California Polytechnic State University
San Luis Obispo, CA

STATEMENT OF POLICIES, CRITERIA, AND PROCEDURES
FOR ACADEMIC APPOINTMENT, REAPPOINTMENT, TENURE, AND PROMOTION
IN THE ORFALEA COLLEGE OF BUSINESS

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# STATEMENT OF POLICIES, CRITERIA, AND PROCEDURES
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A. INTRODUCTION

The Orfalea College of Business updated Mission Statement, Amplification, and Goals (adopted as revised by the faculty in 2010) and new Vision Statement (as proposed by the faculty in Spring 2011, and voted upon and adopted in Fall 2011) are set forth below.

Mission Statement:

We are an engaged learning community that contributes to business and society through discovery and application.

Amplification:

- We strive to contribute to the well being of our students and the communities to which they belong by instilling in them a love and an ability for learning and discovery that will serve them for the rest of their lives. We reinforce this by cultivating that love and ability for learning and discovery within ourselves.

- We embrace the principles in the 1940 AAUP Statement of Academic Freedom.

- We treat one another with respect and integrity, communicate honestly, and consult with one another when making important decisions that affect our learning community.

- We value research that is theoretical, applied and interdisciplinary, rooted in both our academic disciplines and the scholarship of teaching and learning.

- We are committed to providing our academically talented students with hands-on experiences and opportunities for discovery.

- Members of our community are ready to contribute to one another, to our organizations, and to the world.

- We challenge students, faculty and staff to assume responsibility for lifelong learning.

- We are committed to earning external accreditation of our college and its programs.

Goals:

- Build community and identity between students, faculty, staff, alumni and corporate partners.

- Strengthen impact of brand identity.

- Promote engaged, effective learning and student success.

- Promote faculty scholarship.
- Effectively deploy our resources: fundraising, continuous process improvement, relentless focus on strategic priorities.

**Vision Statement:**

The Orfalea College of Business strives to be the "undisputed leader in experiential business education."

Rather than representing what we are today, the Vision Statement suggests how we want to be recognized in the future. It is not meant to deter people from following their research, teaching and service interests, but it directs how we will invest discretionary resources as we move forward. From an implementation perspective, the vision statement serves the purpose of aiding in the development of initiatives that enable us to build a College that authentically reflects this vision.

**Character Statement:** The Orfalea College of Business primarily focuses on undergraduate programs, serving full-time students from secondary schools throughout California who graduate in the upper third of their classes. As such, we compete for students with University of California campuses, private universities, and other California State University campuses. The College also offers Masters Degree Programs.

Excellence in teaching is the primary purpose of Orfalea College faculty. This includes close student faculty interaction and learning by doing. To facilitate these goals, faculty remains qualified through professional development activities. These include (1) Learning and Pedagogical Research, (2) Contributions to Practice, and (3) Discipline-Based Scholarship. While not every faculty member must contribute in each of the three categories, the aggregate faculty must provide sufficient development in the past five years to show continuous development of the school's mission.

**B. PURPOSE**

This document prescribes the Orfalea College of Business policies, evaluative criteria, and procedures for academic personnel actions in original appointments, reappointments, tenure, and promotion. The statement is in conformance with University Faculty Personnel Actions (UFPA), the agreement between the Board of Trustees of the California State University and the California Faculty Association -- Unit 3 Faculty (hereafter referred to as the Memorandum of Understanding or MOU), and California law covering the functions of the California State University. Unless a faculty member is specifically or categorically grand-parented in under a prior version, the currently approved ARPT document applies to all Orfalea College faculty.

Nothing in this document shall prevent an individual Area within the Orfalea College of Business from adopting stronger criteria and requirements for personnel action provided they are not in conflict with this document. Each Area statement, and subsequent amendments, must be recommended by the College Dean and approved by the Provost and Executive Vice President for Academic Affairs prior to implementation.

This document, a copy of the Faculty Personnel Handbook, Form AP 109 and Appendix B shall be distributed to the faculty unit employee at the time of employment. A copy of the Memorandum of Understanding is available in the Area office.
If any provision of the College Criteria for appointment, reappointment, tenure, and promotion is in conflict with any provision in the UFPA or MOU, the terms of the contract and not the provisions of the procedures and criteria in this document shall govern.

Changes to this document and the Mission Statement shall be approved by a vote of the faculty. This document is intended to be consistent with the additional objective of maintaining accreditation by the appropriate accreditation bodies.

A glossary of terms used in this document is presented in Appendix A

**Academic Freedom and Protection Against-Discrimination**

All members of the faculty, whether tenured or not, are entitled to academic freedom as set forth in the 1940 Statement of Principles on Academic Freedom and Tenure, formulated by the Association of American Colleges and the American Association of University Professors.

All members of the faculty, whether tenured or not, are entitled to protection against illegal or unconstitutional discrimination by the institution, or discrimination on a basis not demonstrably related to the faculty member’s professional performance, including but not limited to race, sex, religion, national origin, age, disability, marital status, or sexual orientation.
C. POLICIES AND PROCEDURES FOR APPOINTMENT

Appointment:

1. Area faculty shall be consulted on all appointments. In instances where it is not reasonably possible to consult all faculty (e.g., late appointments made during Summer Quarter when faculty are not normally available, or appointments to fill vacancies created by emergencies), every effort must be made to consult with those faculty who are available.

2. Appointments may be made as probationary (tenure track) or temporary (non-tenure track lecturer).

3. New faculty and their area chairs should review and complete the New Faculty Checklist presented in Appendix B.

Temporary Appointments:

Temporary faculty appointments may be offered in the following instances:

1. Leave replacements;
2. Positions for which funding in all probability will be terminated;
3. Positions supported by state funds budgeted on a temporary basis;
4. A position in a program or Area where projected enrollment makes uncertain the future staffing needs of that program or Area; or
5. Unanticipated and/or emergency vacancies

An employee’s appointment shall be in conformity with the specific requirements stated in the MOU. It is incumbent that the appointee should be fully advised in writing of conditions of employment relating to a lectureship in his/her Area and this University, including a specific date of termination.

Possession of an appropriate doctorate is desirable for appointment to a lectureship; when an exception is made, an ABD or Master’s degree and appropriate professional certification, such as CPA or CLU, in their teaching area is required. Any exception to this qualification for any reason may only occur with the consent of the area’s tenured and probationary faculty.

Probationary Appointments:

Those appointed to probationary positions must have:

1. Demonstrated their ability as successful teachers, or demonstrated their potential for becoming successful teachers.
2. A willingness and ability to achieve continual professional growth in their teaching area and their specialized field.
3. Educational and/or field experience background appropriate to the needs in their teaching Area and their specialized field.
4. The doctorate appropriate to their teaching area and specialized field.
Exceptions to Appointment Criteria

From time to time it may be desirable for the Dean to make appointments of faculty who are experienced senior level executives or faculty members from other colleges and universities. Such exceptions may be made when justified with substantive evidence, and when the exception will result in enhancement of the educational process with resultant advantages to the University.

These types of appointments may involve time urgency, due to competition in recruitment and availability of the candidate, and may arise during times where faculty may be off duty (e.g. summer). Email outreach for consultation may be used for contacting faculty (including those off duty), and the prompt timeline described below is for the purpose of avoiding delay and possible loss of talented candidates.

To qualify for this exception, an experienced senior level executive must have:

1. An earned graduate level degree in an appropriate field relevant to the appointment; and
2. Substantial senior management-level experience in industry or government; and
3. Prior demonstrated interest and effectiveness in participating in the academic community as exhibited by activities such as:
   a. Successful teaching experience (or potential to become a successful teacher); or
   b. Participation in relevant professional meetings and development activities; or
   c. Recent research appropriate to the discipline; or
   d. Quality publication in the relevant field.

To qualify for this exception, a faculty member joining from another college or university must have:

1. An earned graduate level degree in an appropriate field relevant to the appointment; and
2. Successful teaching experience; and
3. Recent research appropriate to the discipline; and
4. Quality publication in the relevant field; and
5. Successful academic service experience.

For appointments under this provision, the Dean shall consult with the Area Chair for the area where the appointment will occur and provide the Area Chair with documentation related to the above criteria. The Area Chair and/or Dean shall then consult (including, but not limited to email) with tenured faculty in the area to solicit comments on the proposed appointment and ascertain support for the appointment. Comments from area faculty received within ten (10) days of the Area Chair or Dean initiating such consultation will be carefully considered. Thereafter, the Dean shall consult (including, but not limited to email) with the Faculty Affairs Committee (FAC). FAC comments received by the Dean within ten (10) days of initiating such consultation will be carefully considered. Following the consultation process described above, the Dean shall determine whether the appointment is appropriate and desirable. Any appointment under this provision is subject to approval by the Provost and Executive Vice President for Academic Affairs.

Procedures for Appointments

1. Primary responsibility for specifying existing and future needs and recruiting fully qualified probationary faculty rests with the Area.
2. Each Area shall elect a Peer Review Committee of tenured faculty members for the purpose of reviewing and recommending individuals for probationary appointments. However, the College Dean and all tenured and probationary faculty in the Area insofar as possible, are to be included in the interviewing process for the benefit of the applicant, as well as the University.

3. The College Dean will consider the recommendations of the Peer Review Committee, the result of his/her personal interview with the applicant, and the staffing requirements of the Area and College in deciding whether to extend an offer of appointment. If an offer of appointment is extended, the candidate will be furnished copies of the statement of “Policies, Criteria, and Procedures for Academic Appointment, Reappointment, Tenure, and Promotion for the Orfalea College of Business,” the University Personnel Action Procedures and Criteria Faculty Handbook, any Area Criteria and Procedures for Academic Personnel Actions, and Form AP 109. Any specific stipulations of conditional appointment should be discussed with the candidate by the College Dean before a letter of offer is written by the Dean, and those stipulations will be incorporated in the letter.

Upon acceptance of the employment offer by the appointee, the Chair of the Area Peer Review Committee or a tenured faculty member designated by the Chair shall act as a continuing mentor and resource for the appointee in all appropriate matters for a period of the first probationary year. When possible such a tenured faculty member should be in the appointee’s special field in the teaching area.

4. In view of the criteria, policies, and procedures for tenure and promotion to a higher rank, persons being considered for appointments in the upper two ranks will be subject to at least as rigorous an evaluation as that applied in the Orfalea College to faculty being considered for tenure and promotion.

D. POLICIES, CRITERIA & PROCEDURES FOR ACADEMIC PERSONNEL ACTIONS

General Policy Considerations

1. Evaluations of probationary faculty by a Peer Review Committee of tenured faculty, and the College Dean, shall be a continuing process throughout the year, as part of a positive, constructive program to assist each individual in reaching higher levels of self-fulfillment as a professional, and as a full participant in the activities of the Area, College and the University.

2. The Peer Review Committees in each Area shall have primary responsibility for evaluating both the progress, and the quantity and quality of publications included in the personnel action package submitted by each candidate.

3. The depth and intensity of evaluations increase with higher ranks held by the individual, and with the personnel action under consideration. If a probationary faculty member does not have the potential for promotion to Associate or Professor, tenure should not be granted.
4. Reappointment(s) is not a guarantee of subsequent reappointment or the granting of tenure; the granting of tenure does not guarantee future promotion. Evaluation in consideration of reappointment becomes more critical each subsequent year of the probationary period.

5. Each faculty member eligible for reappointment must submit documentation concerning teaching, professional growth, service, and other factors to aid evaluation.

6. Reappointment, evaluations, and recommendations shall be based on performance and progress of the individual. The faculty member will be evaluated in accordance with the established criteria for professional performance and comparatively against the performance of colleagues under consideration for the same personnel action.

7. Evaluation for tenure is a comprehensive assessment of the individual. Recommendation for, or against, tenure should come as no surprise to the individual if the continuing supportive process has been effective. These statements emphasize the importance of careful and conscientious effort by all concerned in making personnel evaluations and recommendations.

Criteria for Faculty Evaluations

Evaluations of faculty eligible for reappointment, tenure, and promotion shall be in compliance with the timetable announced by the Provost and Executive Vice President for Academic Affairs each Fall quarter.

The University’s Faculty Evaluation Form (Form AP 109) must be utilized by the evaluating faculty for reappointment, tenure, and promotion decisions. In each category of Form AP 109, the evaluator(s) must indicate the candidate’s performance level according to the following (see Section V of Form AP 109):

1. **Performance Level 1**: Candidate has reached a high level of professional development and is making an outstanding contribution to the university which is readily recognizable.

2. **Performance Level 2**: Candidate fully meets the requirements of the present assignment and is making a valuable contribution to the university.

3. **Performance Level 3**: Candidate meets the requirements of the present assignment adequately and by following the preceding suggestions for improvement may make a greater contribution to the university.

4. **Performance Level 4**: Candidate does not meet satisfactorily the requirements of the present assignment.

The criteria for evaluating faculty for appointment, reappointment, tenure, or promotion shall focus on four basic factors:

1. **Quality of Teaching**: In accordance with the Orfalea College mission and character statements, excellence in teaching is the primary purpose of the faculty. In evaluating the “quality of teaching,” the following factors shall be considered:

   Qualitative Factors:
a. Peer evaluation of classroom performance, and the fulfillment of instructional responsibilities; and
b. The rigor and currency of courses as demonstrated by course syllabi, examinations, and assignments; and

Quantitative Factors:
c. Grade distribution, as measured by the mean and standard deviation, compared with the Area and Orfalea College distribution; and
d. Students’ course evaluations, as measured by the mean and standard deviation; and
e. Comparison of (c) and (d).

An evaluation of the quality of teaching will also consider the number of course preparations and new courses that are developed or significantly updated, since extraordinary efforts to accomplish these tasks may affect an instructor’s performance on the above factors in teaching.

When candidates apply for tenure or promotion, at least three members of the Peer Review Committee must conduct peer evaluations of classroom performance. Each peer evaluator should use the guideline in Appendix C. To support its conclusions regarding peer evaluations of classroom performance in Form AP 109, the peer review committee must specifically address each of the factors listed in Appendix C.

2. Quality of Professional Growth and Achievement: Faculty members are expected to engage in activities that enhance their knowledge and skills in their professions. In addition, they have a responsibility to contribute to their professions through the publication and dissemination of ideas and technical skills. To this end, faculty members must engage in research that results in publication, according to the standards set forth in this document. However, the Orfalea College of Business recognizes the wide diversity of other activities that may bear on the quality of professional growth and achievement, such as, but not limited to: actively participating in professional conferences, serving as reviewers or editors for academic journals, participating in professional training courses, acting as a professional consultant, serving as an officer in professional organizations, providing service on advisory boards and committees, and receiving grants and/or patents. The faculty member’s entire portfolio of professional growth and achievement activities will serve as the basis for the performance evaluation.

The Orfalea College expects all faculty members to disseminate ideas in published formats. In this regard, the college values all three types of intellectual contributions defined by the Association to Advance Collegiate Schools of Business (AACSBJ):

a. Contributions to practice – contributions that influence professional practice in the faculty member’s field or a related field in a cross-disciplinary manner.
b. Discipline-based scholarship – contributions that add to the theory or knowledge base of the faculty member’s field or a related field in a cross-disciplinary manner.
c. Learning and pedagogical research – contributions regarding pedagogy or teaching effectiveness in the faculty member’s field or a related field in a cross-disciplinary manner.

The College recognizes that research may be published in various ways, including, but not limited to: peer reviewed journal articles, research monographs, scholarly books, textbooks, proceedings from scholarly meetings, cases and technical reports related to funded research projects, and instructional software. However, the Orfalea College of Business requires each faculty member to publish a minimum number of articles in accepted refereed journals or high quality law journals to be considered for tenure or promotion. The minimum thresholds are provided under the respective sections for tenure
and promotion. Accepted refereed journals or high quality law journals are those that appear on the approved lists of journals developed by each Area. Additionally, cross-disciplinary research with faculty from another academic College within California Polytechnic State University, San Luis Obispo, or another University, in peer reviewed journal(s) or high quality law journal(s) is allowed, provided the faculty member obtains written pre-approval of the target journal(s) from his/her Area, and as part of that discussion makes the case to the area regarding the business connection of the research.

3. **Quality of Service**: University and professional service is essential to efficient functioning of the institution and the College. Factors considered in assessing quality of service

   a. **Service to the University and Students**: The individual’s willingness to participate in University-wide assignments is a critical indication of a faculty member’s collegiality and professional generosity. Assuming leadership roles, as well as taking a lead role in key initiatives, represent a more valued form of service than mere participation as a committee member. Service to the University includes participation in activities of the following types: University, College, and Area committees; other University organizations; support to student clubs and student co-curricular activities; participation in College or University committees or activities which are directed at facilitating and enhancing diversity and inclusivity;

   b. **Service to the Community**: The Orfalea College values contributions that faculty members make, using their professional expertise, to serve the community in the public interest. In this regard, such service does not include service to the profession, which is included within professional growth and achievement.

   c. **Service in Assessment**: Faculty are expected to participate in the college’s assessment process. This includes the use of college-wide rubrics to evaluate student work (where appropriate), the reporting of assessment results to the College for use in assessment, and the collection of student work to document student achievement of learning outcomes. Assessment data will not be used to evaluate faculty, rather it is faculty’s participation in the assessment process that is tantamount to this performance evaluation.

   d. **Support of Student Research**: The University encourages research activity conducted by students at both the undergraduate and graduate level. Not all faculty members will have assignments which are conducive to substantive student research (e.g. lower division teaching assignments, structured curricula which lack flexibility for research projects). Research engagement by students may occur in a variety of contexts, involving (but not limited to) faculty mentoring, and supervision of research projects that go beyond course requirements, directed/independent study courses with a significant research component, and hired student assistants who support research projects.

4. **Other Factors**: Additional factors such as ability to relate with colleagues, initiative, cooperativeness and dependability, professional conduct, ethical conduct, respect for others, contribution to group efforts, and academic citizenship are appropriate considerations that may be considered in ARPT decisions.
Procedures for Conducting Performance Evaluations

1. Rights and Responsibilities of the Candidate:
   
   a. During the first year of employment in a tenure track position, new faculty members should work with their area chairs to formulate a professional development plan to make substantive contributions to learning and pedagogical research, contribution to practice and discipline based scholarship and to keep their teaching current and dynamic. Special attention should be paid to describing the objectives and goals to be pursued in the area of professional growth and achievement by the time the candidate is considered for tenure. A copy of the professional development plan should be included in the Working Personnel Action File by the second year of employment. Evaluators should review the plan to determine whether it is consistent with the College criteria and expectations for tenure. The plan can be refined, as necessary, during the course of the probationary period.

   b. Each probationary and tenured faculty member subject to personnel actions must complete each year a Resume Work Sheet (See Campus Administrative Policies and Appendix D) which is a summary of the individual’s record prior to original appointment, and detailing appropriate additional accomplishments which will enable evaluators to perform an equitable, documented evaluation. Should a faculty member be technically eligible for more than one personnel action per academic year, one form may be submitted to serve for all personnel considerations. The form must be updated and ready for review for the current personnel actions being contemplated.

   c. At any level of consideration in the process, evaluative statements and material shall be returned, through regular organizational channels, to the original preparer(s) for amplification if there are omissions of documentation information or recommendations in the material submitted for review, and if justifications for the recommendation made are considered insufficient or internally inconsistent. Such amplification shall be provided in a timely manner.

   d. Individuals considered for reappointment, tenure, or promotion shall be notified in writing of the recommendation, and they may submit a rebuttal statement or response in writing, or request a meeting to discuss the recommendation and its justification within ten days before it is forwarded to the next level of review.

   e. An individual is entitled to consultation with those evaluating his/her performance, individually, or in committee. Evaluators are entitled, and encouraged, to undertake constructive consultation with the individual in arriving at their recommendations. The individual under evaluation shall receive copies of all evaluations and exhibits which are to be placed in the individual’s working personnel action file. Efforts to resolve differences shall be a continuing part of the process.

   f. Evaluations shall include any stipulated conditions for improved future performance by the individual which will be considered in subsequent evaluations. Specific standards which will prevail in future decisions on reappointment, tenure, and promotion shall be clearly stated on the Form AP 109 or attachment thereto.
2. Rights and Responsibilities of the Peer Review Committee:

a. Each Area shall elect an appropriate peer review committee for the purpose of evaluating, reviewing, and recommending faculty members who are under consideration. The Peer Review Committee will choose its own chairperson. If the evaluations have been prepared by a task force from the Peer Review Committee, its recommendations must be transferred on a single Form AP 109, signed by the members of the task force, and voted upon by all the remaining members of the Peer Review Committee in the Area. If evaluations have been prepared separately by each member of the elected Peer Review Committee of the Area, each must complete and sign his/her recommendations on a separate Form AP 109. In both cases, however, the vote of the Peer Review Committee must be recorded. Abstaining from a recommendation is to be resorted to only in unusual circumstances; such circumstances must be fully explained. The Chair of the Peer Review Committee shall then discuss the recommendations of the faculty, as well as his/her own with the candidate concerned. Subsequently, the Chair of the Peer Review Committee shall forward the recommendations prepared by the faculty to the College Dean in accordance with timelines.

b. Evaluation of a faculty member’s classroom performance shall be sufficiently comprehensive to permit the evaluators to observe a cross section of the individual faculty member’s performance. Those members of the peer review committee that evaluate classroom performance should appraise the factors listed in the Guidelines for Peer Review of Teaching, attached in Appendix C.

c. Recommendations for personnel action will be made after review of the candidate’s Personnel Action File and Working Personnel Action File by all the evaluators. Such review is a professional responsibility of all evaluators. All evaluators are required to sign the log sheets in both files. It is the responsibility of the appropriate Peer Review Committee Chair, at the Area level, to ensure that such review is conducted by the evaluating faculty. Evaluations should contain factual and specific evidence in support of the recommendation. Both files shall be signed by all evaluators.

d. At the Area level, evaluations of an individual’s teaching performance; professional growth and achievement; and service to University, Students and Community; and other factors of consideration, for reappointment and tenure will be made by elected Peer Review Committee of full-time, tenured faculty members of the Area, or equivalent unit, holding an academic rank position in his/her teaching Area. Evaluations for promotion will be made by an elected Peer Review Committee of tenured faculty of higher academic rank than the applicant.

e. All evaluators at the Area level shall make a recommendation according to the following standards:

   i. To be recommended for reappointment, the faculty must be rated in at least the **Performance Level 3** in Section V of the University’s Faculty Evaluation Form (Form AP 109);

   ii. To be recommended for tenure, or Associate Professor, the faculty must be rated in at least the **Performance Level 2** of Section V of Form AP 109;
iii. To be recommended for Professor, the faculty must be rated in the **Performance Level 1** of Section V, Form AP 109.

3. **Role and Responsibilities of the Faculty Affairs Committee (FAC)**

The FAC will, whenever possible, abide by the RPT Timetable. Any deviations from this timetable must be communicated to all relevant parties. Personnel files may not be examined prior to the 10-day rebuttal period unless the candidate has signed a waiver form.

The FAC shall make evaluation and recommendations pertaining to faculty tenure (without any rankings) and promotion including rankings, but will not evaluate, or rank, faculty for appointment, reappointment, or professional leave. The results of this evaluation process must remain confidential and only be communicated to the Dean and the candidate.

4. **Role and Responsibilities of the Dean**

a. The College Dean, prior to arriving at a recommendation for, or against, the candidate, shall forward the entire package to the Faculty Affairs Committee for its recommendation and ranking order. The FAC shall then return the package to the Dean, along with its recommendations and ranking order of candidates recommended for promotion.

b. In arriving at a recommendation for, or against, reappointment, tenure, or promotion, the College Dean will consider the following:

   i. the recommendation of the Peer Review Committee;

   ii. the recommendation of the College’s Faculty Affairs Committee in decisions pertaining to tenure and/or promotion, and the priority ranking of those recommended for promotion;

   iii. his/her own evaluation;

   iv. the staffing requirements of the Area and the College.
E. REQUIREMENTS FOR TENURE
The criteria for evaluating faculty for tenure are set forth in the section entitled “Criteria for Faculty Evaluations.”

Normal Tenure

1. To qualify for tenure, a candidate must demonstrate a record that is judged at Performance Level 1 (section V of Form AP 109) in both Teaching and Professional Growth and Achievement; and at Performance Level 3 or above (section V of Form AP 109) in Service.

2. If the candidate for tenure has professor rank, he/she must be deemed at Performance Level 1 (section V of Form AP 109) in both Teaching and Professional Growth and Achievement; and at Performance Level 2 or above (section V of Form AP 109) in Service.

3. Full-time probationary academic employees normally serve six (6) years of full-time probationary or credited service.

4. At the time of initial appointment to a probationary status, the Area’s tenured faculty may recommend the granting of up to two (2) years of service credit for probation based on previous service at a post-secondary education institution, previous full-time CSU employment, or comparable experience.

5. Possession of the doctorate appropriate to the teaching area is a normal requirement of the College for the awarding of tenure.

6. The candidate's entire portfolio of professional growth activities will serve as the basis for the candidate's performance evaluation. Publications constitute one part of the professional growth portfolio as identified above. Normally, the minimum refereed publication requirements for Tenure are:
   a. The faculty member has published four (4) peer refereed journal articles and/or high quality law journal articles. Faculty should use each area’s list of recommended journals as a guide in selecting appropriate outlets.
   b. Two of the published articles have been accepted for publication within the three years preceding the tenure application.
   c. One of the articles must be discipline based (as defined by the AACSB).
   d. External validation of professional growth activities is required. As stated by AACSB, generally, intellectual contributions will exist in a public written form and will be available for scrutiny by academic peers or practitioners.

Early Tenure

7. The applicant is a probationary faculty employee who is not in their sixth probationary year and is not eligible for normal tenure. The academic probationary employee may request consideration for tenure during the first year of employment and each subsequent year. Early tenure will be granted only under conditions of exceptional achievement in all three areas of teaching, research, and service. An applicant for early tenure (as defined in UFPA) must show significant evidence of performance level 1 in each of the following Areas: (1) teaching performance; (2) professional growth and achievements; (3) service to university, students and community. In evaluating each of these three areas, primary consideration shall be placed on performance at this university, but past record will be considered where it appears to be a reasonable predictor of the faculty member’s future performance at Cal Poly.
8. In order to receive early tenure, an applicant should, at a minimum, receive a favorable majority vote from both the PRC and FAC.

F. REQUIREMENTS FOR PROMOTION
The criteria for evaluating faculty for promotion are set forth in the section entitled “Criteria for Faculty Evaluations.”

1. The principal emphases in promotion consideration are merit and ability.
2. The intensity and depth of the performance review evaluation shall increase at each higher level of rank.
3. Performance review evaluations for promotion to higher rank shall be based upon comprehensive assessments of the individual’s performance since the last promotion or appointment at this institution.

Promotion to Associate Professor
The candidate must demonstrate a record in at least two of the three areas (teaching, professional growth and achievement or service to university, students and community) which is judged at Performance Level 1 (section V of Form AP 109) and, furthermore, the candidate’s record in the third category must be judged at Performance Level 3 or above.

Promotion to Professor
For promotion to the rank of Professor the candidate’s record must be judged at the Performance Level 1 (section V of Form AP 109) in both Teaching and Professional Growth and Achievement; and at Performance Level 2 or above (section V of Form AP 109) in Service. Additionally:

1. Promotion from the rank of Tenured-Associate Professor to Professor requires three additional published peer refereed articles and/or high quality law journal articles (i.e., in addition to the publication requirement for Tenure). Faculty should use each area’s list of recommended journals as a guide in selecting appropriate outlets.
2. Two of the additional published articles have been accepted for publication within the three years preceding the promotion application.
3. One of the additional published articles must be discipline based (as defined by the AACSB).
4. External validation of professional growth activities is required. As stated by AACSB, generally, intellectual contributions will exist in a public written form and will be available for scrutiny by academic peers or practitioners.
5. Service expectations for promotion to full professor are higher than those for tenure and promotion to associate professor. Please see this ARPT document for examples of service.

Early Promotion
1. An application for promotion to Associate Professor is considered "early" if the applicant is eligible and one or both of the following is true:
   a. The applicant is a probationary faculty employee who is not also applying for tenure.
   b. The applicant has not satisfied the equivalent service requirements of at least five years in their academic rank at Cal Poly.
2. Early promotion will be granted only in exceptional cases. The circumstances and record of performance which make the case exceptional shall be fully documented by the applicant and validated by evaluators. The fact that an applicant has reached the maximum salary in their academic rank or
meets the performance criteria for promotion does not in itself constitute an exceptional case for early promotion.

3. To qualify for early promotion to the rank of Associate Professor, a candidate must demonstrate a record that is judged at Performance Level 1 (section V of Form AP 109) in both Teaching and Professional Growth and Achievement; and at Performance Level 2 or above (section V of Form AP 109) for Service.

Other Considerations

Eligible Associate Professors will, upon application, be reviewed and evaluated for promotion by the elected Peer Review Committee in their Area. Persons not wanting to be considered for promotion must so request in writing to their respective Peer Review Committee Chair.

Possession of the doctorate appropriate to the individual’s teaching area is a normal requirement for promotion to Professor.

Procedures for Promotion

1. The elected Peer Review Committee of tenured faculty of higher rank than the individual’s present rank, the College Dean, and the Faculty Affairs Committee shall evaluate the individual in relation to the appropriate procedures for promotion set forth in the section entitled “Procedures for Conducting Performance Evaluations.”

2. The faculty member will be evaluated in accordance with the established criteria for professional performance and comparatively against the performance of colleagues under consideration for the same personnel action.

Criteria for Establishing Priority Ranking for Those Qualified for Promotions

Each evaluation level will place those receiving positive promotion recommendations in a priority order. The priority rating established at the Area will be included in all evaluations and recommendations forwarded to higher levels.

The ranking order for those judged to be qualified for promotion shall utilize the following criteria:

1. Those judged to have reached the Performance Level 1 in all three areas will be given priority ahead of those with Performance Level 1 ratings in two of the three areas.

2. Where candidates' performance is judged to be Performance Level 1 in all three areas, the appropriate evaluation unit will look to (a), and if necessary (b) below to arrive at priority listing:
   a. Close comparison of candidates’ credentials, first in quality of teaching performance, then in professional growth and achievement and then in service to university, students and community. If one candidate is deemed superior to another in quality of teaching, there will be no need to carry the comparison further. If such a determination cannot be made, then a similar comparison will take place with reference to professional growth
and achievement. If a determination still cannot be made, then a similar comparison will take place with reference to service to university, students and community.

b. Such factors as seniority, professional ethics, responsibility, cooperativeness, and ability to relate well to colleagues (no priority or weighing is implied among these factors).

3. Where candidates are judged to have reached Performance Level 1 in two of the three areas mentioned, the appropriate evaluation unit will look at (a) and if necessary (b) below:

a. Those candidates judged at Performance Level 1 in teaching performance will rank ahead of those not showing such quality. If two or more candidates are judged at Performance Level 1 for teaching performance, then the candidate, or candidates, who are judged at Performance Level 1 in professional growth and achievement, will rank ahead of those not showing such quality.

b. Such factors as seniority, professional ethics, responsibility, cooperativeness, and ability to relate well to colleagues (no priority or weighing is implied among these factors).

G. REQUIREMENTS FOR POST-TENURE EVALUATION

Each faculty member must submit a performance portfolio every five years following tenure. This portfolio must concentrate on accomplishments in the areas of service/teaching/professional development achieved during this five year period. Professional development for purposes of post-tenure evaluation means substantive contributions to learning and pedagogical research, contribution to practice, and discipline based scholarship which also supports in keeping the faculty member's teaching current and dynamic. Areas must form a peer review committee of at least three faculty members of rank equal or above the faculty being evaluated. The review committee shall use Form AP 109 to provide the faculty member and Dean a performance evaluation.

H. THE RESPONSIBILITIES OF THE FACULTY AFFAIRS COMMITTEE (FAC)

The Faculty Affairs Committee (FAC) shall consist of one tenured professor from each area of the college, elected by the tenured and tenure-track faculty of his/her respective area, to serve four (4) year staggered terms. An individual may serve for more than one term, but not consecutively. Each Area having a vacancy will elect a representative no later than the first week of each Fall quarter to serve on the Faculty Affairs Committee. The newly constituted committee shall meet and elect its chairperson no later than the third week of each Fall quarter.

Other responsibilities of the FAC are described below:

1. The FAC is the appropriate College Committee for the development of policies, criteria, and procedures for personnel actions (appointment, reappointment, tenure, promotion, and professional leaves within the College).

2. Any new developments with regard to academic personnel policies, criteria, and procedures which are not explicitly assigned to an established College committee shall be the
responsibility of the FAC until otherwise determined by the appropriate faculty in the Orfalea College at a meeting called by the FAC.

3. Changes made in policies, criteria, and procedures shall not be implemented during the action cycle for the specific personnel action under consideration.

4. The FAC shall be available for consultation, upon request, with faculty, Area Chairs, and the Dean. The FAC shall also call a general faculty meeting on its own initiative or upon request by faculty, or the Dean, to discuss important matters. The following chart illustrates the openness of communication channels with the FAC:

**FAC COMMUNICATION CHANNELS CHART**

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College Dean

Faculty ↔ Faculty Affairs Committee ↔ Area Chair
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**I. PROCEDURES FOR AMENDMENT TO THIS DOCUMENT**

Procedures for the Amendment of the ARPT document are as follows:

1. No less than once every (5) years, the Faculty Affairs Committee will undertake and complete an intensive review of this document for possible revision or amendment.

2. The Committee will solicit and accept comments regarding revision and/or amendment of this document. Such input will be accepted from the College Dean, and from individual faculty of the College who hold tenured or probationary (tenure track) appointments. Probationary and tenured faculty shall have equal opportunity to participate in the development and/or subsequent amendment of policies, criteria, and procedures of the College and the Areas. The FAC will determine how to solicit input on changes to the document.

3. A faculty wide meeting shall be held to invite final comments to the proposed RPT document. All recommended changes in policies, criteria, and/or procedures pertaining to academic personnel actions must be approved by a majority vote of the tenured and probationary faculty voting. Faculty voting on any changes recommended shall be by secret ballots, either in a general meeting or by campus mail.

4. After final consultation with the appropriate faculty the FAC shall submit the revised document in its final form to the Dean. Such actions by the FAC must be completed by the end of the Winter Quarter in order to secure approval by the College Dean and the University Provost and Executive Vice President for Academic Affairs prior to the commencement of the new academic year.
J. CONCLUSIONS

The foregoing policies and procedures are expected to provide continuity in personnel matters from one year to the next. Nevertheless, as an earlier section makes clear, updating and revisions of this document will be an on going process.

A major purpose of this document is to ensure equal treatment for all faculty in the College and to ensure the same policies and procedures apply to all.

A faculty member may, but is not required to, submit a timely explanation of exceptional or unique circumstances in connection with academic appointment, reappointment, tenure, and/or promotion. However, this shall not alter any of the terms in, or the application of, the College Criteria for appointment, reappointment, tenure, and promotion, the UFPA, and the MOU.

[Section J. updated September, 2013 in accordance with consultation among FAC, Academic Personnel, and Dean.]
Appendix

Appendix A: Glossary of Terms

Faculty Resume Work Sheet
This worksheet is intended to assist you in preparing your Working Personnel Action File.

Form AP 109
Evaluation form used for retention, tenure and promotion review.

MOU – Memorandum of Understanding
http://www.calstate.edu/LaborRel/contracts_html/contracts.shtml

Personnel Files
The University protects the rights of employees to access their personnel files. Except for pre-employment materials, every employee at Cal Poly has the right to access, review, and have reproduced materials contained in their personnel files. A faculty member’s Personnel Action File is located in the college dean’s office.

The term Personnel Action File refers to the one official personnel file containing employment information and information that may be relevant to personnel recommendations or personnel actions affecting the employee. Academic employees must be provided with a copy of any material to be placed in their Personnel Action File at least five days prior to such placement. Faculty members are encouraged to review their personnel files on a regular basis. The term Working Personnel Action File refers to that portion of the Personnel Action File used during the time of periodic evaluation or performance review.

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

Professional Development Plan
The goal of the Professional Development Plan in the Orfalea College of Business is to establish guidelines by which members of the faculty can develop a program for maintaining currency and achieving excellence in their teaching and engaging in professional growth activities aimed at improving their level of professional accomplishments. Each area’s chair should work with their faculty to develop this document.
Appendix B: New Faculty Checklist

Within a month after the faculty member first joins the College, s/he should complete the following checklist and review with their area chair. This checklist should be submitted with the Working Personnel Action File.

______ Policies, Criteria, and Procedures for Academic Appointment, Reappointment, Tenure, and Promotion Read and Understood

______ Mentor Assigned   Name:  __________

______ Professional Development Plan Completed and Submitted

______ Faculty Handbook Provided

______ Form AP109 form received

______ Introduction to the Orfalea College internal website

______ Password for and review of digital measures

______ Introduction to my.calpoly.edu

______ New faculty member included in Orfalea College email distribution list

______ Review of office hour requirements

______ Change of grade policies and forms explained

Both the candidate and area chair must date and sign acknowledging that the information and contents above have been delivered and reviewed with the candidate.

Date _____________

______________________   ___________________________
Area Chair Name      Area Chair Signature

Date _____________

______________________    ___________________________
Candidate Name      Candidate Signature
Appendix C: Guidelines for Peer Review of Teaching

Under each area are criteria to consider. These are not necessarily equal components of teaching effectiveness.

1) Knowledge
   - Faculty member demonstrates competence with course content that is relevant and thorough.

2) Course Organization and Planning
   - Faculty member prepares assignments, handouts, exams, and/or activities to promote student engagement.
   - Faculty member promotes learning through assignments, handouts, exams, and/or activities that are consistent with course-level, concentration-level, and/or college-level learning objectives.
   - Faculty member demonstrates evidence of attention to active learning, writing, and critical thinking skills as appropriate.

3) Communication and Delivery
   - Faculty member uses class time effectively.
   - Faculty member uses effective instructional techniques and tools (including lecture, discussion, audio/visuals, group activities, or technology).
   - Faculty member demonstrates efforts to stimulate student engagement.
   - Faculty member demonstrates efforts to promote student achievement.
Appendix D: Faculty Resume Worksheet

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

Please keep in mind that the supporting materials that you submit should be thorough but not extraneous. They should be concise and appropriate to the period in rank (promotion candidates) or the period of your probationary tenure-track appointment at Cal Poly. Please endeavor to keep these materials as brief and as organized as possible, while ensuring that your application is thoroughly documented. **Candidates are requested to prepare their Working Personnel Action File materials in binders of maximum 3” capacity or smaller.**

**Evaluation Categories**

**I. BACKGROUND**
- education
- certification or licensing
- academic experience
- related professional experience

**II. TEACHING RELATED ACTIVITIES**
- courses and laboratories taught
- new course preparation
- major revisions and innovations in existing courses
- curriculum development
- senior projects or student research supervised
- student advising
- current instruction related projects
- other

**III. PROFESSIONAL GROWTH AND DEVELOPMENT ACTIVITIES**
- SCHOLARLY ACTIVITIES COMPLETED (with primary emphasis on activities completed since coming to Cal Poly for probationary faculty, and for period in rank for candidates for promotion)
  - *Journal Publications*
  - *Conference Publications*
  - *Books*
  - *Creative/Artistic Achievement*
  - *Research*
  - *Consulting*
  - *Patents*
  - *Commissions*
  - *Editorships*
  - *Refereeing*
  - *Presentations*
  - *Reviews*
  - *Workshops*
  - *Conferences*
  - *Industrial collaborations,*
- participation in professional associations and organizations
- grants and contracts
- fellowships
- honors
- current projects and activities

**IV. SERVICE**
- university
- college
- department
- community (activities related to professional expertise)
To: Doug Cerf, Interim Dean  
    Orfalea College of Business  

Date: September 18, 2013  

From: Kathleen Enz Finken  
    Provost and Executive Vice President for  
    Academic Affairs  

Copies: Al Liddicoat  

Subject: 2013 Update to OCOB Statement of Policies, Criteria and Procedures

The subject document, updated by the Faculty Affairs Committee and approved by faculty vote in May 2013, is approved for immediate implementation. Please provide the Orfalea College of Business faculty access to the document as soon as possible.
California Polytechnic State University
San Luis Obispo, CA

STATEMENT OF POLICIES, CRITERIA, AND PROCEDURES
FOR ACADEMIC APPOINTMENT, REAPPOINTMENT, TENURE, AND PROMOTION
IN THE ORFALEA COLLEGE OF BUSINESS

Approved by Orfalea College of Business Faculty on March 9, 2009
Reviewed and edited by Dean Dave Christy in consultation with FAC, May 2009
Reviewed and Approved by Provost Robert Koob, September 2009
Revised and edited by Dean Dave Christy to include revised language approved by the faculty and
FAC, September 2011
Reviewed and Approved by Provost Robert Koob, September 2011
Updated by FAC and approved by Faculty Vote, May 2013
Approved by Dean, May 2013
Updated and Published by Academic Personnel, September 2013

This document distributed to the faculty during the first week of the 2013-14 Academic Year, and
is in effect for all reviews conducted after September, 2013.