

*CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo*

**COLLEGE OF SCIENCE AND MATHEMATICS
PERSONNEL POLICIES, PROCEDURES
AND EVALUATION CRITERIA**

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***This is the sole personnel document for
the College of Science and Mathematics.
It replaces all previous college and department documents.***

Current, past, and future students depend on the faculty and administration to participate responsibly in personnel matters and to make recommendations and decisions that are fair, supportable, and in the best interests of the University. The quality of personnel actions has a tremendous influence on the reputation of the university, the value of a Cal Poly diploma, and the welfare of members of the University community including students, faculty, staff, alumni, and loyal friends and supporters. Candidates for retention, tenure, and promotion and evaluators at all levels have a solemn responsibility to pursue their roles thoughtfully, with high integrity, and with sincere dedication to the future of Cal Poly.

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PERSONNEL POLICIES, PROCEDURES AND EVALUATION CRITERIA

I. Appointment of Tenure Track Faculty Members

The College of Science and Mathematics will recruit faculty members who demonstrate the potential to be outstanding and dedicated teachers and scholars and who demonstrate talent, currency, and creativity in their fields, a commitment to students and student success, the willingness to share their expertise in service functions at the university and in the community, who are capable of successful interaction with a diverse university community, and who demonstrate the potential to attain tenure and promotion in a timely manner (see section VI.D. for criteria). Only tenured and tenure track faculty will participate in the hiring process (departments may request permission of the dean to include probationary faculty members on hiring committees).

A Ph.D. in the discipline or a closely related discipline is the required educational background for appointment except in unusual cases. A terminal degree of like level (such as an MD) may be considered.

Authorizations for tenure-track recruitments and appointments are made by the dean after consultation with the appropriate faculty units. Recruitment announcements will be written to require applicants to submit: letter of application, completion of the Cal Poly Applicant Information form, professional resume, statement on teaching philosophy and interest, statement on professional development, and letters of recommendation.

The departments will devise development programs for each new faculty member that include mentoring, assistance in initiating a program of creative activity and/or scholarly work, and assignment of a teaching schedule designed to promote the development of an outstanding instructor.

II. Inter-Departmental or Inter-College Transfer of Tenured Faculty Members or Granting of Retreat Rights

Proposed transfers of faculty members between departments or colleges or granting of retreat rights will be considered on a case by case basis by the receiving department. The tenured faculty and department chair will make a recommendation to the dean. The dean will forward this recommendation with his/her own recommendation to the president for the final decision.

III. Appointment of Lecturers

The College of Science and Mathematics is committed to employing excellent faculty members whether they are part-time, full-time, or full-year Lecturers. Educational background, experience, previous performance, type and level of contribution, and teaching assignments will be considered in determining appointment levels.

IV. Evaluation Schedule for Reappointment, Tenure, and Promotion

A. *Application for Promotion:*

Faculty members who wish to be evaluated for promotion to full professor or early promotion to associate professor prior to tenure consideration, or for early tenure must notify the dean in writing with a copy to the department chair by October 15 of the RPT cycle. A tenured assistant professor wishing promotion consideration must also apply in this manner by October 15. Early tenure or early promotion are considered only under extraordinary conditions of performance and achievement.

B. *Required Personnel Actions: Reappointment and Tenure of Probationary Faculty Members.*

Reappointment and tenure evaluations are required as described in this section. Schedules and deadlines are announced each year by the University.

All probationary faculty members will undergo either a performance evaluation or periodic review each year. A periodic review will be conducted during the first full year of employment.

A performance evaluation is defined as an evaluation process that results in a personnel action such as reappointment, tenure, or promotion. A periodic review is an evaluation process that does not result in a formal personnel decision, but that can be used to support future personnel decisions.

Probationary Faculty Members on a Six-Year Tenure Cycle:

Probationary faculty members in this category will receive an initial appointment of two years. They are expected to undergo performance evaluations in their 2nd, 4th, and 6th probationary years and periodic reviews in their 1st, 3rd, and 5th probationary years. Normally, the 2nd and 4th year performance evaluations are for reappointment consideration to the 3rd-4th and 5th-6th probationary years respectively but, alternatively, can be for only one additional probationary year. If reappointment is for one additional probationary year, a performance evaluation rather than periodic review will be required during that probationary year. The 6th year performance evaluation is for tenure consideration. Leaves may impact the scheduling of performance and periodic evaluations.

Probationary Year Typical Schedule for Evaluations

Initial appointment is for two probationary years.

1	Periodic review for guidance
2	Performance evaluation for reappointment to 3 rd and 4 th probationary years
3	Periodic review for guidance
4	Performance evaluation for reappointment to 5 th and 6 th probationary years
5	Periodic review for guidance
6	Performance evaluation for tenure consideration

Probationary Faculty Members on a Five-Year Tenure Cycle:

Probationary faculty members in this category will receive an initial appointment of two years with one year credit towards tenure; their first year will be designated as their 2nd probationary year. They are expected to undergo performance evaluation in their 3rd, 5th, and 6th probationary years and periodic review in their 2nd and 4th probationary years. Normally the 3rd year performance evaluation is for reappointment consideration to the 4th-5th probationary years but, alternatively can be to only the 4th probationary year. In the latter case, a performance evaluation rather than periodic review will be required during the 4th probationary year. The 6th year performance evaluation is for tenure consideration.

Probationary Year Typical Schedule for Evaluations

Initial appointment is for two probationary years with one year credit towards tenure.

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|---|--|
| 2 | Periodic review for guidance |
| 3 | Performance evaluation for reappointment to 4th and 5th probationary years |
| 4 | Periodic review for guidance |
| 5 | Performance evaluation for reappointment to a 6th probationary year |
| 6 | Performance evaluation for tenure consideration |

Probationary Faculty Members on a Four-Year Tenure Cycle:

Probationary faculty members in this category will receive an initial appointment of two years with two years credit towards tenure; their first year will be designated as their 3rd probationary year. During their first year (3rd probationary year) they will undergo periodic review. In the 4th and 5th probationary years they will be subject to performance evaluation for reappointment to an additional probationary year. The 6th year performance evaluation is for tenure consideration.

Probationary Year Typical Schedule for Evaluations

Initial appointment is for two probationary years with two years credit towards tenure.

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|---|---|
| 3 | Periodic review for guidance |
| 4 | Performance evaluation for reappointment to a 5th probationary year |
| 5 | Performance evaluation for reappointment to a 6th probationary year |
| 6 | Performance evaluation for tenure consideration |

Evaluation Schedule for Reappointment, Tenure, and Promotion Continued

Probationary Faculty Members Starting Winter or Spring Quarter:

Probationary faculty members in this category will receive an initial appointment for winter/spring or spring quarter plus two complete academic years (WS or S / FWS / FWS) which will be designated as the first two years of a six year probationary cycle.

Pursuant to the faculty unit contract and the College of Science and Mathematics Personnel Document, no evaluation will be conducted during the late start academic year. A periodic review will be conducted in their first full probationary year and a performance review during their second full academic year as part of our normal procedures for reappointment of tenure-track faculty members.

They are expected to undergo performance evaluations in their 2nd 4th and 6th probationary years and periodic reviews in their 1st, 3rd and 5th probationary years. Normally, the 2nd and 4th year performance evaluations are for reappointment consideration to the 3rd-4th and 5th-6th probationary years respectively but, alternatively, can be for only one additional probationary year. If reappointment is for one additional probationary year, a performance evaluation rather than periodic review will be required during that probationary year. The 6th year performance evaluation is for tenure consideration.

Probationary Year Type of Evaluation

Initial appointment for winter/spring or spring quarter plus two complete academic years (WS or S / FWS / FWS); this seven or eight quarter period is designated as the first two years of a six year probationary cycle.

- | | |
|---|--|
| 1 | Winter or Spring Start: No Evaluation |
| 1 | Periodic review for guidance |
| 2 | Performance evaluation for reappointment to 3rd and 4th probationary years |
| 3 | Periodic review for guidance |
| 4 | Performance evaluation for reappointment to 5th and 6th probationary years |
| 5 | Periodic review for guidance |
| 6 | Performance evaluation for tenure consideration |

V. **Periodic Review of Probationary Faculty Members**

Periodic review is an opportunity to provide mentoring and guidance verbally and in writing to probationary faculty members. It is not a performance evaluation and does not result in a personnel decision. Evaluators at all levels are encouraged to direct their written comments primarily to the faculty member rather than to subsequent levels of review.

A. Materials for Review

1. **First Periodic Review:** Probationary faculty members must check their Personnel Action File for completeness and accuracy. They must prepare a Working Personnel Action File with the following materials:
 - **Teaching Materials:** Course syllabus, exams and quizzes, and significant or representative prepared materials from each lecture and laboratory course during the first quarter(s) at Cal Poly
 - **Student Evaluations and Grades Assigned:** Faculty members must begin the tables tabulating student evaluations and grading patterns that will be required for each performance evaluation. Numerical student evaluations on a 4.0 scale (4.0 highest) are required for every lecture and lab section for the question describing overall instructor evaluation. Graded courses or labs are to be reported in percents of A/A-, B+/B/B-, C+/C/C-, D+/D/D-, F/WU, and W/I
 - **Resume, Teaching and Professional Statements Submitted with Application Materials for Appointment:** It is not necessary to submit revised documents as evaluators will provide guidance for presentation of these for the first performance review
2. **Second and Third Periodic Reviews:** The faculty member will submit the Part 1 binder of the Working Personnel Action file (described in the Appendix) from the previous year's performance evaluation with the following modifications:

Part 1 Binder of the Working Personnel Action File

- **Updated Resume**
- **Student Evaluations and Grades Assigned:** Faculty members must continue to update the tables of student evaluations and grading patterns that are required for each performance review
- **Professional Plan:** Report progress on the professional plan for teaching, professional development, and service
- **Response:** Response to any major concerns or suggestions from the previous performance review

B. Levels of Review (for Periodic Review of Probationary Faculty Members)

Following are the responsibilities at each level of review. Results of subsequent levels of review may be forwarded to previous levels of review.

At each level of review the recommendation/response will be provided to the candidate who will be given a 10 day response period [10 calendar days, excluding the first day and including the last, unless the last day is a holiday or weekend]. A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to all previous levels of review (Art. 15.5, MOU).

1. Department Peer Review Committee

The Department Peer Review Committee for periodic review of probationary faculty members consists of at least three members of the tenured* faculty elected by the probationary and tenured faculty. Committee members will review the Personnel Action File (this will contain the resume, teaching philosophy, and professional plan from the previous performance evaluation) and Working Personnel Action File (Part 1) and perform any other appropriate reviews. Based on these reviews, the committee will produce a single document that provides evaluative and guidance comments that will be useful to the faculty member in pursuing the probationary years and preparing for the next performance evaluation. Guidance on the professional plan is an important part of the peer review. The elected committee is not required to report to the tenured faculty at large.

*A tenured Associate Professor may serve on an Assistant Professor's periodic review PRC, even if the tenured Associate Professor is undergoing their 3rd year Associate Professor periodic review. They may not, however, serve on another Associate Professor's 3rd year periodic review, or on a full professor's post tenure review.

2. Department Chair

The department chair (except in the Physics Department where the department chair is not a separate level of review) will have the same responsibilities as the Department Peer Review Committee and provide additional evaluation and guidance statements from the chair's perspective or further explain or support the evaluation of the department peer review committees.

3. Dean

The dean will have the same responsibilities as the Department Peer Review Committee and provide additional evaluation and guidance statements from the dean's perspective or endorse the reviews generated at the department level.

VI. Performance Evaluation: Evaluation Criteria and Procedures for Reappointment, Tenure, and Promotion

A. Application for Personnel Action

See Section IV.A. Early tenure or early promotion are considered only under extraordinary conditions of performance and achievement.

B. Personnel Action File and Working Personnel Action File

Candidates for reappointment, tenure, or promotion will prepare materials for evaluation as described in this section.

1. Personnel Action File

The Personnel Action File is the official employment record of a faculty member and is maintained in the dean's office. It generally contains:

- Initial Appointment: original appointment materials including resume, teaching and professional development statements, and the letter of offer and acceptance
- Materials from Periodic Reviews and Performance Evaluations: Generally this includes part 1 of the Working Personnel Action File (see Appendix A), written evaluations and recommendations from each level of review, and the document describing the final action (performance evaluations)
- Student Evaluations: numerical results as required by this document
- Other Significant Documents: special and important documents of both a positive and negative nature

The candidate will examine his/her Personnel Action File for accuracy and completeness, and sign and date the log prior to the commencement of personnel action and the university deadline. Any required modifications should be requested of the dean well in advance of the time that the file is to be made available to evaluators. After the stated deadline, the file will be considered to be complete.

2. Working Personnel Action File (for Performance Evaluation)

The Working Personnel Action File is a special file used during a specific personnel action cycle. The candidate must develop a Working Personnel Action File which contains materials important to the evaluation of the candidate for personnel action including: Part 1 (small binder provided by the College) - current resume, teaching philosophy, professional plan (for teaching, professional development, and service), student evaluations, grading summaries, and Part 2 (larger binder) supporting materials in teaching, professional development and service. A comprehensive outline for developing the Working Personnel Action File is presented in Appendix A. Other materials may be requested by the dean in the memo initiating a personnel cycle. Specific requests from the department level must be approved by the dean and included in the dean's initiation memo.

The professional plan is an especially important part of the Working Personnel Action File. Criteria for personnel action in the College of Science and Mathematics are purposefully general. They are applied to each faculty member via the faculty member's individual professional plan that is developed to demonstrate career-long commitment in teaching, professional development with external validation, and active service and participation in the University community. The plan is evaluated as to whether or not it is an appropriate guide towards tenure and promotion and thus serves as the faculty member's own personalized set of criteria.

The Working Personnel Action File will be submitted by the faculty candidate by the prescribed deadline and considered to be complete at that time. An index of materials contained in the file will be submitted with the Working Personnel Action File for eventual inclusion in the Personnel Action File. By this reference, the Working Personnel Action File will be considered to be incorporated into the Personnel Action File. Materials, other than evaluation and related documents generated during the process, cannot be added to either file following the deadline except in unusual circumstances and with authorization by the College Peer Review Committee. Such authorization may be based on information not accessible prior to the deadline.

Evaluation materials and recommendations generated at each level of review will be transmitted to subsequent levels via the Working Personnel Action File.

C. Levels of Review (for Performance Evaluation)

Following are the responsibilities at each level of review. Results of subsequent levels of review may be forwarded to previous levels of review.

At each level of review the recommendation/response will be provided to the candidate who will be given a 10 day response period [10 calendar days, excluding the first day and including the last, unless the last day is a holiday or weekend]. A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to all previous levels of review (Art. 15.5, MOU).

1. Department Peer Review Committee

The Department Peer Review Committee for evaluating candidates for reappointment, tenure, and promotion will be comprised of tenured faculty members elected by *probationary* and *tenured* faculty members. For each promotion candidate the peer review committee members must have a higher rank than those being considered for promotion. Faculty members being considered for promotion may not serve on promotion or tenure PRCs (MOU 15.40).

Generally all eligible faculty members are expected to participate on all department peer review committees unless not elected, cannot serve because of a conflict of interest (such as evaluation of a close relative), or, for other reasons, choose not to serve (for example, associate professors who may not feel comfortable making a retention or tenure recommendation on a full professor).

The Committee has the following responsibilities.

- a. **Review of Submitted Materials:** Each committee member will carefully review the candidate's submitted materials and qualifications by examining the:
 - **Personnel Action File** with emphasis on materials generated by levels of review subsequent to the Department Peer Review Committee in a previous year's personnel action and before.
 - **Working Personnel Action File** including resume, teaching philosophy, student evaluations, grading patterns, professional plan, responses to previous evaluations, and materials submitted for examination.
- b. **Direct Observation of Teaching:** *The Committee will arrange for visitation of classroom and laboratory teaching of each candidate for the purpose of evaluation of teaching effectiveness.*
- c. **Evaluation Responsibilities:** *The Committee will produce a single written performance evaluation for the candidate in the areas of teaching, professional development, and service which includes strengths, accomplishments, guidance, and suggestions for improvement. This report will also include evaluation of the professional plan. In producing evaluations, the criteria in section VI.D. must be considered and commented upon as appropriate. The evaluative statement should include the following:*

Performance Evaluation Continued

- **Teaching:** In addition to other comments the Committee chooses to include, the written evaluation should address the appropriateness of course content, organization, and level; course materials including the course syllabus; quality of presentation; quality, level, and appropriateness of exams and evaluation methods; comments on grade distributions; and comments on student evaluations.
- **Professional Development:** Professional achievements should be evaluated and validated so that those in subsequent levels of review can understand the significance of the achievements.
- **Service:** Report and evaluate participation in department responsibilities. Evaluate contributions in terms of active involvement, achievement, leadership, and level of service (department, college, and university level). Comment on involvement in the campus community and participation in events important to the department, college, and university.
- **Review of the Professional Plan:** The Committee will review and evaluate the professional plan in teaching, professional development, and service, provide guidance as necessary. For probationary faculty members working towards tenure, the Committee will make a definitive statement as to whether the professional plan is appropriate for eventual achievement of tenure. For the performance evaluation of a candidate for associate professor, the Committee will provide evaluation and guidance on the submitted professional plan for eventual promotion to professor. For the performance evaluation of a candidate for full professor, the Committee will evaluate and provide guidance on the submitted professional plan in teaching, professional development, and service from the standpoint of its demonstrated commitment to career-long teaching effectiveness, a productive professional program capable of external validation, and a record of active service and participation in the University community. See Appendix A, Part 1F for details on the professional plan.

For each candidate for reappointment, tenure, and promotion, the Department Peer Review Committee will select a subcommittee to produce the written evaluation (it is permissible to use the same subcommittee for all candidates). It is the responsibility of the entire Department Peer Review Committee to ensure that the candidate's qualifications have been seriously considered. The subcommittee must provide a reliable and substantive process for gathering information and evaluative input from the Department Peer Review Committee prior to writing the evaluation. This can be accomplished by soliciting written comments (these will not become part of the Working Personnel Action File or Personnel Action File) and/or scheduling discussion meetings.

The subcommittee must produce a written evaluation for each candidate that can be supported by a majority of the Department Peer Review Committee. It is required that the Department Peer Review Committee meet as a group to discuss, propose changes, and approve the written evaluation. Minority reports are permissible from individuals or groups within the Department Peer Review Committee who do not agree with the Committee report; these must be signed by the author(s).

- d. **Recommendation on Proposed Action:** The Department Peer Review Committee must recommend for or against the proposed action by voting. The numerical results of the vote must be reported as for, against, or abstain. The votes of individual Committee members are not reported. The Department Peer Review Committee will provide each candidate with a copy of the Committee evaluation and recommendation for the required response period. The Committee will consider any responses received and may revise its evaluation and recommendation. The final recommendations with the files will be forwarded to the next level of review, the department chair.

2. Department Chair

The department chair will oversee the entire department review process to ensure that required actions are accomplished according to schedule and in a fair and equitable manner.

The department chair is a separate level of review (except in the Physics Department where the chair is a member of the Department Peer Review Committee) with responsibilities that are essentially the same as the Department Peer Review Committee. In addition to the materials submitted by the candidate, the department chair will consider the evaluation and recommendation of the Department Peer Review Committee and any responses by the candidate.

The department chair will provide each candidate with a copy of the evaluation/recommendation for the required response period. The chair is encouraged to share the recommendation with the department peer review committee during this response period if the evaluation/recommendation is substantially different. The chair will consider any responses received and may revise the evaluation and recommendation. The final chair level recommendations with the files will be forwarded to the next level of review.

3. College Peer Review Committee

The College Peer Review Committee will evaluate and make recommendations on faculty members who are candidates for tenure and promotion. In fulfilling its functions the Committee has the responsibility to determine whether evaluations at preceding levels by each department have been carried out responsibly and in accordance with College criteria (section VI.D.).

- a. **Election of the College Peer Review Committee:** The probationary and tenured faculty in each department will elect one tenured full professor to serve on the College Peer Review Committee. The elected faculty members will not participate in any other levels of review in tenure or promotion actions.

[College Peer Review Committee Continued]

- b. Evaluation Responsibilities:** The College Peer Review Committee will review the Personnel Action File and Working Personnel Action File of each tenure and promotion candidate including evaluation and recommendation materials forwarded from previous levels of review and any responses and rebuttals received. Based on this review and considering the criteria stated in section VI.D. of this document and the previously submitted professional plans of the candidate, the committee will generate an evaluation statement for each candidate covering teaching, professional growth and development, service, and participation in the University community.
- c. Evaluation of Professional Plans for the Future:** For the performance evaluation of a candidate for associate professor, the Committee will provide evaluation and guidance on the submitted professional plan for eventual promotion to professor. For the performance evaluation of a candidate for full professor, the Committee will evaluate and provide guidance on the submitted professional plan in teaching, professional development, and service from the standpoint of its demonstrated commitment to career-long teaching effectiveness, a productive professional program capable of external validation, and a record of active service and participation in the University community. See Appendix A, Part 1F for details on the professional plan.
- d. Recommendation:** The committee will recommend for or against the action under consideration and report the vote as for, against, or abstain. The votes of individual Committee members are not reported. Written evaluations by individual committee members are authorized in cases where agreement cannot be reached on the content of the committee report. The College Peer Review Committee will provide each candidate with a copy of the evaluation/recommendation for the required response period. The College Peer Review Committee is encouraged to share the recommendation with previous levels of review during this response period if the evaluation/recommendation is substantially different. The committee will consider any responses received and may revise its evaluation and recommendation. The final recommendations with the files will be forwarded to the next level of review, the dean.

4. College Dean

The dean will prepare evaluations and recommendations on each candidate for reappointment, tenure, and promotion after reviewing the Personnel Action File, Working Personnel Action File, and evaluations and recommendations from previous levels of review including any responses and rebuttals received. The dean's report will include evaluative statements regarding the candidate's performance in teaching, professional growth and development, service, participation in the University community, and the candidate's professional plan. The dean will make a recommendation for or against the action under consideration.

For probationary faculty members working towards tenure, the dean will make a definitive statement as to whether the professional plan is appropriate for eventual achievement of tenure. For the performance evaluation of a candidate for associate professor, the dean will provide evaluation and guidance on the submitted professional plan for eventual promotion to professor. For the performance evaluation of a candidate for full professor, the dean will evaluate and provide guidance on the submitted professional plan in teaching, professional development, and service from the standpoint of its demonstrated commitment to career-long teaching effectiveness, a productive professional program capable of external validation, and a record of active service and participation in the University community. See Appendix A, Part 1F for details on the professional plan.

The dean will provide each candidate with a copy of the evaluation and recommendation for the required response period. The dean is encouraged to share the recommendation with previous levels of review during this response period if the evaluation/recommendation is substantially different. The dean will consider and act upon, as appropriate, any responses received and then forward the evaluations and recommendations with the files and all priority rankings to the next level, the vice-president for academic affairs and the president.

5. President and Provost

At the time of approval of this document, by university policy, the Provost makes decisions on reappointment, tenure and promotion.

D. Criteria for Reappointment, Tenure, and Promotion

Tenure is the most important of all personnel actions. It is an expression of confidence in a faculty member's intellect, creativity, initiative, work ethic, and career-long value to Cal Poly. It presumes a loyalty and responsibility on the part of the faculty member to the University, students, and curriculum. With tenure comes the expectation that a faculty member will, during his or her career, accomplish a body of work in teaching, professional development, and service that is of recognizable value and importance and which constitutes a meaningful contribution to the mission of the University. Tenure expresses a belief in the future and the role of the tenured faculty in shaping it. Achieving tenure is an honor and privilege, an accomplishment of tremendous significance and with it come responsibilities and expectations of immense importance to the University.

When a faculty member is awarded tenure, it is with the expectation that the capability exists of meeting the requirements for full professor at some timely point during her or his career. A full professor is an effective and respected teacher who has a sustainable, career-long, creative professional development program, and who demonstrates thoughtful leadership in issues of shared governance including personnel decisions, curriculum and pedagogy development, utilization of resources, and matters of student welfare and success.

The faculty also has expectations of the State of California and the California State University. Prime among them is the responsibility to provide compensation commensurate with the responsibilities and expectations for achievement of the faculty and the resources required to fulfill these responsibilities and expectations successfully.

Following are criteria for reappointment, tenure, and promotion. The statements on teaching, professional development, and service are intended to provide a college philosophy which should be applied with flexibility and appreciation for differences in ideas, approaches, and contributions.

The professional plan is an especially important part of the Working Personnel Action File. Criteria for personnel action in the College of Science and Mathematics are purposefully general. They are applied to each faculty member via the faculty member's individual professional plan that is developed to demonstrate career-long commitment in teaching, professional development with external validation, and active service and participation in the University community. The plan is evaluated as to whether or not it is an appropriate guide towards tenure and promotion and it thus serves as the faculty member's own personalized set of criteria.

[Section VI.D. Criteria for Reappointment, Tenure, and Promotion Continued]

Teaching

Teaching and promoting student learning and success are the most important responsibilities of a faculty member and this category is weighted most heavily in periodic reviews and performance evaluations. In evaluating teaching performance, many modes of instruction are recognized including classroom, laboratory, integrated lecture/laboratory courses, non-traditional courses, and supervision of student projects and research. Peer review, classroom visitations, student evaluations, and examination of course materials are among the methods to be used in assessing teaching performance. Quality performance is expected in the various aspects of teaching including the following:

Engagement and Guidance of Students in Learning

- Involvement of students in learning by inspiration: lecture or laboratory course content and delivery
- Involvement of student in learning by incentive: assignments and exams
- Guiding students to take responsibility for learning
- Engaging curiosity, imagination, creative and critical thinking in students

Course Organization

- Informative and complete course syllabus
- Content appropriate to course objectives and level
- Effective organization and scheduling of topics, projects, papers, exams, and other assignments and methods of evaluation

Course Presentation

- Effective pedagogy
- Effective presentation techniques
- Clarity of expression
- Effectiveness in guiding student learning
- Satisfying intellectual experience for students

Laboratory Teaching

- Respect for the hands-on, laboratory-intensive curriculum at Cal Poly and the resources required including instructor and technical staff salaries, operating expense, instrumentation, and facilities
- Effective use of the entire laboratory period of instruction
- Effective instructor interaction with students during laboratory sessions
- Quality of intellectual experience
- Quality of lab lectures and discussions
- Effective use of evaluation schemes such as lab reports and quizzes

Evaluation of Student Performance

- Quality and effectiveness of evaluation methods and instruments
- Application of high but reasonable and appropriate standards
- Assignment of grades appropriate to the course, students, and university standards

[Section VI.D. Criteria for Reappointment, Tenure, and Promotion Continued]

Promoting Student Success

- Acceptance of the responsibility of the College of Science and Mathematics to academically orient and foster success of new students from all colleges as most (especially those in the polytechnic majors) take their initial courses at Cal Poly in the College of Science and Mathematics
- Orienting and guiding students to academic success in all courses at all levels of the curriculum
- Fostering faculty/student interactions and providing student access to instructor
- Advising and mentoring of students
- Commitment to students and their personal and academic growth
- Promoting student success in all aspects of teaching

Contributions to the Curriculum

- Willingness to teach in all levels of the curriculum appropriate to the faculty member's expertise
- Respect for general education, support, major and elective courses and willingness to contribute in each area
- Contributions to curriculum and pedagogy development

Professional Development

Faculty members are expected to initiate, develop, and maintain career-long, creative professional development programs. These programs should be effective in maintaining connection, involvement, excitement, and life-long learning in one's field(s). Collaborative efforts involving students, such as in undergraduate research, are especially valued as are collaborative pursuits with faculty colleagues within departments and across the college and university.

Many forms of professional development are encouraged including those presented in the Carnegie Foundation report *Scholarship Reconsidered: the Scholarships of Teaching, Discovery, Integration, and Application*. It is recognized that professional pursuits change and evolve during a career and could involve more than one of the following:

- The Scholarship of Teaching: involves not only transmitting knowledge, but transforming and extending it as well
- The Scholarship of Discovery involves research focused on contributing to the stock of human knowledge
- The Scholarship of Integration involves the work of interpreting, drawing together, and bringing new insight to original research
- The Scholarship of Application involves using knowledge and new research discoveries to solve problems

Professional development programs are expected to demonstrate external validation. External validation can take many forms including refereed publications, receipt of competitive grants, invited and competitively accepted papers/presentations, national or regional publication of educational materials such as textbooks and software, significant leadership activities in professional societies, and productive collaborations with the public or private sector.

[Section VI.D. Criteria for Reappointment, Tenure, and Promotion Continued]

Service

An engaged and committed faculty is essential to the strength and vitality of the university community. All faculty members are expected to engage in meaningful service activities in a way that emphasizes active involvement, achievement, and leadership. Service can be at the department, college, and university level and career or discipline related service in the community.

It is important for all faculty members to participate in service at the department level and be active participants in department affairs including governance, decision-making, and committee work, all of which are essential to the strength and development of the department and the personal growth and success of students, the staff, and members of the faculty. Every faculty member should make meaningful contributions in service to the department throughout their careers.

Expectations in service increase with experience and rank. Tenured associate and full professors are expected to contribute periodically at the college and university levels and exhibit increasing levels of leadership and accomplishment.

Faculty members are expected to become involved members of the campus community and participate in activities such as seminars and colloquia, academic orientation and advising of students, fall conference, commencement, functions of student clubs and honor societies, and other important events at the department, college, and university levels.

VII. College of Science and Mathematics Voting Procedure for Prioritizing Candidates for Appointment and Promotion

If it is necessary or required to rank candidates for appointment or promotion, this must be done in a way that ensures integrity of the process. Preliminary categorizations such as "acceptable", "maybe", and "not acceptable" are permitted to simplify the final ranking process. Final rankings must be determined by the aggregate majority process as described in the following paragraph.

A ballot is conducted for the first position. If no one receives greater than 50% of the vote, the candidate(s) who are not part of an aggregate majority are eliminated and another ballot is taken on the remaining candidates. (An aggregate majority is the smallest set of candidates who together have over half of the votes, and each of whom has more votes than any individual not in the aggregate majority). The process is repeated until a candidate receives a majority vote. The second place is determined in a like manner and so on until all positions have been determined.

In personnel actions, if a promotion priority list is required or desired by any level of review, the aggregate majority method for ranking as described in this section is required for determining the priority order. If previous levels of review have prepared promotion priority lists, these will be considered as recommendations in preparing the promotion priority list. A candidate's personal ranking will be revealed to the candidate verbally upon request, with copies to the Working Personnel Action File only if the request is in writing and placement in the file is specifically requested.

VIII. Periodic Review of Tenured Faculty Members

A. Periodic Review of Newly Promoted Tenured Associate Professors

The purpose of this periodic review is to evaluate progress and provide mentoring to associate professors in their quest to achieve promotion to full professor.

When a faculty member is awarded tenure, it is with the expectation that the capability exists of meeting the requirements for full professor at some timely point during her or his career. Tenure expresses a belief in the future and the role of the tenured faculty in shaping it. Achieving tenure is an honor and privilege, an accomplishment of tremendous significance and with it come responsibilities and expectations of immense importance to the University. A full professor is an effective and respected teacher who has a sustainable, career-long, creative professional development program, and who demonstrates thoughtful leadership in issues of shared governance including personnel decisions, curriculum and pedagogy development, utilization of resources, and matters of student welfare and success.

Frequency of Evaluation

Normally, tenured associate professors become eligible for consideration for promotion to full professor during their fifth year in rank. Tenured associate professors will be subject to periodic review during fall quarter of their third year in rank to review progress and performance on the proposed professional plan in teaching, professional development, and service for promotion to full professor from the standpoint that it demonstrates commitment to career-long teaching effectiveness, a productive professional program capable of external validation, and a record of active service and participation in the University community. Early promotion is considered only under extraordinary conditions of performance and achievement. Tenured associate professors who do not achieve timely promotion to full professor must undergo post tenure periodic evaluation every five years (following the previously mentioned periodic review in their 3rd year in rank) using the procedure in VII.B.

1. Materials for Examination

Personnel Action File: The personnel action file will be provided by the dean's office after the faculty member has had the opportunity to check it for completeness and accuracy.

Working Personnel Action File: This file is to be initiated and submitted by the faculty member under review. It should contain materials described in Appendix A, Part 1, Sections A through G to include: Index of materials, current resume (distinguish new work as associate professor), summary table of grades assigned as associate professor, summary table of student evaluation results as associate professor, statement of teaching philosophy and approach, professional plan, and any needed response to evaluation for promotion to associate professor. Selected materials from Part 2 of Appendix A should also be included. As a minimum, course materials from representative courses taught during the first two years as associate professor should be made available for examination.

2. Levels of Review:

Following are the responsibilities at each level of review. Results of subsequent levels of review may be forwarded to previous levels of review.

At each level of review the recommendation/response will be provided to the candidate who will be given a 10 day response period [10 calendar days, excluding the first day and including the last, unless the last day is a holiday or weekend]. A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to all previous levels of review (Art. 15.5, MOU).

Department Peer Review Committee

The Committee is composed of tenured full professors of the department elected by the tenured faculty. It is acceptable to have subcommittees (minimum three members) review submitted materials and write evaluative statements on the appropriateness of the professional plan and performance in teaching, professional development (including opportunities for external validation), and service for eventual promotion to full professor. It is required that the findings and statements of these subcommittees are shared with the entire Department Peer Review Committee of full professors and that a discussion meeting is held for input, comment, and approval.

Department Chair

The department chair is a separate level of review (except in the Physics Department) with responsibilities identical to those of the Department Peer Review Committee.

Dean

The dean may make additional evaluative statements or endorse those of the previous levels of review.

B. Periodic Review of Tenured Faculty Members

The purpose of periodic review of tenured faculty members is to ensure that the ideals and responsibilities of tenure are respected and faithfully pursued by each member of the tenured faculty, and to provide constructive feedback to assist tenured faculty members in fulfilling their responsibilities throughout their careers as described in the following statement:

Tenure is an expression of confidence in a faculty member's intellect, creativity, initiative, work ethic, and career-long value to Cal Poly. It presumes a loyalty and responsibility on the part of the faculty member to the University, students, and curriculum. With tenure comes the expectation that a faculty member will, during his or her career, accomplish a body of work in teaching, professional development, and service that is of recognizable value and importance and which constitutes a meaningful contribution to the mission of the University. Tenure expresses a belief in the future and the role of the tenured faculty in shaping it. Achieving tenure is an honor and privilege, an accomplishment of tremendous significance and with it come responsibilities and expectations of immense importance to the University.

Frequency of Evaluation

Tenured faculty members shall be subject to periodic review at least every five years. The periodic review process will be replaced by a performance evaluation if the faculty member is being considered for promotion. Policies and procedures for performance evaluation are described in Section VI. Periodic reviews are performed to ensure maintenance and improvement of a tenured faculty member's effectiveness in teaching, professional growth, and service.

1. Materials for Evaluation: Personnel Action and Working Personnel Action File

Tenured faculty members subject to periodic evaluation will establish a Working Personnel Action file by submitting an updated and current resume, a personal statement which focuses on activities and accomplishments during the previous five years in teaching, professional development, and service and a professional plan that demonstrates commitment to career-long teaching effectiveness, a productive professional program capable of external validation, and a record of active service and participation in the University community including events important to the department, college, and university. In addition, a summary table of student evaluations and of grading patterns is to be submitted (see Appendix A, Part 1 C and D for format). The resume, professional plan and student evaluations and grading summaries will become part of the Personnel Action File at the end of the review. The faculty member should ensure that sufficient materials are available for a meaningful evaluation such as course materials from representative courses and examples of professional accomplishment (see Appendix A, Part 2 for guidance).

2. Levels of Review

Following are the responsibilities at each level of review. Results of subsequent levels of review may be forwarded to previous levels of review.

At each level of review the recommendation/response will be provided to the candidate who will be given a 10 day response period [10 calendar days, excluding the first day and including the last, unless the last day is a holiday or weekend]. A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to all previous levels of review (Art. 15.5, MOU).

Department Peer Review Committee

The Committee is composed of tenured full professors of the department elected by the tenured faculty. It is acceptable to have subcommittees actually review submitted materials and write evaluative statements. The evaluation should address performance in teaching, professional development, and service and the appropriateness of the professional plan from the standpoint of its demonstrated commitment to career-long teaching effectiveness, a productive professional program capable of external validation, and a record of active service and participation in the University community including events important to the department, college, and university. It is required that the findings and statements of these subcommittees be shared with the entire Department Peer Review Committee in a discussion meeting for input, comment, and approval.

Periodic Review of Tenured Faculty Members Continued

Department Chair

The department chair is a separate level of review (except in the Physics Department) with responsibilities identical to those of the Department Peer Review Committee.

Dean

The dean can make additional evaluative statements or endorse those of the previous levels of review.

IX. Evaluation of Lecturers

Lecturers are essential and valued members of the faculty of the College of Science and Mathematics. Teaching is the main responsibility of Lecturers and likewise the primary focus of annual evaluations. The professional responsibilities of all faculty members including Lecturers include scholarly activities which contribute to their currency and their contributions to the classroom and their profession. Teaching effectiveness, a firm understanding of the teaching and learning process and currency in the subject matter of teaching assignments are expected. Educational attainment and experience are considered in making appointments and teaching assignments. For elevation in rank, a professional development program that demonstrates external validation is required.

A. Periodic Evaluation of Part-Time and Full-Time Lecturers

Frequency of Evaluation

Full-time Lecturers and part-time Lecturers teaching the entire academic year must be evaluated annually. Full-time Lecturers and part-time Lecturers teaching only one or two quarters in an academic year must be evaluated annually for the first two years and, at a minimum, at least every other year thereafter. The Lecturer or department may request more frequent reviews.

Three Year Lecturers – Temporary faculty members holding three year appointments (per MOU article 12) must be evaluated at least once during the term of their appointment, (generally during 2nd year of 3-year appointment) and may be evaluated more frequently at the request of the employee or President (or Dean as designee).

1. Materials for Evaluation

Lecturers shall inspect the Personnel Action File for completeness and accuracy before the evaluation process begins.

Lecturers will develop a Working Personnel Action File that will serve to characterize the teaching responsibilities of the faculty member. The Working Personnel Action File shall include:

- **Current Resume:** The resume should be organized according to original education preparation, previous experience, and activities and accomplishments in teaching, professional growth and development, and service.

Evaluation of Lecturers Continued

- **Grading Patterns:** Summary of grades assigned in all courses taught during the evaluation period. For continuing Lecturers, an on-going table should be kept and included for the time in employment or, for long term Lecturers, at least the previous five years. See Appendix A, Part 1C for format.
- **Student Evaluations:** Student evaluations summary for all courses taught during the evaluation period. For continuing Lecturers, an on-going table should be kept and included for the time in employment or, for long term Lecturers, at least the previous five years. See Appendix A, Part 1D for format.
- **Course Materials for Examination:** For courses that characterize the Lecturer's teaching assignments, submit course materials including course syllabi, handouts, and exams. See Appendix A, Part 2A for guidance.
- **Other Materials:** If relevant, materials that characterize activities in professional development and service should be submitted. See Appendix A, Part 2 B-D for guidance.

2. Levels of Review

Following are the responsibilities at each level of review. Results of subsequent levels of review may be forwarded to previous levels of review.

At each level of review the recommendation/response will be provided to the candidate who will be given a 10 day response period [10 calendar days, excluding the first day and including the last, unless the last day is a holiday or weekend]. A copy of the response or rebuttal statement shall accompany the WPAF and also be sent to all previous levels of review (Art. 15.5, MOU).

Department Peer Review Committee

Department peer review committee participation is required in the evaluation of full-time, full-year Lecturers; it is optional with part-time Lecturers, although the opportunity must be provided for peer input (by full-time tenured faculty members). The department peer review committee is composed of tenured faculty members elected by the probationary and tenured faculty. It is recommended that the committee be three tenured faculty members with the opportunity for input from the probationary and tenured faculty.

The Department Peer Review Committee will prepare a written evaluation (using the format in part 3 of this section) based on the Personnel Action File and Working Personnel Action File and any other appropriate reviews.

Department Chair

The department chair will participate in evaluations of Lecturers. The chair can be the sole departmental evaluator for part-time Lecturers or full-time Lecturers who do not teach all three quarters of an academic year. The department chair will review the Personnel Action File and Working Personnel Action File and perform any other appropriate reviews such as classroom visitation and interview of the candidate. Based on this review, the department chair will write an evaluative statement (using the format in part 3 of this section) or endorse the statement of the peer review committee.

Dean

The dean can make additional evaluative statements or endorse those of the previous levels of review.

3. Evaluation Format

Evaluators should use the following format for evaluation of Lecturers and provide statements under each of the following categories that validate the appropriateness of materials and performance, or provide guidance for needed improvement. The format is devised to provide efficient and effective evaluation and guidance.

- Comments on Course Syllabus and Course Materials
- Comments on Grading Schemes and Grade Assignments
- Comments on Course Content and Level, and Level/Difficulty of Exams
- Analysis of Student Evaluation Results
- Comments on Teaching Performance
- Other Comments as Applicable (such as professional accomplishments and service)

B. Lecturer Range Elevation: Criteria and Procedures

Application

Lecturers who are no longer eligible for a service salary increase and who have served at least five years in their current range are eligible to apply for range elevation. Lecturers must apply for range elevation before the periodic review cycle commences (January 18 at the time of approval of this document).

Materials for Submission

- **Current Resume:** See Appendix A, Part 1B for guidance. The resume should be organized according to original education preparation, previous experience, and activities and accomplishments in teaching, professional growth and development, and service. The resume should be specific, include dates, and emphasize activities completed during employment at Cal Poly and specifically during the period within the current Lecturer range. It is important that the resume or accompanying materials describe the significance of accomplishments and the Lecturer's role in the projects.
- **Grading Patterns:** Summary of grades assigned in all courses each quarter for at least the previous five years in current range should be submitted. See Appendix A, Part 1C for format.
- **Student Evaluations:** Lecturers anticipating application for elevation in range normally should perform student evaluations in all courses each quarter for the five years in the current range. See Appendix A, Part 1D for format.
- **Personal Statement and Professional Plan:** This statement should reflect on activities and accomplishments during the period in a Lecturer range and describe the focus, philosophy, goals, and general plans for the future in teaching, professional development, and service.
- **Course Materials for Examination:** For courses that characterize the Lecturer's teaching assignments, submit course materials including course syllabi, handouts, and exams. See Appendix A, Part 2A for guidance.
- **Other Materials:** Materials that characterize activities in professional development and service should be submitted. See Appendix A, Part 2 B-D for guidance.

Evaluation Process

A department peer review committee* will be elected to evaluate the Lecturer's application for range elevation. This committee will review the personnel action file (PAF), submitted materials and may perform any other evaluation activities such as classroom visitation and interview of the applicant. The peer review committee will make a written evaluation and recommendation and present it to the Lecturer for a ten day response period. Following the response period, the evaluation and recommendation along with any responses will be forwarded to the department chair.

*Generally all tenured faculty members are expected to serve, examine the submitted materials and participate in discussions. A subcommittee can be selected to write the single evaluation/recommendation.

The department chair shall provide a recommendation and evaluation (except in the Physics Department where the department chair is part of the peer review committee) and submit it to the Lecturer for the ten day response period. Following the response period, the evaluation and recommendation along with any responses will be forwarded to the College Peer Review Committee for an evaluation and recommendation that will be submitted to the Lecturer for the ten day response period. Following the response period, the evaluation and recommendation of the College Peer Review Committee, along with any responses, will be submitted to the dean for final action and justification.

Criteria for Elevation: Expectations in all areas of evaluation increase with rank.

- **Educational Preparation:** Normally, the following degrees relevant to the discipline: for Lecturer L, a bachelor's degree; for Lecturer A, a master's degree; and for Lecturers B, C, and D, a Ph.D.
- **Teaching:** Lecturers should strive for excellence in teaching and there should be evidence of reasonable attainment of this goal. Excellence in teaching is characterized by a learning environment that fosters excitement and curiosity, critical and creative thinking, and intellectual stimulation and development. Course topics and materials should be current and challenging, appropriate in scope and level, and show a thoughtful balance between theory and application. Academic standards consistent with the mission of the University are expected as is a classroom atmosphere and teaching approach that encourages student engagement and success. See section VI.D. on Teaching for detailed evaluative criteria.
- **Professional Growth:** A documented and continuing professional development program with external validation normally is required for advancement. External validation can take many forms including refereed publications, receipt of competitive grants, invited and competitively accepted papers/presentations, national publication of educational materials such as textbooks and software, leadership activities in professional societies, and productive collaborations with the public or private sector. See section VI.D. on Professional Development for detailed evaluative criteria.
- **Service:** Active and productive service strengthens a Lecturer's case for advancement.

X. **Evaluation of Teaching Associates**

A. Appointment

Appointment of Graduate Teaching Associates will be made by the dean based on recommendations by the department chair. Recommendations and appointments will be made of graduate students who are determined to have the interest, knowledge, and potential ability to be good instructors.

B. Training and Mentoring Program

Departments will provide a required training program for Graduate Teaching Associates which will be completed prior to commencement of teaching duties. Among topics to be covered are course content, preparation of a course syllabus, teaching methods and techniques, course assignments and exams, grading and evaluation, grading procedures and patterns, and other academic content and delivery issues. For Teaching Associates with laboratory assignments, safety issues will be carefully covered. Proper relationships with students will also be a required topic. Teaching Associates will be assigned a faculty member or course coordinator who will serve as a monitor, consultant, and mentor. The Teaching Associate and mentor/coordinator will meet weekly (the meetings can be less frequent for experienced Teaching Associates).

C. Evaluation

Periodic evaluation of Teaching Associates will be performed by the department chair (or designee with acknowledgement or further comments by the department chair) using the format in section IX.A.3. The evaluation will be based on classroom performance, course materials including course syllabus and exams, grading patterns, and student evaluations which must be performed in every course, every term by Teaching Associates. Informal inspection and evaluation using the materials described above are expected each term with feedback as appropriate to the Teaching Associate. Formal written evaluations are required annually for submission to the dean. Teaching Associates will be provided a copy of the evaluation with the opportunity for response prior to submission of the evaluation to the dean for filing in the Personnel Action File.

XI. **Student Evaluations**

A. Form

Numerical Portion: The student evaluation program will consist of numerical ratings and written responses by students. Departments may devise their own forms with appropriate and reasonable questions. All forms must provide the student the opportunity to provide an overall rating of the faculty member.

Written Portion: Students will also be given the opportunity to provide written comments on student evaluations.

B. Frequency

Following is the frequency with which required student evaluations must be performed and incorporated into Personnel Action Files. Faculty members have the responsibility to ensure that student evaluations incorporated into their Personnel Action Files effectively represent the types of teaching assignments they receive. Normally, all teaching assignments are subject to student evaluation in a given quarter. Exceptions can be made in courses with such low enrollments (such as independent study, senior projects) where student anonymity would be compromised.

1. **Probationary Faculty Members:** all teaching assignments every quarter
2. **Tenured Associate Professors:** all teaching assignments at least two quarters per academic year
3. **Tenured Full Professors:** all teaching assignments for one representative quarter per academic year which must include a minimum of two courses
4. **Lecturers:** all teaching assignments every quarter
5. **Teaching Associates:** all teaching assignments every quarter

C. Procedure for Conducting Student Evaluations

Each department will prepare evaluation packets for faculty members. The packets will contain sufficient evaluation forms for the class enrollment and instructions for the student monitors conducting the evaluation. Evaluations will be conducted no earlier than the last week of classes. The faculty member will select a student(s) to distribute and collect forms in the class or lab and transport them to the department office or designated collection location as described by instructions in the evaluation packet. Preferably, the faculty member should leave the room during the process. If this is not possible (such as evaluations being submitted during an exam or for safety reasons in a lab) the completed forms should be submitted to the student monitor in a place where the faculty member cannot see the responses.

D. Review of Student Evaluation Results

The department chair will review the numerical result and peruse the written student comments of the student evaluations performed in the department each quarter. Departments can develop processes for examining and summarizing student comments.

E. Placement of Student Evaluation Results in Personnel Action Files

The numerical results of required student evaluations will be placed in a faculty member's Personnel Action File with a copy to the faculty member. Numerical student evaluation results beyond those required will be placed in the Personnel Action File by request of the faculty member.

Appendix A: Working Personnel Action File

Outline for Faculty Members Preparing Working Personnel Action Files

PART 1: Index of Materials, Resume, Summary Table of Grades Assigned, Summary Table of Student Evaluation Results, Statement of Teaching Philosophy and Approach, Professional Plan, and Response to Previous Evaluations.

Please place these materials in the small 3-ringed binder with each section well identified with tabs.

A. Index of Materials

B. Resume: Please provide a full professional resume using the following outline, distinguishing work accomplished prior to appointment at Cal Poly from Cal Poly accomplishments, beginning with most recent.

1. **Educational Preparation: higher education since high school**
2. **Employment: since Ph.D. unless prior employment is relevant**
3. **Teaching Related Activities:**
 - Courses taught (prefix, number, title, quarters)
 - Honors/Awards
 - Special contributions to the curriculum, course coordination
 - Undergraduate research and senior projects (list grants, presentations, publications in the next section "Professional Development Activities")

4. Professional Development Activities:

a. Publications

- Publications: List under “Publications” only those actually published, in press, or accepted for publication. Under each compose a short description that unambiguously addresses the following:
 - Date of Work: Distinguish work done at Cal Poly from work done prior to arrival at Cal Poly. For example, a publication from a Ph.D. dissertation based solely on work done at the graduate institution but dated in the journal subsequent to arrival at Cal Poly should not be attributed to work done at Cal Poly. A publication that is from prior work but with significant enhancement at Cal Poly can be listed as work at Cal Poly with proper explanation. For associate professors being considered for promotion to professor, it is important to indicate accomplishments resulting from work performed since promotion to associate professor. For example, a paper accepted for publication while an assistant professor but with a publication date after promotion to associate professor should not be counted as an accomplishment while in rank of associate professor. However, any manuscript submission (and subsequent acceptance for publication) that occurs after a faculty member has submitted their materials for promotion would be used in consideration for their next promotional step.
 - Journal: Briefly describe the type of journal (affiliation, peer-reviewed, etc)
Authors: Clearly identify Cal Poly student co-authors and indicate whether they are graduate or undergraduate students. Identify other co-authors (title, institution, relationship) and the extent of collaboration. Describe your role in the work.
- Manuscripts: List manuscripts in the categories of “Manuscripts Submitted” (indicate journal and date of submission) or “Manuscripts In-Preparation” (indicated projected date for submission).
- Educational Materials: This section is for textbooks and other educational materials. Provide date of publication and publisher. If textbook is under contract but not yet published, indicate the expected date of publication.
- Project and Technical Reports: Reports on work done for a company, government agency, or professional laboratory should be listed in this category.
- Articles: This category should contain non-refereed articles.

b. Presentations

- External Presentations
 - Date of Work: Distinguish work presented from that done at Cal Poly as opposed to work completed prior to arrival at Cal Poly. Similarly, distinguish work done as assistant professor from that done as associate professor (see guidelines under publications).
 - Type: Distinguish among talks, posters, and symposia.
 - Professional Meeting: Indicate the venue of the presentation such as national or regional professional society meeting, invited or refereed, presentation at another university, and date.
 - Presenter(s): When listing a presentation with multiple authors, indicate who actually did the presentation, identify the co-authors, and especially identify Cal Poly students and indicate whether they are undergraduate or graduate.
 - Proceedings and Abstracts: A pre-conference abstract probably should not be listed as a publication. A substantial and refereed article in a conference proceedings publication might qualify as a publication.
- Short Courses and Workshops: Give title or description of the workshop, whether on- or off-campus, and if the presentation is to a mostly external constituency. Provide dates, location, and approximate number of participants.
- Cal Poly Presentations: On-campus professional presentations to members of the campus community should be listed but done so separately. Examples would be department seminars and student presentations of research you mentored at the CSM Student Research Conference. Guest lectures in Cal Poly classes generally would not be listed.
- Community Presentations: A community presentation related to your discipline and expertise should be listed here.

c. Grants and Contracts

- External: List each grant or contract separately and identify the date, purpose, source, and amount. Describe your role: PI, researcher, and relative proportion of the grant in which you participated or are participating. Identify other PI's/participants. Are Cal Poly students involved? Distinguish graduate and undergraduate and give names.

- Grant Applications: List external grant applications and submission dates that were not funded on which you were a PI or co-PI.
 - Internal: List internal grants received such as the State Faculty Support Grants.
- d. **Professional Honors and Leadership Activities:** Please list and describe awards from professional organizations and leadership activities such as officer in a professional society or journal editor.
- e. **Other:** Please list any other important activities that are part of your accomplishments under professional development.
5. **Service:** This is the primary documentation of service. Arrange as best describes your contributions. A common organization uses the headings of department, college, university, professional, community. Please include evidence of your participation in the University community such as in attending/organizing seminars and colloquia, academic orientation and advising of students, fall conference, commencement, functions of student clubs and honor societies, and other important events at the department, college, and university levels.

C. Summary Table of Grades Assigned: Please develop and keep up to date annually a summary table for the entire period in rank for graded courses and labs in which you were responsible for assigning student grades for official student transcripts. Grades should be reported in percents of A/A-, B+/B/B- etc. in the following format. Reporting course gpa is optional.

Year and Quarter Course (prefix and number)	%	%	%	%	%	%
	A/A-	B+/B/B-	C+/C/C-	D+/D/D-	F/WU	W/I

D. Summary Table of Student Evaluation Results: Please develop and keep up to date annually a summary table for the entire period in rank of student evaluation scores. Please report by year and quarter and by course/lab (prefix and number; be sure to distinguish lab from lecture/studio courses). Report the score (indicate point base; most departments are 4.00) for the overall instructor rating.

E. Statement of Teaching Philosophy and Approach: In this essay, describe the role you have established for yourself in teaching, guiding students in the learning process, and promoting student success.

F. Professional Plan: The professional plan is a clear description of your planned efforts for growth in teaching, professional development, and service. It describes the path and anticipated achievements you propose for eventual tenure/promotion evaluation, consistent with the general criteria presented in the College personnel document. The plan is a guidance document. Those evaluating you will provide input as to its potential for achieving the desired personnel action.

The professional plan is an especially important part of the Working Personnel Action File. Criteria for personnel action in the College of Science and Mathematics are purposefully general. They are applied to each faculty member via the faculty member's individual professional plan that is developed to demonstrate career-long commitment in teaching, professional development with external validation, and active service and participation in the University community. The plan is evaluated as to whether or not it is an appropriate guide towards tenure and promotion and thus serves as the faculty member's own personalized set of criteria.

The **proposed plan and achievements in teaching, professional development, and service** for a particular personnel action must be **clearly and concisely presented in summary form** at the beginning of the written plan. The plan can be elaborated upon in subsequent paragraphs. For those pursuing tenure, the plan may be modified during the probationary years leading to tenure, but should become increasingly defined, specific, and firm as tenure consideration approaches. **In addition** to submitting the professional plan for each performance evaluation, a **statement describing progress** in accomplishing the plan should be presented under this titled section.

If tenure is the only action under consideration, the candidate should present a professional plan for the next five years to demonstrate career-long commitment in teaching, professional development with external validation, and active service and participation in the University community

For consideration of promotion to full professor (or tenure and promotion to full professor), the candidate should demonstrate how the professional plan for this promotion has been accomplished and submit an additional professional plan for at least the next five years that demonstrates commitment to career-long teaching effectiveness, a productive professional program capable of external validation, and a record of active service and participation in the University community.

G. Response to Previous Evaluations: A response should be made to a significant suggestion, statement of guidance, or criticism that was made in the previous year's evaluation cycle.

Part 2: Materials for Examination in Teaching, Professional Development, and Service.

Please submit these materials in a separate medium to large three ring binder with sections well identified with tabs. Hard copies of these materials are requested. Special materials adequately appreciated only electronically can be submitted with a website address or CD (consult with your department chair about the logistics of viewing the CD with a dedicated computer or multiple copies).

A. Teaching:

Retention Candidates: For each different lecture, studio, or laboratory course taught in the previous year, submit a complete set of materials, specifically: syllabus including grading scheme, quizzes, and all exams including the final exam. If there are other materials you think would be useful to examiners that you would like to present, such as sample handouts, representative power points, description of website etc. please do include these. In addition, please submit the materials for courses taught in previous years that differ from those of the past probationary year; use the most recent example only.

Tenure, Tenure and Promotion, or Promotion Only Candidates: For those up for tenure or promotion, please submit the above materials for teaching assignments representative of your service in rank or for the previous five years (for example, if you have taught multiple sections of a course, submit materials for only a single experience).

B. Professional Development: Please submit examples of achievements as practical and appropriate. For example, copies of publications are usually helpful. Submitting a textbook is cumbersome but acceptable; alternatively, a copy of the cover and a short section like the introduction or preface may give evaluators an idea of the work. Complete grant applications are not necessary but the introductory or summary statement is helpful.

C. Service: If there is something significant you would like to share that supports the entries in Part 1, please do so.

D. Other: Some faculty members wish to submit the comments from their student evaluations. If you wish to and it can be done reasonably in this second binder, please feel free to do so. If they are likely to make this second binder large, cumbersome, and difficult to navigate, please use an exclusive third binder.