

Department of Mathematics

Standards and Criteria for Retention, Tenure and Promotion Department of Mathematics Cal Poly Humboldt

Submitted to the Committee on Faculty Criteria and Standards: March 6, 2025

The Mathematics Department tenure-track and tenured members unanimously approved this document on May 1, 2025.

Introduction

The members of the Department of Mathematics approved the following criteria for level of accomplishment in each of the categories of Teaching, Scholarly/Creative Activities, and Service as applicable to the Retention, Tenure, and Promotion (RTP) process pursuant to Appendix J of the Faculty Handbook. A record of teaching excellence, combined with an "Acceptable" level of performance in Scholarly/Creative Activities and Service will be taken as strong justification for RTP.

A candidate may balance "Minimal Essential" achievement in one of the two non-teaching areas with at least "Excellent" achievement in the other, in accordance with Section IX.A.2.c. of Appendix J. The criteria for these levels of achievement differ for candidates seeking promotion to Associate Professor and promotion to Professor as described in this document and summarized in the tables at the end of each section. For **early tenure** a candidate must have a rating of Excellent in all three categories (Teaching, Scholarly/Creative Activities, and Service).

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

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Minimum Essential	Excellent	Acceptable
Good	Minimum Essential	Unacceptable
Minimum Essential	Good	Unacceptable

Evaluation of Performance

It is important that the retention, tenure, and/or promotion (RTP) candidates articulate clearly how their contributions meet departmental expectations for Teaching, Scholarly/Creative Activities, and Service in the Personnel Data Sheet (PDS) that is included in their Working Personnel Action File (WPAF). Candidates for tenure and/or promotion should include a self-assessment (Minimum Essential, Good or Excellent) in each of the three areas. The Initiating Unit Personnel Committee (IUPC) must evaluate the candidate based on these criteria and clearly document their evaluation in their review letter. Following review, the recommendation for retention, promotion and/or tenure is submitted to the College Personnel Committee (CPC) and the CNRS Dean by the IUPC. The department chair may also submit a recommendation to the Dean of the College.

Collegial Letters

Appendix J states:

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 the candidates. Other faculty members of the unit will be notified of the deadline for the receipt of these written statements, but are not required to provide such a statement. Statements from colleagues shall be based upon direct observation and analysis of a candidate's effectiveness and contributions in each area of performance.

Tenured colleagues are expected to write collegial letters to assist the IUPC in evaluating candidates for retention, tenure, and promotion, and probationary faculty are encouraged to write collegial letters as well. Further, probationary faculty may provide insights into a candidate's activities in which they may share expertise, describe classroom observations and/or area stewardship, or provide statements on their mentoring and collegial interactions they have experienced with the candidate.

In cooperation with the candidate, the IUPC will solicit letters from qualified individuals outside the university that may provide additional evaluative observations. External letters, addressing Scholarship/Creative Activities in particular, which put achievements into their context of significance, are highly recommended for tenure and promotion to Associate Professor or Professor.

The Mathematics Department encourages all collegial letters to be addressed to the IUPC Chair and written in the format of a memo with headings for each area being observed. Letters may address one,

two, or all three areas of review with a statement that notes whether the candidate meets expectations according to the Mathematics Department's RTP criteria. A statement of support or non-support of the candidate's retention, tenure or promotion is also expected. Collegial letters should be descriptive and evaluative and provide dates of observation, subject matter, or any other relevant information which helps to put the evaluation into context.

The Mathematics Department encourages the use of the Instructional Observation Checklist available on the UFPC website and the review of UFPC Annual Reports for guidance.

Teaching Effectiveness

The requirements described in Appendix J Section *IX.B1.a* shall be followed in the evaluation of <u>teaching</u> <u>effectiveness</u> for candidates being considered for retention, tenure and promotion.

Ratings in the Teaching Effectiveness category reflect not only classroom performance, but also advising activities and pedagogical activities that pertain to improving the delivery of mathematics courses. All faculty are expected to work collaboratively and productively with colleagues to improve teaching effectiveness. Teaching Effectiveness is assessed through collegial evaluation of classroom teaching, student letters, and anonymous student evaluations. Evaluation of Teaching Effectiveness shall be based primarily on classroom observations by colleagues within the Mathematics Department. Multiple observations, conducted over a period of time, are preferable to a single observation conducted solely for personnel purposes. In addition to classroom observations, Mathematics faculty may also choose to evaluate course materials (syllabi, exams, in-class activities, handouts, etc.).

Level of Accomplishment for Tenure and Promotion to Associate Professor

All candidates for tenure and promotion must earn an "Excellent" rating in the area of Teaching Effectiveness. To do so, the candidate should continuously demonstrate all items listed below under "Essential" and an accumulation of **three or more** of the items in either or both of the lists "Indicators of Excellence" or "Indicators of Leadership". The accumulation will not reflect a one-time achievement but, rather, demonstrate a pattern of meeting these items over time.

Level of Accomplishment for Promotion to Professor

All candidates for promotion to professor must earn an "Excellent" rating in the area of Teaching Effectiveness. To do so, the candidate should continuously demonstrate meeting all items listed below under "Essential" and an accumulation of **six or more** of the items in either or both of the lists "Indicators of Excellence" and "Indicators of Leadership" with **at least two of these six items in** "Indicators of Leadership". The accumulation will not reflect a one-time achievement but, rather, demonstrate a pattern of meeting these items over time.

In all cases, evidence of meeting these items should be documented in the PDS and/or in peer evaluations of teaching. The absence of a pattern of student complaints may be used as evidence of meeting the criteria below, as appropriate.

Essential

- [1] Effective teaching as indicated through evidence such as peer evaluations, student letters or other relevant data
- [2] Anonymous student evaluations mean item scores of 4 or more on the 5-point scale for the majority of questions. Mean item scores below 4 should be addressed in the PDS, noting applied or planned changes to pedagogical practice where warranted
- [3] Creating inclusive classroom environments in which all students are invited to participate and succeed as evidenced by peer evaluations, student letters and anonymous student evaluations
- [4] Cooperate in departmental/university efforts to improve student success and reduce equity gaps
- [5] Accessibility to students outside of class, including weekly office hours consistent with the instructional faculty office hours policy (VPAA 23-07) and responding to student emails within a reasonable timeframe
- [6] Clear communication of course objectives, policies and grading criteria that are easily accessible to students in the course syllabus and, where appropriate, in other places such as the online course management system
- [7] Appropriate preparation for class meetings as indicated by peer and student evaluations
- [8] Appropriate coverage of required course content as indicated by peer evaluations, PDS narrative, and course syllabi including covering all major topics outlined in the course description, and aligning course content with departmental learning objectives
- [9] Evaluation and assessment practices consistent with department student learning outcomes
- [10] Providing timely feedback on student work and maintaining current grades in the learning management system, as evidenced by peer evaluations, anonymous student evaluations, and student letters
- [11] Effective advising of students on academic and professional matters, the ability to work with a diverse student population, ensuring equitable learning opportunities and activities, and availability of the faculty member on a regular basis to assist the academic needs of students, indicated by evaluative evidence from student and collegial letters, and the candidates' PDS narrative

Indicators of Excellence

- [12] Consistently earning exceptional anonymous student evaluations mean item scores of 4.5 or more on the 5-point scale for the majority of questions
- [13] Receiving a notable teaching award
- [14] Receiving a grant that directly supports the teaching mission of the university (grants used to demonstrate teaching excellence may not be used to satisfy requirements in the

Scholarly/Creative Activities section)

- [15] Providing support work for a grant that supports the teaching mission of the university
- [16] Assuming difficult teaching assignments and achieving positive results. The challenge to the instructor, for example, may arise from the subject matter itself, the instructor's lack of familiarity with the subject matter, the audience involved or the number of different preparations
- [17] Directing successful independent or directed study courses, as indicated by the quality of the completed product of the students' work while taking the course
- [18] Maintaining/updating a course through substantial related readings, scholarship, and/or travel, as documented in the PDS or collegial letters
- [19] Participating in departmental efforts to assess, standardize, improve, and monitor the delivery of courses with which the candidate has been involved
- [20] Preparing high-quality teaching materials such as student solutions manuals, worksheets, handouts, or class-related website as documented in the PDS or collegial letters
- [21] Successfully expanding teaching approaches to increase student success and equity by introducing projects that go beyond the typical homework assignment, attending meetings or seminars to enhance or expand teaching styles, successfully implementing those teaching styles in the classroom

Indicators of Leadership

- [22] Successfully developing and offering new courses responsive to disciplinary needs
- [23] Coordinating instructors of courses, for example overseeing the curriculum for several sections of the same course
- [24] Mentoring peers in teaching
- [25] Organizing a seminar series or conference related to teaching effectiveness
- [26] Facilitating undergraduate research, the mentoring of students shall count towards evaluation of teaching while publications count towards scholarship
- [27] Participation in professional development related to teaching and pedagogy, followed by activities to disseminate or implement materials at the department, college or university
- [28] Taking a leadership role in updating and modernizing the curriculum to align it with national trends in statistics, data science, or mathematics education
- [29] Taking a leadership role in designing and implementing departmental and university-wide assessment of the department's service courses, the data science program, and/or the mathematics program
- [30] Leading a departmental effort (or beyond) to increase student success and equity

Teaching Summary for Levels of Achievement

	Excellent
Associate Professor	All essential 3 of excellence/leadership (pattern)
Professor	All essential 6 of excellence/leadership with 2 in leadership (pattern)

Scholarly/Creative Activities

Activities to Assess

For the granting of tenure, candidates are expected to provide evidence of an ongoing scholarly program. The Mathematics Department takes a broad view of scholarly activity in accordance with Boyer's model. Each candidate is required to demonstrate contributions to knowledge in their area of specialization. It is expected that a candidate will provide evidence of their efforts towards the dissemination of scholarly work in peer-reviewed publications. Submission of extramural research grant proposals is encouraged. Contributions made during any service credit years granted to a candidate will have equal standing to contributions made while at Cal Poly Humboldt. The timing of contributions is not critical, but evidence of scholarly activity during employment at Cal Poly Humboldt must be present.

These and other contributions shall be in accordance with areas specifically indicated below. They are organized in two categories. No relative importance in weighting is implied by the order within each category. Each category lists examples of appropriate contributions.

Category I Contributions

[1] Peer Reviewed Publications

Peer Reviewed Publications include academic journal papers or similar publications that represent original contributions to knowledge in education, mathematics, statistics, data science, or their applications as well as peer-reviewed books, book chapters, textbooks, review articles, symposium proceedings and the like that primarily compile, organize and analyze material from the field. For the purposes of RTP, a contribution is considered "published" when a journal or editor has communicated that the manuscript has been accepted. For any co-authored publications, the specific role of the candidate in generating the final product should be indicated. It is important to note that in mathematics the order of authorship does not necessarily indicate level of contribution.

[2] Funded Extramural Research Grants

Funded extramural grants that support original research, whether for instrumentation, personnel, student research stipends, educational opportunities, or operating expenses. Co-PIs should specifically indicate the contributions they made to the proposal.

[3] Supervision of Complete Master's Thesis

Master's theses on which the faculty served as the thesis advisor or co-advisor. A limit of one supervised thesis may be counted towards Category I, additional supervised theses count as Category II contributions. A master's thesis is considered complete when all committee members have signed it.

Category II Contributions

[4] Supervision of Disseminated Undergraduate Research

Disseminated directed undergraduate research as evidenced by student posters and presentations

at university-wide, regional, or national meetings and/or conferences.

[5] Funded Intramural Grants

Seed grants for research, graduate student support, etc., awarded by on-campus selection committees.

[6] Technical Reports

Non-peer-reviewed technical reports that have substantial scholarly value. The significance of the report should be documented by letters of support by external reviewers and explained in the PDS.

[7] Other Non-Peer-Reviewed Publications

A scholarly contribution that has been disseminated and is available to the public in print or digital format. Examples include but are not limited to reviews of scholarly articles published, self-published course materials, and published final grant reports. The significance of the publication should be documented by letters of support by external reviewers and explained in the PDS.

[8] Extramural Meeting Presentations

Presentations of papers or posters given at regional, national, or international meetings, conferences, or symposia (including such meetings when they are held on campus), provided the publication of the work in this venue is not already used as a Category I contribution. These contributions should be documented by including the abstract in the PDS.

[9] Academic Seminars

Presentations in departmental colloquia at Cal Poly Humboldt or elsewhere.

[10] Other Unpublished Material (limit of one)

Manuscripts in preparation, grant proposals in preparation, student theses in progress, research data sets, and the like. Such unpublished contributions must be documented and evaluated (e.g., with letters of support from colleagues).

[11] Unfunded Extramural Grant Proposals

Unfunded extramural grant proposals in support of original research and/or of the teaching mission of the university, when such proposals were submitted to established funding agencies for competitive evaluation by peers.

Levels of Accomplishment for Tenure and Promotion to Associate Professor

Minimum Essential

At least one peer reviewed publication and a total of at least five Category II contributions in the review period.

Good

Two Category I contributions, at least one of which is a peer reviewed publication, and a total of at least five Category II contributions in the review period. Additional Category I contributions may be substituted for Category II contributions.

Excellent

Three Category I contributions, at least one of which is a peer reviewed publication, and a total of at least five Category II contributions in the review period. Additional Category I contributions may be substituted for Category II contributions.

Levels of Accomplishment for Promotion to Professor

Minimum Essential

At least one peer reviewed publication in the review period. At least five Category II contributions in the review period or most recent five years (whichever is less). Periods of medical and/or family leave shall not count towards this five-year period. Additional Category I contributions may be substituted for Category II contributions.

Good

Three Category I contributions, at least one of which is a peer reviewed publication in the review period. At least five Category II contributions in the review period or most recent five years whichever is less). Periods of medical and/or family leave shall not count towards this five-year period. Additional Category I contributions may be substituted for Category II contributions.

Excellent

Four Category I contributions, at least one of which is a peer reviewed publication in the review period. At least five Category II contributions in the review period or most recent five years (whichever is less). Periods of medical and/or family leave shall not count towards this five-year period. Additional Category I contributions may be substituted for Category II contributions.

Scholarly/Creative Activities Summary for Levels of Achievement

	Minimum Essential	Good	Excellent
Associate Professor	1 peer reviewed publication 5 Category II	Minimal Essential and 1 additional Category I	Minimal Essential and 2 additional Category I
Professor	1 peer reviewed publication 5 Category II	Minimal Essential and 2 additional Category I	Minimal Essential and 3 additional Category I

Service

Activities to Assess

All faculty are expected to contribute to the effective operation of the department, college, and university, and strive, in the broadest terms, to promote the discipline of mathematics in society. Faculty are expected to work collaboratively and productively with colleagues. Evidence of faculty contributions over the period of evaluation for tenure and/or promotion is collected through written letters from colleagues inside and outside of the university, students, community members, and discipline-related professionals. The candidate should indicate which semesters and/or academic years they did each activity, and how many hours were spent on that activity each semester and/or academic year.

Essential Service

- [1] Regularly participate in department meetings, workload, and assigned responsibilities (such as advising)
- [2] Actively participate in the department RTP review process by regularly conducting peer evaluations of teaching, which include classroom observations and written reports, and by providing substantive, constructive feedback to colleagues in the form of letters for their Working Personnel Action Files (WPAFs)
- [3] Service on standing departmental committees
- [4] Demonstrate a pattern of service activities by accumulating a minimum of 30 hours of service in each year of the review period

Breadth

- [5] Service on active department, college, or university committees that meet regularly, conduct substantive work, and have a significant impact on academic programs, policies, or initiatives
- [6] Service on active committees of a professional organization
- [7] Reviewing or refereeing work in mathematics or statistics, including conference submissions, workshop submissions, journal articles, textbooks, grant proposals, and the like
- [8] Service on masters or PhD committees for students outside of the department or university
- [9] Consulting services offered to the campus or community
- [10] Service on boards or task forces of professional or governmental organizations in the community, region, state, or nation
- [11] Service in support of official student campus organizations
- [12] Community service activity (including K-12 schools) that involves the candidate's expertise or enhances the reputation of the department or the university

Leadership

- [13] Chairing an active committee at the department, college, or university level
- [14] Chairing a committee or holding office in a regional, state, or national organization
- [15] Serving as an editor for a journal or professional organization publication in mathematical sciences.
- [16] Serving on the University Senate
- [17] Coordinating curriculum developments across departments that have a demonstrably significant impact on Cal Poly Humboldt academic programs
- [18] Organizing community-outreach events (including K-12) or services in mathematics or related fields
- [19] Conducting a workshop or seminar that substantially enhances teaching within the department, university, or profession
- [20] Organizing a conference, a seminar series, or related professional activities

Levels of Accomplishment for Tenure and Promotion to Associate Professor

Minimum Essential

Minimum Essential performance in Service requires regular annual activity in all of the items listed in "Essential Service" amounting to an average of **at least 30 hours** of service in each year during the review period. For example, in a five-year review period, this equates to a **total of at least 150 hours of service** for the purpose of the tenure decision.

Good

Good performance in Service requires satisfaction of the criteria for "Minimum Essential" with a pattern of service activities amounting to an average of **at least 60 annual hours** of service that includes **at least two "Breadth" activities and/or "Leadership" activities** during the review period. For example, in a five-year review period, this equates to a **total of at least 300 hours of service** for the purpose of the tenure decision.

Excellent

Excellent performance in Service requires satisfaction of the criteria for "Minimum Essential" with a pattern of service activities amounting to an average of **at least 105 annual hours** of service that includes **at least five activities during the review period which reflect both "Breadth" (at least two activities) and "Leadership" (at least two activities).** For example, in a five-year review period, this equates to a **total of at least 525 hours of service** for the purpose of the tenure decision.

Levels of Accomplishment for Promotion to Professor

Minimum Essential

Minimum Essential performance in Service requires satisfaction of the criteria for "Minimum Essential"

with a pattern of service activities amounting to an average of **at least 60 annual hours** of service that includes **at least one "Breadth" activity and at least one "Leadership" activity** during the review period. For example, in a five-year review period, this equates to a **total of at least 300 hours of service** for the purpose of the promotion decision.

Good

Good performance in Service requires satisfaction of the criteria for "Minimum Essential" with a pattern of service activities amounting to an average of **at least 105 annual hours** of service that includes **at least five activities during the review period which reflect both "Breadth" (at least two activities) and "Leadership" (at least two activities).** For example, in a five-year review period, this equates to a **total of at least 525 hours of service** for the purpose of the promotion decision.

Excellent

Excellent performance in this category requires satisfaction of the criteria for "Minimum Essential" with a pattern of service activities amounting to an average of **at least 150 annual hours** of service that includes **at least six activities during the review period which reflect both "Breadth" (at least two activities) and "Leadership" (at least two activities).** For example, in a five-year review period, this equates to a **total of at least 750 hours of service** for the purpose of the promotion decision.

	Minimum Essential	Good	Excellent
Associate Professor	30 hours/year	60 hours/year 2 breadth and/or leadership	105 hours/year 2 breadth 2 leadership 5 total
Professor	60 hours/year 1 breadth 1 leadership	105 hours/year 2 breadth 2 leadership 5 total	150 hours/year 2 breadth 2 leadership 6 total

Service Summary for Levels of Achievement