

FACULTY PERSONNEL POLICIES AND PROCEDURES FOR RETENTION, TENURE, AND PROMOTION

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I. Preamble¹

- A. Two documents serve as the basis for Trustee policy concerning retention, tenure and promotion of Faculty Unit Employees: the Collective Bargaining Agreement (CBA) between the Trustees of the California State University (CSU) and the California Faculty Association (CFA), and Title 5 of the California Administrative Code. Campus procedures must comply with the content and language of these documents. The language of the CBA shall take precedence in matters of interpretation.
- B. Trustee policy on campus personnel matters ranges from the CBA and Title 5 details to the broad policy statements which require the campuses to develop local regulations and procedures to implement policy. The local implementation measures must be consistent with the CBA, Title 5 and Trustee policy.
- C. In accord with Title 5, Section 42701 decisions on retention, tenure and promotion (RTP) at Cal Poly Humboldt are based upon consultation. Appendix J's purpose is to provide faculty unit employees' involvement, where appropriate, at all levels of the RTP process and to provide for orderly and timely evaluation procedures.
- D. During any RTP cycle, criteria, policies, and procedures in Appendix J shall remain unchanged. 15.3
- E. All faculty members and administrators concerned shall act in good faith, with professional responsibility, collegiality, and comply with this personnel policy.

II. Definitions of Terms and Abbreviations

- A. In the policies and procedures prescribed by this document, "is" is informative, "shall" is mandatory, "may" is permissive, "should" is conditional, and "will" is intentional.
- B. The following terms, important to understanding Appendix J, are herein defined.
 - 1. Accessibility – a commitment to providing services that support equitable access and foster equity and inclusion. This includes, but is not limited to, programs and activities associated with the university and its curriculum related requirements. This commitment recognizes the intersectional identities, experiences and needs of our campus community and goes beyond meeting legal requirements but aspires to create a community and a culture where everyone can thrive.
 - 2. Administrator – an employee serving in a position designated as management or supervisory in accordance with HEERA. 2.1
 - 3. Candidate – a faculty unit employee being evaluated for retention, tenure, or promotion.
 - 4. CFA – The California Faculty Association or the exclusive representative or the union. 2.7

¹ Reference numbers in Appendix J refer to articles from the CBA of September 18, 2012 - June 30, 2014 (refer to CBA for exact language).

5. Bias – a conscious or unconscious attitude or stereotype that affects our understanding, actions, and decisions. Implicit, or unconscious, biases often contradict our openly-held beliefs or attitudes, undermining our intentions (Staats, Capatosto, Wright & Jackson, 2016).
6. Day – a calendar day. 2.11
7. Department – the faculty unit employees within an academic department, library, or other equivalent administrative unit. 2.12
8. Diversity - Diversity includes all the ways in which people differ, and it encompasses all the different characteristics that make one individual or group different from one another. Diversity can be broadly defined to include all aspects of human difference, including but not limited to, age, ability/disability, race, ethnicity, gender, gender expression and identity, language heritage, learning style, national origin, sexual orientation, religion, socio-economic status, status as a veteran, and world-view.
9. Equity - Recognizing the historical and systemic disparities in opportunities and outcomes and providing the resources necessary to address those disparities (The Education Trust-West, 2017). Equity is about showing results that lead to change.
10. Equity-Mindedness - The Center for Urban Education at the University of Southern California (USC) refers to “Equity-Minded” as a perspective or mode of thinking exhibited by practitioners who call attention to patterns of inequity in student outcomes. These practitioners are willing to take personal and institutional responsibility for the success of their students and critically reassess their practices. It also requires that practitioners be race-conscious and aware of the social and historical context of exclusionary practices in American Higher Education.
11. Faculty Unit Employee – a bargaining unit member who is subject to retention, tenure, or promotion.
12. Inclusion - Inclusion is the act of creating environments in which any individual or group can feel welcomed, respected, supported, and valued.
13. Personnel Action File (PAF) – the one official personnel file containing employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. Campus medical and police records are not a part of the PAF. 2.17, 11.17
14. Minoritized - used instead of "minority" to signify the social construction of underrepresentation and subordination in U.S. social institutions, including colleges and universities. Persons are not born into a minority status nor are they minoritized in every social milieu (e.g., their families, racially homogeneous friendship groups, or places of religious worship). Instead, they are rendered minorities in particular situations and institutional environments that sustain an overrepresentation of whiteness (Harper. S. R. (2013)).
15. Periodic Evaluation – the evaluative process of a faculty unit employee which is normally required for probationary faculty who are not subject to a Performance Review. 15.20b, 15.30-15.33

16. Performance Review – the evaluative process required for retention, tenure, or promotion for faculty unit employees who are not subject to a periodic evaluation. 15.37-15.39
17. Personnel Action File (PAF) – the one official personnel file containing employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. Campus medical and police records are not a part of the PAF. 2.17, 11.17.
18. Positionality - the social, economic and political context that shapes your identity in terms of race, class, gender, sexuality, birth place, immigration status and ability status. Positionality also describes how your identity influences, and potentially biases, your understanding of and outlook on the world.
19. President – the chief executive officer of Cal Poly Humboldt or his/her designee
20. Probationary Period – the period of service, prior to the granting or denial of tenure, credited to a faculty unit employee who has received a probationary appointment. 13.2
21. Professional Development Plan (PDP) – a document that describes a program of professional development in each of the areas of performance for RTP.
22. Promotion – the advancement of a probationary or tenured faculty unit employee who holds academic or librarian rank to a higher academic or librarian rank, or advancement of a Counselor Faculty Unit Employee to a higher classification. 14.1
23. Personnel Data Sheet (PDS) – the Cal Poly Humboldt summary form used by the candidate to present basic data on qualifications in the retention, tenure and promotion process.
24. Racial Equity - Equity work at Cal Poly Humboldt recognizes the historical and systemic disparities in opportunities and outcomes and provides resources necessary to rectify those disparities. Racial equity at Cal Poly Humboldt will be achieved when one's racial identity no longer predicts, in a statistical sense, how one fares. Racial equity is one part of racial justice and works to eliminate policies, attitudes, and cultural messages that reinforce differential outcomes by race.
25. Retention – authorization to continue in probationary status for another year.
26. "RTP" – retention, tenure, and/or promotion.
27. Tenure – the right to continued permanent employment at the campus as a faculty unit employee except when such employment is voluntarily terminated or is terminated by the Employer pursuant to this agreement or law. 13.14-13.20
28. "UFPC" – University Faculty Personnel Committee.
29. Working Personnel Action File (WPAF) – that portion of the Personnel Action File used during the performance review of a faculty unit employee. 2.17 and Article 11

III. Conditions of Appointment

- A. The President shall incorporate into a newly appointed faculty unit employee's appointment letter information pertinent to that person's employment at Cal Poly Humboldt. 12.2
1. In addition, the appointee shall be advised of:
 - a) the required academic degree,
 - b) any other requirements necessary for retention, tenure or promotion, and
 - c) the existence of a procedure to waive, under rare circumstances, the terminal degree requirement.
 2. The President shall provide newly appointed faculty unit employees with a copy of the Faculty Handbook and direct the appointee's attention to Appendix J. CFA shall provide the new appointee with a copy of the CBA.
- B. Procedures for establishing equivalency or compensating strengths as a substitute for the prescribed terminal degree.
1. *Demonstration of Equivalency* – Candidates will normally be expected to possess the doctorate or other terminal degree from an accredited institution, as appropriate to each discipline or program of instruction. When acceptance by the university, of a claim of equivalence to possession of the doctorate or other terminal degree is sought, the following supporting evidence shall be required:
 - a) Evidence that candidates have achieved regional or national status of outstanding prominence in their disciplines or areas of instruction. Such evidence consists, in part, of publications, exhibits, performances, professional lectures, the holding of major office in professional organizations, and the like, which support the claim of regional or national prominence.
 - b) The committee supporting the claim of equivalence shall provide evidence that candidates' professional expertise is sought regionally or nationally, that their publications have appeared in leading journals or other significant books or papers, and that those publications, exhibits, or performances have been reviewed other than locally.
 - c) Equivalency, having been demonstrated in RTP, need not be re-demonstrated in future situations.
 2. *Demonstrations of Compensating Strengths* – In exceptional cases candidates may establish compensating strengths to the degree of significance that the UFPC will find it possible to recommend waiving of the requirement for the appropriate doctorate or terminal degree so that a favorable personnel decision can be made. It shall be the responsibility of candidates to prepare the case for compensating strengths guided by the personnel committee of the initiating unit. While the degree of candidates' academic or other competence as previously demonstrated in performance at this university, special experience relevant to candidates' university assignment and the amount of higher education they have completed may serve as factors in the case presented, they shall not be sufficient

to complete the case. Evidence shall also be required that demonstrates candidates' exceptional value to the university, and its instructional program in particular, of a type sufficient to establish a unique basis for determining that acceptance of the claim of compensating strengths is in the best interest of the university.

3. *Recommendations for Equivalence or Compensating Strengths* – The case for equivalence or compensating strengths shall be affirmatively recommended to the President upon the approval of two levels of personnel committee review, provided that one of these is the UFPC.

IV. Retention, Tenure, and Promotion (RTP)

- A. All candidates for RTP shall be subject to Periodic Evaluations or Performance Reviews according to Figure 1. 14.6, 15.31
- B. Academic departments and units, in collaboration with other university personnel and committees involved in the RTP process, have the responsibility to ensure that probationary faculty receive mentoring. Departments may employ any approach to mentoring that they find effective.
- C. The President shall make the final decision in all RTP matters following consultation with the UFPC. 13.11, 13.16, 14.8
 1. The President's decisions shall be based on the PAF. 11.9, 15.12c.
 2. The President's decisions shall be in writing and shall include the reasons for the decision. 15.47
 3. The President's decisions are to be based on candidates' professional qualifications, work performance, or personal attributes as documented in the PAF. Any other basis shall be reduced to writing and inserted into the Personnel Action File in accord with the CBA, with copies to the candidate. 11.9, 15.12c
- D. The President shall notify candidates of the final decision by the following deadlines.
 1. Probationary candidates for retention with less than two (2) years' service, **February 15**. 13.12
 2. Probationary candidates for retention with more than two (2) years' service, and candidates for tenure, **June 1**. 13.13, 13.18
 3. Candidates for promotion, **June 15**. 14.9
- E. A terminal year appointment may be awarded to a candidate who is denied retention or tenure and has at least three (3) years' service. 13.18
- F. The normal probationary period is six (6) years of full-time service (including credited service). 13.3
 1. Questions involving the definition of service shall be resolved in accord with the CBA. 13.6

2. The President may extend the probationary period for one (1) year if a candidate is on Workers' Compensation, disability leave, sick leave, or unpaid leave. 13.7, 13.8
3. The President, upon recommendation by the appropriate unit, may grant up to two (2) years of probationary credit for previous service. 13.4
4. A maximum of one (1) year of professional leave may be counted as time in rank. 22.25
 - a) The amount of time to be so counted shall be based upon the IUPC's recommendation.
 - b) The appropriate administrator shall forward the recommendation to the Vice President for Academic Affairs or the Vice President for Student Affairs.
5. The President may award tenure to a faculty unit employee for exceptional performance before the normal (6) year probationary period (13.3, 13.19) if the following criteria are met:
 - a) Such consideration is initiated by the faculty unit employee's department or equivalent unit or by the faculty member with the knowledge of their department or unit.
 - b) The faculty unit employee demonstrates clear evidence that they have achieved, before the normal probationary period, a record of accomplishment that meets or exceeds the following criteria and levels of performance:
 - (1) The faculty unit employee has worked a minimum of one academic year at a full teaching load typical of their department (for example, teaching 24 WTUs after teaching two years of a contractual reduced load). This policy recognizes that there could be exceptions to what is considered a normal teaching load.
 - (a) The faculty member unit employee's RTP criteria and standards, department chair, or initiating unit personnel committee (IUPC) shall clarify what is considered a "typical full-time teaching assignment" for faculty in their department. Any permanent deviations from the typical full-time teaching assignment should be clearly stated.
 - (2) The faculty unit employee has demonstrated a minimum of "Good" in both of the performance areas of Scholarly/Creative Activities and Service based on departmental requirements for the normal (6-year) probationary period.
 - (3) Department or equivalent unit RTP criteria and standards may specify more rigorous requirements for early tenure or promotion but may not exceed the requirements for "Excellent" levels of performance in any category as defined in that department or equivalent unit's RTP criteria and standards.
 - c) The length and breadth of the faculty unit employee's service are sufficient to provide a high expectation that the prior patterns of achievement and contribution will continue.

6. The President may award tenure at the time of appointment only after an evaluation and recommendation by the appropriate department. 13.17
 7. Tenure shall be effective at the beginning of the academic year following the date of the award. 13.20
- G. All newly appointed probationary faculty seeking second year retention shall undergo a Modified Performance Review, including those awarded service credit upon appointment to the university.
1. The Modified Performance Review shall include submission of a reviewed Professional Development Plan, evaluations of teaching performance, Initiating Unit personnel Committee (IUPC) review, and review by the College/Library Dean /Director of Counseling and Psychological Services.
 2. The IUPCs shall consider teaching/librarian/counseling effectiveness and address possible problem areas in making a recommendation to the College Dean, the Dean of the University Library or the Director of Health and Counseling Services.
 3. After the Modified Performance Review for second year retention, subsequent terms of retention prior to tenure and promotion normally shall be two years.
- H. A Periodic Evaluation shall be required of all candidates who are not subject to a Performance Review (See Figure 1). 15.20

The IUPCs shall consider teaching/librarian/counseling effectiveness and address possible problem areas in making a recommendation to the College Dean, the Dean of the University Library or the Director of Health and Counseling Services.

- I. Provisions relating specifically to promotion.
1. A probationary faculty unit employee shall not normally be promoted during probation. 14.2
 2. A probationary faculty unit employee shall normally be considered for promotion at the same time s/he is considered for tenure. 14.2 In cases where a probationary faculty unit employee is being considered for promotion and tenure prior to him/her having fulfilled the time in service requirements for such consideration, the same criteria shall apply for promotion as those identified relative to tenure under IV.F.5. a-c) above.
 3. A tenured faculty unit employee may be promoted to Professor, Librarian equivalent, or SSP-AR Level III, prior to having satisfied the service requirements of provision 14.3 of the CBA. 14.4 In such cases, the following criteria must be met:
 - a) Such consideration is initiated by the faculty unit employee's department or equivalent unit or by the faculty member with the knowledge of his/her department or unit.
 - b) The faculty unit employee demonstrates clear evidence that s/he has achieved, before the time in service requirements for promotion, a record of accomplishment that meets the standards and level of performance for rank indicated in this appendix.

- c) The length and breadth of the faculty unit employee's service are sufficient to provide a high expectation that the prior patterns of achievement and contribution will continue.
4. A faculty unit employee has the option of not being considered for promotion and may withdraw without prejudice at any stage of the process. 14.3, 14.7

V. Personnel Action File

A. File Custodian

College Deans, the Dean of the University Library and the Vice President for Student Affairs (for counselor faculty unit) shall maintain official Personnel Action Files (PAF) for faculty unit employees in their respective units. 11.1

1. File content is to be accurate, relevant and timely. 11.1
2. RTP actions shall be based upon materials contained in the PAF. 11.1, 11.9, 15.12c
3. Other records on campus to which faculty unit employees have legal access shall be indicated in the PAF. 11.16

B. File Access

1. Access to faculty unit employee PAFs shall be limited only to persons with official business. The file custodian shall maintain a log, as part of the PAF, which records all access to the PAF. 11.15 Any material identified by source may be placed in the PAF. Identification shall indicate the author, the committee, the campus office, or the name of the officially authorized body generating the material. 11.3
2. Faculty unit employees shall have the right to access all materials in their PAF. Pre-employment materials are excepted unless used in personnel actions other than appointment. 11.10
3. Faculty unit employees, accompanied by another person of their choosing if desired, may inspect their PAF. Appointments shall be scheduled with the file custodian under reasonable conditions of inspection. 11.11
4. File custodians shall provide copies within fourteen (14) days of all PAF materials requested in writing by faculty unit employees. 11.12

C. File Additions

1. A faculty unit employee shall have the right to submit material to his/her PAF. 11.2
2. All material placed in the PAF shall be identified by source, except for classroom student evaluations collected in accordance with standard procedures. 11.3, 15.16

3. A faculty unit employee shall be provided with a copy of all material submitted to the file custodian for placement in his/her PAF at least five (5) days prior to such placement. 11.4

D. File Corrections

1. A faculty unit employee shall have the right to place a written rebuttal to any materials in his/her PAF. 11.2
2. If a faculty unit employee believes that material in the PAF, or material submitted for the PAF, is not accurate, relevant, or timely, he/she may request that the file custodian cause the material to be corrected or deleted in accordance with the CBA. 11.13
3. If a request for correction or deletion is denied by the file custodian, the faculty unit employee may submit the request to the President within seven (7) days and the President shall respond within twenty-one (21) days, including reasons for denial in accordance with the CBA. 11.14

E. Working Personnel Action File (WPAF)

1. The WPAF is prepared for a Performance Review (See Figure 1). 15.8
 - a) It contains all required forms and documents, candidate generated material, evaluative materials and recommendations and candidate's rebuttals, if any. 15.8
 - b) WPAF materials submitted by a faculty unit employee shall be deemed incorporated by reference into the PAF, but need not be physically placed in the file. 11.7, 15.9
2. Materials shall be in an online portfolio with 9 sections. Material in each section shall be in reverse chronological order, most recent material first.
 - a) Section 1 - Index of materials submitted for evaluation. 11.7, 15.9
 - b) Section 2 - Pertinent documents concerning original appointment, subsequent retention, tenure and promotion; evaluations of leaves intended to count as time in academic rank; and clarification of the terminal degree status if not readily apparent. Tenured faculty shall include material since the submission of their last successful application for promotion.
 - c) Section 3 - Initiating unit and college personnel policies and procedures, and Department/Unit RTP Criteria and Standards.
 - d) Section 4 - Personnel Data Sheet (PDS) and Professional Development Plan (PDP).
 - e) Section 5 - Evaluation materials provided by evaluating committees and administrators rather than the candidate. 15.12a
 - f) Section 6 - Evaluative letters that address areas of performance from faculty and professional colleagues (on and off campus), administrators, staff, and other relevant individuals (non-students).

- g) Section 7 – Evidence of teaching effectiveness/librarianship/counseling effectiveness (in addition to collegial letters).
 - (1) Student letters, identified by name. 15.17b
 - (2) Student evaluation data collected as part of the classroom student evaluation process. 15.17a
 - (3) Any other relevant evidence.
 - h) Section 8 – Non-evaluative evidence of scholarly/creative activities.
 - i) Section 9 – Non-evaluative evidence of service.
3. The file custodian as defined in Section V.A. above shall prohibit access to the WPAF, for forty-two (42) days following the date of the President's notification (in the case of tenure or promotion) or the Provost's notification (in the case of retention). 10.4 Any action in processing a dispute formally may be postponed for a period of up to twenty-five (25) days in order that the faculty member may pursue efforts to resolve the dispute informally. 10.5
- a) Following this period, and in the absence of a grievance, the Index from WPAF Section 1 shall be permanently placed in the Personnel Action File and appropriately updated to reflect any material added to the file during the course of the evaluation cycle (e.g., recommendations and rebuttals). Materials for evaluation submitted by a faculty unit employee and incorporated by reference in the Index, shall be considered part of the Personnel Action File. Such indexed materials (generally materials from WPAF Sections 8 and 9) shall be archived electronically and a digital copy provided to the faculty unit employee upon request. 15.9
 - b) If a grievance is filed, the integrity of the file shall be maintained by all parties until the grievance is resolved. 11.15

VI. Periodic Evaluation

- A. In an academic year or work year in which a candidate is not subject to a Performance Review for retention, probationary faculty unit employees shall be subject to a Periodic Evaluation (See Figure 1). 15.31
- B. Periodic Evaluations shall be conducted by the IUPC of the department or equivalent unit, and the appropriate administrator. There shall be consideration of the Professional Development Plan, student evaluations of teaching performance (when teaching duties have been assigned and student evaluations are available), peer reviews, and administrative reviews. 15.21, 15.32
- C. Professional Development Plan – Each probationary candidate shall develop, in consultation with the department chair, a Professional Development Plan that describes a program of professional development in the three areas of performance for RTP: teaching/librarian/counseling effectiveness, scholarly/ creative activities, and service. The plan shall be flexible and open to change as needed, it shall reflect the strengths of the candidate and her/his professional development needs, and it shall be aligned with the

department, college, and university needs. Candidates are encouraged to discuss their professional development goals with the department chair prior to Performance Review or Periodic Evaluation. This discussion should include identifying strengths of the candidate, areas that may benefit from mentoring and professional development, and resources needed to achieve the stated goals. Any resources required or that might be anticipated as necessary to support the Professional Development Plan must remain consistent with what can reasonably be offered by the department, college or university.

- D. Department chairs may make separate recommendations as part of the Periodic Evaluation process. If such a separate recommendation is to be made, the chair shall not participate as a member of the department or equivalent unit peer committee. 15.21
- E. A written record of the Periodic Evaluation shall be placed in the candidate's Personnel Action File. The candidate shall be provided a copy of the written record of the Periodic Evaluation. 15.33

VII. Performance Review

A. Evaluation by Peers, Students, and Administrators

The Performance Review shall consist of an evaluation of a candidate's performance areas by peers, students, and administrators. 15.38

1. Peer evaluation

- a) IUPCs shall ensure that there is adequate substantive peer evaluation of candidates.
- b) The effectiveness, relevance, and value of a candidate's accomplishments and activities in each performance area shall be determined primarily on the basis of written statements from colleagues within the university and, where appropriate, from peers outside the university.
- c) Due to the potential for the perception of a conflict of interest, candidates shall not request signed student letters from current students or from students working under them. It is the responsibility of the IUPC to make requests for signed student letters on behalf of the candidate. A candidate shall not be penalized for the lack of such letters; in such case, anonymous student course evaluations shall be considered as sufficient student commentary on teaching.

2. Student Feedback

- a) All classes (unless exempted) taught by faculty shall gather student feedback in the form of 'student feedback of learning experiences' questionnaires, including quantitative or a combination of quantitative and qualitative questions. (15.15, 15.17).
 - (1) Candidates shall not be present when questionnaires are administered.
 - (2) Questionnaires shall be anonymous and identified only by course and/or section. 15.17a
 - (3) Space may be provided on the quantitative form for student comments. 15.17a

- (4) Summaries of student questionnaires shall be prepared by regularly employed staff, not student employees. These shall contain appropriate tabulations and compilations of student comments.
 - (5) The University recognizes that student feedback is subject to bias, and research has shown that this bias disproportionately impacts faculty of color and faculty who identify as femme, trans, women or non-binary.
 - (6) Questionnaire summaries shall be placed in the Personnel Action File and shall not be available to candidates until after class grades have been submitted.
 - (7) Candidates are encouraged to comment in writing on student questionnaires including such information as required course status, grade point distribution, rigor, or course objectives.
 - (8) Candidates who find bias in their student feedback (or other content in their file) can appeal to the Dean, in accordance with Article 11 of the Collective Bargaining Agreement.
- b) In addition to classroom questionnaires, students may be provided an opportunity to consult with the IUPC. 15.16 All statements submitted outside of the regular classroom feedback process shall be identified by name before placement in the PAF. 15.17b
 - c) Low enrollment courses may be exempted from the requirement for student feedback questionnaires as specified below (see University Senate Resolution #29-12/13-FAC):
 - (1) Course sections enrolling three or fewer students
 - (2) Thesis courses, comprehensive examination courses, baccalaureate and master's project courses, senior and master's field, applied, and directed research course and independent study courses.

3. **Administrative Evaluation**

- a) The College Dean, the Dean of the University Library or the Director of Health and Counseling Services shall evaluate and forward written recommendations to the Vice President for Academic Affairs or the Vice President of Student Affairs who, in turn, shall forward a written recommendation to the President. 15.6, 15.45
- b) Department chairs may make separate recommendations in which case they may not serve on personnel committees which evaluate the candidates. 15.39b

B. Evaluation Procedures

1. **Timelines**

- a) The President shall announce timelines for the Performance Review process after receiving recommendations from the UFPC. 13.5, 14.5, 15.4

- b) The WPAF is closed to new materials at the first level of evaluation as of the date established under VII.B.1.a. 15.12b
 - (1) Upon request by a candidate or personnel committee, the UFPC may grant an exception for addition of new materials that become accessible after the closing date. 15.12b
 - (2) If the exception is granted, the added material shall be returned to the initial evaluation committee for review, evaluation, and comment. 15.12b
- c) All evaluations shall be completed within the timelines specified in VII.B.1.a. The WPAF shall automatically be transferred to the next level of review if it has not been completed and the candidate so notified. 15.4, 15.46

2. **Compilation of the Working Personnel Action File**

- a) Responsibility for providing WPAF materials is shared among candidates, IUPCs, and administrators. 15.12a
- b) Candidates shall ensure that their WPAF contains supporting materials which address RTP performance criteria and standards. 15.12a
 - (1) Materials shall be submitted to the IUPC by the deadline announced by the President. 13.5, 14.5, 15.4, 15.12.b
 - (2) The Cal Poly Humboldt Personnel Data Sheet (PDS) shall be utilized for presenting basic data on qualifications for RTP.
 - (a) Copies of PDS forms shall be available from department chairs and completed for submittal to the IUPC.
 - (b) Accomplishments and activities shall be cited only once under the most appropriate section. Those that are relevant to more than one section should be referenced in the main section with a note "Relevant also to Section 'blank'."
 - (c) In addition to listing accomplishments and activities, candidates may comment on anything they feel is relevant. This may include comments on written statements submitted by others.
 - (3) Candidates shall request statements from appropriate individuals who are capable of evaluating them in one or more performance areas. This may be done in conjunction with the IUPC.
 - (4) Candidates shall submit for evaluation examples of materials which support performance areas.

- (a) An index to such materials, which is section 1 of the WPAF, shall be prepared with a duplicate in the Personnel Action File. 15.9
 - (b) Personnel committees or administrators may request an external review of supporting materials. 15.12d
 - (i) The request shall document the need for an outside review. 15.12d
 - (ii) The request must be approved by the President, with the concurrence of the candidate. 15.12d
 - (c) Indexed materials shall be archived electronically at the conclusion of the Performance Review and a digital copy provided to the candidate upon request. 15.9
- (5) Candidates shall assemble their WPAF according to the format outlined in V.E.2.

3. Documentation

- a) Each evaluative submission in the Performance Review shall include the name of the document author, except for student classroom evaluations. 11.3, 15.17a-b. The identity of a document author shall be verified by a signature (scanned images are allowed), secure digital signature or system- based identity verification.
- b) All submitted statements shall be accurate, relevant, and timely. 11.1
- c) The end product at each step of a Performance Review shall be a written recommendation which is placed in the WPAF. 15.45
 - (1) Candidates shall be given a copy of the recommendation containing decision rationale. 15.5
 - (2) Within ten (10) days of receipt, candidates may submit a rebuttal statement and/or request a meeting to discuss the recommendation. 15.5
 - (3) A copy of the rebuttal statement shall be placed in the WPAF with copies sent to previous review levels. 15.5

4. Faculty Recourse

- a) Interpretation/procedural error by peers.
 - (1) If a faculty unit employee believes that a misinterpretation of the CBA or Appendix J, or a procedural error, has been committed by peers or peer committees, he/she may request that the next higher committee investigate.
 - (a) In the case of the UFPC, the request shall be submitted to the General Faculty President.

(b) All such requests shall be in writing with copies to all personnel committees.

(2) If the investigating committee, or the General Faculty President, determines that there has been a misinterpretation or procedural violation, a faculty unit employee may take the matter to the University Senate.

(3) The University Senate may request a directive of compliance from the University President where failure to comply may result in disciplinary action.

(4) The above procedures do not replace the faculty unit employee's right to file a grievance.

b) Grievance. Faculty unit employees may file a grievance in accord with Article 10 of the CBA.

5. Retention Period

a) Any evaluation committee or appropriate administrator may request that the President or her/his designee grant a one-year retention period for a candidate he/she deems would benefit from an additional Performance Review.

b) The President or her/his designee may grant a one-year retention period for a candidate he/she deems would benefit from an additional performance review.

VIII. Peer Review Committees

A. General Provisions

1. Function

a) Evaluate candidates for RTP and make recommendations to the President as part of the performance review process. 15.32, 15.38

2. Organization

a) Members shall be elected by probationary and tenured faculty unit employees. 15.40

b) Only tenured faculty with full time appointments may serve. At the request of a department, the President may agree to permit faculty participating in the Faculty Early Retirement Programs to run for election for membership on any level peer review committee. 15.40

(1) Faculty may serve on only one level of peer review. 15.41

(2) Service on a peer review committee does not preclude members from supplying evaluative statements to IUPCs.

(3) Members must have a higher rank than candidates being considered for promotion. 15.42

- (4) Candidates for promotion are ineligible for service on promotion or tenure peer review committees. 15.42
- (5) Department chairs may make separate recommendations. If a separate recommendation is made, the chair shall not participate as a member of the department or equivalent unit peer committee. 15.21, 15.39b

3. Procedures

- a) Recommendations shall be approved by a simple majority of committee membership. 15.44
- b) Department and higher level peer review committee(s) may rank-order faculty unit employees recommended for promotion. The end result of a promotion ranking shall serve as a recommendation to the President. 15.43
- c) Recommendations shall include supporting rationale. 15.5
- d) All deliberations shall be confidential. 15.10
- e) Candidates shall be given a copy of the committee recommendation at least ten (10) days before it is forwarded to the next level of review. 15.5
 - (1) Within ten (10) days of receipt, candidates may submit a rebuttal statement and/or request a meeting to discuss the recommendation. 15.5
 - (2) A copy of the rebuttal statement shall be placed in the WPAF with copies sent to previous review levels. 15.5
- f) Committee recommendations, along with any candidate response, shall be forwarded to the next level of review as part of the WPAF.
- g) Copies of recommendations made by higher level committees and administrators shall be sent to previous review levels.

B. Initiating Unit Personnel Committee (IUPC)

1. Function

- a) Evaluate candidates for RTP, not serve as advocates.
- b) Assist candidates in preparing WPAFs that contain supporting materials which address RTP performance criteria and standards. 15.12a
- c) Advise candidates on materials which are necessary or beneficial for WPAF inclusion.
- d) Make recommendations to the next higher peer review committee.

2. Organization

- a) The IUPC shall be composed of at least three members elected each spring by the initiating unit. If there are insufficient eligible members, the initiating unit shall elect members from related academic disciplines. 15.40
- b) Each initiating unit may determine its own policies and procedures consistent with university policies and the CBA.

3. Procedures

- a) The IUPC shall invite written statements from all available members of the unit at the rank of professor to ensure that there is adequate substantive collegial evaluation of candidates. Other faculty members of the unit will be notified of the deadline for receipt of these written statements, but are not required to provide such a statement.
 - (1) Statements from colleagues shall be based upon direct observations and analysis of a candidate's effectiveness and contributions in each performance area.
- b) The IUPC shall invite written statements from the candidates' current Cal Poly Humboldt students and current student employees to ensure that there is adequate notification and opportunity for substantive student evaluation.
- c) The IUPC may provide a meeting where faculty and students can personally consult with the committee. All comments received shall be submitted or summarized in writing and identified by name before placement in the WPAF. 15.16, 15.17b
- d) Recommendations of the IUPC shall be based primarily upon written evaluations of candidates made by colleagues in the unit. Evaluations by colleagues within the unit shall be substantiated by other evidence such as written statements from colleagues outside the unit, peers outside the university, former students, and student classroom evaluations.
- e) The IUPC shall include in the WPAF a written description of procedures employed to solicit collegial letters and student letters and procedures employed in making its recommendation.
- f) For candidates holding a joint appointment, evaluation shall be obtained from all affected IUPCs. 15.13
 - (1) After considering recommendations from affected Deans, the Vice President for Academic Affairs shall inform candidates and committees which IUPC will serve as the primary committee.
 - (2) The primary IUPC shall assist candidates in WPAF compilation.
 - (3) Other IUPCs shall forward their recommendations to the primary IUPC.

C. College Committee

1. Function
 - a) Review recommendations and WPAFs received from IUPCs and make its own recommendations to the UFPC. (Note: Library personnel committee and counselor personnel committee recommendations shall be forwarded directly to the UFPC.)
 - b) Insure that IUPCs carry out the duties assigned to them.
2. Organization
 - a) Colleges shall elect members each spring to fill vacancies on their personnel committee(s).
 - b) Each college may determine its own policies and procedures consistent with university policies and the CBA.
3. Procedures
 - a) Recommendations of college committees shall be based upon materials contained in WPAFs.
 - b) College committees shall include in each WPAF a written description of procedures employed in making recommendations.

D. University Faculty Personnel Committee

1. Function
 - a) Review recommendations and WPAFs received from lower level peer review committees and make final recommendations regarding RTP to the President.
 - (1) Endorse retention recommendations of lower level committees if lower level committees are in agreement, unless a candidate specifically requests a review by the UFPC.
 - (a) Append comments on perceived candidate deficiencies which may lead to unfavorable tenure recommendations in the future.
 - (b) Review candidates for second year retention when IUPC and Dean recommendations differ.
 - (2) Perform a full review of candidates for tenure and promotion regardless of lower level committee recommendations.
 - b) Review request for insertion of materials in the WPAF after the IUPC has forwarded it to the next higher committee. 15.12b

- c) Review procedures employed by lower level committees to insure they are consistent with university policies and the CBA.
- d) Report at least annually to faculty unit employees and hold an open informational meeting each May for personnel committees and candidates for RTP.

2. Organization

- a) The UFPC shall be composed of five seats: One seat shall be held by a faculty member of the College of Natural Resources and Sciences, one by a faculty member of the College of Arts, Humanities and Social Sciences, one by a faculty member of the College of Professional Studies, and two by faculty members from the general faculty at-large. Members of the UFPC must be tenured and hold the rank of professor, librarian, or SSP-AR III. The term of office shall be for two years. The amount of assigned time will be determined annually through the faculty governance recommending process of the Executive Committee of the University Senate.
- b) The University Senate Appointments and Elections Committee shall hold elections in the spring before teaching schedules for the following fall term are determined. Electors may vote for one candidate for each vacancy according to the rules governing the General Faculty Elections. All electors may vote for any vacancy. 15.40
- c) Any vacancies which occur during the academic year shall be immediately filled for the remainder of the academic year by a special election called by the General Faculty President.

3. Procedures

- a) Immediately following its election in the spring, the UFPC may recommend dates to the President for the performance review process for the next academic year. 15.4, 14.5, 13.5
- b) The UFPC shall forward to the President its recommendations, along with supporting rationale, on every candidate which it has reviewed.
- c) The President shall consult with the UFPC before making a final decision on any candidate. The President shall use reasoned judgment in support of any decision he/she makes regarding a recommendation from the UFPC. In the event that the President's recommendation differs from that of the UFPC, the President shall give reasons that are specific for the individual case and sufficient to persuade any reasonable, disinterested person that the UFPC's recommendation should be overturned.

IX. Areas of Performance for RTP

A. General Criterion

The general criterion for any decision regarding RTP shall be academic competence of candidates as judged by their performance in the areas outlined below, with attention to the value of the candidates currently and in the reasonably foreseeable future to the instructional program of the university. In all

such decision the affirmative action policies then in effect and governing personnel matters in the university shall be adhered to.

1. Department/Unit RTP Criteria and Standards

- a) Each department/unit shall recommend the criteria and standards by which it will evaluate performance for retention, tenure, and promotion. The standards shall be designed to evaluate faculty performance for which they were hired and/or to which they are assigned.
 - (1) The department/unit standards add specificity to the University's policy on RTP (Appendix J).
 - (2) The departments shall establish clear requirements for documenting the quality and significance of faculty achievements.
- b) Department/unit criteria and standards shall be consistent with the University's policy on RTP (Appendix J).
- c) Department/unit criteria and standards are subject to recommendation by a majority of tenured and probationary department/unit faculty members voting. Departments/units may revise existing standards by a majority vote of tenured and probationary department/unit faculty members voting and then following the approval process outlined in Section 1.d.
- d) Departments/units shall submit criteria and standards for approval by the Committee on Faculty RTP Criteria and Standards. The committee shall be comprised of the college deans (or designees), the Associate Vice President for Academic Personnel Services (ex officio) and six tenured-line faculty, with at least one from each college, and at least three tenured. Preference given to faculty who has have experience at the IUPC, CPC, or UFPC level. Appointments to the committee shall be made by the Senate Appointments and Elections Committee in consultation with the UFPC. The committee shall be chaired by a tenured faculty member of the committee, selected by the committee.
 - (1) Departments shall produce RTP standards that locate qualitative/quantitative measures within the range of standards across departments/units. The Committee on Faculty RTP Criteria and Standards shall identify outliers' standards and shall work with the department/unit to bring standards within the university range.
 - (2) The Committee on Faculty RTP Criteria and Standards shall be charged with ensuring unit/departmental standards are in alignment with university standards and criteria as specified in Appendix J, and shall ensure that standards are not overly complex or prone to misinterpretation.
- e) Once approved by the Committee on Faculty RTP Criteria and Standards, the criteria and standards shall be used at all levels of review.

Faculty who will be evaluated for a promotion and/or tenure decision shall have the option to either use the current year's department/unit standards and criteria or the immediate previous

department/unit standards and criteria if the standards have been changed in the previous two years.

- f) A periodic review of department/unit standards shall occur once every five years. This review shall occur at both the department/unit level and at the Committee on Faculty RTP Criteria and Standards, and shall take place according to the approval process outlined in Section 1.c. and 1.d.

If both the department/unit and the Committee on Faculty RTP Criteria and Standards are satisfied with existing department/unit standards, the periodic review may be waived.

- g) Any level of RTP performance review may suggest revisions to the department/unit when, in their opinion, department/unit standards may be unclear, overly rigid, or complex. Such suggestions shall be advisory in nature and shall be forwarded to the department/unit, the Committee on Faculty RTP Criteria and Standards, and the University Faculty Personnel Committee office for archiving and consideration in the next review cycle.
- h) The University's policy on RTP (Appendix J) shall serve as the guideline for development and interpretation of department/unit criteria and standards. For departments without approved standards, the University's policy on RTP (Appendix J) shall be the basis to evaluate faculty performance.

2. Candidates shall be evaluated in the areas of teaching/librarian/counseling effectiveness, scholarly/creative activities, and service. The most important of these specific criteria for determining academic competence shall be teaching/librarian/counseling effectiveness. A record of teaching/librarian/counseling excellence, combined with an "Acceptable" level of performance in the two non-teaching/librarian/counseling areas, as defined in the department/unit criteria and standards, shall be taken as a strong justification for RTP.

- a) All faculty members are expected to make contributions in both the area of scholarly/creative activities and in the area of service in accordance with the department/unit standards that have been established and approved.
- b) The area of scholarly/creative activities and the area of service each shall be valued and/or weighted equally in the RTP process, and shall be reflected in the department/unit criteria and standards. Thus, the prolific scholar shall not, because of his/her strength in scholarship, be given preference over the faculty member whose strength consists of making significant contributions in the area of professional, university and/or community service, provided that both are equally effective teachers, librarians, or counselors.
- c) An "Acceptable" level of performance, defined in department/unit criteria and standards, shall recognize that a candidate's strengths may be concentrated in either scholarly/creative activities or service, and not suffer as a consequence. However, a candidate shall balance such concentrated ("Excellent") achievement in one of the two non-teaching areas with at least a "Minimum Essential" level in the other, in accordance with department/unit RTP criteria and standards. For example, an "Excellent" level of performance in service activities (in accordance with department/unit RTP criteria and standards) shall be balanced with at least a "Minimum

Essential” level of performance in scholarly/creative activities (in accordance with department/unit RTP criteria and standards), or vice versa. Alternatively, a candidate may be “good” in both non- teaching areas. As an example, “Acceptable” levels of performance for a positive promotion and/or tenure decision are reflected in the following combinations using “Minimum Essential,” “Good,” and “Excellent” as the evaluative terms:

Scholarly/Creative Activities	Service	Outcome
Good	Good	Acceptable
Excellent	Minimum Essential	Acceptable
Minimum Essential	Excellent	Acceptable
Good	Minimum Essential	Unacceptable
Minimum Essential	Good	Unacceptable

- (1) Each department/unit, in its criteria and standards, shall clearly define the level of performance required for each of the evaluative terms: Minimum Essential, Good, and Excellent.
 - (2) In all cases, Minimum Essential shall include evidence of reasonable effort and contribution by the candidate consistent with the diverse roles and responsibilities of faculty.
 - (3) Candidates for promotion and/or tenure who do not meet Minimum Essential performance in either or both non-teaching categories shall not receive a positive promotion and/or tenure recommendation.
3. Where not obvious, the value of contributions in the scholarly/creative activities and service areas of performance should be indicated and explained by the candidate and evaluated by the faculty and/or members of the initiating unit personnel committee. For example, in cases where candidates receive weighted teaching units for their non-teaching duties (i.e., coaching, theatrical design, conducting, etc.) the initiating unit personnel committee shall explain how the assignment of weighted teaching units contributes to the scholarly/creative activities and service areas of performance.

B. Assessment of the Areas of Performance for RTP

All faculty are expected to create inclusive learning environments and ensure that students are provided with equitable opportunities for success. Faculty may also make contributions toward equity and inclusion in scholarly/creative activities and service aspects of their duties. These contributions to equity and inclusion can take a variety of forms including but not limited to those listed below, and should be identified in the appropriate section of the WPAF:

1. Effectiveness

- a) Teaching effectiveness is essential for retention, tenure, and promotion. Effective teaching demands the clear communication of disciplinary/subject matter knowledge and the transformation and extension of that knowledge to a diverse student population.

- (1) It is expected that faculty will continually strive to create welcoming and inclusive learning environments, where students from diverse backgrounds and cultures are treated equitably, and all students have equal opportunity to succeed. Examples of such activities may include:
 - (a) Exposing students to a diverse ensemble of scholars
 - (b) Integrating diverse examples/voices into curriculum
 - (c) Developing/Implementing inclusive pedagogies
 - (d) Providing space for students to share their identities and common experiences
 - (e) Building inclusive community/cohorts
 - (f) Incorporating indigenous peoples and knowledge into curriculum where appropriate
 - (g) Incorporating opportunities that encourage students from diverse backgrounds to work collaboratively inside and outside the classroom
 - (h) Providing a variety of ways in which students can demonstrate mastery of course material
 - (i) Providing equitable access and opportunity to all program activities fostering student success
- (2) It is expected that faculty will continually improve their understanding of student learning, increase their knowledge of pedagogy, increase their understanding of accessibility and of universal design, and strengthen teaching skills throughout the probationary period, and will demonstrate clear, precise communication as well as effective application of that knowledge in teaching.
- (3) Teaching effectiveness is demonstrated through understanding and current knowledge, including the use of measures of student learning, in such activities as:
 - (a) Clearly defined student learning outcomes
 - (b) Appropriate learning activities
 - (c) Samples of student exams and essays
 - (d) Designed course materials.
 - (e) Accessible course materials, including alternative assignments that are consistent with the fundamentals of the stated curriculum

- (4) Faculty are expected to participate in professional development activities that enhance teaching effectiveness for the purpose of:
 - (a) Acquiring theoretical and empirical research-based knowledge about effective learning and teaching;
 - (b) Reflecting upon and practicing such knowledge in the educational setting; and
 - (c) Demonstrating how the use of various pedagogies have informed and enhanced teaching effectiveness;
 - (d) Reflecting on and understanding how positionality impacts the learning environment and the teaching/learning experience;
 - (e) Understanding *and* working toward equity-minded and accessibility-minded universal design for learning (UDL) teaching practices
- (5) Teaching effectiveness is assessed primarily through collegial evaluation of classroom teaching and summary analysis of student evaluations by peers. Evaluations of teaching effectiveness shall be based primarily on written statements from colleagues within the candidate's academic discipline(s). The statements should be supported by direct observation of the candidate's performance. Such observation can take place in a variety of ways, such as classroom visitations, team teaching, guest lecturing, etc. Multiple observations, conducted over a period of time, are preferable to a single observation conducted solely for personnel purposes.
- (6) Other academic contributions to teaching effectiveness to be evaluated by colleagues include but are not limited to: course syllabi, learning outcomes, exams, course accessibility, classroom accessibility, and other learning activities.
- (7) Constructive and professional relationships with students are important for a strong academic program, therefore, it is expected that faculty demonstrate sound academic advising, effective counseling of students on course-related matters, the ability to work with a diverse student population, ensure equitable learning opportunities and activities, and availability of the faculty member on a regular basis to assist the academic needs of students.
- (8) Assessment by the candidate's colleagues shall be substantiated by other evidence such as written comments by colleagues not in the candidate's area of service, student evaluations, degree of achievement of and supporting statements from former students.
- (9) Written student feedback on learning in all courses (unless exempted) is required of all faculty by trustee policy and the CBA, but candidates for RTP may be evaluated in all courses taught during the year preceding their application for RTP. Additional written or oral feedback may be taken, and identified by name, and submitted as part of the candidate's file.

- (a) Student feedback will be used as one element in assessing the quality of instruction, but not as the sole indicator of such quality.
 - (b) Student feedback is subject to bias, and research has shown that this bias predominantly affects faculty of color and who identify as femme, trans, women or non-binary.
- b) Effectiveness in Librarianship – is essential for retention, tenure, and promotion. Effective librarianship demands the clear communication of disciplinary/subject matter knowledge and the transformation and extension of that knowledge to a diverse student population.
- (1) Library faculty who teach will strive to teach culturally grounded information literacy.
 - (2) It is expected that faculty will continually improve their understanding of student learning, increase their knowledge of pedagogy, increase their understanding of accessibility, and strengthen librarianship skills throughout the probationary period, and will demonstrate clear, precise communication as well as effective application of that knowledge in their work with students.
 - (3) The primary emphasis of this area is on the quality of librarianship. Evaluations of effectiveness in librarianship shall be based primarily on written statements from faculty members within the candidate's area of service. The statements should be supported by direct observation of the candidate's performance. Such observation can take place in a variety of ways such as classroom visitations, team teaching, mutual service on department and library committees, etc. The library shall organize and promote a system of peer evaluation which will aid in developing the written statements of the candidate's colleagues.
 - (4) Specific performance criteria for effectiveness in librarianship shall be developed as part of the Library Faculty Personnel Policies and Procedures and included in a candidate's WPAF.
 - (5) Assessment by the candidate's colleagues shall be substantiated by other evidence such as written comments by colleagues not in the candidate's area of service and student evaluations.
- c) Counseling Effectiveness – is essential for retention, tenure, and promotion. Effective counseling demands the clear communication of disciplinary/subject matter knowledge and the transformation and extension of that knowledge to a diverse student population.
- (1) It is expected that faculty will continually improve their understanding of counseling practices and strengthen counseling skills throughout the probationary period, and will demonstrate clear, precise communication as well as effective application of that knowledge in their work with students of diverse backgrounds and experiences.
 - (2) It is expected that counseling faculty will continually strive to create welcoming and inclusive environments, where students from diverse backgrounds and cultures are treated equitably, students with accessibility needs are treated equitably, and all students have access to the support they need.

- (3) The primary emphasis of this area is on the quality of counseling. Evaluations of counseling effectiveness shall be based primarily on written statements from faculty members within the candidate's areas of service. The statements should be supported by direct observation of the candidate's performance. Such observation can take place in a variety of ways, such as videotapes of counseling, co-therapy, etc. Multiple observations, conducted over a period of time, are preferable to a single observation conducted solely for personnel purposes. The department shall organize and promote a system of peer evaluation which will aid in developing the written statements of the candidate's colleagues.
- (4) Specific performance criteria for effectiveness in counseling shall be developed as part of the Counseling Faculty Personnel Policies and Procedures and included in a candidate's WPAF.
- (5) Assessment by the candidate's colleagues shall be substantiated by other evidence such as written comments by colleagues not in the candidate's area of service, student evaluations, degree of improvement or achievement, and supporting statements from former students.
- (6) Written student evaluations of both individual and group counseling are required. Such evaluations may include both quantitative and qualitative components and should be garnered from a significant proportion of students participating in counseling with the candidate.

Student evaluations and letters will be used as one element in assessing the quality of counseling, but not as the sole indicator of such quality.

2. **Scholarly/Creative Activities**

Faculty are expected to engage in an ongoing program of scholarly/creative activities and be guided by their department/unit criteria and standards. Faculty may make contributions toward equity and inclusion in their scholarly/creative activities. Examples of such activity could take the form of Scholarly/Creative Activities that:

- (1) Utilize community-based methods
- (2) Recognize diverse ways of knowing
- (3) Use critical theories and methodologies
- (4) Emphasize research with rather than on minoritized communities
- (5) Give presentations to marginalized communities
- (6) Provide opportunities for minoritized students, e.g. research, internship or student assistant opportunities.

Scholarly/creative activities may be defined using the five interrelated dimensions of scholarship proposed by Ernest Boyer in **Scholarship Reconsidered**: Discovery, Integration, Application, Teaching, and Engagement. Scholarly/creative activity shall be characterized by clear goals, adequate

preparation, appropriate methods, significant results, effective presentation, and reflective critique. (See Figure 2) Collegial/peer review appropriate to the discipline is required and shall be defined in the department/unit RTP criteria and standards

There is no expectation that faculty would have contributions in each of the five dimensions of scholarship. Faculty members should engage in scholarly/creative activities appropriate to their discipline and described in their PDP.

- b) The scholarship of discovery refers to the pursuit of inquiry and investigation in search of new knowledge. It is documented through critically evaluated and professionally recognized activities such as but not limited to:
 - (1) Journal articles
 - (2) Monographs
 - (3) Proceedings
 - (4) Poems
 - (5) Stories
 - (6) Artistic creations
 - (7) Awarded grants and evidence of subsequent work
 - (8) Public performances
 - (9) Published books
 - (10) Professional presentations.

- c) The scholarship of integration consists of making connections across disciplines and/or advancing knowledge through synthesis as demonstrated by activities such as but not limited to:
 - (1) Writing textbooks
 - (2) Developing educational media
 - (3) Writing for non-specialists
 - (4) Sponsoring colloquia and forums
 - (5) Shaping a core curriculum
 - (6) Preparing computer software
 - (7) Integration of professional experiences in classrooms
 - (8) Critical review articles
 - (9) Editing books.

- d) The scholarship of application asks how knowledge can be applied to the social issues of the times in a dynamic process that generates and tests new theory and knowledge. It is documented by using knowledge to address demanding, substantive human problems. It is demonstrated in activities such as but not limited to:
 - (1) Conducting applied research and evaluation
 - (2) Consultation with and/or providing technical assistance for community/organizations
 - (3) Developing new products, practices, clinical procedures, new artistic works,
 - (4) Performing clinical service
 - (5) Promoting experiential learning and professional development.

- e) The scholarship of teaching includes not only transmitting knowledge, but also transforming and extending it through activities such as but not limited to:
 - (1) Designing new courses
 - (2) Writing textbooks
 - (3) Published research in teaching and learning
 - (4) Creation of course software
 - (5) Creation of technology-mediated instruction
 - (6) Shaping a core curriculum
 - (7) Developing innovative and/or inclusive pedagogy.
- f) The scholarship of community engagement connects any of the above dimensions of scholarship to the understanding and solving of pressing societal, environmental, civic, and ethical problems. Community-engaged scholarship involves the faculty member in a mutually beneficial partnership with the community. It can be trans-disciplinary and often integrates some combination of multiple forms of scholarship. For example, service learning can integrate the scholarship of teaching, application, and engagement while community-based participatory research can integrate the scholarship of discovery integration, application and engagement.
- g) A list of activities evaluated by the candidate's colleagues is preferable to a list alone. Departments are encouraged to develop additional discipline oriented criteria within the framework of this definition. Scholarly and creative activities in progress shall weigh less heavily than work completed.

3. Service

All faculty shall offer reasonable contributions to the university, the profession and/or the community as defined by department/unit RTP criteria and standards. In the area of participation in professional organizations, documented evidence of participation and leadership roles shall be considered more significant than mere membership. It is expected that the faculty member will demonstrate service through activities such as but not limited to:

- a) Service to the university, profession and community
- b) Participation on department/school, college and university committees, including shared governance activities
- c) Working collaboratively and productively with colleagues
- d) Mentoring colleagues
- e) Non-Academic and/or academic mentoring of minoritized students
- f) Participation in traditional academic functions such as convocation and commencement; student outreach activities, etc.

- g) Participation in group projects directed toward accomplishing department/school, college and university goals such as outcomes assessment development and implementation, strategic planning, accreditation activities, etc.
 - h) Contributions to the community-at-large such as organizational leadership and presentations, as well as other relevant participation in groups serving the public interest. Community service contributions which relate directly to one's discipline or position will be given greater weight. Those activities that bring recognition to the university and aid faculty in their professional growth are of particular importance.
 - i) Giving presentations at the Campus & Community Dialogue on Race (CDOR)
 - j) Serving as the equity advocate on search committees
 - k) Serving on committees and programs to close opportunity and equity gaps
 - l) Leadership in professional organizations whose goal is to increase the representation of minoritized students or faculty in their discipline/profession
 - m) Serve on working groups in order to improve community engagement (e.g. Equity Arcata, etc.)
4. Candidates' contributions to their departments or programs other than teaching/librarianship/ counseling, their participation in department programs, advising, college and university committees, and their extra departmental work in the university at large will be considered as to extent and quality. Activities which can be identified in a candidate's area of service within the university shall weigh more heavily than activities which cannot be so defined.
5. Any activity, including participation in faculty development, which the candidate feels should be considered by personnel committees but which does not conveniently fit one of the above categories (Effectiveness, Scholarly/Creative Activities, or Service), should be listed separately in the candidate's file and so identified. 15.12a

X. Standards for Academic Rank

A. Teaching Faculty

Determination of whether a faculty member meets the following expectations for rank should be reflected in departmental criteria and standards.

1. The rank of professor is reserved for those associate professors who have earned the highest order of respect and recognition from their colleagues in the university. Professors must be capable of presenting undergraduate courses in their disciplines, and where applicable, graduate level courses, and of directing research or stimulating creative activity with the highest degree of competence. Professors must have a strong record of participation and achievement in the combined non-teaching activities (scholarly/creative activities and service), and show promise of continuing growth in these activities. Professors do superior work in their disciplines and possess the appropriate degree or have established equivalence to it or demonstrate rare and exceptional compensating strengths.

2. The rank of associate professor is reserved for those assistant professors who have clearly demonstrated that they are well along the way towards achieving those qualities essential for senior rank. Associate professors must be capable of presenting undergraduate courses in their disciplines with a high degree of competence, and where applicable, graduate level courses. They must have a reasonable record of participation and achievement in the combined non-teaching activities (scholarly/creative activities and service), and show promise of continuing growth in these activities. Associate professors perform at a high level in their disciplines and possess the appropriate terminal degree or have established equivalence to it or demonstrate rare and significant compensating strengths.
3. An assistant professor possesses either (1) the terminal degree, other approved terminal preparation or the equivalent; or (2) the master's degree or the equivalent and has the expectation of attaining the appropriate terminal degree or other required preparation, experience, and competence within the time specified in the candidate's letter of appointment. An assistant professor demonstrates the potential to develop into an excellent teacher, and demonstrates the potential to make substantial achievements in the combined non-teaching activities (scholarly/creative activities and service).
4. *Tenure*. In most instances only those persons will be recommended for tenure who have the potential to meet the standards required for eventual promotion to the rank of professor. It should be understood, however, that the granting of tenure does not assure promotion.
5. *Terminal degree*. In disciplines or programs of instruction in which the doctorate is not normally attainable or desirable, preparation which is to be regarded as terminal shall be defined by the initiating unit, with the concurrence of the UFPC and the President.

B. Librarians

Determination of whether a librarian meets the following expectations for rank should be reflected in departmental criteria and standards.

1. Librarian is equivalent to the academic rank of professor. This rank is reserved for those associate librarians who have earned the highest order of respect and recognition from their colleagues in the university. Librarians at this rank must be capable of integrating the theory and practice of library science into the broader educational objectives of the university with the highest degree of competence. Librarians must demonstrate superior performance, leadership and expertise and be recognized as authorities by their colleagues, both within and without the library. Librarians must have a strong record of participation and achievement in the combined non-librarianship activities, and show promise of continuing growth in these activities.
2. Associate librarian is equivalent to the academic rank of associate professor. This rank is reserved for those senior assistant librarians who have clearly demonstrated that they are well along the way towards achieving those qualities essential for senior rank. Associate librarians must be capable for performing a range of library activities with a high degree of competence using initiative, judgment, and independence. Associate librarians possess a high degree of special expertise which is sought after by colleagues, exhibit highly developed working relationships within and without the library, and provide creative approaches and/or innovative solutions to the problems encountered in the functioning of the library. They must have a reasonable record of participation and achievement in the

combined non- librarianship activities (scholarly/creative activities and service) and show promise of continuing growth in these activities.

3. Senior assistant librarian is equivalent to the academic rank of assistant professor. The senior assistant librarian is characterized by knowledge, ability, and experience for independent performance of the full range of library activities in an assigned area. The senior assistant librarian demonstrates a thorough knowledge of the application of basic fundamentals of librarianship to the particular needs of the library and has the potential to make substantial achievements in the areas of librarian effectiveness, scholarly/creative activities and service.
4. Tenure. In most instances only those persons will be recommended for tenure who have the potential to meet the standards required for eventual promotion to the rank of librarian. It should be understood, however, that the granting of tenure does not assure promotion.
5. Terminal degree. The Terminal degree for librarians is a master's degree in library science from an ALA accredited library school or a library school accredited by a foreign library association whose standards can be demonstrated to be of equal quality. Equivalent quality shall be determined by the initiating unit with the concurrence of the UFPC and the president.

C. Counselors

Determination of whether a counselor meets the following expectations for rank should be reflected in departmental criteria and standards.

1. SSP-AR III is parallel to the rank of professor. This rank is reserved for those who have earned the highest order of respect and recognition from their colleagues in the university. Counseling faculty at this level have demonstrated effectiveness in their professional roles in breadth, depth, and length of service within the department, university, and profession. Counseling faculty at this rank must be capable of integrating the theory and implementation of psychological practice at the highest level of competence. SSP-AR III counselors must demonstrate superior performance, leadership, and expertise and be recognized as authorities by their colleagues, both within and outside of the Health and Counseling Services program. SSP-AR III counselors must have a strong record of participation and achievement in the combined non-counseling activities, and show promise of continuing growth in these activities.
2. SSP-AR II is parallel to the rank of Associate Professor. This rank is reserved for those who have clearly demonstrated that they are well along the way towards achieving those qualities essential for senior rank. Counselors at this rank must be capable of performing a range of counseling activities with a high degree of competence using initiative, judgment, and independence. They possess a higher degree of specialized expertise that is sought after by colleagues; they exhibit more broadly developed working relationships within and outside their work setting. They must have a reasonable record of participation and achievement in the combined non-counseling activities, and show promise of continuing growth in these activities.
3. SSP-AR I is equivalent to the academic rank of assistant professor. The SSP-AR I counselor is characterized by knowledge, ability, and experience for independent performance of the full range of

counseling activities in an assigned area. The SSP-AR I counselor demonstrates a thorough knowledge of the university and has the potential to make substantial achievements in the areas of counseling effectiveness, scholarly/creative activities, and service.

4. *Tenure.* In most instances only those persons will be recommended for tenure that have the potential to meet the standards required for eventual promotion to the rank of SSP-AR III. It should be understood, however, that the granting of tenure does not assure promotion.
5. *Terminal degree.* The terminal degree for counseling faculty is a degree which allows for the independent practice of psychotherapy in California according to state board regulated licensure requirements. Such degrees include a Doctorate in Psychology or a closely related discipline (leading to licensure as a psychologist), a Master's degree in Clinical Social Work (leading to the LCSW), or a Master's degree in Counseling (leading to the LMFT license). In cases where an alternative degree is desirable within the Counseling unit, such preparation which is to be regarded as terminal shall be defined by the initiating unit with the concurrence of the UFPC and the president.

XI. Amendments

- A. Amendments to bring Appendix J into conformity with the current CBA need not be voted on by the General Faculty of Cal Poly Humboldt. 3.1
- B. Amendments may be proposed either by a majority vote of a faculty session of the University Senate or by a petition signed by 10 percent of the members of the General Faculty.
- C. The President of the General Faculty shall notify the General Faculty of the complete wording of any proposed amendment at least seven days prior to the meeting at which the amendment will be discussed.
- D. Proposed amendments shall be ratified by a majority of votes cast in an election of full-time tenured faculty, full-time probationary faculty, FERP faculty and administrators with retreat rights. Eligibility to vote on amendments will not be affected if the faculty member is on leave or is not teaching during the semester in which the election is held. 2.13 The Senate Appointments and Elections Committee shall administer the election, consistent with the provisions in section 8.0 of the Constitution of the General Faculty.
- E. Ratified amendments shall be recommended to the University President of the University for approval. 2.13 The University President's approval is required prior to implementation of policy changes.

FIGURE 1

HSU YEAR	APPT YEAR	LEVELS OF EVALUATION OR REVIEW						
		DEPARTMENT		COLLEGE		UNIVERSITY		PRESIDENT
		IUPC	CHAIR	DEAN	CPC	UFPC	PROVOST	
1	2nd	MODIFIED PERFORMANCE REVIEW						
2 or 1 YSC	3rd	PERFORMANCE REVIEW						
3 or 2 YSC	4th	PERIODIC EVALUATION						
4	5th	PERFORMANCE REVIEW						
5	6th	PERIODIC EVALUATION						
6	7th w/ T+P	PERFORMANCE REVIEW						

NOTE: YSC = Year Service Credit (equivalent to HSU Year)

FIGURE 2. From: *Scholarship Assessed: An Evaluation of the Professoriate*, Glassick, et. al (San Francisco: Jossey-Bass, c1997), p. 36.

Exhibit 2.1 Summary of Standards

Clear Goals

Does the scholar state the basic purposes of his or her work clearly? Does the scholar define objectives that are realistic and achievable? Does the scholar identify important questions in the field?

Adequate Preparation

Does the scholar show an understanding of existing scholarship in the field? Does the scholar bring the necessary skills to his or her work? Does the scholar bring the resources necessary to move the project forward?

Appropriate Methods

Does the scholar use methods appropriate to the goals? Does the scholar apply effectively the methods selected? Does the scholar modify procedures in response to changing circumstances?

Significant Results

Does the scholar achieve the goals? Does the scholar’s work add consequentially to the field? Does the scholar’s work open additional areas for further exploration?

Effective Presentation

Does the scholar use a suitable style and effective organization to present his or her work? Does the scholar use appropriate forums for communicating work to its intended audiences? Does the scholar present his or her message with clarity and integrity?

Reflective Critique

Does the scholar critically evaluate his or her own work? Does the scholar bring an appropriate breadth of evidence to his or her critique? Does the scholar use evaluation to improve the quality of future work?