This college statement of criteria and procedures for faculty personnel actions presents a unifying document under Title V, Higher Education Employer-Employee Relations Act (HEERA), CAP and the CSU/CFA Agreement. If the agreement entered into pursuant to the Title V, HEERA, CAP and the CSU/CFA Agreement is in conflict with provisions in these criteria and procedures, the terms of the contract and not the provisions of these procedures and criteria shall govern.
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1. Position Statement
The College of Liberal Arts comprises fifteen highly selective departments offering programs in the arts, humanities, communications, and social sciences. These diverse disciplines share a focus on human experience and expression. Providing nearly a third of the university’s instruction, the CLA serves as an essential component of liberal education for all students at Cal Poly. The CLA fosters excellence within its cutting-edge disciplinary and interdisciplinary courses of study while diversifying, extending, and enriching the broader polytechnic environment. Its rich history of teaching excellence, active research and creative endeavors, and the breadth and depth of its course offerings position the CLA as central to the Cal Poly educational experience.

2. Mission Statement
The College of Liberal Arts promotes excellence through teaching, scholarship and service in the arts, humanities, communications, and social sciences. The CLA encourages intellectual discovery and individual growth by promoting diversity, social responsibility, and life-long Learn by Doing in both the local and the global communities. CLA occupies a pivotal position in the comprehensive university, providing Cal Poly students with a broad and substantive understanding of culture, social and political organizations, and the individual; developing their capacity for critical inquiry and discourse; fostering intellectual curiosity and the pursuit of knowledge; promoting creative thought and aesthetic appreciation; and integrating technology into a broader, human context.

3. Values
The College of Liberal Arts upholds open and critical disciplinary and interdisciplinary inquiry, effective communication, creative thinking, aesthetic endeavor, and their application to contemporary issues. We advocate cultural and intellectual diversity, sustainability, professional ethics, self-awareness, and responsible citizenship. We espouse the integration of humane and aesthetic values with technological proficiency in support of the university’s mission. As essential and engaged members of our comprehensive polytechnic university, we embrace the university’s commitment to the Learn by Doing philosophy through our research, theory, and practice.

4. Vision
The College of Liberal Arts will be indispensable to Cal Poly’s achieving national recognition as a premier comprehensive polytechnic university. Its emphasis on creative thinking, human understanding, and innovative action will empower our graduates to confront challenges responsibly by understanding the historical, cultural, social, ethical, aesthetic, technological, and philosophical complexities of global and local communities. Through its programs, research, and scholarship, the CLA will exemplify the values required to create a robust, vibrant, diverse, and responsible culture that sustains progress, beauty, and justice for the larger society.

5. Learning Objectives
College of Liberal Arts graduates will be able to:
1. Question assumptions through critical inquiry.
2. Think creatively and constructively from disciplinary and interdisciplinary perspectives.
3. Communicate effectively orally and in writing.
4. Develop scholarly depth within their disciplines.
5. Understand the value of interdisciplinary knowledge.
6. Collaborate productively in diverse settings and with diverse others.
7. Make reasoned, ethical, and socially and ecologically responsible decisions.
8. Understand the self and others as products of—and participants in—global traditions of art, ideas, and values.
6. Academic Appointment:
University policies and procedures for academic appointments are accessible at the Academic Personnel website: http://www.academic-personnel.calpoly.edu/

A. Tenure-Track Appointments

1. Application Material
   a. Letter of interest
   b. Curriculum vitae (CV)
   c. Cal Poly faculty application through Cal Poly Jobs (http://www.afd.calpoly.edu/hr/)
   d. Letters of recommendation (3 current within the last three years)
   e. List of courses previously taught at the university level.
   f. Transcripts (copy of transcripts of the highest degree earned—official transcripts required from finalists and prior to appointment).
   g. Other materials as requested by the department.

2. Process
   a. Advertising and Recruitment
      1. Tenure-track positions must be advertised nationally. HigherEdJobs meets all advertising requirements and this ad will be placed by Academic Personnel.
      2. A minimum 30-day period is required between the LATEST of all ad publication dates (whether online or print) and the closing date or review begin date. Please note that for online advertising the 30 days is counted from the first day of appearance. Any deviations must be approved in advance by Academic Personnel.
   b. Hiring and Appointment
      1. The Search Committee, consisting of elected tenured faculty, shall use procedures as determined by individual departmental policies and procedures in addition to those listed below.
         a. The Employment Equity Facilitator (EEF) shall normally be a tenured faculty member and may not be the department chair or the chair of the Search Committee. http://www.employequity.calpoly.edu/
         b. With the department’s recommendation and the dean’s permission, FERP faculty may serve on the Search Committee.
         c. With the department’s recommendation and the dean’s permission, probationary faculty may serve on the Search Committee.
      2. From those who have been interviewed on campus, the Search Committee shall provide a ranked list of preferred candidates to the department chair. The department chair shall provide appointment recommendations to the dean, ranking as appropriate.
      3. The Search Committee members shall give careful consideration to temporary employees who have been evaluated by the department or equivalent unit. (MOU 12.7) The committee members and department chair shall review and sign the Personnel Action File for these candidates.
   3. Criteria/Qualifications
      a. The doctorate or other appropriate terminal degree shall be required for appointment to a tenure-track position unless requested otherwise by the department and approved by the dean. All degree requirements must be completed prior to the appointment start date.
         1. The appropriate terminal degree will be determined by the department and approved by the dean.
         2. In the areas where a doctorate is required, candidates who have completed all doctoral requirements but the dissertation (ABD) may also be considered during the recruitment process. However, all degree requirements must be completed prior to the appointment start date.
a. At the discretion of the department and college, a new hire who has not completed all degree requirements may be appointed as a one-year, full-time lecturer at reduced pay appropriate for that level.

b. Evidence of potential for excellence in university-level teaching.

c. Evidence of potential for ongoing research, scholarship, and/or creative activity that will keep the candidate current, contribute to the knowledge and developments within his/her discipline/professional field, and lead to promotion.

d. Evidence of potential to make substantive service contributions to the department, college, and/or university.

B. Full-Time Lecturer Appointments

1. Application Material

   a. Letter of interest
   b. Curriculum vitae (CV)
   c. Cal Poly faculty application through Cal Poly Jobs (http://www.afd.calpoly.edu/hr/)
   d. Letters of recommendation (3 current within the last three years)
   e. List of university courses taught, clearly identifying those taught at Cal Poly and/or other CSU campuses.
   f. Transcripts (copy of transcripts of the highest degree earned—official transcripts required from finalists and prior to appointment)
   g. Other materials as requested by the department.

2. Process

   a. Advertising and Recruitment

      1. *Full-time* lecturers must be advertised nationally, HigherEdJobs meets all advertising requirements and this ad will be placed by Academic Personnel.

      2. A minimum 30-day period is required between the LATEST of all publication dates (whether online or print) and the closing date or review begin date. Please note that for online advertising the 30 days is counted from the first day of appearance. Any deviations must be approved in advance by Academic Personnel.

   b. Hiring and Appointment

      1. The Search Committee, consisting of elected tenured faculty, shall use procedures determined by individual departmental policies and those listed below.

         a. The Employment Equity Facilitator (EEF) shall normally be a tenured faculty member and may not be the department chair or the chair of the Search Committee. http://www.employequity.calpoly.edu/

         b. With the department’s recommendation and the dean’s permission, FERP faculty may serve on the Search Committee.

         c. With the department’s recommendation and the dean’s permission, probationary faculty may serve on the Search Committee.

      2. The Search Committee shall provide a ranked list of preferred candidates to the department chair. The department chair shall provide appointment recommendations to the dean, ranking as appropriate.

      3. The Search Committee members shall give careful consideration to temporary employees who have been evaluated by the department or equivalent unit. (MOU 12.7) The committee members and department chair shall review and sign the Personnel Action File for these candidates.

3. Criteria/Qualifications

   a. Appropriate degree as determined by the department and approved by the dean.

   b. Evidence of potential for excellence in university level teaching.
c. Evidence of potential for ongoing professional activity that demonstrates a candidate’s commitment to disciplinary/professional currency.

C. Part-Time Lecturer Pool

1. Application Material
   a. Letter of interest
   b. Curriculum vitae (CV)
   c. Cal Poly faculty application through Cal Poly Jobs (http://www.afd.calpoly.edu/hr/)
   d. Letters of recommendation (3 current within the last three years)
   e. List of university courses taught, clearly identifying those taught at Cal Poly and/or other CSU campuses.
   f. Transcripts (copy of transcripts of the highest degree earned—official transcripts required from finalists and prior to appointment)
   g. Other materials as requested by the department.

2. Process
   a. Advertising and Recruitment
      1. Part-time pools must be advertised locally in The Tribune, at a minimum.
      2. A minimum 14-day (30 days or longer is preferable) period is required between the LATEST of all publication dates (whether online or print) and the closing date or review begin date. Please note that for online advertising the 14 days is counted from the first day of appearance. Any deviations must be approved in advance by Academic Personnel.
      3. All current employees in the part-time pool are required to reapply each year to the part-time pool.
   b. Hiring and Appointment
      1. The Search Committee, consisting of elected tenured faculty, shall use procedures determined by individual departmental policies and those listed below.
         a. The Employment Equity Facilitator (EEF) shall normally be a tenured faculty member and may not be the department chair or the chair of the Search Committee. http://www.employequity.calpoly.edu/
         b. With the department’s recommendation and the dean’s permission, FERP faculty may serve on the Search Committee.
         c. With the department’s recommendation and the dean’s permission, probationary faculty may serve on the Search Committee.
      2. The Search Committee members shall give careful consideration to temporary employees who have been evaluated by the department or equivalent unit. (MOU 12.7) The committee members and department chair shall review and sign the Personnel Action File for these candidates.
   3. Criteria/Qualifications
      a. Appropriate degree as determined by the department and approved by the dean.
      b. Evidence of potential for excellence in university level teaching.
      c. Evidence of potential for ongoing professional activity that demonstrates a candidate’s commitment to disciplinary/professional currency.

D. Graduate Assistants / Teaching Associates

1. Appointment of graduate assistants and teaching associates shall be made by the dean based upon recommendations by the department chair.
2. Recommendations and appointments shall be made of enrolled graduate students who have demonstrated the interest, knowledge, and potential to be good instructors.
3. Teaching associates must be registered in a CSU graduate degree program and must be enrolled in courses towards the completion of that graduate degree during the teaching associate appointment period.
a. This includes students enrolled in CSU courses through CSU extension, if the courses are taken for credit toward completion of the graduate degree.

4. All openings will be posted on the MustangJOBS web site.

E. Emergency Appointments
1. When instructional needs arise that cannot be met through the current part-time lecture pool, emergency hires of lecturers may be made.

7. Personnel Files
1. Personnel Action File (PAF)
   a. The Personnel Action File shall be defined as the one (1) official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. (MOU 11.1)

   1. Contents: CV; hiring materials/letters of appointment; performance and periodic evaluations; leaves/grants/awards reports; quantitative summary of student evaluations of faculty and other personnel related material.

   2. Location/Custodian of file - dean's office

2. Working Personnel Action File (WPAF)
   a. During the time of periodic evaluation and performance review of a faculty unit employee, the Working Personnel Action File (WPAF), which includes all information, materials, recommendations, responses and rebuttals, shall be incorporated by reference into the Personnel Action File. (MOU 11.8)

   1. Contents: See Appendix A1 or A2

   a. Candidates should assume everyone reading WPAF will be reading many, many WPAFs – clear and concise materials generally will be more effective.

   b. Copies of previous evaluations should not be included in the WPAF as they are in the PAF, which will be reviewed during the evaluation/review process.

   c. Materials should be double-sided to the degree possible, three-hole punched, and inserted into a binder provided by the college. If another binder is needed, tabs should remain in the sequence listed above and the overflow material should be moved into the next binder, which should be no more than 3” as measured on the spine.

   d. Sheet protectors or plastic sleeves should not be used for material inserted into your WPAF. The use of a plastic holder, attached to a three-hole punched sheet, for items that cannot be three-hole punched, such as a postcard, picture, CD and the like is acceptable. Additional items such as books, discs, etc. should be clearly labeled with your name and department.

   2. Location/Custodian of file – department

8. Review and Evaluation of Faculty
A. Student Evaluations of Teaching
1. General Criteria
   a. Student evaluations are required for all classes taught by each faculty unit employee except for the following:

      1. Courses with low enrollment (fewer than five students) such as individual senior projects and independent study.

         a. Capstone senior project classes will be evaluated if there are more than 5 students enrolled.

         b. Student evaluations will not be administered for individually supervised senior projects.

      2. Cooperative Education courses that do not include direct instruction shall not be evaluated using the student evaluation process. Academic departments or the Career Services Office may use a survey to evaluate the students’ co-op experience, but this is not part of the student evaluation process.

      3. Team-taught classes: In situations when classes are team-taught, the instructor of record shall conduct student evaluations. If there is more than one instructor of record, then copies of the
evaluation results shall be placed in each of the instructor’s personnel files with a memo indicating that the course was team-taught. Any faculty member team teaching the course will have the opportunity to write a narrative description to accompany the student evaluation results for the team-taught course if he/she desires to add context to the results. A faculty member who team-teaches a course and believes that the results are not representative of his/her contributions to the course, may request that the dean not include the results associated with this team-taught course in his/her PAF. After reviewing this request, the dean has the discretion to determine if the student evaluation results of the team-taught course shall be placed in the instructor’s file.

2. Procedure for Conducting Student Evaluations
   a. Student evaluations shall be administered during the 9th or 10th week of classes, but not during final exam week or in conjunction with an early final exam.
   b. Student evaluation forms shall include all items required by the university, college, and department. The instructor may append additional “informal” evaluation items as additional sources of feedback.
   c. Faculty members shall provide 10-20 minutes of class time for the student evaluation process in each class in which he/she is being evaluated. During this time, the faculty member shall be absent from the classroom.
   d. Only students officially enrolled in the class shall be permitted to participate.
   e. Completed evaluations shall be delivered to the respective department administrative assistant in a sealed envelope that has been signed and dated (on the sealed flap) by the person selected to administer the evaluations.
   f. The quantitative (numeric) portion of the evaluations shall be submitted to ITS Operations & Production Support for tabulation, and the qualitative (narrative) portion of the evaluations shall be retained in the department office under the care of the department personnel file custodian.

3. Placement in Personnel Action Files
   a. The ITS prepared tabulated results (department summary, instructor summary, and course summary) from the quantitative portion of those evaluations (not designated by a faculty member as informal evaluations) shall be placed in the faculty member’s Personnel Action File (PAF), located in the dean’s office.
   b. The qualitative portion of those evaluations not designated by a faculty member as informal shall be archived in the faculty member’s department office under the care of the department personnel file custodian. The qualitative evaluation archive shall be considered an extension of the faculty member’s PAF following the Records Retention Schedule in Appendix D, and made available to reviewers during the periodic/performance review process.
      1. The department file custodian shall deliver the original official qualitative evaluations collected during the period under review to the college custodian. Note: if copies are forwarded to the college custodian, such copies shall be made by department personnel.
      2. Faculty members shall not be afforded an opportunity to choose particular narratives or sets of narratives from among those officially collected.
   c. Any student communications or evaluations provided outside of the regular evaluation process must be identified by name to be included in the PAF (MOU 15.17b). Such communications or evaluations may be included in the WPAF as informational only items.

B. Periodic Reviews and Performance Evaluations
   1. Definitions and Frequency
A periodic review is an evaluation process that does not result in a formal personnel decision but that can be used to provide feedback and guidance to the faculty member and support future personnel decisions.

1. Probationary Faculty shall undergo a periodic review in years that performance evaluations are not required.

2. Tenured faculty shall undergo a 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 from associate professor to professor.

3. Lecturers shall undergo periodic reviews on a schedule that is determined by the nature of their appointment, consistent with the CFA contract. Consequently, lecturers are referred to that contract and to the memo from the Academic Personnel Office each fall quarter for the relevant schedule. In general under the current contract periodic reviews for lecturers occur as follows:
   a. Full-time lecturers shall undergo a cumulative review each year of appointment.
   b. Pursuant to Article 15.28, lecturers who may qualify for an initial 3-year appointment the next year under Article 12.12 shall undergo a cumulative review in their 6th consecutive year of employment (PRC, department chair, and dean review).
   c. Pursuant to Article 15.29, lecturers who may qualify for a subsequent 3-year appointment the following year under Article 12.13 shall undergo a cumulative review in the third year of their current 12.12 appointment (PRC, department chair, and dean review).
   d. Lecturers with 12.12 and 12.13 appointments, who choose to not undergo cumulative evaluation, shall be scheduled for periodic evaluations in the 3rd year of appointment.
   e. Other part-time lecturers appointed for the entire academic year (teach at least one course in each of the three quarters), including any 12.3 lecturers, shall be reviewed by the department chair and dean (without a peer review) annually.
   f. Other part-time lecturers appointed for only one or two of the three academic quarters may be reviewed at the discretion of department chair and dean.
   g. Any lecturer may request an unscheduled review in writing. The written request must be received prior to the review cycle (generally around January 15).

b. A performance evaluation is defined as an evaluation process that results in a personnel action for tenured or tenure-track faculty, such as retention (reappointment), tenure, or promotion. See Appendix B for performance and periodic evaluation schedules.

C. Periodic Reviews

1. Lecturer
   a. Lecturers are essential and valued members of the College of Liberal Arts. Because teaching is the primary assignment of lecturers, it is essential that lecturers remain current in their fields and in pedagogy. Consequently, periodic reviews provide an opportunity to reflect and receive feedback on course materials, instructional techniques, grading practices, and professional development activities undertaken to remain current.
   b. An updated WPAF provides the documentation for this review. As described in more detail in Appendix A2, the WPAF includes an updated CV along with teaching materials, and student evaluations for each course taught at Cal Poly.

2. First-Year, Tenure-Track Faculty (with two-year appointments)
   a. Hiring decisions are among the most important decisions made at the university. The offer letter reflects the institution’s belief that the candidate has the ability and motivation to be successful professionally and serve Cal Poly and its students effectively. Acceptance of that offer confirms candidates’ belief that Cal Poly provides a good match with their interests, values, and goals and is a place where they can be successful. The schedule of reviews and evaluations ensures that new faculty members receive appropriate feedback, guidance, and opportunities for success.
   b. Although this review occurs shortly after the beginning of employment at Cal Poly, it begins this process of systematic feedback and evaluation.
c. In recognition of the multiple demands on new faculty members and the recentness of their hire, a “reduced” WPAF is the only documentation required for the first-year periodic review. At this stage, it is only required that the WPAF contain an updated CV along with teaching materials, and student evaluations for each course taught at Cal Poly. If statements of teaching philosophy and research/creative activity plans were submitted with application materials, they may be used for this initial periodic review. Otherwise, faculty members should draft a brief statement and plan for the WPAF. Reviewers will provide feedback and suggestions for shaping these documents for the first performance evaluation the following year. Over time, the WPAF will become a cumulative record that also includes current CV’s, professional development plans, and philosophy statements.

3. Probationary Tenure-Track Faculty beyond the First Year
   a. Subsequent periodic reviews occur in the years that probationary faculty members do not have performance evaluations. These reviews provide important opportunities for feedback and guidance on performance and professional development plans.
   b. An updated WPAF provides the documentation for this review, complete with professional development plans and philosophy statements, revised as appropriate to reflect the faculty member’s achievements and maturation since the last review.

4. Tenured Faculty
   a. The purpose of periodic review of tenured faculty members is to ensure that the ideals and responsibilities of tenure are respected and actively pursued, as well as to provide constructive feedback to assist faculty members in optimally fulfilling their continuing professional responsibilities and goals.
   b. An updated WPAF provides the documentation for this review, complete with revised philosophy statements and professional development plans, as appropriate.

D. Periodic Review Process, Levels, and Responsibilities
1. Candidates
   a. Review and sign the log for his/her Personnel Action File (PAF) in the dean’s office prior to the commencement of a periodic review.
   b. Provide an updated curriculum vita for placement in Personnel Action File. Note: be sure the “updated” version is newly dated on the 1st page.
   c. Assemble and submit a Working Personnel Action File (WPAF) – Appendix A1 or A2
2. Department Peer Review Committee (PRC)
   a. PRC Composition
      1. For Periodic Reviews the department Peer Review Committee (PRC) shall consist of at least one elected member of the tenured faculty. Approval shall be obtained from the dean if a department requests to have a FERP participate as an evaluator. *(MOU 15.2)*
         a. Faculty members participating in FERP are not eligible to act as a committee of one. *(MOU 15.2)*
         b. Post-tenure reviews require the evaluator hold the rank of professor.
         c. At the candidate’s request, the Peer Review Committee may be increased in membership size.
   b. PRC Responsibilities
      1. PRC members shall review both the PAF and the WPAF, signing the log sheet in each file. At least a subset of the PRC shall observe classroom instruction.
         a. Classroom observations
            i. Faculty members shall be provided a notice of at least five (5) days that a classroom visit is to take place. *(MOU 15.14)*
            ii. Following the classroom visit(s) there shall be consultation between the faculty member being evaluated and the individual who has visited his/her class(es). *(MOU 15.14)*
         b. The committee shall produce an evaluation report, utilizing the Peer Review Committee Evaluation Form *(Appendix C)*, for the candidate undergoing review. This report will critically analyze the evidence on each performance dimension (teaching, scholarship, and service), both favorable and
unfavorable, and produce a narrative from which it is clear how the evidence was weighed and the
conclusions and recommendations for improvement resulted.

i. Particularly for reviews of probationary faculty, it is also important for the committee to
evaluate the professional development plan. Guidance regarding needed modifications of
the plan is important for the candidate in his or her efforts to develop a compelling record
for the eventual promotion and tenure evaluation.

c. The PRC report shall be provided to the candidate at least 10 days before sending the evaluation
to the department chair.

d. Candidates may request a meeting and/or submit a rebuttal to the Peer Review Committee.

e. The PRC shall review rebuttal material with the option of revising recommendations or correcting
errors in the original report; no other written response shall be provided to the candidate.

f. All deliberations of the PRC shall be confidential. (MOU 15.10)

3. Department Chair

a. The department chair shall review both the PAF and the WPAF, signing the logs in each file. The chair
may also elect to observe classroom instruction.

1. Classroom observations

a. Faculty members shall be provided a notice of at least five (5) days that a classroom visit is to take
place. (MOU 15.14)

b. Following the classroom visit(s) there shall be consultation between the faculty member being
evaluated and the individual who has visited his/her class(es). (MOU 15.14)

b. The department chair shall review the PRC evaluation and rebuttal, if submitted, and provide a separate
evaluation, completed on the Faculty Evaluation Form (AP 109).

c. The chair’s report shall be provided to the candidate at least 10-days before sending the evaluation to the
dean.

d. Candidates may request a meeting and/or submit a rebuttal to the department chair.

e. The department chair shall review rebuttal material with the option of revising recommendations or
correcting errors in the original report; no other written response shall be provided to the candidate.

4. Dean

a. The dean shall review both the PAF and WPAF, signing the logs in each file, as well as all previous levels
of evaluation and any rebuttals submitted.

b. The dean shall provide a separate review report using Faculty Evaluation form (AP 109).

c. The dean’s report shall be provided to the candidate at least 10 days before placing the evaluation in the
faculty members PAF.

d. Candidates may request a meeting and/or submit a rebuttal to the dean.

e. The dean shall review rebuttal material with the option of revising the recommendation or correcting
errors in the original report; no other written response shall be provided to the candidate.

E. Performance Evaluations of Tenure-Track Faculty

Per university policy and the CFA contract, retention, promotion, and tenure decisions are based exclusively
on work performed at Cal Poly. Such work may build on or extend prior work, but it should do so in
meaningful ways based on work at Cal Poly.

1. Retention

a. The faculty member who is on probationary status has the obligation to demonstrate that he/she should
be reappointed. If the faculty member clearly does not meet, or have the potential to meet, the
qualifications and/or competencies that will result in an ultimate recommendation for tenure, he/she
should be separated from the faculty as early as possible. However, this does not imply that retention
guarantees eventual promotion and tenure.

2. Promotion
a. The continued growth and well-being of the college and university require that faculty members faithfully and effectively execute the responsibilities of their position. Consequently, demonstrated effectiveness in all areas of position responsibilities is required for promotion to any rank.

b. The criteria and degree of evidence will vary in accordance with the academic rank being sought, as noted below

1. Teaching

   a. Consistent with the values and mission of the college and university, demonstrated excellence in teaching is the essential criterion for promotion in the College of Liberal Arts. Consideration is to be given to such factors as the applicant's competence and currency in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of courses, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student advising, and other factors relating to performance as an instructor.

   b. Among other methods, evaluation of these dimensions must be based on a review of course materials and peer observations of classes, as well as results from formal student evaluations (University Faculty Personnel Actions 9/29/2011).

   c. The multiple methods of evaluation should converge in support of excellence in teaching.

2. Professional Achievement (Scholarship)

   a. Scholarship is used throughout this document to denote professional achievements through research and/or creative activity.

   b. Scholarship is essential for faculty to remain current in and contribute to their disciplines, sustaining excellence in teaching.

   c. Although the nature and evidence for scholarship vary somewhat across disciplines, there are at least three common features of all types of scholarship.

      i. Scholarship produces a product, often referred to as intellectual property, that is shared through appropriate professional channels (e.g., as a book, journal article, book chapter, exhibit, performance, recording).

      ii. Scholarship is subject to "peer review," a critical evaluation by external groups optimally qualified to judge the product.

      iii. Scholarship demonstrates a solid foundation and contributions to one's field as well as currency in that field.

      iv. In order to be considered for promotion to associate professor or professor, a candidate must demonstrate active engagement in the field throughout the candidate’s time in the previous rank (assistant professor for promotion to associate professor and associate professor for promotion to professor).

         a. A positive recommendation for promotion to associate professor shall require evidence of scholarship equivalent to at least two articles published in well-respected and rigorously peer-reviewed scholarly journals in the relevant area. This is a minimum standard that may be exceeded by department policy. Candidates should check their department personnel standards for further information and criteria.

            i. By the date the candidate’s promotion WPAF closes, the candidate must provide evidence that the work has appeared in print (or digital media) or is fully 'in press/forthcoming.' For traditional scholarly publications, such as books, book chapters, and journal articles, this means that the manuscript must be fully and unconditionally accepted by the publisher, in the publisher’s possession, require no further revisions by the author, and have a scheduled publication date with additional work required only by the publisher to move the manuscript to publication.

            ii. Works that are under contract for publication, under review for publication, or in progress will not satisfy the promotion criteria, but may be listed as evidence of a candidate’s on-going commitment to growth in this area.
iii. Responsibility for demonstrating equivalence resides with the candidate and should be well established in the professional development plan through prior reviews and feedback from the PRC, department chair, and dean.

b. A positive recommendation for promotion to professor shall require work equivalent to at least two additional articles published in well-respected and rigorously peer-reviewed scholarly journals since promotion or appointment as associate professor. This is a minimum standard that may be exceeded by department policy. Candidates should check their department personnel standards for further information and criteria.

i. By the date the candidate’s promotion WPAF closes, the candidate must provide evidence that the work has appeared in print (or digital media) or is fully ‘in press/forthcoming.’ For traditional scholarly publications, such as books, book chapters, and journal articles, this means that the manuscript must be fully and unconditionally accepted by the publisher, in the publisher’s possession, require no further revisions by the author, and have a scheduled publication date with additional work required only by the publisher to move the manuscript to publication.

ii. Works that are currently under contract for publication, under review for publication, or in progress will not satisfy the promotion criteria, but may be listed as evidence of a candidate’s on-going commitment to growth in this area.

iii. Publications previously identified as ‘in press/forthcoming’ in the candidate’s review for associate professor shall not be considered in the review for promotion to professor. Manuscripts listed as “in progress” or “under review” in the candidate’s review for associate professor, and therefore not counted toward meeting criteria, may be considered in the review for professor if they are published or unconditionally accepted prior to that review.

iv. Responsibility for demonstrating equivalence resides with the candidate. Because there may be no periodic reviews between promotion to associate professor and review for professor, candidates with questions about equivalence would be well advised to generate a detailed professional plan and discuss it with appropriate peers, the department chair, and the dean well in advance of their review.

3. Service to Department, College, University and Community

a. Faculty service is essential to the university’s success and is a responsibility of all faculty. Faculty members are expected to provide service to the university, its students, and programs, as collegial and constructive members of the university and the broader community. Examples include service in faculty governance; in academic and student-support units; in international development; in mentoring students and student groups; and on department, college, and university committees.

b. While junior faculty are normally encouraged to limit their service commitment to their departments or the college during the first two or three years in rank, all faculty members are expected to engage in substantive service, with increasing involvement at department, college, university and community levels over time and rank.

3. Early Promotion

a. Early promotion will be considered only in exceptional circumstances. A candidate for early promotion must provide evidence of superior performance in teaching and scholarship, and the candidate should demonstrate at least good to very good service to the department, college or university. “Superior” should be understood to mean a quantity and quality of work that substantially surpasses the standard for normal promotion. Generally, faculty members who received credit for prior experience do not request or receive early promotion because their probationary period has already been reduced.

b. After consultation with his/her department chair and dean, a faculty member who would like to be evaluated for early promotion must notify the dean in writing (email is acceptable) with a copy to the department chair and to the CLA evaluations analyst by October 1 of the current RPT cycle.

4. Tenure
a. The awarding of tenure signifies confidence in a faculty member’s knowledge, creativity, initiative, and motivation, enabling him or her to continue to make substantial contributions to Cal Poly and achieve distinction in his or her field over time. Because tenure reflects a lifetime institutional commitment to the faculty member, tenure decisions are considered to be even more critical to the university than hiring and promotion decisions. Just as retention does not guarantee promotion, early promotion does not guarantee tenure (University Faculty Personnel Actions 9/27/2011).

b. The normal probationary period for earning tenure is six years unless a candidate is granted service credit toward tenure at the time of hire. Consequently, tenure usually accompanies regular, as opposed to early, promotion from assistant to associate professor.

c. To be recommended for tenure, an applicant must:

1. Be rated during the final probationary year in one of the top two performance categories listed in Section V of Form AP 109 (Faculty Evaluation Form).
2. Meet all relevant criteria in the areas of teaching, scholarship, and service for his/her rank (associate professor or professor).
3. Have established a positive trajectory of achievements that demonstrates potential for continuing and substantial contributions to Cal Poly, promotion to the next rank when relevant, and eventual distinction in the field.

5. Early Tenure

a. A candidate for early tenure must provide evidence of superior performance in teaching, scholarship, and service. "Superior" should be understood to mean a quality of work that substantially surpasses the standard for normal tenure and clearly sets the candidate apart from his/her peers. Since a positive tenure decision represents a commitment on the part of the college and university to provide what is essentially a lifetime appointment and is based primarily on the promise of future, rather than the certainty of past contributions, early tenure will rarely be granted and will be considered only in cases of exceptional achievement on all dimensions. Generally, faculty members who received credit for prior experience do not request or receive early tenure because their probationary period has already been reduced.

1. After consultation with his/her department chair, a faculty member who would like to be evaluated for early tenure must notify the dean in writing (email is acceptable) with copy to the department chair and evaluations analyst by October 1 of the current RPT cycle.

F. Performance Evaluation Process, Levels, and Responsibilities

1. Candidates

a. Notify college of desire to be evaluated for promotion and/or tenure.

1. Faculty scheduled for a mandatory review will be notified by the college.
2. Faculty wishing to be considered for early promotion to associate professor or professor or early tenure must notify the dean in writing (email is acceptable) by October 1 of the current RPT cycle. This notification shall also be copied to the department chair and to the CLA evaluations process specialist.
3. A tenured faculty member eligible for promotion to professor must notify the dean in writing (email is acceptable) whether he/she will pursue promotion or not by October 1 of the current RPT cycle. This notification shall also be copied to the department chair and to the CLA evaluations process specialist.

b. Review and sign the log for his/her PAF in the dean’s office prior to the commencement of a performance evaluation.

c. Provide an updated curriculum vitae for placement in the PAF. Note: be sure the “updated” version is newly dated on the 1st page.

d. Assemble and submit a WPAF – Appendix A1.

2. Department Peer Review Committee (PRC)

a. PRC Composition

1. For Retention, Promotion or Tenure evaluations, the PRC shall normally consist of at least three elected members of the tenured faculty. Approval shall be obtained from the dean if a department
requests to have a committee with fewer than three members or to have a FERP participate as an evaluator. (MOU 15.2)

a. PRC members must have a higher rank/classification than those being considered for promotion.
   i. PRC members typically will be from the candidate’s own department. However, PRC members will sometimes need to be recruited outside that department when there is an inadequate number of faculty in the department who are eligible and available to serve on the PRC.
   ii. Departments in this situation should notify the dean’s office as soon as possible because outside recruitment of PRC members will be coordinated by this office.

b. Faculty unit employees being considered for promotion themselves are ineligible for service on promotion or tenure peer review committees. (MOU 15.42)
c. Both tenured and probationary faculty may vote on PRC membership. The vote solicited by the department may be for each potential member of the PRC or on the PRC as a group. The vote shall be determined by a simple majority.
d. A potential PRC member with a clear conflict of interest with a faculty member scheduled for review (e.g., partner, very close friend or collaborator) should not stand as a candidate for that PRC.
e. Faculty may serve on only one level of review (department, department chair, or college). (MOU 15.29)

b. PRC Responsibilities
   1. All PRC members shall review both the PAF and the WPAF, signing the log sheet in each file. At least a subset of the PRC shall observe classroom instruction.
   a. Classroom observations
      i. Faculty members shall be provided a notice of at least five (5) days that a classroom visit is to take place. (MOU 15.14)
      ii. Following the classroom visit(s) there shall be consultation between the faculty member being evaluated and the individual who has visited his/her class(es). (MOU 15.14)
   b. Based on the review of the PAF, WPAF, and classroom observations, the committee shall vote for or against the proposed action (retention, promotion and/or tenure), or, under very rare circumstances, abstain. A written rationale must be provided for any abstentions. Only the collective vote, and not the votes of individual committee members, is reported.
   c. The committee shall produce an evaluation report, utilizing the Peer Review Committee Evaluation Form (Appendix C), for the candidate undergoing evaluation. This report will critically analyze the evidence on each dimension of performance (teaching, scholarship, and service), both favorable and unfavorable, and produce a narrative from which it is clear how the evidence was weighed and the conclusions and recommended actions derived. In cases of split votes, the report should reflect the relevant perspectives on the committee and the rationale for the majority decision. In rare instances when agreement cannot be reached on the content of the committee report, the minority committee member(s) may submit a signed minority report.
      i. Particularly in reviews for retention of probationary faculty, it is also important for the committee to evaluate the professional development plan. Guidance regarding needed modifications of the plan is important for the candidate in his or her efforts to develop a compelling record for the eventual promotion and tenure evaluation.
      ii. Departmental peer review committee evaluation reports and recommendations shall be approved by a simple majority of the committee. (MOU 15.44)
   d. The PRC report shall be provided to the candidate at least 10-days before sending the evaluation to the department chair.
   e. Candidates may request a meeting and/or submit a rebuttal to the Peer Review Committee.
   f. PRC members shall review rebuttal material with the option of revising the recommendation or correcting errors in the original report; no other written response shall be provided to the candidate.
g. All deliberations of the PRC shall be confidential. (MOU 15.10)

2. Department Chair

a. The department chair shall review both the PAF and the WPAF, signing the logs in each file, and observe classroom instruction.

i. Classroom observations

a. Faculty members shall be provided a notice of at least five (5) days that a classroom visit is to take place. (MOU 15.14)

b. Following the classroom visit(s) there shall be consultation between the faculty member being evaluated and the individual who has visited his/her class(es). (MOU 15.14)

b. The department chair shall review the PRC evaluation and rebuttal, if submitted, and provide a separate evaluation, completed on the Faculty Evaluation Form (AP 109).

i. This report shall critically analyze the evidence on each performance dimension (teaching, scholarship, and service), both favorable and unfavorable, and produce a narrative from which it is clear how the evidence was weighed and the conclusions and recommended actions resulted.

a. Particularly in reviews for retention of probationary faculty, it is also important for the department chair to evaluate the professional development plan. His or her guidance regarding needed modifications of the plan is important for the candidate’s efforts to develop a compelling record for the eventual promotion and tenure evaluation.

c. The chair’s report shall be provided to the candidate at least 10 days before sending the evaluation to the dean.

d. Candidates may request a meeting and/or submit a rebuttal to the department chair.

e. The department chair shall review rebuttal material with the option of revising the recommendation or correcting errors in the original report; no other written response shall be provided to the candidate.

3. College Peer Review Committee (CPRC)

a. The CPRC provides an additional level of evaluation for candidates undergoing a promotion evaluation.

b. The CPRC shall consist of up to one full professor from each department. Approval shall be obtained from the dean if departments will not have a representative.

c. Each CPRC member shall review both the PAF and the WPAF and sign the logs in each file.

d. Each CPRC member shall review the prior levels of evaluation (PRC and department chair) and any rebuttals submitted.

e. Based on the review of the PAF, WPAF, and prior levels of evaluation, the CPRC shall vote for or against the proposed retention, promotion, and/or tenure, or, under rare circumstances, abstain (a written rationale must be provided for any abstentions). Only the collective vote, and not the votes of individual committee members, is reported.

f. The CPRC shall produce an evaluation report. This report will critically analyze the evidence on each dimension of performance (teaching, scholarship, and service), both favorable and unfavorable, and produce a narrative clarifying how the evidence was weighed and the conclusions and recommended actions derived. In cases of split votes, the report should reflect the relevant perspectives on the committee and the rationale for the majority decision. In rare instances when agreement cannot be reached on the content of the committee report, the minority committee member(s) may submit a signed minority report.

i. The CPRC report shall be provided to the candidate at least 10 days before sending the evaluation to the dean.

ii. Candidates may request a meeting and/or submit a rebuttal to the CPRC report.
iii. The CPRC shall review rebuttal material with the option of revising the recommended action or correcting errors in the original report; no other written response shall be provided to the candidate.

g. The committee shall also rank the promotion candidates in one list.

4. Dean

a. The dean shall review both the PAF and the WPAF and sign the logs in each file.

b. The dean shall review all previous levels of evaluation and any rebuttals submitted and provide a separate evaluation, completed on the Faculty Evaluation Form (AP 109).

c. The dean’s evaluation and recommendation report shall be provided to the candidate at least 10-days before sending the evaluation to the provost.

d. Candidates may request a meeting and/or submit a rebuttal to the dean.

i. Dean shall review rebuttal material with the option of revising the recommended action or correcting errors in the original evaluation; no other written response shall be provided to the candidate.

5. Provost

a. The candidate’s PAF, WPAF and reports from all levels of evaluation are sent to the provost’s office for final evaluation for retention, promotion and/or tenure.

9. Department Chair

A. Method of Appointment

1. Department chairs are typically appointed to 3-year, renewable terms, though there may be some variance in term lengths across departments.

2. Department chairs shall normally be selected from a list of tenured and/or probationary faculty members recommended to the dean by the departmental faculty (MOU 20.30).

   a. It is highly desirable that department chairs be tenured members of the faculty, preferably at the rank of professor.

   b. An untenured, assistant professor would be considered for department chair only under extraordinary circumstances.

   c. The list of recommended faculty members will be generated using the internal or external search process described below. Ideally, the list of recommended faculty members will include two or three names, though it may include as few as one name under some circumstances.

3. Internal searches are the preferred method for selecting new department chairs. Internal searches shall be initiated and conducted in accord with department policies and procedures approved by the dean. Department policies and procedures must include at least the provisions listed below. The department may request assistance from the college in implementing any aspect of their procedures.

   a. An open call for nominations from all tenured and probationary faculty members.

   b. A process for confirming willingness to serve if selected.

   c. An opportunity for each confirmed candidate to address and interact with the faculty about his or her candidacy.

   d. A process for determining the acceptability of each candidate to the tenured and probationary faculty and for rank ordering multiple, acceptable candidates in a recommendation to the dean. The recommendation will also include reports on any voting/polling and associated comments.

   e. Departments should have recommendations to the dean by the end of winter quarter.

   f. Based on all information, the dean shall make a recommendation to the provost. If necessary, the dean will consult further with the faculty.

4. External searches for chairs are very rare and driven by unusual circumstances in the department. The dean must approve an external search prior to its initiation.

   a. If a national search is approved, the search committee shall be recommended by the faculty and approved by the dean. Composition of the core of the search committee will conform with university,
college, and department policies. Because the department chair will advise the dean and contribute to the leadership of the college and university in addition to leading the department and because multiple perspectives will be useful in evaluating external candidates largely unknown to us, the core search committee will be augmented with a chair from another department and an associate dean (ex officio member).

b. The search committee shall make a recommendation to the department faculty, who will vote and comment on that recommendation.

c. The search committee’s recommendation and the faculty vote and comments shall be submitted to the dean.

d. If necessary, the dean will consult further with the search committee and the faculty before making a recommendation to the provost.

5. Interim department chair appointments for one-year terms may be made by the dean. In non-emergency situations, the dean will consult with department faculty before making interim appointments.

B. Responsibilities

1. The department chair is the department’s main administrative faculty member and a key member of the college’s leadership team.

   a. It is essential that the department chair provide effective communication, in both directions, between the department and the college.

   b. The department chair must have the ability to effectively represent his/her department and the capacity to lead the department in contributing to the attainment of college and university priorities and goals.

2. Duties of the department chair vary slightly by department; however, department chair responsibilities will always include those prescribed by Academic Personnel.

10. Miscellaneous

A. Faculty Early Retirement Program (FERP)

1. A FERP participant is deemed a tenured faculty employee whose time appointment and assigned responsibilities are specified in his/her FERP agreement. As such, a FERP participant continues to enjoy most academic privileges and is subject to most academic responsibilities associated with the tenured faculty in the College of Liberal Arts at Cal Poly. A few clarifications and limitations are noted below.

2. Service on Committees

   a. A FERP participant who includes IRR’s in their plan shall be eligible to serve on governance committees whose assignments are normally completed during the period of FERP employment. (MOU 29.19)

   b. A FERP participant who includes IRR’s in their plan shall be required to attend department meetings and perform his/her share of assigned service duties.

3. Service on Review Committees

   a. FERP participants are not normally eligible to serve on peer review committees constituted for the purpose of retention, promotion or tenure. However, at the request of the department, the dean has been delegated the authority to approve the inclusion of FERP participants as members of the PRC as long as the PRC does not solely consist of FERP participants. A FERP participating on a PRC must be able to complete all work during his/her FERP assigned quarter(s). (MOU 15.38 & MOU 29.19)

   b. FERP’s may participate in evaluating lecturers.

4. Office Space

   a. Office space will be provided to FERP faculty proportionate to their FERP time base (i.e., two .50 FTE faculty would share an office).

5. Leaves

   a. FERP participants are not eligible for sabbatical leaves, DIP leaves, or leaves without pay.

B. Pre-Retirement Reduction in Time Base (PTB)

1. PTB participants shall not be eligible for sabbatical leaves or leaves with pay. (MOU 30.8)

2. A PTB participant shall be required to perform normal responsibilities, duties, and activities pro rata. (MOU 30.13)
Glossary

Abstention Votes
Abstentions should be made only for strong and compelling reasons (e.g., conflict of interest). Abstentions do not count as either positive or negative votes. A PRC member or department chair who abstains from voting is expected to provide written rationale for the abstention.

Academic Year [CAP 211.5]
The term “academic year” refers to the period of time from September through June and consists of three consecutive quarters: fall, winter and spring quarters.

Article
The term “article” refers to an essay of substantial length and scholarship. The term does not refer to “letters to the editor,” nor does it refer to the type of brief, sometimes observational piece which may appear in journals under headings such as “Notes and Queries,” etc.

Calendar Year [MOU 2.4]
The term “calendar year” refers to the period of time from January 1 through December 31.

Day [MOU 2.11]
A calendar day; computed by excluding the first day and including the last day, unless the last day is a holiday or other day on which the Employer is not regularly open for business, and then it is also excluded.

Difference-In-Pay Leaves [MOU 28.1 – 28.16]
Full-time faculty members, except coaches, are eligible to apply for a difference-in-pay leave after serving full time for six years preceding the leave. For a subsequent difference-in-pay leave, a faculty member is eligible after serving three years following the last sabbatical or difference-in-pay leave. The salary for a difference-in-pay leave for a faculty employee is the difference between the individual’s salary and that of the minimum salary of Instructor. Applications must be submitted to the department chair by November 1 of the academic year preceding the proposed leave.

Employment Equity Facilitator http://www.employequity.calpoly.edu/eef.html
The role of the Employment Equity Facilitator (EEF) is to ensure that the staff or faculty screening committee they serve on adheres to equal employment opportunity practices during all phases of the search and selection process, and to address concerns and respond to all questions concerning the equal consideration of all applicants. The EEF must have current training to serve in this capacity.

Faculty Early Retirement Program (FERP) [MOU 29.1 – 29.22]
Tenured faculty who have reached age 55 and are eligible to retire under the Public Employees' Retirement System (PERS) who apply for service retirement may be eligible to participate in the Faculty Early Retirement Program (FERP). Participants may elect to teach up to 50% of their annual time base preceding retirement (i.e., up to 22.5 WTU for a full-time faculty member) each academic year for a maximum of five academic years under FERP. The salary during FERP employment is in accordance with the regular faculty salary schedule. Eligible tenured faculty must notify the provost and executive vice president for Academic Affairs in writing at least six months prior to the beginning of the campus academic year that the professor chooses to participate in FERP.

Forthcoming/In Press
A work that is unconditionally accepted for publication. A work that is unconditionally accepted for publication. For traditional scholarly publications, such as books, book chapters, and journal articles, this means that the manuscript must be fully and unconditionally accepted by the publisher, in the publisher’s possession, require no further revisions by the author, and have a scheduled publication date with additional work required only by the publisher to move the manuscript to publication.

MOU/CFA [MOU 2.7]
The Collective Bargaining Agreement between the California Faculty Association and the Board of Trustees of the California State University.

Peer Review Committee [MOU 15.40]
Committee of tenured faculty unit employees for the purpose of reviewing and recommending faculty unit employees who are being considered for retention, award of tenure, and/or promotion.

Peer Reviewed / Refereed
The terms ‘peer reviewed’ and ‘refereed’ refer to objective scholarly or creative judgments made by independent editors or readers. External peer review must also meet the standards of, and satisfy the qualitative professional judgments of, the appropriate tenured faculty committees.

Periodic Evaluation [MOU 15.20 – 15.36]
The process of evaluating faculty on the basis of temporary service (15.23 – 15.27); probationary service (15.28 – 15.31) in a year when retention is not an issue; and service as a tenured faculty member (15.32 – 15.34). Periodic evaluations stress developmental issues and focus on plans for improving a faculty member’s effectiveness. The evaluation does not contain formal recommendations regarding retention, tenure, or promotion.

Performance Evaluation [MOU 15.37 – 15.39b]
The process of evaluating faculty for retention, tenure, or promotion that leads to formal evaluations, recommendations, and notices of results.
Personnel Action File (PAF)  [MOU 2.17; 11.1]
The one official personnel file containing employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. Campus medical and police records are not a part of the PAF.

Pre-Retirement Reduction in Time Base (PTRB)  [MOU 30.1 – 30.13]
Tenured faculty between the ages of 55 and 65 who satisfy certain eligibility requirements may reduce their workload to one-third, one-half, or two-thirds time during the five academic years preceding retirement. Participants receive reduced salary in accordance to time-base, but retain full retirement credit and contributions, health/dental/vision insurance, and other benefits. The request to participate should be submitted at least six months before the effective date of the reduction, which must commence with the beginning of an academic year.

Probationary Period  [MOU 13.2]
The period of service, prior to the granting or denial of tenure, credited to a faculty unit employee who has received a probationary appointment.

Professional Development Plan
A Professional Development Plan should describe the ways that a faculty member will be actively engaged in his/her discipline, the ways in which this engagement will strengthen his/her teaching, and the planned scholarly contributions to his/her discipline and to the university. Special attention should be given to how planned accomplishments map onto timelines and criteria for promotion and/or tenure.

Promotion  [MOU 14.1-14.9]
The advancement of a probationary or tenured faculty unit employee who holds academic or librarian rank to a higher academic or librarian rank, or advancement of a Counselor Faculty Unit Employee to a higher classification.

Publication:
The term "publication" refers to the refereed publication of books, articles, fiction, poetry, or creative non-fiction, monographs, or technical reports (or to the equivalent of such publication).

Quorum
Differs among departments but would generally be at least 50% of faculty members.

Retention
Retention is the authorization to continue in probationary status for another year. It should be understood that if a faculty member does not have the potential to achieve tenure, then that individual should not be reappointed. Similarly, a candidate who does not have the potential for promotion to associate professor and professor should not be granted tenure. This does not mean that retention is a guarantee of tenure nor is tenure a guarantee of promotion (University Faculty Personnel Actions 9/29/11).

"RTP"
R=retention; T=tenure; P=promotion

Sabbatical Leaves  [MOU 27.1 – 27.20]
Sabbatical leaves with pay may be granted to employees if the study, research or travel is determined to be of a nature valuable to the university. Full-time faculty members, except coaches, are eligible to apply for a sabbatical leave after completing six academic years of full-time service. Applications must be submitted to the department chair by November 1 of the academic year preceding the proposed leave. Sabbatical leave compensation for academic year employees is:
- one quarter at full pay; or
- two quarters at three-quarters pay; or
- three quarters at one-half pay.

Temporary Appointments  [MOU 12.3 – 12.11]
Individuals appointed as lecturers or coaches serve in non-permanent academic assignments. Such appointments are temporary in nature and are made for specified terms. Temporary appointments automatically expire at the end of the period stated in the letter of offer and do not establish any further appointment rights.

Tenure  [MOU 13.14 – 13.20]
The right to continued permanent employment at the campus as a faculty unit employee except when such employment is voluntarily terminated or is terminated by the Employer pursuant to this agreement or law.

Three-Year Appointments  [MOU 12.12 – 12.15]
Temporary faculty unit employees (excluding coaches) employed during the prior academic year and possessing six or more years of prior consecutive service on that campus, and have received a satisfactory evaluation on their cumulative review in their sixth year, shall be offered a three-year temporary appointment.

Working Personnel Action File (WPAF)  [MOU 2.17]
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 of a faculty unit employee.
Appendix A1 Working Personnel Action File (WPAF) - Tenure, Tenure-Track Faculty

Structure and Content of the WPAF

The WPAF is a file compiled by the faculty member for use during a periodic review or performance evaluation. The dean’s office will provide the initial binder (additional binders are provided by the faculty member and should be no larger than 3” as measured on the spine). The WPAF contains material the faculty member deems important to the review/evaluation, including the materials called for below. The binder(s) should be organized and tabbed as outlined below.

I. Index of Material
   The candidate will provide a comprehensive index of his/her WPAF. The index will be placed in the PAF at the conclusion of the evaluation cycle as a historical record and should be detailed enough to reconstruct the WPAF should that be necessary.

II. Curriculum Vitae (CV)
   The candidate will provide an updated CV for each evaluation cycle. It is helpful to evaluators if new material added to the CV each year is highlighted.

III. Professional Development Plan
   The Professional Development Plan should focus on the ways a faculty member intends to be actively engaged in his/her discipline, proposed scholarly contributions to the discipline and to the university and the means by which this activity will strengthen his/her teaching. Probationary faculty are encouraged to work with their department chair to design a professional development plan aimed at earning eventual tenure and/or promotion according to the criteria of the department, college, and university. Lecturers should provide a Professional Development Plan that demonstrates activity supporting currency in their discipline.

IV. Narrative - Optional
   The Narrative is an integrative statement that provides a brief introduction to a faculty member’s teaching, professional development, and service philosophies: Where I am in teaching, professional development, and service in the context of where I’ve been and where I hope to be in the future.

V. Summary of Courses Taught
   Quarter; Year; Course; Format; Enrollment; Course Section Category Totals Mean; Department Category Totals Mean; and Notes
   (Excel template will be provided by dean’s office – be sure to review for accuracy and completeness)

VI. Teaching Performance
   The candidate will ensure that his/her WPAF contains ample supporting materials, addressing performance criteria and standards necessary for responsible recommendations/decisions by evaluators. Evaluators will “Consider such factors as the faculty member’s competence in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of courses, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student advising, and other factors relating to performance as an instructor. (Include results of Student Evaluation Program.)” Faculty Evaluation Form - AP 109 Samples of student work should be redacted to keep the student’s identity anonymous.

   Evidence provided in the WPAF should include:
   Representative samples of syllabi, quizzes, exams, grading rubrics, corrected papers, exams and other course materials covering the full range and diversity of the faculty member’s teaching assignments. Note: It is helpful to provide the questions or assignments that initiated the student responses included.

VII. Professional Growth and Achievement
   The candidate will provide copies of professional development materials as evidence that s/he has met the criteria for tenure and/or promotion. Evaluators will “Consider such factors as the faculty member’s educational background and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies, publications, presentation of papers at professional and scholarly meetings, and external validation of scholarly activities.” Faculty Evaluation Form - AP 109

   Evidence provided in the WPAF, if applicable, should include:
   Copies of published, peer-reviewed articles, works of creative non-fiction, poems, prose fiction, monographs, or technical reports; accepted but not yet published articles or abstracts, works of creative non-fiction, poems, prose fiction, books, monographs, or technical reports, with a copy of the letter of acceptance for each; copies of papers presented at conferences, with a copy of the relevant section(s) of the conference program; samples of works in progress or under submission; successful grant proposals or submitted grant proposals, with verification of status; invited presentations; and/or evidence of juried exhibitions or performances, copies/recordings of creative works exhibited or performed, and invited exhibitions and performances.
   ○ When citing co-authored or multi-authored publications, include a brief statement explaining the level and nature of your contributions to that publication.
   ○ Distinguish clearly between work that is in progress and work that is already completed (in press, accepted for publication, accepted for publication with revisions, submitted/under review.)
   ○ If you have made a presentation at a professional conference, identify role (keynote, invited, juried, poster session, roundtable, workshop), and identify audience and the standing or significance of the sponsoring organization. A photocopy of the program cover and the page where your presentation is highlighted are sufficient corroboration. You do not need to include the entire program book.
VIII. Service to University, Students, and Community

Evaluators will “Consider such factors as the faculty member's participation in academic advisement; placement follow-up; co-curricular activities; diversity-related activities; department, college and university committees; Academic Senate and its committees; individual assignments; systemwide assignments; and service in community affairs directly related to the faculty member's teaching area, as distinguished from those contributions to more generalized community activities.” Faculty Evaluation Form - AP 109

Evidence provided in the WPAF, if applicable, should include:
Documentation of departmental, college, university, professional, or community service committee participation; a letter of recognition by its chair would suffice. It is helpful if candidates who acted as a workshop leader for campus, professional, or community organizations supply a letter of recognition from the entity. Candidates who provided substantive service to his/her department, the college, the university, the community and/or profession (e.g., if you were a chair or co-chair of a departmental, college, university, professional, or community service committee) should provide a year-end report of its activities or a brief list of its accomplishments.

* Item will be retained and placed in the Personnel Action File at the conclusion of the performance evaluation/periodic review.

Compiling the WPAF – Important Assembly Information

- Organize and tab the WPAF according to the outline on the previous page.
- Do not use sheet protectors or plastic sleeves for material in the WPAF.
- With the exception of students’ qualitative comments, all material must be three-hole punched and placed in the binder. A plastic holder fastened to a three-hole punched page is acceptable for small items that cannot be punched (e.g., CD, postcard, picture, etc.)
- Please double-side your CV, narratives, professional development plan, and as many other components of your WPAF as possible.
- If additional binders are required, please keep the tabs in the specified sequence, moving the overflow material into the next binder.
- Do not include copies of previous reviews and evaluations in your WPAF because they are available to reviewers in the PAF.
- Assume everyone reading the WPAF will be reading many, many WPAF’s. Clear and concise WPAF’s will be highly valued by all!
I. **Index**
   The faculty employee will provide an index of his/her WPAF. The index will be placed in the PAF at the conclusion of the evaluation cycle as an historical record.

II. **Resume/Curriculum Vitae (CV)**
   The faculty employee will provide an updated Resume/CV for each evaluation cycle. It is helpful to evaluators if new material added to the Resume/CV each year is highlighted.

III. **Narrative – Optional**
   The Narrative is an integrative statement that provides a brief introduction to the faculty employee’s work assignment and may highlight one’s teaching philosophy and accomplishments since the last review cycle. The faculty employee may also comment on professional development and service, especially as they contribute to maintaining currency in one’s field of expertise.

IV. **Teaching Performance – Summary of Courses Taught**
   Quarter; Year; Course; Format; Enrollment; Course Section Category Totals Mean; Department Category Totals Mean; and Notes.
   (Excel template will be provided by dean’s office – be sure to review for accuracy and completeness)

V. **Teaching Performance – Support Materials**
   Current course syllabi and examples of course materials; examples of examinations, grading schemes, graded assignments, etc. Please check with your department to see which of these materials are required.

VI. **Other**
   Evidence of professional accomplishments that contribute to maintaining currency in the faculty employee’s field of expertise such as workshop and/or conference participation; research, scholarship, and/or creative activity; and service activities, if applicable.

Compiling the WPAF – Important Assembly Information

- Organize and tab the WPAF according to the outline on the previous page.
- Do **not** use sheet protectors or plastic sleeves for material in the WPAF.
- With the exception of students’ qualitative comments, all material must be three-hole punched and placed in the binder. A plastic holder fastened to a three-hole punched page is acceptable for small items that cannot be punched (e.g., CD, postcard, picture, etc.)
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Appendix B  Performance and Periodic Evaluation Schedule

With **no** credit at hire – 1-6 (2 year appointment)

<table>
<thead>
<tr>
<th>Year at Cal Poly</th>
<th>Year on Tenure Clock</th>
<th>Review/Evaluation</th>
<th>Positive Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1 of 6</td>
<td>Periodic Review</td>
<td>NA</td>
</tr>
<tr>
<td>2</td>
<td>2 of 6</td>
<td>Retention Evaluation</td>
<td>2 year appointment*</td>
</tr>
<tr>
<td>3</td>
<td>3 of 6</td>
<td>Periodic Review</td>
<td>NA</td>
</tr>
<tr>
<td>4</td>
<td>4 of 6</td>
<td>Retention Evaluation</td>
<td>2 year appointment*</td>
</tr>
<tr>
<td>5</td>
<td>5 of 6</td>
<td>Periodic Review</td>
<td>NA</td>
</tr>
<tr>
<td>6</td>
<td>6 of 6</td>
<td>Tenure and/or Promotion Evaluation</td>
<td>Tenure and/or promotion</td>
</tr>
</tbody>
</table>

Total Periodic Reviews = 3
Total Performance Evaluations = 3

With **one** year credit at hire – 2-6 (2 year appointment)

<table>
<thead>
<tr>
<th>Year at Cal Poly</th>
<th>Year on Tenure Clock</th>
<th>Review/Evaluation</th>
<th>Positive Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2 of 6</td>
<td>Periodic Review</td>
<td>NA</td>
</tr>
<tr>
<td>2</td>
<td>3 of 6</td>
<td>Retention Evaluation</td>
<td>2 year appointment*</td>
</tr>
<tr>
<td>3</td>
<td>4 of 6</td>
<td>Periodic Review</td>
<td>NA</td>
</tr>
<tr>
<td>4</td>
<td>5 of 6</td>
<td>Retention Evaluation</td>
<td>1 year appointment</td>
</tr>
<tr>
<td>5</td>
<td>6 of 6</td>
<td>Tenure and/or Promotion Evaluation</td>
<td>Tenure and/or promotion</td>
</tr>
</tbody>
</table>

Total Periodic Reviews = 2
Total Performance Evaluations = 3

With **two** year's credit at hire – 3-6 (2 year appointment)

<table>
<thead>
<tr>
<th>Year at Cal Poly</th>
<th>Year on Tenure Clock</th>
<th>Review/Evaluation</th>
<th>Positive Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>3 of 6</td>
<td>Periodic Review</td>
<td>NA</td>
</tr>
<tr>
<td>2</td>
<td>4 of 6</td>
<td>Retention Evaluation</td>
<td>1 year appointment</td>
</tr>
<tr>
<td>3</td>
<td>5 of 6</td>
<td>Retention Evaluation</td>
<td>1 year appointment</td>
</tr>
<tr>
<td>4</td>
<td>6 of 6</td>
<td>Tenure and/or Promotion Evaluation</td>
<td>Tenure and/or promotion</td>
</tr>
</tbody>
</table>

Total Periodic Reviews = 1
Total Performance Evaluations = 3

*If a candidate is showing weakness in an area(s), then a full performance evaluation may be required the following year instead of a periodic review resulting in a one year appointment instead of a two year appointment. Likewise, if a candidate felt at any time that a full performance review would be helpful or in his/her best interest he/she could request and receive one.

**Note:** For appointments that begin winter or winter/spring, the candidate will undergo the first periodic evaluation the following winter term. Four (4) or five (5) quarters will constitute the first probationary year.
### Peer Review Committee (PRC) Evaluation Form

**NAME:**          | **FACULTY RANK:** | **DATE:**
**COLLEGE:** Liberal Arts | **DEPARTMENT:**

This is an evaluation for (check applicable action):
- [ ] Retention to a ___ probationary year.
- [ ] Tenure
- [ ] Promotion
- [ ] Periodic Review

### FACTORS OF CONSIDERATION

**Justification for Recommendations**

Evaluative statements should be accompanied by supporting evidence. If the evidence does not appear to support the recommendations made, the file will be returned to the reviewing levels for amplification.

The evaluator should review effectiveness of the faculty member primarily during this evaluation period. The evaluation should reflect both (1) evidence of merit and (2) suggested areas for improvement. Reference any resources used for evaluation; such as class visitation, conferences, and materials provided by the faculty member.

*I. Teaching Performance and/or Other Professional Performance:*

Consider such factors as the faculty member's competence in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of courses, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student advising, and other factors relating to performance as an instructor. (Include results of Student Evaluation Program.)

*Nonteaching academic personnel are to be evaluated on their professional performance.*

<table>
<thead>
<tr>
<th>Evidence of Merit:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Areas and Suggestions for Improvement:</strong></td>
</tr>
</tbody>
</table>

*II. Professional Growth and Achievement:*

Consider such factors as the faculty member's educational background and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies, publications, presentation of papers at professional and scholarly meetings, and external validation of scholarly activities.

<table>
<thead>
<tr>
<th>Evidence of Merit:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Areas and Suggestions for Improvement:</strong></td>
</tr>
</tbody>
</table>

*III. Service to University, Students, and Community:*

Consider such factors as the faculty member's participation in academic advisement; placement follow-up; co-curricular activities; diversity-related activities; department, college and university committees; Academic Senate and its committees; individual assignments; systemwide assignments; and service in community affairs directly related to the faculty member's teaching area, as distinguished from those contributions to more generalized community activities.

<table>
<thead>
<tr>
<th>Evidence of Merit:</th>
</tr>
</thead>
</table>
IV. **Other Factors of Consideration:** Consider such factors as collegiality (working collaboratively and productively with colleagues and participation in traditional academic functions); initiative; cooperativeness; and dependability.

Evidence of Merit:

Areas and Suggestions for Improvement:

V. **Summary:**

1. □ has reached a high level of professional development and is making an outstanding contribution to the university which is readily recognizable.

2. □ fully meets the requirements of the present assignment and is making a valuable contribution to the university.

3. □ 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. □ does not meet satisfactorily the requirements of the present assignment.

On the basis of the foregoing evaluation, the Peer Review Committee recommends the action listed below for this faculty member, by a vote of ___ for, ___ against, and ___ abstain.

**RECOMMENDATION OF PEER REVIEW COMMITTEE:**

- □ Tenure
- □ Promotion
- □ Retention to a probationary year
- □ Periodic Review (vote is not required for Periodic Reviews)
- □ Nontenure
- □ Nonpromotion
- □ Nonretention

Narrative Rationale for the Recommendation: __

___________________________________________________________  __________________
Chair,                                                                                      Date

___________________________________________________________  __________________
PRC Member,                                                              PRC Member,
                                                                                      Date

I have read the above evaluation:

___________________________________________________________  __________________
COMMENTS: (If desired, attach a separate page)                                      Date
## College of Liberal Arts

### Records Retention Schedule: Quantitative Scores and Qualitative Comments from Student Evaluations

<table>
<thead>
<tr>
<th>Faculty Rank</th>
<th>Custodian of Records</th>
<th>Quantitative Scores</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Faculty</td>
<td>Dean’s Office</td>
<td>will remain permanently in the faculty member’s Personnel Action File (PAF).</td>
</tr>
<tr>
<td>Former Faculty Employees</td>
<td>Dean’s Office</td>
<td>will remain in the faculty member’s Personnel Action File (PAF). PAFs are retained for five (5) years after separation from employment.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Faculty Rank</th>
<th>Custodian of Records</th>
<th>Qualitative Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Professor (including FERP faculty)</td>
<td>Department Office</td>
<td>will be retained until next post-tenure review.</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>Department Office</td>
<td>will be retained until promotion to full professor or at least the ten (10) most recent years.</td>
</tr>
<tr>
<td>Probationary Faculty</td>
<td>Department Office</td>
<td>will be retained for probationary faculty brought in as assistant professors through the probationary period until tenure (in cases of early promotion, will be retained from the year of the promotion review until promotion to full professor or at least the ten (10) most recent years). will be retained for probationary faculty brought in as associate professors until promotion to full professor or at least the ten (10) most recent years.</td>
</tr>
<tr>
<td>Lecturer</td>
<td>Department Office</td>
<td>will be retained for the ten (10) most recent years or range elevation to the next level, whichever is sooner. Lecturers applying for a range elevation will need to provide up to ten (10) years of qualitative comments for range evaluation review.</td>
</tr>
<tr>
<td>Former Faculty Employees</td>
<td>Department Office</td>
<td>will be retained for five (5) years after separation from employment.</td>
</tr>
</tbody>
</table>

At the discretion of the dean or department chair, qualitative comments may be kept longer than the prescribed times above.

Qualitative comments will be returned to the current faculty member after the above schedule has been met.
To: Doug Epperson, Dean
    College of Liberal Arts

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

Date: September 5, 2014

Copies: Al Liddicoat

Subject: College of Liberal Arts Policies and Procedures

The subject document, approved by the College of Liberal Arts faculty in April 2014, is approved for immediate implementation. Please provide the College of Liberal Arts faculty access to the document as soon as possible.