

Memorandum

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Michael Miller, Cornel Morton, Mohammad Noori, Dave Wehner

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Provost and Vice President for Academic Affairs

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Subject: Retention, Promotion and Tenure 2008-09

This document describes provisions for the 2008-09 faculty personnel action cycle. Enclosed is the Retention, Promotion, and Tenure Evaluation eligibility list for your college/division. By **October 1st**, please review the list with your department heads/chairs and call any corrections to the attention of Mike Suess, Associate Vice President for Academic Personnel.

You and others in your college/division who are involved in the RPT process should familiarize yourself with applicable provisions of the Unit 3 Agreement between the California Faculty Association and the Board of Trustees, hereinafter referred to as the MOU. Articles 11, 12, 13, 14, and 15 are particularly important. The collective bargaining agreement is accessible through the Academic Personnel website (under Policies and Procedures), or directly from the California State University website at the following URL: http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/CFAtoc.shtml.

The timetable for the 2008-09 RPT cycle (see page 5) was modified last year to accommodate a new provision in the MOU which increases the rebuttal period from 5 days to 10 days (MOU 15.5). Consequently, retention recommendations for 3rd - 5th year probationary faculty will be evaluated by the deans before the evaluation of candidates for tenure and/or promotion. Strict adherence to the timetable is required under Articles 15.4 and 15.41 of the MOU. There is a relatively short time period between now and the commencement of the RPT process. This, combined with the requirement that faculty unit employees subject to RPT actions must have access to a copy of the evaluation **criteria and procedures no later than 14 days after the first day of instruction** (MOU 15.3), necessitates prompt action on your part. You are encouraged to either duplicate the approved criteria and procedures for the college and departments or advise the candidates in writing of the accessibility of the material. The criteria and procedures presently approved appear on page 6 and are posted on the Academic Personnel website (<http://academic-personnel.calpoly.edu> under Policies & Procedures). **No other changes to the criteria and procedures are to be made during the 2008-09 cycle after September 26, 2008.**

Department heads/chairs are expected to assist new tenure-track faculty members in formulating a professional development plan. The plan should generally outline how the faculty member, as a teacher/scholar, intends to provide substantive contributions to his/her discipline and how those activities can be useful in keeping 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. Those accomplishments should be ambitious and clear. Pursuant to Academic Senate Resolution AS-574-01, each department is encouraged to have available a program to mentor each of their new probationary faculty.

The following pages describe the RPT process in detail. All consultative levels should be made aware of the necessity to closely follow established procedures. You are urged to carefully monitor the process and ensure that any variations from established procedures are corrected as early in the process as possible. In the event you have any questions regarding the process to be followed during the RPT cycle, please contact Mike Suess at 756-6570 or msuess@calpoly.edu. Thank you.

Personnel Action Files/ Working Personnel Action Files

It is the responsibility of the candidates to present clear, yet concise, evidence of their qualifications for retention, tenure or promotion. **Candidates are requested to submit materials in binders of 3" capacity or smaller.** Evaluating committees and administrators are responsible for identifying and providing materials related to the evaluation that have not been provided by the employee. The faculty contract requires the campus to establish a deadline whereby the Working Personnel Action File is declared complete with respect to documentation for the purpose of evaluation. These deadlines are **October 15^h** for 1st -2nd year performance reviews, and **November 1st** for 3rd-6th retention, tenure and promotion performance reviews. The insertion of material after these deadlines must be approved by the appropriate College/Library Peer Review Committee and must be limited to items that became accessible after the deadline. Materials inserted in this fashion shall be returned to the initial evaluation committee for review, evaluation and comment before consideration at subsequent levels of review.

To meet these deadlines, by **October 15^h** the deans will make available to members of the peer review committees and to the department head/chair the **Personnel Action File** (including student evaluations) of those first and second year probationary faculty undergoing performance review. Similarly, by **November 1st**, the files must be provided for candidates being considered for all other retention, tenure, and/or promotion actions. Candidates are responsible for ensuring that their Personnel Action Files are accurate before those dates. Concurrently, by **October 15^h**, **first and second year probationary faculty members** who are subject to performance review are responsible for submitting to their department head/chair a **Working Personnel Action File** which includes all materials they wish to be considered in the performance review and an index of the materials submitted. At a minimum, such information must include a current resume (see page 7). Candidates for retention to a **third-sixth probationary year**, tenure and promotion must submit their **Working Personnel Action Files**, which should include their professional development plan, by **November 1st**.

At the departmental level, the department head/chair is the custodian of the Working Personnel Action File and if appropriate, the Personnel Action File; at the college level the file custodian is the dean; and at university level, the Provost will be file custodian of the Working Personnel Action File and the Personnel Action File. **All evaluators must sign the logs in both the Personnel Action File and the Working Personnel Action File before** they finalize their recommendations. It is the professional obligation of **all evaluators** to review the information in **both** the Working

Personnel Action File and the Personnel Action File before they vote or submit a written recommendation.

Custodians of the files and PRC chairs are to ensure the confidentiality of personnel files. Normally, there should be no duplication of file materials except for copies made for the candidate or appropriate administrator, or for distribution at PRC meetings. At the conclusion of each meeting, the file custodian (or PRC chair) is responsible for collection of duplicated materials. Although copies of the candidate's resume may be distributed to Peer Review Committee members for official use at times other than PRC meetings, they must be returned to the file custodian by the conclusion of the PRC review.

Promotion Requests

Article 14.3 of the Agreement requires faculty members who are technically eligible for promotion, but do not wish to be considered, to submit such a declaration in writing. In communicating with faculty members, deans should specify a date by which faculty are to indicate in writing to them (with a copy to their department head/chair and Academic Personnel) whether or not they wish to be considered for promotion. The application deadline should be prior to **November 1st**, so that the college peer review committee can be elected.

Election of Peer Review Committees

Article 15.38 and 15.39 of the faculty contract address responsibility of the probationary and tenured faculty of the department to **elect** eligible tenured faculty members to the peer review committee(s) and the limitation of service to no more than one committee level of peer review. (At the request of the department, the dean may agree to include participants in FERP if all reviews can be concluded within their FERP assignment). Consequently, College/Library Peer Review Committees should be elected as soon as possible so departmental committees can be elected. Tenured faculty members applying for promotion are **ineligible** to serve on promotion or tenure committees, but may be elected to serve on retention committees.

Evaluations/Recommendations

Recommendations for retention, tenure or promotion should be supported by unequivocal evidence that the candidate meets established university, college, and departmental criteria which is based on information in the Working Personnel Action File and/or the Personnel Action File. A **new contract provision** requires that the candidate be provided a minimum of a **five day notice that classes will be observed**. Also, consultation must occur between the candidate and the faculty evaluator.

It should be understood that if a faculty member does not have the potential to achieve tenure, then that individual should not be reappointed. Similarly, a candidate who does not have the potential for promotion to Associate Professor and Professor should not be granted tenure. This does not mean that retention is a guarantee of tenure nor is tenure a guarantee of promotion (CAM 341.1B3). Probationary faculty members should be expected to complete the normal probationary period and it should be recognized that occasions for granting early tenure will be rare. If at any level, the evidence submitted does not adequately support the recommendation made by the previous levels of review, the file should be returned for amplification in accordance with CAM 341.1A7.

Each level of review -- (1) departmental peer review committee, (2) tenured department head/chair, (3) college-wide peer review committee, and (4) dean -- is required to provide its written recommendation(s) to each candidate, including the reasons for those recommendations. The recommendations by the peer review committees should be consistent with the provisions of CAM 341.A.8. **The candidate will have a ten calendar day period for response or rebuttal** before the recommendation is sent to the next level of review. Other than reconsidering the original recommendation, an arbitrator has ruled that there should be no reply to the candidate's rebuttal statements.

Promotion Rankings

For promotion actions, rank-ordered lists are to be forwarded by the departmental elected peer review committees with the promotion evaluations of those being considered. Tenured department heads/chairs may endorse the rank-ordered list or recommend a different priority order. The college peer review committee is to utilize the departmental lists in recommending to the dean a college-wide rank-ordered list. Deans, in arriving at their rank-ordered list for the college, should consider the recommendations at each of the three previous levels of review. The relative priority ranking for promotion 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. The rankings will be used by the deans and Provost in determining promotion salary increases beyond the minimum 7.5%, if applicable.

Faculty Evaluation Form (AP 109)

Tenured department heads/chairs and deans are to continue to use the Faculty Evaluation Form (AP 109 – example enclosed) to evaluate faculty for retention, tenure, and promotion. AP 109 may also be used by peer review committees for purposes of evaluation (please see

<http://academic-personnel.calpoly.edu>, under the Forms tab to download the AP109 in Word format). In cases where the department has an untenured chair, the PRC is strongly encouraged to use the AP109 form to document their evaluation. **Comments regarding student evaluations must be included in Section 1 of Form AP 109.** 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 15.17.b).

Pursuant to an arbitration finding and in accordance with MOU 15.2, **department heads/chairs who are probationary faculty members are not eligible to provide recommendations for retention, tenure, and/or promotion.** Department heads/chairs may attend PRC meetings only upon invitation by the PRC.

Forwarding Recommendations

In forwarding recommendations, please include a summary using the format provided (enclosed), and also the **rank-ordered promotion lists from each level of review.** Please comment on any special cases such as requests for early tenure or early promotion and recommendations for non-retention or a terminal notice year.

For each candidate, **both** the Personnel Action File and the Working Personnel Action File should be forwarded. The Working Personnel Action File should contain:

- Candidate's updated resume (Faculty Resume Worksheet is provided on page 7), professional development plan, and the index and supplementary materials submitted by the candidate.
- The recommendations and evaluative statements prepared by the departmental and college peer review committees; AP 109 containing the recommendations of the tenured department head/chair and dean, as well as any rebuttal statement or written response provided by the candidate.

Notification of Decisions

Promotion and tenure decisions will be announced by June 1. The files will be returned to you after final decisions have been made. The deans will then be asked to file the faculty resume, index, professional development plan, and the evaluative statements for each level of review into the candidate's official Personnel Action File. Supplementary materials shall then be returned to each candidate.

In the event you have any questions regarding the process to be followed during the RPT cycle, please contact Mike Suess at 756-6570 (msuess@calpoly.edu) or Al Liddicoat at 756-5217 (aliddico@calpoly.edu).

Appendices:

1. Timetable for Retention, Promotion & Tenure page 5
2. Approved statements of criteria and procedures page 6
3. Faculty Resume Worksheet page 7

Enclosures:

1. RPT Evaluation Eligibility List (by college)
2. RPT Checklists (color-coded) for candidates & evaluators:
 - 1st & 2nd Year Retention Candidates
 - 3rd – 6th Year Retention Candidates
 - Tenure Candidates
 - Promotion Candidates
 - Departmental Peer Review Committees
 - Department Heads/Chairs
 - College/Library Peer Review Committees
 - Deans
3. Form AP 109 (Faculty Evaluation Form)
(<http://academic-personnel.calpoly.edu>, Forms tab)

Timetable for Retention, Promotion and Tenure

Action	Retention (1st-2nd)	Retention (3rd-6th)	Tenure Promotion
Candidates provide Working Personnel Action File; Dean makes Personnel Action Files Available	Oct 15	Nov 1**	Nov 1**
Peer Review Committee to Candidate*	Nov 7	Jan 9	Jan 9
Peer Review Committee to Department Head/Chair	Nov 17	Jan 20	Jan 20
Department Head/Chair to Candidate*	Dec 2	Feb 6	Feb 6
Department Head/Chair to Dean	Dec 12	Feb 16	Feb 16
College/Library Peer Review Committee to Candidate*	----	----	Mar 6***
College/Library Peer Review Committee to Dean	----	----	Mar 16***
Dean to Candidate*	Jan 9	Mar 6	Apr 3
Dean to Provost	Jan 19	Mar 16	Apr 13
Notification	Feb 15**	Jun 1	Jun 1

*Candidates may submit a rebuttal statement or response in writing (with a copy to previous levels of review) and/or request a meeting to discuss the recommendation within ten calendar days following receipt of the recommendation.

** 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.

*** The College Peer Review Committee will make recommendations in all promotion cases, and may also make recommendations in tenure cases when specified in the personnel policies and criteria statement of the college.

Currently Approved Statements of Criteria and Procedures*

(current policy statements are posted at <http://academic-personnel.calpoly.edu> under Policies & Procedures)

<u>Area</u>	<u>Date Approved*</u>
College of Agriculture, Food and Environmental Sciences.....	10-5-05
Agribusiness	9-21-06
Horticulture and Crop Science.....	9-30-90
College of Architecture and Environmental Design.....	10-7-04
Architecture.....	10-8-04
Architectural Engineering.....	10-1-03
City and Regional Planning.....	10-11-05
Construction Management.....	10-1-03
Landscape Architecture.....	10-1-03
College of Business	6-24-04
Accounting Area	9-12-04
College of Education	
Teacher Education Division.....	10-11-04
Graduate Studies in Education	10-11-04
College of Liberal Arts	8-27-93 (pending revision)
Art and Design	9-8-03
Communication Studies	9-28-07
English	10-10-06; ET&EP Addenda 1-13-06
Ethnic Studies.....	9-30-96
Graphic Communication.....	9-18-03
History.....	10-11-04 & 5-3-05
Journalism	10-1-85
Liberal Studies	9-18-03
Modern Languages & Literatures.....	9-10-03
Music	9-10-03; ET&EP Addenda 10-8-04
Philosophy.....	9-21-06
Political Science.....	9-27-07
Psychology and Child Development.....	8-2-95
Social Science.....	9-26-07
Theatre and Dance	10-8-04
College of Engineering	10-8-04
Aeronautical Engineering.....	7-1-99
Computer Engineering Program.....	9-4-02
Computer Science	10-1-03
Electrical Engineering.....	Governance 9-21-06; ARPT 10-5-01
Materials Engineering.....	10-11-04
Mechanical Engineering.....	10-8-93
College of Science and Mathematics	editorial update 8-8-08
<i>(Revised college policy supersedes all previously-approved department policies)</i>	
Library	9-21-06 (pending revision)
Counseling Faculty/Student Affairs.....	9-30-03

*Corrections should be brought to the attention of Mike Suess, Associate Vice President for Academic Personnel

Faculty Resume Worksheet

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 supporting 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. **Candidates are requested to prepare their Working Personnel Action File materials in binders of maximum 3" capacity or smaller.**

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

- ◆ PROFESSIONAL DEVELOPMENT PLAN
- ◆ SCHOLARLY ACTIVITIES COMPLETED *(with primary emphasis on activities completed since coming to Cal Poly for probationary faculty, and for period in rank for candidates for promotion)*

*Journal Publications	*Consulting	*Presentations
*Conference Publications	*Patents	*Reviews
*Books	*Commissions	*Workshops
*Creative/Artistic Achievement	*Editorships	*Conferences
*Research	*Refereeing	*Industrial Collaborations, etc.
- ◆ PARTICIPATION IN PROFESSIONAL ASSOCIATIONS AND ORGANIZATIONS
- ◆ GRANTS AND CONTRACTS
- ◆ FELLOWSHIPS
- ◆ HONORS
- ◆ CURRENT PROJECTS AND ACTIVITIES

IV. SERVICE

- ◆ UNIVERSITY
- ◆ COLLEGE
- ◆ DEPARTMENT
- ◆ COMMUNITY (activities related to professional expertise)