1. Teaching Performance

The first and most important characteristic expected in a faculty member is the ability to teach well in the classroom, in supervised instruction, in the laboratory, and/or in the field. The faculty member has a responsibility to keep course material current and innovative and to advise students effectively.

Faculty are encouraged to participate in teaching enhancement activities, including seminars, short courses, and development of personal teaching portfolios.

Criteria for evaluating teaching performance will vary to some extent depending on the mode of instruction as described below. Therefore, it is important for candidates to describe in their WPAF the modes of instruction relevant to their assignment. The primary teaching evaluative criteria are summarized in Table 1 of Appendix 8. Written student evaluations use the form attached in Appendix 9.

Modes of Instruction

- a. Classroom/laboratory instruction.
- b. Supervised instruction.
 - Special problems, individual study, Master's theses, senior projects, internships, and student teaching are forms of supervised instruction generally associated with university teaching. Student input should be considered in evaluating these.
 - Advising and coaching of competitive teams (e.g., soil, crop, floral and livestock judging, food product development, forestry, agricultural marketing, etc.) relevant to the agricultural professions are important forms of co-curricular instruction.
 - The supervision of Student Enterprise projects is a unique type of activity assigned to some faculty in the CAFES. This form of supervised instruction should also be considered in the evaluation of teaching performance. Care must be taken to ensure that instruction in this area is adequately evaluated and includes the input of both peers and enterprise students.

2. Professional Growth and Development

Professional development is essential to enrich and upgrade faculty knowledge and skills, stimulate intellectual growth and professionalism, and enhance the learning experience of students. The following are the kinds of activities which provide evidence that the faculty member is growing professionally:

- Publication of Ph.D. dissertation.
- Participation in research activities.

- Consulting experiences which provide significant intellectual growth in the faculty member's discipline.
- Participation in professional leaves of absence: e.g., sabbatical, difference-in-pay, industry internships, for professional growth.
- Continuation of education (e.g., completing additional coursework in the discipline, or earning/maintaining a license, certification, or registration).
- Grantsmanship to support research and development activities.
- Participation in professional meetings as a presenter, moderator, session chair, or invited panelist.
- Publication in peer-reviewed, professional scientific and educational journals.
- Publication of books or book chapters.
- Publication in trade journals.
- Editorships in scientific, educational, and trade journals.
- Receiving patents, grants, or other awards.
- Leadership in professional organizations and active participation at regional, national, and international meetings.
- Review of manuscripts for scientific journals and textbooks.
- Review of grant proposals for state, regional, or national research programs.

3. Service

Faculty members are expected to willingly contribute to the department, CAFES, university, their profession, and/or to the community through such activities as:

- Academic advising.
- Serving on department, college, university, or Academic Senate committees.
- Assisting in public and alumni relations efforts.
- Advising departmental or campus clubs, teams or organizations.
- Taking responsibility for instructional support unit operations.
- Placing students in internships, co-ops, or other professional opportunities.
- Participating in student recruitment.
- Planning, organizing, and/or administering seminars, workshops, conferences, symposia, etc.

- Contributing and serving the community and industry with emphasis placed on contributions related to the faculty member's discipline.
- Participating in special activities and conferences (e.g., FFA State Finals, Open House, Fall Preview).

4. Other Factors of Consideration

In addition to teaching, professional development, and service, other evaluative criteria may include the faculty member's initiative, flexibility, dependability, professionalism, ability to effectively cooperate with colleagues, etc.

5. Progression of Expectations

Progressive levels of performance should be documented by candidates for Retention, Promotion, and Tenure. Examples of the progressive expectations of faculty performance are shown in Appendix 10.

E. Retention and Tenure

1. Normal Probationary Period

The normal period of probation is six years of full-time service.

- Performance evaluation for retention and tenure decisions is based on the criteria described in section IV, D.
- For retention and tenure, each faculty member will be evaluated by the department head and the department PRC.
- The university considers a tenure decision to be the most critical faculty personnel action.
- To be recommended for tenure, a faculty member must receive an overall performance rating in one of the top two categories of section V on the Faculty Evaluation Form (AP109).
- Full-time faculty may be considered for tenure at any time during their probationary period.
- Faculty members who are not likely to meet the criteria for tenure should not be retained. Faculty members who do not have potential for promotion to Associate and Full Professor should not be accorded tenure (See CAM Section 341.1B.3). If the department head recommends that tenure NOT be granted, a written invitation will be extended to the faculty member to discuss the decision with the department head.
- The College Dean will review the qualifications of the recommended faculty member and will make a recommendation to the President via the Provost.

2. Early Tenure

In addition to meeting department and college criteria for normal tenure, an applicant for early tenure must provide evidence of outstanding performance in each of the following areas: teaching, professional growth and achievement, and service to the university and community.

F. Promotion

1. Normal Promotion Period

Promotion of tenured faculty members normally occurs after five years of full-time service in the current academic rank.

- Performance evaluation for promotion decisions is based on the criteria described in section IV, D.
- For promotion decisions, each peer review committee member must be of a higher rank than the candidate. Faculty members being considered for promotion are ineligible for service on promotion or tenure PRCs; however, they may serve on retention committees.
- Ranking of eligible candidates for promotion is required at all review levels (see CAM 342.2.B.3).
- A terminal degree is expected for faculty promotion from Assistant to Associate Professor, or Associate to Full Professor rank.
- Consideration may be given to tenure-track candidates with extraordinary qualifications yet lacking the terminal degree, on a case-by-case basis.

2. Early Promotion

Early promotion will be granted only in exceptional cases. Candidates seeking early promotion must fully document an exceptional record of performance, validated by performance evaluations.

G. Lecturers

- Part- and full-time temporary faculty (lecturers) appointed for the entire academic year must be evaluated annually in accordance with the periodic evaluation procedure provided by Academic Personnel. Lecturers appointed for one or two quarters may be evaluated at the discretion of their department head, or at the candidate's request.
- Evaluation for temporary faculty is based on the criteria described in section IV D, using form AP109B (see Appendix 11). Evaluation will emphasize teaching performance and other areas of the work assignment, as appropriate.
- Full-time, temporary faculty will be evaluated by a departmental PRC, the department head, and the Dean. The department head will evaluate part-time, temporary faculty, and peer input is encouraged.

- Faculty eligible for range elevation should refer to the policy in Appendix 12.

H. Post-Tenure Peer Review

The purpose of post-tenure peer review is to maintain and improve a tenured faculty member's effectiveness. Consistent with department head guidelines, tenured Assistant Professors, tenured Associate Professors not requesting promotion consideration, and Professors, will undergo Post-Tenure Peer Review at least once every five (5) years. More frequent periodic evaluations may be requested by the tenured faculty member, department head, or Dean. Tenured faculty are expected to develop and update Professional Growth Plans annually.

Post-tenure peer review will be conducted by an elected faculty PRC, the department head and Dean.

In accordance with established department head guidelines for Post-Tenure Peer Review, if the department has no tenured Professors, the evaluation shall be conducted by the department head and the college Dean.

Following the evaluation, a written summary will be given to the faculty member. The PRC chair, the department head, and the Dean shall meet with each evaluated faculty member to discuss the results of the evaluation.

If areas for improvement are identified, the department head shall advise the faculty member of avenues for assistance available within the department or elsewhere on campus.

The written summary of the evaluation shall be placed in the faculty member's PAF.

I. Faculty Early Retirement Program (FERP)

The full-time quarterly workload base for faculty participating in FERP is normally 15 weighted teaching units. For FERP faculty who are assigned indirect instructional activities (committee assignments and other service work) assigned time will be allocated in the workload base to accommodate this.

FERP faculty may serve on committees other than those PRCs formed for performance reviews (i.e. Retention, Promotion, and Tenure).

Office space will be provided to FERP faculty proportionate to their FERP time base (i.e., two .50 FTE faculty would share an office).

Individual departments will set policies on other FERP issues such as phone and computer use, staff support, and department meeting attendance.





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This worksheet is intended to assist you in preparing your resume. Included are many categories of professional activity which may be appropriate. There may be other activities which should also be included in individual cases. The form of your resume is not prescribed. It might be appropriate to index the entries on the resume to any support material which also appears in your file.

Please keep in mind that the supporting materials that you submit should be thorough but not extraneous. They should be concise and appropriate to the period in rank (promotion candidates) or the period of your probationary tenure-track appointment at Cal Poly. Please endeavor to keep these materials as brief and as organized as possible, while ensuring that your application is thoroughly documented.

Evaluation Categories

I. Background

- Education
- Certification or Licensing
- Academic Experience
- Related Professional Experience

II. Teaching Related Activities

- Courses and Laboratories Taught
- New Course Preparation
- Major Revisions and Innovations in Existing Courses
- Curriculum Development
- Senior Projects or Student Research Supervised
- Student Advising
- Current Instruction Related Projects
- Other

III. Professional Growth and Development Activities

- Activities Completed (with primary emphasis on activities completed since coming to Cal Poly)

Be specific, including dates, about activities such as research, consulting; commissions; patents, copyrights; creative or artistic achievement; relationships with business and industry; projects completed; publications; editorial work, including refereeing; papers presented; reviews; professional workshops offered; professional conferences/workshops attended, etc.

- Participation in Professional Associations and Organizations
- Grants, Contracts, Fellowships, Honors
- Current Projects and Activities

IV. Service

- University
- School
- Department
- Community (activities related to professional expertise)

Retention, Tenure and Promotion Cycle

Checklist for Retention Candidates: 1st and 2nd Probationary Year Faculty

- It is the responsibility of the candidate to present clear evidence of his/her qualifications for retention, tenure or promotion.
- Review Campus Administrative Manual (Chapter 3) and college (plus departmental, if any) statements of personnel criteria and procedures (available in office of department head/chair).
- By **October 15th**, review your Personnel Action File in the dean's office to ensure that it is accurate, sign and date log.
- By **October 15th**, candidates submit to department head/chair a **Working Personnel Action File** which at a minimum includes a current resume (see reverse side of this checklist for the Faculty Resume Worksheet which can be used as a guide to prepare your resume), and an index of materials you provide to support the personnel action. **Candidates are requested to prepare their WPAF in binders of 3” capacity or smaller.** Forward copy of index to dean for placement in your Personnel Action File. (MOU 15.9 and 15.12)
- By **November 17th**, peer review committee forwards written evaluation and recommendation to the candidate. Within seven calendar days following receipt of the recommendation, candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation.
- By **December 3rd**, department head/chair (if tenured) provides written evaluation (Form 109) and recommendation to the candidate. Within seven calendar days following receipt of the recommendation, candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. A copy of any written statement provided by candidate shall be sent to the peer review committee by the candidate.
- By **January 8th**, dean provides written evaluation and recommendation to the candidate. Within seven calendar days following receipt of the recommendation, candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. A copy of any written statement provided by candidate shall be sent to the peer review committee and the department head/chair by the candidate.
- By **February 15th**, the Provost and Vice President for Academic Affairs announce retention decisions.

In the event the established deadline falls on a weekend or academic holiday, the date will be extended to the Monday immediately following that date, except for retention and tenure notification, which must be made prior to June 1.

Retention, Tenure and Promotion Cycle

Checklist for Retention/Tenure Candidates: 3rd-6th Probationary Year Faculty

- It is the responsibility of the candidate to present clear evidence of his/her qualifications for retention or tenure.
- Review Campus Administrative Manual (Chapter 3) and college (plus departmental, if any) statements of personnel policies and procedures (available in office of department head/chair).
- By **November 1st**, review your Personnel Action File in the dean's office to ensure that it is accurate; sign and date log.
- By **November 1st**, submit to Department Head/Chair a **Working Personnel Action File** which at a minimum includes a current resume (see reverse side of this checklist for the Faculty Resume Worksheet which can be used as a guide to prepare your resume) and an index of materials you provide to support the personnel action. **Candidates are requested to prepare their WPAF in binders of 3" capacity or smaller.** Send a copy of the index to the dean for placement in your Personnel Action File. (MOU 15.9 and 15.12)
- By **January 11th**, receive evaluation and recommendation from Peer Review Committee. Within seven calendar days from receipt of recommendation, candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. (MOU 15.5)
- By **February 8th**, receive evaluation (Form 109) and recommendation from (tenured) department head/chair. Within seven calendar days from receipt of recommendation, candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. A copy of any written statement by candidate shall be sent to the peer review committee by the candidate. (MOU 15.5)
- By **April 1st**, receive written recommendation from dean. Within seven calendar days from receipt of recommendation, candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. A copy of any written statement by candidate shall also be sent to the peer review committee and department head/chair by the candidate. (MOU 15.5)
- By **June 1st**, the Provost and Vice President for Academic Affairs announces retention decisions; and the President announces tenure decisions (tenure becomes effective Fall Quarter for academic year faculty).

In the event the established deadline falls on a weekend or academic holiday, the date will be extended to the Monday immediately following that date, except for retention and tenure notification, which must be made prior to June 1.

Retention, Tenure and Promotion Cycle

Checklist for Candidates Eligible for Promotion

- It is the responsibility of the candidate to present clear evidence of his/her qualifications for promotion.
- Review Campus Administrative Manual (Chapter 3) and college (plus departmental, if any) statements of personnel criteria and procedures (available in office of department head/chair).
- By **November 1st**, review your Personnel Action File in the dean's office to ensure that it is accurate; sign and date log.
- Advise dean in writing, with a copy to the department head/chair, by college deadline whether or not you wish to be considered for promotion. (MOU 14.3)
- By **November 1st**, submit to Department Head/Chair a **Working Personnel Action File** which at a minimum includes a current resume (see reverse side of this checklist for the Faculty Resume Worksheet which can be used as a guide to prepare your resume) and an index of the materials you provide to support the personnel action. **Candidates are requested to prepare their WPAF in binders of 3" capacity or smaller.** Forward a copy of the index to the dean for placement in your Personnel Action File. (MOU 15.9 and 15.12)

The priority ranking of candidates for promotion by the reviewing levels is not required to be included in the recommendations. Upon written request, candidates will be informed in writing of their priority ranking by the appropriate reviewing level. Such requests and responses shall only be placed in the Working Personnel Action File upon the written request of the candidate. Candidates may verbally request to be informed verbally of their priority ranking by the appropriate reviewing level.

- By **January 11th**, receive evaluation and recommendation from Peer Review Committee. Within seven calendar days from receipt of recommendation, candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation.
- By **February 8th**, receive evaluation (Form 109) and recommendation from (tenured) department head/chair. Within seven calendar days from receipt of recommendation, candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. A copy of any written statement provided by the candidate shall also be sent to the peer review committee by the candidate. (MOU 15.5)
- By **March 8th**, receive written recommendation from College/Library Peer Review Committee whether promotion is recommended. Within seven calendar days from receipt of recommendation candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. A copy of any written statement provided by the candidate shall also be sent to the peer review committee and the department head/chair by the candidate. (MOU 15.5)
- By **April 1st**, receive written recommendation from dean. Within seven calendar days from receipt of recommendation candidates may submit a rebuttal statement or response in writing and/or request a meeting be held to discuss the recommendation. A copy of any written statement provided by the candidate shall also be sent to the peer review committee and the department head/chair by the candidate. (MOU 15.5)
- By **June 1st**, the President announces promotion decisions.

In the event the established deadline falls on a weekend or academic holiday the date will be extended to the Monday immediately following that date except for promotion notification, which must be made prior to June 1.

Retention, Tenure and Promotion Cycle

Checklist for Departmental Peer Review Committees

- Review college and departmental statements of personnel criteria and procedures; Articles 13-15 MOU; and Campus Administrative Manual Chapter 3. Classroom observation of candidates is encouraged. (MOU 15.3)
- **Each departmental PRC member to sign/date log and review** the Working Personnel Action File submitted by the candidate **before** finalizing a personnel recommendation. (MOU 15.5)
- **Each departmental PRC member to sign/date log and review** the Personnel Action File forwarded by the dean **before** finalizing a personnel recommendation. (MOU 15.5)
- Provide a written evaluation and recommendation, **signed by each departmental PRC member**, to 1st and 2nd probationary year faculty by **November 17th**. Any student communications or evaluations provided outside the regular evaluation process must be identified by name to be included in the Personnel Action File. (MOU 15.5 and 15.16.b)
- Provide a written evaluation and recommendation, **signed by each departmental PRC member**, to all other candidates by **January 11th**. (MOU 15.5)
- **For promotion cases, PRC members must hold higher rank than current rank of promotion candidates.** Recommend a rank-ordered list of candidates to the department head/chair. The priority ranking of candidates for promotion by the reviewing levels is not required to be included in the recommendations. Upon written request, candidates will be informed in writing of their priority ranking by the appropriate reviewing level. Such requests and responses shall only be placed in the Working Personnel Action File upon the written request of the candidate. Candidates may verbally request to be informed verbally of their priority ranking by the appropriate reviewing level. (MOU 15.37)
- As appropriate, meet with and/or consider any response or rebuttal statement filed by the candidate. Other than reconsidering the original recommendation, there should be no written response to the candidate's rebuttal statements. (MOU 15.5)
- By **November 24th** for 1st and 2nd year faculty, and by **January 18th** for all other candidates, forward the written evaluations and recommendations to the department head/chair, including a tally of the vote. (MOU 15.5)

In the event the established deadline falls on a weekend or academic holiday, the date will be extended to the Monday immediately following that date, except for promotion notification, which must be made prior to June 1.



NAME: _____ FACULTY RANK: _____ DATE: _____

COLLEGE: _____ DEPARTMENT: _____

This is an evaluation for (check applicable action):

Retention to a 2nd, 3rd, 4th, 5th, 6th probationary year. Tenure Promotion Periodic Review

FACTORS OF CONSIDERATION

Justification for Recommendations (CAM 341.1A7)

Evaluative statements should be accompanied by supporting evidence. If the evidence does not appear to support the recommendations made, the file will be returned to the reviewing levels for amplification.

The evaluator should review effectiveness of the faculty member primarily during this evaluation period. The evaluation should reflect both (1) evidence of merit and (2) suggested areas for improvement. Reference any resources used for evaluation; such as class visitation, conferences, and materials provided by the faculty member. If more space is needed, use an additional page.

- *I. Teaching Performance and/or Other Professional Performance:** Consider such factors as the faculty member's competence in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of course, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student consultations, and other factors relating to performance as a teacher. (Include results of Student Evaluation Program.)

*Nonteaching academic personnel are to be evaluated on their professional performance.

Evidence of Merit:

Areas and Suggestions for Improvement:

- II. Professional Growth and Achievement:** Consider such factors as the faculty member's original preparation and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies and publications, professional registration, certification and licensing.

Evidence of Merit:

Areas and Suggestions for Improvement:

- III. Service to University, Students, and Community:** Consider such factors as the faculty member's participation in academic advisement, co-curricular activities, diversity-related activities, placement follow-up, department, college and university committee and individual assignments, systemwide assignments, and service in community affairs directly related to the faculty member's teaching area, as distinguished from those contributions to more generalized community activities.

Evidence of Merit:

Areas and Suggestions for Improvement:

- IV. Other Factors of Consideration:** Consider such factors as the faculty member's ability to relate with colleagues, initiative, cooperativeness, dependability, etc.

Evidence of Merit:

Areas and Suggestions for Improvement:

V. **Summary:**

On the basis of the foregoing evaluation, I believe that _____:
(person being evaluated)

1. has reached a high level of professional development and is making an outstanding contribution to the university which is readily recognizable.
2. fully meets the requirements of the present assignment and is making a valuable contribution to the university.
3. meets the requirements of the present assignment adequately and by following the preceding suggestions for improvement may make a greater contribution to the university.
4. does not meet satisfactorily the requirements of the present assignment.

I RECOMMEND:
(recommendations not required for Periodic Evaluations)

- | | |
|--|---------------------------------------|
| <input type="checkbox"/> Tenure | <input type="checkbox"/> Nontenure |
| <input type="checkbox"/> Promotion | <input type="checkbox"/> Nonpromotion |
| <input type="checkbox"/> Retention to a _____
probationary year | <input type="checkbox"/> Nonretention |

for the following reasons:

Department Head/Chair or Director's Signature

Date

I have read the above evaluation:

Signature of person being evaluated

Date

COMMENTS OF PERSON BEING EVALUATED:

NOTE: The college dean or division head's evaluation statement will subsequently be attached to this form. If the person being evaluated is eligible for consideration for retention, tenure or promotion, the entire packet will be forwarded to the Provost/Vice President for Academic Affairs and/or President. The complete evaluation statement and attachments will be filed in the individual's Personnel Action File in the college/division office following action on the recommendations.

(Person Being Evaluated)

On the basis of the foregoing evaluation and the additional comments below, I recommend:

Tenure

Nontenure

Promotion

Nonpromotion

Retention to a _____
probationary year

Nonretention

COMMENTS OF DEAN:

Dean's Signature

Date

Retention, Tenure and Promotion Cycle

Checklist For Department Heads/Chairs (With Tenure)

- **Early Fall Quarter**, the probationary and tenured faculty members elect Peer Review Committees for candidates eligible for retention and tenure. (MOU 15.34)
- **Early Fall Quarter**, probationary and tenured faculty **elect** Peer Review Committees for candidates requesting promotion consideration. (MOU 15.3 and 15.36)
- **Early Fall Quarter**, notify dean of the names of members elected to the peer review committees.
- **Early Fall Quarter**, provide all faculty members access to departmental, college and university criteria and procedures. (MOU 15.3)
- **Early Fall Quarter**, establish procedure with Chair of Peer Review Committee to maintain files in confidential and secure location.
- **By October 5th**, review with dean the RPT evaluation lists sent by the Provost and Vice President for Academic Affairs and bring any corrections to the attention of Mike Suess, Associate Vice President for Academic Personnel (756-2844).
- **By October 15th**, receive from 1st and 2nd year probationary faculty undergoing performance review their Working Personnel Action Files (please check against RPT evaluation list to ensure all have been received). Dean will make available the Personnel Action Files, including student evaluations, for those 1st and 2nd year probationary faculty. Place files in secure location. (MOU 15.8 and 15.12)

Since it is campus policy for department heads/chairs with tenure to provide separate recommendations for personnel actions, they may not attend peer review committee meetings, unless invited. (MOU 15.33)

- **By November 1**, receive from 3rd-6th year probationary faculty undergoing performance review and faculty applying for promotion their Working Personnel Action Files (please check against RPT evaluation list to ensure all have been received). Dean will make available the Personnel Action Files, including student evaluations, for those 3rd-6th year probationary faculty and faculty applying for promotion. Place files in secure location. (MOU 15.8 and 15.12)
- **By November 24th**, department head receives written evaluation and recommendation from peer review committees of 1st and 2nd year probationary faculty undergoing performance review. Review materials; if necessary, return for correction or amplification.
Ensure that each peer review committee member signed and dated the logs of both the Working Personnel Action File and the Personnel Action File before the recommendation was finalized. (MOU 15.5)

Checklist For Department Heads/Chairs (With Tenure)

page two

- By **December 3rd**, department heads/chairs with tenure provide Form 109 containing written evaluation and recommendation to 1st and 2nd year probationary year faculty members. *Department heads/chairs on probationary status are not eligible to make recommendations in retention, tenure or promotion cases.* **Comments regarding student evaluation results must be included in Section 1 of Form 109.** Any student communications or evaluations provided outside the regular evaluation process must be identified by name. **Sign/date logs** and review **both** Working Personnel Action File and Personnel Action File **before** finalizing recommendation. (MOU 15.5)
- As appropriate, meet with and/or consider any response or rebuttal statement filed by the candidate. Other than reconsidering the original recommendation, an arbitrator has ruled that there should be no reply to the candidate's rebuttal statements. (MOU 15.5)
- By **December 10th**, forward Working Personnel Action File and, if appropriate, Personnel Action File to dean for all 1st and 2nd year probationary faculty undergoing performance review. (MOU 15.5)
- By **January 18th**, receive evaluations and recommendations from peer review committees for all other personnel actions. Review materials; if necessary, return for correction or amplification. Ensure that each peer review committee member signed and dated the logs of both the Working Personnel Action File and the Personnel Action File before the recommendation was finalized. (MOU 15.5)
- By **February 8th**, department heads/chairs with tenure provide Form 109 containing written evaluation and recommendation to 3rd-6th probationary year faculty undergoing performance review and promotion candidates. *Department heads/chairs on probationary status are not eligible to make recommendations in retention, tenure or promotion cases.* **Comments regarding student evaluation results must be included in Section 1 of Form 109.** Any student communications or evaluations provided outside the regular evaluation process must be identified by name. **Sign/date** logs and review **both** Working Personnel Action File and Personnel Action File **before** finalizing recommendation.

For promotion cases, endorse the rank-ordered list or recommend a different priority order. The priority ranking of candidates for promotion by the reviewing levels is not required to be included in the recommendations. Upon written request, candidates will be informed in writing of their priority ranking by the appropriate reviewing level. Such requests and responses shall only be placed in the Working Personnel Action File upon the written request of the candidate. Candidates may verbally request to be informed verbally of their priority ranking by the appropriate reviewing level. (MOU 15.5)

As appropriate, meet with and/or consider any response or rebuttal statement filed by the candidate. Other than reconsidering the original recommendation, there should be no written response to the candidate's rebuttal statements. (MOU 15.5)
- By **February 15th**, forward the Working Personnel Action Files and Personnel Action Files, if appropriate, to dean for remaining personnel actions.

In the event the established deadline falls on a weekend or academic holiday, the date will be extended to the Monday immediately following that date, except for promotion notification, which must be made prior to June 1.

Retention, Tenure and Promotion Cycle

Checklist For College/Library Peer Review Committees

- Review college and departmental statements of personnel criteria and procedures; Articles 13-15 MOU; and Campus Administrative Manual Chapter 3. (MOU 15.3)
- After **February 15th**, dean will provide to the committee the Working Personnel Action File and the Personnel Action File for each candidate requesting promotion consideration as well as the recommended priority ranking lists from the peer review committees and the department heads/chairs. (MOU 15.12)
- **Each committee member to sign/date log and review** the Working Personnel Action File submitted by the candidate **before** finalizing recommendation. (MOU 15.5)
- **Each committee member to sign/date log and review** the Personnel Action File provided by the dean for each candidate **before** finalizing recommendation. (MOU 15.5)
- By **March 8th**, provide a written statement, **signed by each committee member**, to all candidates requesting promotion consideration regarding whether or not promotion is recommended, and provide reasons therefore. **Include a copy of the recommendation in each promotion candidate's Working Personnel Action File.** (The relative priority ranking is not required to be included in the recommendations. Upon written request, candidates will be informed in writing of their priority ranking by the appropriate reviewing level. Such requests and responses shall only be placed in the Working Personnel Action File upon the written request of the candidate. Candidates may verbally request that their priority ranking be disclosed verbally.) (MOU 15.5 and 15.37)
- As appropriate, meet with and/or consider any response or rebuttal statement filed by the candidate. Other than reconsidering the original recommendation, there should be no written response to the candidate's rebuttal statements. (MOU 15.5)
- By **March 15th**, forward all files and recommendations and rank-ordered priority lists for candidates being recommended for promotion to the dean. (MOU 15.5)
- As needed, review any request for insertion of additional material into the Personnel Action File or Working Personnel Action File after the established deadline. Such materials must be limited to items that became accessible after the deadline. If approval by College/Library PRC is granted, the Working Personnel Action File and Personnel Action File with the new material must be returned to the Peer Review Committee for review, evaluation and comment before consideration at subsequent levels of review. (MOU 15.12.B)

In the event the established deadline falls on a weekend or academic holiday, the date will be extended to the Monday immediately following that date, except for promotion notification, which must be made prior to June 1.



Retention, Tenure and Promotion Cycle

Checklist For Deans

- By **October 5th**, review with department heads the RPT evaluation lists forwarded by the Provost and Vice President for Academic Affairs and bring any corrections to the attention of Mike Suess, Associate Vice President for Academic Personnel (756-2844).
- **Early Fall Quarter**, advise faculty to notify dean in writing by college deadline, with a copy to the department head/chair, whether or not they wish to be considered for promotion. (The deadline should be prior to November 1st so that dean will have enough time to make the candidates' Personnel Action File, including student evaluations, available to the appropriate department evaluators. (MOU 14.3)
- **Early Fall Quarter**, arrange for election of College/Library Peer Review Committee so that departmental peer review committees can be elected. (MOU 15.35)
- By **October 15th**, duplicate college/department personnel documents or advise faculty of their accessibility.
- By **October 15th**, make available to the appropriate departmental evaluators the Personnel Action Files of all first and second year probationary faculty undergoing performance review. Personnel Action Files are considered complete with respect to documentation of performance for the purpose of evaluation. Insertion of material after this date must have approval of College/Library PRC. (MOU 15.12)
- By **November 1st**, deans make available to the appropriate departmental evaluators the Personnel Action Files, including student evaluations, of candidates being considered for retention to 3rd-6th probationary year, tenure and/or promotion. Personnel Action Files are considered complete with respect to documentation of performance for the purpose of evaluation. Insertion of material after this date must have approval of College/Library PRC. (MOU 15.12)
- By **December 10th**, department heads/chairs forward to dean the Working Personnel Action File and Personnel Action File, if appropriate, of 1st and 2nd year retention candidates. Review materials; if necessary, return for correction or amplification. Ensure that each peer review committee member signed and dated the logs of both the Working Personnel Action File and the Personnel Action File before the recommendation was finalized.
- By **January 8th**, the dean provides recommendation to 1st and 2nd year retention candidates. As appropriate, meet with and/or consider any response or rebuttal statement filed by the candidate. Other than reconsidering the original recommendation, there should be no written response to the candidate's rebuttal statements.

Checklist For Deans

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- By **January 15th**, deans forward the Working Personnel Action File and the Personnel Action File to President for all 1st and 2nd year probationary faculty, with a completed summary of evaluations and recommendations concerning retention, promotion and tenure

- By **February 15th**, department heads/chairs forward retention (3rd-6th year), tenure and promotion files to dean. Review materials; if necessary, return for correction or amplification. Ensure that each peer review committee member signed and dated the logs of both the Working Personnel Action File and the Personnel Action File before the recommendation was finalized. Dean provides College Peer Review Committee access to files of candidates requesting promotion as well as the recommended priority ranking lists from the peer review committees and the department heads/chairs.

- By **March 15th**, College Peer Review Committee provides to dean the written recommendations (with reasons) and priority ranking of candidates requesting promotion. Ensure that each peer review committee member signed and dated the logs of both the Working Personnel Action File and the Personnel Action File before the recommendation was finalized. The priority ranking of candidates for promotion by the reviewing levels is not required to be included in the recommendations. Upon written request, candidates will be informed in writing of their priority ranking by the appropriate reviewing level. Such requests and responses shall only be placed in the Working Personnel Action File upon the written request of the candidate. Candidates may verbally request to be informed verbally of their priority ranking by the appropriate reviewing level. (MOU 15.5)

- By **April 1st**, dean provides written recommendation to all candidates for retention (3rd- 6th year), tenure and promotion. Endorse the priority ranking recommended by the College/Library Peer Review Committee or submit your own priority ranking of candidates recommended for promotion.

As appropriate, meet with and/or consider any response or rebuttal statement filed by the candidate. Other than reconsidering the original recommendation, there should be no written response to the candidate's rebuttal statements. (MOU 15.5)

- By **April 8th**, deans forward the Working Personnel Action Files and the Personnel Action Files for all candidates to the President, with a completed Summary of Evaluations and Recommendations Concerning Retention, Promotion and Tenure.

In the event the established deadline falls on a weekend or academic holiday, the date will be extended to the Monday immediately following that date, except for promotion notification, which must be made prior to June 1.

TABLE 1 Teaching Evaluation Criteria Appendix 8

Major Components of Teaching Evaluation	Criterion	Possible Ways Attainment of Criterion Can Be Assessed
Content	Demonstrated subject matter comprehension and current knowledge	<ul style="list-style-type: none"> • Evidence of short course, training, or certificate completion • In-class peer evaluation • Recognized expert in field • Student perception
	Up-to-date course content	<ul style="list-style-type: none"> • In-class peer evaluation • Demonstrated changes/improvements over time (examples in supplemental RPT materials) • Effective use of guest lecturers and outside experts
	Contemporary and appropriate texts, readings, software, etc.	<ul style="list-style-type: none"> • Peer evaluation of text/readings quality and currency • Student perception of value • Demonstrated changes or updates over time
	Correlation of theory with practice	<ul style="list-style-type: none"> • Evidence of problem-solving demonstrated in exams or assignments • In-class peer evaluation
	Quality of support materials (study guides, Blackboard web pages, etc.)	<ul style="list-style-type: none"> • Peer evaluation of clarity and quality of materials • Student perception of value
	Significant course development or innovation	<ul style="list-style-type: none"> • Evidence of new course development (e.g., new course proposal) or significant changes • Evidence of new/different or innovative approach to current course • Evidence of development of critical thinking, oral presentation, and writing skills
Course Organization and Management	Designing, sequencing, and presenting experiences to facilitate learning	<ul style="list-style-type: none"> • Syllabus with objectives, learning outcomes, schedule, grading policies, assignment/exam dates, field trip dates, and other information
	Organized presentation, lab, discussion, or other activity	<ul style="list-style-type: none"> • In-class peer evaluation • Student perception
	Appropriate assessment of student performance	<ul style="list-style-type: none"> • Evidence of rigor and problem-solving expectation in exams and assignments
Delivery	<p>Human interactive skills to promote/facilitate learning</p> <ul style="list-style-type: none"> • Enthusiastic • Communicating effectively • Clear and organized • Motivating • Intellectually challenging • Engaging students in active learning • Soliciting and responding to feedback from students • Versatility • Presentation effectiveness • Intellectually stimulating • Effectiveness of student consultations (outside class). <p>Appropriateness of teaching techniques</p>	<ul style="list-style-type: none"> • Peer and student evaluations • Participation in teaching enhancement activities • Relevance of instruction to stated course objectives and learning outcomes



Student Evaluation of Faculty Form

CAL POLY **College of Agriculture, Food and Environmental Sciences**

Comment Addendum

Quarter_____

Course Number_____ Section_____

This evaluation form has been developed in order that you may respond to the performance of your instructor this quarter. The objective of this evaluation is to provide positive feedback in order that future teaching performance can be improved.

30. How do you rate the instructor's general teaching effectiveness?

Comments:

31. Overall, how do you rate the course?

Comments:



Progressive Expectations of Faculty Performance

The College has expectations as to how a candidate might progress through the RPT process. **Examples** are provided below but this list is not intended to be all-inclusive or prescriptive.

1-2 Years Retention

- Develop a Professional Growth Plan (PGP)
- Observable progress of PGP objectives
- Develop courses (e.g., syllabus, lectures, audio visual materials, field trips, labs, etc.)
- Peer review may receive higher weight than student evaluations
- Student evaluations, input, and feedback
- Participation in and implementation of skills from teaching enhancement activities (e.g., short-courses, conferences, and workshops)
- Provide time for advising students and developing advising skills
- Submit for publication manuscript(s) from a doctoral dissertation or other past research work
- Present doctoral dissertation or other past research work at a regional, national, or international conference or research symposium
- Maintain active membership in appropriate professional organizations
- Club involvement
- Minimal Departmental, College, and/or University service

3-5 Years Retention, expanded to include:

- Observed achievement of Professional Growth Plan objectives
- Course enhancement
- Teaching enhancement and integration (e.g., new delivery techniques, use of Blackboard, web-based instruction, and other innovative teaching techniques)
- Development of teaching portfolio
- Student evaluations, student interviews, and/or peer review committee comments reflect improvement in teaching skills
- Continued successful efforts to enhance teaching effectiveness (e.g., participation in short-courses, conferences, and workshops; demonstration of new skills/concepts incorporated into courses/teaching)
- Submit grant and contract proposals
- Receive grant and contract proposals from CSU and Cal Poly sources
- Submit for publication articles in journals, conference proceedings, and technical reports
- Present at state, regional, and national conferences
- Expand professional organization involvement and leadership including committee membership, session moderator, session chair, or panelist
- Service in editorial or reviewer positions
- Continuing education certifications/licensure as appropriate
- College level service
- Continued club involvement
- Continued departmental service
- Participation in College and University service activities

Tenure and Promotion, expanded to include:

- Observed achievement of Professional Growth Plan objectives
- Innovation in teaching
- Improvement in student evaluations, student interviews, and other forms of feedback
- Improvement in peer review evaluations
- Provide leadership to others while still participating in teaching enhancement activities (e.g., participation in short-courses, conferences, and workshops)
- Recognized as a committed/available teacher and advisor
- Other noteworthy accomplishments
- Professional organization leadership roles such as chapter officer, statewide committee member, and conference organizer
- Publication in a regional or national peer reviewed journal article or refereed conference proceedings; publication in other professional journals
- Present at state, regional, and national conferences
- Awarded grants and contracts
- Service in editorial or reviewer positions
- Awards and honors recognizing professional accomplishments
- Recognition at regional, national, and/or international levels
- Evidence of leadership in your profession through professional societies and community service
- Continued service to student clubs, teams, student events, and other student activities
- Continued evidence of active service at the Department, College, University, and/or community level
- Contributions and service to the community/profession with emphasis placed on contributions related to the faculty member's discipline
- Other noteworthy accomplishments

NAME: _____ LECTURER RANGE: _____ DATE: _____

COLLEGE: _____ DEPARTMENT: _____

This is an evaluation for (check applicable action):

 Periodic Review Range Evaluation

FACTORS OF CONSIDERATION

Justification for Recommendations (CAM 341.1A7)

Evaluative statements should be accompanied by supporting evidence. If the evidence does not appear to support the recommendations made, the file will be returned to the reviewing levels for amplification.

The evaluator should review effectiveness of the faculty member primarily during this evaluation period. The evaluation should reflect both (1) evidence of merit and (2) suggested areas for improvement. Reference any resources used for evaluation; such as class visitation, conferences, and materials provided by the faculty member. If more space is needed, use an additional page.

- *I. **Teaching Performance and/or Other Professional Performance:** Consider such factors as the faculty member's competence in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of course, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student consultations, and other factors relating to performance as a teacher. (Include results of Student Evaluation Program.)

*Nonteaching academic personnel are to be evaluated on their professional performance.

Evidence of Merit:

Areas and Suggestions for Improvement:

- IV. **Professional Growth and Achievement:** For lecturers, this category should be used to evaluate the ways in which the individual keeps current and relevant in teaching areas. Consider such factors as the faculty member's original preparation and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies, professional registration, certification and licensing.

Evidence of Merit:

Areas and Suggestions for Improvement:

- V. **Service to University, Students, and Community:** For lecturers with 15 WTU classroom teaching assignments, this category is not relevant. For lecturers with service expectations, consider the specific assigned activities (Consider such factors as the faculty member's participation in academic

advisement, co-curricular activities, diversity-related activities, placement follow-up, department, college and university committee and individual assignments, systemwide assignments, and service in community affairs directly related to the faculty member's teaching area, as distinguished from those contributions to more generalized community activities.)

Evidence of Merit:

Areas and Suggestions for Improvement:

IV. Other Factors of Consideration: Consider such factors as the faculty member's ability to relate with colleagues, initiative, cooperativeness, dependability, etc.

Evidence of Merit:

Areas and Suggestions for Improvement:

V. Summary:

On the basis of the foregoing evaluation, I believe that _____:
(person being evaluated)

1. *has reached a high level of professional development and is making an outstanding contribution to the university which is readily recognizable.*
2. *fully meets the requirements of the present assignment and is making a valuable contribution to the university.*
3. *meets the requirements of the present assignment adequately and by following the preceding suggestions for improvement may make a greater contribution to the university.*
4. *does not meet satisfactorily the requirements of the present assignment.*

I recommend (*recommendation only required for range elevation*) :

Range Elevation

No Range Elevation

Department Head/Chair or Director's Signature

Date

I have read the above evaluation:

Signature of person being evaluated

Date

COMMENTS OF PERSON BEING EVALUATED:

NOTE: The college dean or division head's evaluation statement will subsequently be attached to this form.

COMMENTS OF DEAN:

Dean's Signature

Date

**COLLEGE OF AGRICULTURE, FOOD AND ENVIRONMENTAL SCIENCES
POLICY FOR LECTURER RANGE ELEVATION**

**GUIDELINES FOR IMPLEMENTATION OF POLICY AND CRITERIA FOR RANGE
ELEVATION**

It is recognized that, when being considered for range elevation, the candidate will be required to document a higher level of performance than was expected at the initial time of appointment or at the time of previous range elevation.

ELIGIBILITY

Those eligible for lecturer range elevations shall be limited to lecturers who have no more eligibility in their current range (ref.: criteria specified in Section 12.16 of the Faculty Bargaining Unit Contract) or have obtained an additional academic degree or professional certification relevant to their teaching discipline. Lecturer range elevations are subject to budget availability, as are promotions for tenure-track faculty. All elevations will be effective the beginning of fall quarter.

1. Elevation from Lecturer A to Lecturer B will require a Masters Degree and evidence of excellence in teaching.
2. Elevation from Lecturer B to Lecturer C will require evidence of excellence in teaching, and significant contributions in either service (departmental, college, university, or community-wide) or professional development.
3. Elevation from Lecturer C to Lecturer D will require a Ph.D., or the equivalent terminal degree and “distinguished” credentials, as determined within individual disciplines.

CRITERIA FOR RANGE ELEVATION EVALUATION

1. Applicants shall be evaluated according to their effectiveness in performing workload assignments.
2. As for all College of Agriculture faculty, the first and most important characteristic expected in a faculty member is the ability to teach well in the classroom, in supervised instruction, in the laboratory, and/or in the field. The faculty member has a responsibility to keep course material current and innovative, and to advise students effectively. Faculty are encouraged to participate in teaching enhancement activities, including seminars, short courses, and development of personal teaching portfolios.
3. Teaching shall be evaluated by the criteria specified in the College of Agriculture Personnel Policies and Procedures document (section titled “Teaching Performance”). Applicants may introduce additional evidence that they have maintained currency and active involvement in their disciplinary field. Examples might include evidence of continuing education, maintenance of professional licenses, involvement in scholarly research or creative activity, and involvement in community or University service related to the faculty member’s discipline.
4. It is not expected that temporary faculty engage in traditional areas of scholarship and university or community service unless such activities form part of their work assignment. If the work assignment includes such requirements, evaluators shall apply the established criteria for those areas from the Personnel Policies and Procedures document in a manner that reflects the scope of the assignment and the appropriate proportion among the areas being evaluated.

GUIDELINES FOR IMPLEMENTATION OF POLICY AND CRITERIA FOR RANGE ELEVATION

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EVALUATION PROCESS

A department peer review committee will be selected to evaluate the lecturer's application for range elevation. An applicant may request that a lecturer in a higher range be included in the peer review committee. The committee will review the submitted materials and perform any other desired and reasonable evaluation activities such as classroom visitation and interview of the applicant. The peer review committee will make a written recommendation and justification and present it to the lecturer for a seven-day response period. Following the response period, the recommendation, any responses, and any reactions to the response will be forwarded to the dean for final action. For appeal of negative decisions, refer to Section 12.18 of the faculty contract.

SCHEDULE FOR APPLYING FOR RANGE ELEVATION

Statement of intent from candidate to Dean	February 2
File completed, submitted to Department Head/Chair	February 9
Peer review committee reports to candidate (1 week to respond)	March 2
Peer review report to Department Head/Chair	March 16
Department Head/Chair to candidate (1 week to respond)	April 20
Department Head/Chair to Dean	May 1
Dean to candidate	May 18

In the event the established deadline falls on a weekend or academic holiday, the date will be extended to the Monday immediately following that date, except for promotion notification, which must be made prior to June 1.